

SURREY LOCAL PENSION BOARD ACTIONS AND RECOMMENDATIONS TRACKER

The actions and recommendations tracker allows Board Members to monitor responses, actions and outcomes against their recommendations or requests for further actions. The tracker is updated following each Board. Once an action has been completed, it will be shaded green to indicate that it will be removed from the tracker at the next meeting. The next progress check will highlight to members where actions have not been dealt with.

KEY			
	No Progress Reported	Action In Progress	Action Completed

Date of meeting and reference	Item	Recommendations/Actions	To	Response	Progress
27 July 2015 A1/15	Knowledge and Understanding	Board Members to advise the Board's scrutiny officer when training is completed.	Board Members	There are notifications of completed training outstanding, and the Board are asked to advise the Democratic Services Assistant once completed. The training log has been included on the annual report.	Ongoing
23 April 2018 A1/18	Administration Update: 1 January 2018 – 31 March 2018	Officers to provide further information and consider a greater level of comparison for future CIPFA benchmarking report.	Head of Business Operations	Data was presented at the 25 April 2019 meeting.	Ongoing
25 July 2018 A4/18	Cyber Security	The Board to receive a presentation from the IMT Manager on the Council's implementation of cyber security.	Pensions Accountant Advisor	Presentation will be provided by Network and Security team. To be discussed at the 25 April meeting.	Ongoing
23 October 2018 A6/18	Action Tracker	The Board asked the Lead Pensions Manager to provide bar charts to illustrate progress against agreed milestones in the service improvement plan.	Lead Pensions Manager	Tom Lewis to produce a roadmap for delivery which will outline future plans against the service improvement plan.	Ongoing

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				Audit report actions are being worked on as high priority.	
23 October 2018 A11/18	Annual Benefit Statements Exercise 2018	Officers to develop an approach to obtain missing addresses, with a priority for members approaching or past their retirement dates.	Pensions Support and Development Manager	Address tracing is planned for September. Amy Wallace has taken on the role of Project Manager for this and will now lead on this going forward. Initial costings are being calculated.	Ongoing
17 January 2019 A1/19	Actions and Recommendations Tracker	Officers are to organise another workshop to discuss and improve the set of Key Performance Indicators. These would be presented at the next Board meeting.	Pensions Accountant Advisor	The new KPIs will be used for the report tabled at the 18 July 2019 meeting.	Ongoing
17 January 2019 A2/19	Governance Review	Board Members are to engage with the Governance Review.	Board Members	The governance review will be presented to the Board at the 18 July 2019 meeting.	Ongoing
17 January 2019 A4/19	Administration Update Report	A workshop is to be convened for officers and representatives of the Local Pension Board to consider the proposed improvement plan prepared by the former Pensions Manager.	Pensions Lead Manager	Workshop was held on 11 June 2019.	Complete
17 January 2019 A5/19	Administration Performance Report	Officers are to draft a letter to the Chairman to send to Fund employers who had failed last year to provide annual benefit information in time, requesting that they ensure they provide the data requested.	Pensions Service Delivery Manager	The funds have been engaged regarding employers who have failed to submit their end of year return and helped us chase those employers. Current status is we have 6	Ongoing

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				outstanding out of approximately 270 employers.	
17 January 2019 A7/19	Discretions Exercise Report	Officers are to draft a letter for the Chairman to send to employers if needed.	Pension Senior Advisor	A letter has been drafted but is being held in reserve for the reasons set out above.	Complete
18 July 2019 A7/20	Discretions Exercise Report	The Board requested an update at July's meeting.	Pension Senior Advisor	<p>The flow of discretions policies has slowed to a trickle and the Pension Fund Team will try to relaunch the exercise by sending out another mailshot at the end of July. The documents will include minor changes introduced in April 2019.</p> <p>The Pension Fund Team noted the Board's comments about the boroughs and attended the HR user group meeting in order to urge them to complete policies. Surrey County Council is drafting a policy and expects to publish it in September.</p> <p>We have over 50 discretions policies on file and we believe we can improve on this by sending out periodic mailshots that gradually build awareness in the collective consciousness / subconscious.</p>	

