

## Highlight Report – Internal Audit Actions– Project Phase: In Delivery – Annex 2

| Date of Report:  |               | 10/10/2019              |          | Upcoming Milestones                                    |                          |        |
|--|---------------|-------------------------|----------|--|--------------------------|--------|
| Period Covered   |               | 01/09/2019 – 10/10/2019 |          | Item   | Due                      | Status |
| Prepared by:   |               | Chloe Painter           |          | Address tracing exercise to begin                      | 1 <sup>st</sup> November | Green  |
| Sponsor  | Andrew Marson | Customer                | Pensions |  |                          |        |
| Project RAG Status   | Green         |                         |          | Service Improvement Plan approval and funding          | 31 <sup>st</sup> October | Amber  |
| Projected Costs  | N/A           | Actual Cost             | N/A      |  |                          |        |
| Commentary:  |               |                         |          | Decision on rectification approach for Modified Scheme | 4 <sup>th</sup> October  | Green  |
| <p>The first governance board meeting for the internal audit recommendations took place in June, and since then there has been a monthly meeting to update internal audit on the progress being made to progress and implement the actions outlined in the report. The actions are being treated as high priority by the service.</p> <p>The service has created and submitted a Service Improvement Plan and this has gone to senior stakeholders and cabinet for review. The service improvement plan has been designed to support the delivery of a transformation programme within the Pension Service. The programme has been created with the aim of delivering a more modern and digital service, with more efficient systems and processes to support the vision of being ‘The outstanding provider of exceptional LGPS administration’. The Service Improvement Plan includes audit findings and delivers actions in internal audit report.</p> <p>Work also continues with the actions in the audit report. Historic complaints have been reviewed and updated, with a new complaints procedure being implemented by the service. The Service Specification document being presented includes strategy, business plan and SLA and is expected to become effective from 1<sup>st</sup> April 2020, and changes to PAS procedures is also expected to be in place by April 2020.</p> |               |                         |          | SAP payroll extract for backlog work                   | 18 <sup>th</sup> October | Green  |

## Board Actions

### Up-Coming:

**Action:** Investigate and engage with ISAE providers to report on service and highlight key areas

**Action Owner:** Andrew Marson

**Action deadline:** 25.09.2019

### Key Risks and Issues in this period.

| Item                                     | Detail  | Action/Update  |
|--|---|--|
| <b>Service Improvement Plan Approval</b> | As SIP covers the issues raised in the audit report, and all projects within SIP have interdependencies, if SIP is not approved or only some aspects do get approved, this may have an domino effect on the work. | Support from the Surrey Pension Fund, Nick Harrison, Mike Lea and Zully Grant Duff has been confirmed, which is a good sign for this to be approved. |