

September 2024

Performance Framework

Commitment to Excellence

DRAFT

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Introduction

The South Yorkshire Pensions Authority (SYPA) Performance Framework is an adaptive and developing piece of work with the end goal being to provide assurance that each department across the organisation has realistic, measurable, and achievable targets to monitor and maintain an excellent and accountable level of performance.

Each department has active involvement with agreeing the measures that are used to manage their performance. We believe this holistic approach ensures a clear level of operational understanding against the framework and complements the goals to be achieved.

This is the first iteration of our Performance Framework, and our project team aims to develop it with an agile method. This means we can deploy the framework at its earliest opportunity and continue to develop it on an ongoing basis. Because of this the objective of the framework will change over time; these will be discussed throughout this document, but at a high level they are:

Objective 1	To provide an accountability mechanism to stakeholders (including the Authority, scheme members and employers).
Objective 2	Achieve a clearer understanding of how each department in SYPA is performing with data being centralised into this framework for efficient and comprehensive reporting, enabling a transparent and accountable level of performance.
Objective 3	Set targets across the departments to improve performance where necessary, whilst also maintaining and highlighting good performance.
Objective 4	Have an embedded Framework where measures and targets can be reviewed alongside the corporate strategy, ensuring stakeholder perspectives are considered.

This framework is being introduced in 2024/25 and it will continue to be developed and improved by our Programmes and Performance Team.

Our Strategic Objectives.

The foundation of any good Performance Framework is to align with a set of objectives that are agreed across the organisation. SYPA's Strategic Objectives will be used to align our Performance Framework with the goals of our organisation.

Customer Focus	Listening to stakeholders	Investment Returns	Responsible Investment
to design our services around the needs of our customers (whether scheme members or employers).	to ensure that stakeholders' views are heard within our decision making processes.	to maintain an investment strategy which delivers the best financial return, commensurate with appropriate levels of risk, to ensure that the Fund can meet both its immediate and long term liabilities.	to develop our investment options within the context of a sustainable and responsible investment strategy.
Scheme Funding	Effective and Transparent Governance	Valuing and Engaging Employees	
to maintain a position of full funding (for the fund as a whole) combined with stable and affordable employer contributions on an ongoing basis.	to uphold effective governance showing prudence and propriety at all times.	to ensure that all our employees are able to develop a career with SYPA and are actively engaged in improving our services.	

Each measure we agree, or any that are added to the performance framework in the future, will be matched against these strategic objectives.

To fully understand our mission, we recommend that you also read:

- [Corporate Plans \(www.sypensions.org.uk/About-us/Who-we-are/Our-Corporate-Plans-and-Policies\)](http://www.sypensions.org.uk/About-us/Who-we-are/Our-Corporate-Plans-and-Policies)
- [Vision and Values \(www.sypensions.org.uk/About-us/working-for-us/Vision-and-values\)](http://www.sypensions.org.uk/About-us/working-for-us/Vision-and-values)