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17 January 2019 A8/19	Recent Developments in the LGPS	Officers are to advise the Board if there need to be any changes to process regarding annual benefit statements.	Pension Service Delivery Manager	Not applicable at this stage. Costs are due to be calculated and a further update on this to be provided in August.	Ongoing
17 January 2019 A9/19	Recent Developments in the LGPS	Officers are to report back on the results of the tracking agency service for deferred members.	Pensions Service Delivery Manager	The Pension Section is in the process of appointing a tracing agency in order to send out more ABS to deferred beneficiaries and the backlog project should deliver further improvements in this area.	Ongoing
17 January 2019 A10/19	Forward Plan	Officers are to add TPR code of conduct to the April 2019 meeting.	Pensions Accountant Advisor	Compliance with TPR paper was presented to the Board at the 25 April 2019 meeting.	Complete
17 January 2019 A12/19	Recent Developments in the LGPS	Officers agreed to ask legal services to provide their views on recovering GMP overpayments.	Pensions Senior Advisor	<p>Officers approached in-house lawyers and encouraged them to provide an opinion. Unfortunately, they did not feel that they were qualified to provide one – although they were impressed with Squire Patton Boggs’ paper.</p> <p>Although we could obtain another opinion If the Local Pension Board requires one, SPB are respected LGPS</p>	Complete

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				specialists, their paper has the imprimatur of the LGA and most of the administering authorities in England and Wales are relying on it.	
25 April 2019 A13/19	Administration Update (1 January 2019 – 31 March 2019)	An executive summary from the Pensions Lead Manager on the data improvement plan is to be added to the forward plan for presentation at a meeting later in the year.	Pensions Lead Manager	<p>The points admin service can bring under the umbrella of data improvement:</p> <ul style="list-style-type: none"> - Current data cleansing has been taking place in preparation for valuation. This has seen a large reduction in missing data from employers, which will support the improvement of data quality for setting contribution rates. . - Address tracing will be looked at in September to help improve our number of gone away statuses on Altair. We are aiming to reduce this number by utilising a specialised company who can provide the information needed to make contact with these members. - Common and conditional reports from Heywood will be requested in September/October time. The information in these reports will help identify what areas of data 	Ongoing

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				<p>require improvement, which will in turn will allow for more detailed planning to be undertaken in how we approach this.</p> <p>- I-Connect is still very much on the road map and the introduction of this over time will see an increase in data improvement as the employers will be supplying monthly data, rather than annually. This in itself improves the member data and gives the employer more accountability in keeping better records.</p> <p>Taking this onto account, it will be expected additional resources will be needed to support this work. Managing this for all funds will require Project Management and Support, plus key resources in the business to make the changes when identified.</p>	
25 April 2019 A14/19	Administration Update (1 January 2019 – 31 March 2019)	The Pensions Lead Manager is to compile relevant information on the low level of qualified pensions staff at Surrey County Council.	Pensions Lead Manager	Findings and recommendation is attached in Annex 1 and Annex 2.	Completed

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25 April 2019 A15/19	Administration Update (1 January 2019 – 31 March 2019)	A report on the work of the Pensions Improvement Group is to be included in future Board reports.	Pensions Lead Manager	The Process Improvement Group was held on 11th June, where a recommendation was made to a further workshop to be held later in the year (October / November). Notes on the Improvement Group were written up by Ben Cullimore. These have been circulated to the Board.	Completed
25 April 2019 A16/19	Risk Registers 2018/19 (Quarter Four)	Risk A4 is to be amended prior to it being presented to the Pension Fund Committee.	Pensions Accountant Advisor	Risk has been amended.	Complete
25 April 2019 A17/19	Risk Registers 2018/19 (Quarter Four)	Officers are to inform the Pension Fund Committee about the assumption underlying the amendment of risks from amber to green on a residual basis, and the Board's view that this is treated with caution.	Pensions Accountant Advisor	The Pension Fund Committee was informed at its meeting on 7 June 2019.	Complete
25 April 2019 A18/19	Compliance With the Pensions Regulator's Code of Practice No. 14	Members are to complete the pensions regulator's toolkit.	Board Members	Members continue to complete regulator's toolkit training.	Ongoing
25 April 2019 A19/19	Compliance With the Pensions Regulator's Code of Practice No. 14	Item 27 to be amended where it refers to "an independent chair" to reflect the fact that the Chairman is an elected councillor.	Pensions Accountant Advisor	Updated Compliance with TPR paper will be presented to the Board at the 24 October 2019 meeting.	Ongoing
25 April 2019 A20/19	Compliance With the Pensions Regulator's Code of Practice No. 14	Officers are to ensure the Surrey Pension Fund website is updated.	Pensions Accountant Advisor	Updated Compliance with TPR paper will be presented to the Board at the 24 October 2019 meeting.	Ongoing

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25 April 2019 A21/19	Compliance With the Pensions Regulator's Code of Practice No. 14	Officers are to update the relevant item so that the ongoing communications strategy is noted.	Pensions Accountant Advisor	Updated Compliance with TPR paper will be presented to the Board at the 24 October 2019 meeting.	Ongoing
25 April 2019 A22/19	Compliance With the Pensions Regulator's Code of Practice No. 14	The compliance checklist is to be reviewed on an annual basis and the items labelled as "partially" are to be looked at the Board in six months' time.	Democratic Services	Items added to the forward plan.	Complete