

Dashboard Preparation Checklist - August 2024

Area	Action	Due Date
Governance	Sign up for Dashboard on-line news alerts	ASAP & ongoing
Governance	Keep up to date with latest informationa and developments	ASAP & ongoing
Governance	Discuss dashboards implementation with your relevant stakeholders and establish if they are up to date with the latest information and developments	ASAP & ongoing
Governance	Make sure pensions dashboards are a standing agenda item at Pensions Committee and Local Pensions Board meetings	ASAP & ongoing
Governance	Make sure Committee and Board are up to date with the latest guidance and developments both industry wide and within the Fund	ASAP & ongoing
Governance	Decide how main scheme data will be cleansed and made digitally accessible	ASAP & ongoing
Governance	Agree with AVC provider how AVC value data will be cleanse, made digitally accessible and reconciled to main scheme records	ASAP & ongoing
Internal Controls	Incorporate dashboards data requirements into wider data management plan including approach to cleansing, digital accessibility and reconciling AVC data	ASAP
Internal Controls	Regularly review wider data management plan to determine where we are at	Ongoing once incorporated into plan
Internal Controls	Set up internal controls register to implement dashboard	ASAP
Connection	Make sure Fund and relevant stakeholders know the 'connection deadline' and 'connect by' dates	ASAP
Connection	If requirements are met, decide if we wish to defer connection and apply to DWP if this is the case	09/08/2024

Connection	If approval to defer connection is obtained let all relevant stakeholders know the new connection deadline	ASAP after confirmation of deferral obtained
Record Keeping	If connection deadline is changed, keep a record of reasons why it was changed and the parties communicated with when making the decision to defer, and also the date approval was obtained	ASAP after confirmation of deferral obtained
Connection	Discuss changing your 'connect by' date with your ISP	31/12/2024
Connection	Create a new connection plan and inform PDP that we wish to change the 'connect by' date	01/04/2025
Connection	Obtain a new 'connect by' date from PDP and inform all relevant stakeholders	Upon receipt of confirmation from PDP
Record Keeping	keep a record of why the 'connect by' date was changed the parties communicated with when arriving at the decision, and the date the decision was made	01/04/2025
Record Keeping	Keep a record of communication with PDP informing them that we have changed our 'connect by' date and a record of the new 'connect by' date	Upon receipt of confirmation from PDP
Connection	Register with the MaPS governance register	by the date specified in the PDP online connection hub
Budget	Decide on connection budget and obtain approval	ASAP
Record Keeping	Keep a record of how we decided on the connection budget and the parties communicated with in making the decision	ASAP
Budget	Decide on potential business as usual budget and provide advance notice to approving officer of this cost	ASAP
Budget	Decide on business as usual budget and obtain approval	Six months before DAP

Record Keeping	Keep a record of how we decided on business as usual budget and parties communicated with when making the decision	Six months before DAP
Connection	Decide on route to connection - either directly or using an ISP	ASAP
Record Keeping	Keep a record of how we decided on route to connection and parties communicated with in making this decision	ASAP
Connection	Choose ISP and contractually engage them	31/10/2024
Record Keeping	Keep a record of how we chose ISP and the parties communicated with in making this decision	31/10/2024
Internal Controls	Make sure ISP is on track to connect us to dashboards by connection date and in accordance with staging timeline	From appointment and ongoing
Policy	Decide on what personal data will be used to form matching criteria for both main scheme and AVC	31/10/2024
Policy	Keep matching criteria policy under review	ongoing
Record Keeping	Keep a record of matching criteria for at least six years from the end of the scheme year in which the decision was made	31/10/24 and ongoing
Record Keeping	Keep a record of how we decide on matching criteria and the parties we communicated with in making this decision	31/10/24 and ongoing
Governance	produce or update data protection impact assessment to take account of matching criteria policy decision	31/10/2024
Internal Controls	Assess if the personal data that forms matching criteria (main scheme and AVC data) is accurate and digitally accessible	ASAP
Internal Controls	If required, put plans in place to improve the accuracy and digital accessibility of the personal data (both main scheme and AVC data)	ASAP
Internal Controls	If a plan is put in place to improve the accuracy and digital accessibility of the personal data that forms the matching criteria (both main scheme and AVCs) confirm the plan has delivered its improvements	ongoing after plan put in place
Internal Controls	Ensure a process in place to maintain the accuracy and accessibility of the personal data used to form the matching criteria (both main scheme and AVC)	Ongoing
Data	Understand what main scheme view data is needing to be returned for members who access dashboards and in what timescale	ASAP