Key Performance Indicators (KPIs) and Team-Level Performance Indicators

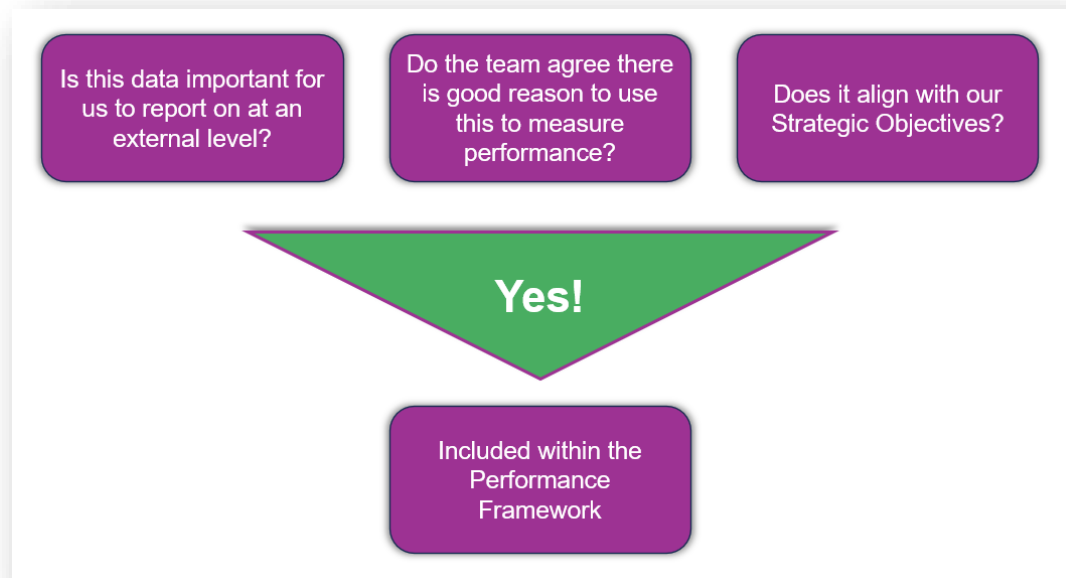
The performance framework gathers Key Performance Indicators (KPI's) which allow us to understand whether the organisation is delivering its objectives and initiate corrective action where things are going off track.

KPI's are gathered at different organisational levels and for different purposes.

- **Corporate Health Indicators** – are gathered at whole organisation level and relate to hygiene factors such as levels of staff sickness, or how effectively we're handling complaints. These are owned by the relevant service manager. This means – as an example – the Service Manager for the Benefits Team owns an indicator for how much of our backlog has been processed.
- **High Level Indicators** – are indicators at service level (e.g. Investment or Pensions Administration) which are reported publicly for accountability purposes and give a high level indication of whether things are going well or not. Examples might be the total volume of casework processed on time or the total return on the Fund compared to the benchmark. These indicators will be owned by either an Assistant Director, a Head of Function, or a Service Manager.
- **Operational Indicators** – are more detailed indicators at service or team level which are reported internally and used by service managers and senior managers to understand whether things are going well or not. They may indicate where blockages or particular problems are or indicate areas where additional focus is required. Deterioration in indicators of this sort should result in management action. Examples of this type of indicator might be investment risk metrics, or the number of SysAid's (IT job tickets) cleared in a given timescale. Depending on the level at which data is collected these indicators will be owned either by Service Managers or Team Leaders.

In some service areas (particularly Pensions Administration) some indicators can be both high level and operational indicators, the most obvious example being indicators of processing efficiency.

We asked three simple questions of each measure before we chose to include it within this document:



If the answer was “yes” to each of these, we deemed it fit to be part of the Performance Framework. You will be able to review the full list of the measures we’ve chosen, and our rationale for including that measure in Appendix 2 ([click here to be taken there](#)).

Traditionally, a Performance Framework has measures and targets to achieve but, as suggested in the introduction, the first goal is:

to deliver an understanding of what we will be measuring across the organisation and having a clear pathway to have these measures collated in a way where we can utilise technology to develop performance dashboards for each department.

This means that we’re going to initially look at targets for measures in three different ways:

- **Measures that can be used for nationally recognised targets** such as those collectively agreed within the Annual Report Guidance will be measured against immediately as they are already captured as part of our Annual and Quarterly Reporting.
- **Measures that are already captured historically** but don’t have a nationally recognised target will be reviewed and analysed carefully by the Programmes and Performance Team so realistic targets can be set against the current performance.
- **Measures that aren’t yet captured** will have a review period set against them, so we can analyse and review the data at a more appropriate time and use that insight to create realistic targets.

With this approach, we’ll create a strong culture of performance management which is evidence-based and aligned with our current level of performance, rather than encouraging an unplanned and unachievable approach.

Data Collection, Insights, Actions and Monitoring

Wherever possible, we will utilise the data that we capture within software we already use for each department's workflow. This approach will aim to ensure that reporting on the Performance Framework can be as automated as possible. As part of our implementation plan ([you can go to the chapter from this link](#)) the Programmes and Performance team have met with each department to review how data can be collated for each measure, and if it isn't already input into a system that can be reported from, we have worked out a simple method to collect the data within Microsoft Excel Spreadsheets.

Here are the main sources of our data collection:

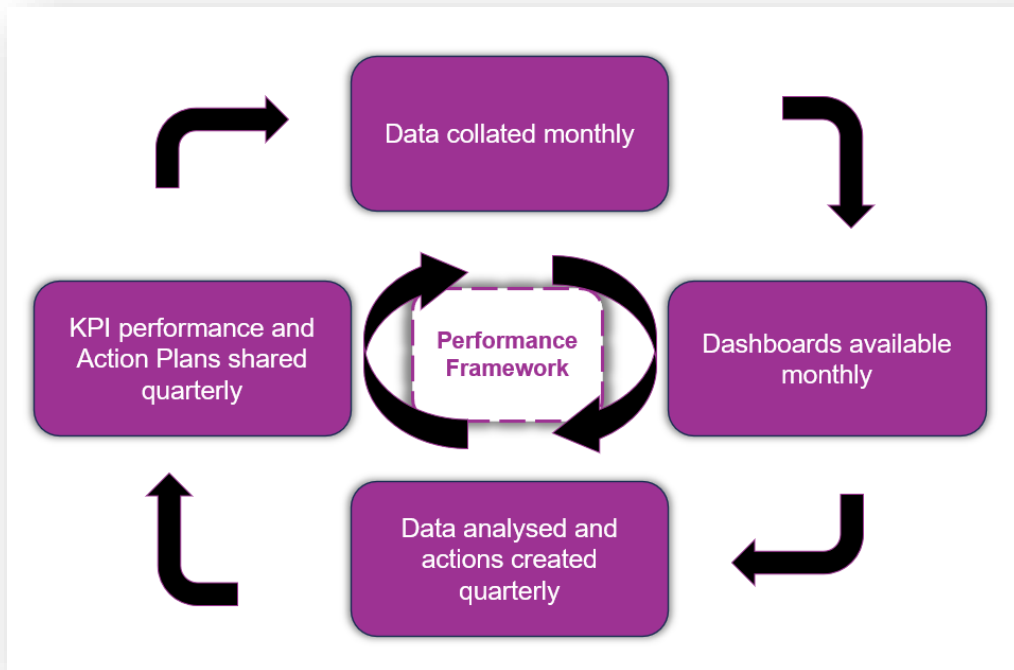
UPM The Pension Administration system used to process all case work, Customer Service enquiries and our Employer Services workflows.	Time & Attendance An HR system used across the organisation for recording hours worked, annual leave and other absences and administering the flexitime scheme.	Microsoft 365 products Microsoft Forms and Excel are used as simple data collection methods where there isn't an appropriate system in place.
Horizon Our Telephony System.	SysAid The ticketing system used to raise internal support tickets for our ICT services, UPM support and building management.	Advanced Financials The Finance system used for accounting and for raising customer invoices and supplier purchase ordering.

Data for the measures is collated into a secured network area and we use Microsoft's Power BI ([see more from this link](#)) to visualise it in dashboards; supporting the ability to analyse trends, patterns and anomalies. We use historic data to guide us to develop targets, and our Programmes and Performance team manipulate the visualisations to provide easy-to-see insights into the measures.

To track how we action performance data, we use Ideagen's Risk management software solution (known as Pentana). KPI performance is stored in this system monthly, and any actions required from the KPI findings are generated and tracked against its record.