Policy	Agree with the AVC providers how the AVC view data will be sent to the ecosystem	ASAP
Internal Controls	Multiple Source - Monitor the AVC providers progress to connect to the ecosystem by the 'connect by' date	ASAP and ongoing
Internal Controls	Single source - Confirm we can store the AVC view data in a digitally accessible mode	ASAP
Internal Controls	Single source - Agree the frequency and format by when the AVC view data will be sent by the AVC providers	ASAP
Data	Assess the main scheme view data for accuracy and digital accessibility	ASAP
Data	Assess the AVC view data for reconciliation with main scheme records, accuracy and digital accessibility	ASAP
Internal Controls	If required, put plans into place to improve the reconciliation, accuracy and digital accessibility of the main scheme and AVC view data	After initial review
Internal Controls	If a plan is put in place to improve the reconciliation with main scheme records, accuracy and digital accessibility of the main scheme and/or AVC view data, confirm that the plan has delivered its improvements	ongoing after the plan is put in place and by 31 October 2025
Internal Controls	Make sure a process is in place to maintain the reconciliation with the main scheme records, accuracy and digital accessibility of the main scheme and AVC view data	Ongoing and after 31/10/25
Policy	Decide whether to name the most recent employers (max 10) or confirm if there are multiple employers and inform the ISP - applicable to main scheme benefits and AVCs	01/04/2025
Data	Where a single source approach is used, agree with the AVC providers with whom the member should contact to find out more about their AVC benefits and inform the ISP	01/04/2025

Data	Complete the check list of decisions concerning value data	01/04/2025
Data	Agree the AVC illustration date with the AVC providers and where approach 2 is used, inform the ISP	01/04/2025
Data	Discuss the potential workaround for the illustration date issue with the AVC providers ie use 'two-submission method' or 'all-in-one submission method' by 1 April 2025	01/04/2025
Data	Agree with the AVC providers if we are going to provide AVC projections in certain circumstances and where approach 2 is used inform the ISP	01/04/2025
Record Keeping	Keep a record if how we agreed the AVC illustration data and the parties communicated with when doing so	date of decision
Record Keeping	Keep a record of the discussion with the ISP on how best to display the AVC illustration date on the dashboard	date of decision
Record Keeping	Keep a record of how we agreed whether to provide AVC projections in certain circumstances and the parties communicated with in doing so	date of decision
Record Keeping	Keep a record of how we agreed the AVC payable dates and the parties communicated with in doing so	date of decision
Data	Where main scheme value data is already stored - check UPM to make sure we can send this data to the ecosystem within the statutory timescales	01/04/2025
Data	Where main scheme value data is out of date or we do not have the value data stored in UPM we will need to decide how and on what illustration date we are going to calculate this data and send it to the ecosystem within the statutory timescales	01/04/2025
Data	Consider introducing monthly data collection to achieve the timescales set out	Ongoing
Data	If multiple source approach is adopted and AVC value data is already stored - check with AVC providers to make sure they are able to provide AVC value data to the ecosystem,, using the same illustration date as the main scheme benefits within the statutory timescales	01/04/2025

Data	If single source approach is adopted and AVC value data is already stored - check with the AVC providers to make sure they are able to send AVC value data using the same illustration date as the main scheme benefits, to us well within the timescales set out, so that we can send AVC value data to the ecosystem within the statutory timescales	01/04/2025
Data	If multiple source approach is adopted and AVC value is not already stored or is out of date - agree with the AVC providers how and on what illustration date (this must be consistent with the date we use to calculate main scheme value data) they are going to calculate AVC value data and provide it to the ecosystem within the timescales set out	01/04/2025
Data	If single source approach is adopted and AVC value data is not stored or out of date - agree with the AVC providers how and on what illustration date (must be consistent with the date used for main scheme value data) they are going to calculate AVC value data and provide it to us to send to the ecosystem within the timescales set out	01/04/2025
Record Keeping	Keep a record of how we decided/agreed to calculate main scheme and AVC value data, including where the data is out of date or missing and the parties communicated with when doing so	date of decision
Data	Agree with the AVC providers how we will determine the status of a member - ie new joiner or not	01/04/2025
Record Keeping	Keep a record of how we decided/agreed to determine the status of a member - ie new joiner or not, and the parties communicated with in doing so	date of decision
Governance	We must: understand the operational information requirements; responsibilities; discuss the operation information requirements with the ISP; create separate processes to provide the operational information that lies outside of the ecosystem	From the outset of implementation
Record Keeping	We must keep operational information for at least six years from the end of the scheme year to which it relates	From the DAP
Internal Controls	We must create a plan to record the operational information and regularly review the plan to make sure the operational information is recorded and maintained	From the outset of the implementation

		From the DAP
Internal Controls	We must have processes in place to identify breaches of the law and, if necessary, report them to TPS	
Internal Controls	We must have risk management processes in place, including processes for monitoring the resolution of issues between the scheme and relevant third parties	From the outset of implementation
Record Keeping	We must keep clear audit trails of how we took steps to prepare to comply with our pensions dashboards duties	From the outset of implementation
Record Keeping	We must keep a record of steps taken to resolve any issues which arise, such as communications with third parties	From the outset of implementation
Record Keeping	We must keep a record of compliance as set out in the MaPS reporting standards	From the outset of implementation
Governance	Register our 'key dashboards contact' and our nominated contacts with TPR	ASAP