We target – wherever appropriate and possible – to collate data monthly, but some measures will be collated quarterly or even yearly if this is more suitable for the type of measure it is and if there isn't any reason to collect it more frequently. You can check the frequency of data collection within the [Appendices](#).

We will externally report on the performance of Corporate Health and High Level Performance Indicators quarterly and in our annual report, and clearly lay out actions against the KPIs that aren't performing at the expected level. Operational indicators will be reported internally on a range of frequencies from monthly upwards as appropriate to the specific indicator.



Implementation Plan

The team working on implementing the Performance Framework is a small, focused, group. Below are the key responsible people, but – as discussed throughout the document – they are seeking advice from all departments across the organisation to assure that the framework’s measures are collaboratively agreed.

Responsible person	Role
Euan Hill: Service Manager – Programmes and Performance	Deployment of the Performance Framework
Gillian Taberner: Assistant Director – Resources	Approval and sign-off
Simon Tewson: Projects and Performance Officer	Support to the Service Manager

The responsible Service Manager has set out key milestones to keep the development of our new framework on-track:

Key Milestone	Target
Draft Performance Framework	June 2024
Sign-off of measures at department level	July 2024
Implementing the collation of data for measures	July – Oct 2024
Development of Performance Framework Dashboards	Nov – Dec 2024
Sign-off of Performance Framework	Dec 2024
Deployment and collation of performance data	Jan – March 2025
First share of KPI performance and Action Plans	April 2025

Since this is the first iteration of our Performance Framework, the Service Manager will be implementing and reviewing it on a month-by-month basis, handling the project in an agile method.

This is to ensure that a) we can deploy what is possible of the Framework at the earliest opportunity and b) continue to develop it in its first year of implementation; adding more measures to those we launched with.

With is in mind, the planned review cycle is as follows:

Review Cycle	Reason	Period
Month-by-month	It is expected that some measures will still need a method of deployment, and targets are going to be getting set within the first iteration. A frequent review cycle will be needed to assure this.	FY 2025/26
Quarterly	With the aim of most measures having a method of tracking within the first year, since the Framework will be in its infancy, it's anticipated that it will still need quarterly review to assure the planned targets are realistic and achievable.	FY 2026/27
Yearly	After its 3 rd year of implementation, it is expected that targets and measures can be reviewed Yearly.	FY 2026/27 – 2028/29
3-Yearly	It may be achievable earlier, but the aim would be for the Performance Framework to become integrated within our corporate strategy from 2030 onwards. Targets and Measures will be reviewed on the same schedule.	2030 onwards

Appendix 1: Corporate health KPIs, deployment status and frequency of collection

This table measures the current level of progress in developing visualisation dashboards for the agreed corporate health KPIs. This set of Performance Measures have been prioritised to be presented in dashboards by the end of December 2024.

Note: some of these measures are already reported on and publicly shared; this table is tracking the measure being centralised into the Performance Framework.

Performance Measure	Data Collection Agreed	Dashboard Created	Target Set	Frequency
Current Membership figures by Active/Deferred/Pensioner	✓	✓	N/A	Quarterly
Member and Employer Satisfaction Surveys - comparison between very satisfied/satisfied/dissatisfied/very dissatisfied responses				Quarterly
Current performance of completing the backlog of casework	✓	✓	✓	Monthly
Membership total compared with those signed up to MyPension				Quarterly
Total complaints received				Quarterly
Proportion complaints upheld				Quarterly
Analysis of reasons for complaint				Quarterly
Status and progress of active appeals				Quarterly
Status and progress of Ombudsman complaints				Quarterly
In and out of time employer submitted data				Quarterly
Short term sickness absences				Monthly
Long term sickness absences				Quarterly
Total days lost per FTE				Monthly
Number of annual appraisals completed compared with the number of employed staff				Yearly
Staff Survey Net Promoter Scores				Biennial
Estimated level of scheme funding with a formal 3-year valuation				Monthly
Investment performance relative to the actuarial assumption				Quarterly

Appendix 2: Corporate health KPI, linked objective, target, and responsible owner

If a measure is “to be set” it means that the Programmes and Performance Team are awaiting having a more insightful view of the data to be able to review and set realistic targets against the measure.

Performance Measure	Linked Objective	Target	Responsible Owner
Current Membership figures by Active/Deferred/Pensioner	Customer Focus	N/A	Assistant Director - Pensions
Member and Employer Satisfaction Surveys - comparison between very satisfied/satisfied/dissatisfied/very dissatisfied responses	Customer Focus	To be set	Service Manager - Customer Services
Current performance of completing the backlog of casework	Customer Focus	Backlog as at 31/12/2023 to be completed by 31/12/2024	Assistant Director - Pensions
Membership total compared with those signed up to MyPension	Customer Focus	To be set	Service Manager - Customer Services
Total complaints received	Listening to stakeholders	To be set	Service Manager - Benefits Team
Proportion of complaints upheld	Listening to stakeholders	To be set	Service Manager - Benefits Team
Analysis of reasons for complaint	Listening to stakeholders	To be set	Service Manager - Benefits Team
Status and progress of active appeals	Listening to stakeholders	To be set	Assistant Director - Pensions
Status and progress of Ombudsman complaints	Listening to stakeholders	To be set	Assistant Director - Pensions
In and out of time employer submitted data	Effective and Transparent Governance	To be set	Service Manager - Employer Services
Short term sickness absences	Valuing and Engaging Employees	To be set	Assistant Director - Resources

Performance Measure	Linked Objective	Target	Responsible Owner
Long term sickness absences	Valuing and Engaging Employees	To be set	Assistant Director - Resources
Total days lost per Full Time Equivalent (FTE)	Valuing and Engaging Employees	To be set	Assistant Director - Resources
Number of yearly staff appraisals completed compared with the number of employed staff	Valuing and Engaging Employees	To be set	Assistant Director - Resources
Staff Survey Net Promotor Scores (NPS)	Valuing and Engaging Employees	To be set	Assistant Director - Resources
Estimated level of scheme funding with a formal 3-year valuation	Scheme Funding	To be set	Director
Investment performance relative to the Actuarial assumption	Investment Returns	To be set	Assistant Director - Investment Strategy

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Appendix 3: High-level KPIs, deployment status and frequency of collection

Performance Measure	Data Collection Agreed	Dashboard Created	Target Set	Frequency
Casework started and completed by our Customer Services and Benefits Team by Urgent / High / Non-Priority category				Monthly
SLA met vs not met on communication issued with acknowledgement of death of active, deferred, pensioner and dependent member				Monthly
SLA met vs not met communication issued confirming the amount of dependents pension				Monthly
SLA met vs not met communication issued to deferred member with pension and lump sum options (quotation)				Monthly
SLA met vs not met communication issued to active member with pension and lump sum options (quotation)				Monthly
SLA met vs not met communication issued to deferred member with confirmation of pension and lump sum options (actual)				Monthly
SLA met vs not met communication issued to active member with confirmation of pension and lump sum options (actual)				Monthly
SLA met vs not met payment of lump sum (both actives and deferreds)				Monthly
SLA met vs not met communication issued with deferred benefit options				Monthly
SLA met vs not met communication issued to scheme member with completion of transfer in				Monthly
SLA met vs not met communication issued to scheme member with completion of transfer out				Monthly
SLA met vs not met payment of refund				Monthly
SLA met vs not met divorce quotation				Monthly
SLA met vs not met communication issued following actual divorce proceedings i.e application of a Pension Sharing Order				Monthly

Performance Measure	Data Collection Agreed	Dashboard Created	Target Set	Frequency
SLA met vs not met communication issued to new starters				Monthly
SLA met vs not met member estimates requested by scheme member and employer				Quarterly
Total employer training sessions held				Quarterly
Total scheme member presentations (Virtual & In Person)				Quarterly
Total employer Focus Groups				Quarterly
Total event days				Quarterly
Total 1:1 Employer Sessions				Quarterly
Proportion of members linked to Tier 3 employers (a subset of admitted bodies) higher risk				Quarterly
Proportion of members linked to Tier 3 employers with no guarantee highest risk				Quarterly
Investment return - whole fund				Quarterly
Carbon Emissions Analysis				Quarterly

Appendix 4: High-level KPI, linked objective, target, and responsible owner

Performance Measure	Linked Objective	Target	Responsible Owner
Casework started and completed by our Customer Services and Benefits Team by Urgent / High / Non-Priority category	Customer Focus	To be set	Service Managers - Customer Services and Benefits Team
SLA met vs not met on communication issued with acknowledgement of death of active, deferred, pensioner and dependent member	Customer Focus	To be set	Service Manager - Benefits Team
SLA met vs not met communication issued confirming the amount of dependents pension	Customer Focus	To be set	Service Manager - Benefits Team
SLA met vs not met communication issued to deferred member with pension and lump sum options (quotation)	Customer Focus	To be set	Service Manager - Benefits Team
SLA met vs not met communication issued to active member with pension and lump sum options (quotation)	Customer Focus	To be set	Service Manager - Benefits Team
SLA met vs not met communication issued to deferred member with confirmation of pension and lump sum options (actual)	Customer Focus	To be set	Service Manager - Benefits Team
SLA met vs not met communication issued to active member with confirmation of pension and lump sum options (actual)	Customer Focus	To be set	Service Manager - Benefits Team
SLA met vs not met payment of lump sum (both actives and deferreds)	Customer Focus	To be set	Service Manager - Benefits Team
SLA met vs not met communication issued with deferred benefit options	Customer Focus	To be set	Service Manager - Benefits Team
SLA met vs not met communication issued to scheme member with completion of transfer in	Customer Focus	To be set	Service Manager - Benefits Team
SLA met vs not met communication issued to scheme member with completion of transfer out	Customer Focus	To be set	Service Manager - Benefits Team
SLA met vs not met payment of refund	Customer Focus	To be set	Service Manager - Benefits Team
SLA met vs not met divorce quotation	Customer Focus	To be set	Service Manager - Benefits Team

Performance Measure	Linked Objective	Target	Responsible Owner
SLA met vs not met communication issued following actual divorce proceedings i.e. application of a Pension Sharing Order	Customer Focus	To be set	Service Manager - Benefits Team
SLA met vs not met communication issued to new starters	Customer Focus	To be set	Service Manager - Benefits Team
SLA met vs not met member estimates requested by scheme member and employer	Customer Focus	To be set	Service Manager - Benefits Team
Total employer training sessions held	Listening to stakeholders	To be set	Service Manager - Employer Services
Total scheme member presentations (Virtual & In Person)	Listening to stakeholders	To be set	Service Managers - Employer Services and Customer Services
Total employer Focus Groups	Listening to stakeholders	To be set	Service Manager - Employer Services
Total event days	Listening to stakeholders	To be set	Service Manager - Employer Services
Total 1:1 Employer Sessions	Listening to stakeholders	To be set	Service Manager - Employer Services
Proportion of members linked to Tier 3 employers (a subset of admitted bodies) higher risk	Scheme Funding	To be set	Service Manager - Employer Services
Proportion of members linked to Tier 3 employers with no guarantee highest risk	Scheme Funding	To be set	Service Manager - Employer Services
Investment return - whole fund	Investment Return	To be set	Assistant Director - Investment Strategy
Carbon Emissions Analysis	Responsible Investment	To be set	Assistant Director - Investment Strategy

Appendix 5: Operational PIs, deployment status and frequency of collection

To be completed in the next version.

Appendix 6: Operational PIs, linked objective, rationale, and target

To be completed in the next version.

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