

Progress Update on Agreed Management Actions

Progress Updates on Actions Agreed from Internal Audit Reviews

Audit Review Title	Report Issued Date	Implication / Agreed Actions	Progress Update	Officer Responsible and Timescale
HR Governance - Policies and Procedures	22/01/2020	Ensure the 3-year policy review programme is completed.	Good progress has been made in this area. There remains just a small number of out-of-date policies that, although legislatively correct, need refreshing to reflect current posts and titles etc. In addition, HR are currently working on new Induction and Wellbeing policies that are big pieces of work.	HR Business Partner & SMT Revised to October 2022
HR Governance - Training Programme	22/01/2020	Implement a corporate approach to the management of training and development.	As reported previously, this is an ongoing piece of work which is now reflected in the HR Strategy approved at the meeting of the Authority in February. Currently, progress is continuing on developing our use of the LinkedIn Learning platform, and the collation of training requirements using SharePoint as an interim measure pending the procurement of a new HR system. Further update to be provided early August 2022.	HR Business Partner & SMT Revised to August 22
HR Governance - Workflow / Reminders	20/12/2021	Review and streamline workflow process, enabling a central system that will prompt appraisers of the annual timelines. To be a key part of the system specification for the new HR system.	All line managers have been briefed on requirement to complete the annual appraisals between April and end of June as a target date - to be cascaded whereby managers have their appraisals first, and then they carry out appraisals for their direct reports. Central completion list has been set up on SharePoint for managers to record when appraisals completed and this is currently being actively monitored by HR and reminders sent out as required.	Head of Finance and Corporate Services June 2022

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Procurement Insurance - Legislative and Regulatory Compliance	29/10/2020	Procurement training will be delivered to key officers of the Authority to increase awareness of and to facilitate compliance with the requirements of the PCRs and Authority CSOs. A filing system and a collaboration platform will be utilised for procurement activity moving forward to allow for the sharing and review of documentation between all relevant stakeholders aligned to the process flows / requirements of Authority CSOs.	Initial Gateway approval document has been drafted which will form the basis of the key officer procurement training. Likely to be commissioned from CIPFA Procurement Network and delivered in September 2022. Therefore, progress has been, and continues to be made but due to the continuing pressure from other projects, it has not been possible to complete the actions fully to the original planned timescale.	Director, and Head of Finance and Corporate Services Revised to September 2022
Information Governance - Records Management / Document Retention Policy	18/08/2020	A more detailed Records Management/Document Retention Policy will therefore be developed and will include a review of the current wording of the Privacy Notice to ensure consistency with the new Policy.	Access to BMBC templates has now been agreed and work to map out the policy and procedure structure will take place over the summer. Alongside this, options are being reviewed to look to implementing new systems to manage corporate performance which may include compliance modules to assist in areas such as Information Governance. The policy review is planned to be completed by September 2022, however the overall review of the detailed records management system is a bigger piece of work and unlikely to be completed before January 2023.	Head of Pensions Administration Revised to January 2023
Information Governance - Action Plan	18/08/2020	Lack of a framework upon which the Authority can monitor and evidence its progress in addressing the areas of non-compliance with GDPR requirements.	As above in relation to system. The process maps require a full review and potential change of format to avoid duplication of information held across the organisation. In view of this and the potential of a new management system, target date revised to January 2023.	Head of Pensions Administration Revised to January 2023
DPO Survey – GDPR Staff Awareness	2020	Staff Awareness in regards to individual roles and responsibilities regarding GDPR requirements.	Staff will be directed to undertake BMBC Bold platform training, to be commenced during July 2022. Target ate revised to September 2022 to allow for all staff to complete, taking into account annual summer leave.	Head of Pensions Admin Revised to September 2022

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Pensions Review Process Child Pensions - SMT Reports	2021	New reporting procedures for the child review process to ensure appropriate reporting to SMT on the results.	Child review process monitoring will be complete by 30 June 2022, with a view to being presented to members at next available Local Pension Board meeting.	Benefits Team Manager Revised to 30 June 2022
Pensions Review Process Child Pensions - Members Registered with Long Term Illness and/or Disabilities	2021	A full review of children's pensions in payment due to disability is underway by the Benefits Team Manager (BTM). Although this will be conducted as a full review, the primary focus will be on whether the bank details held for all child beneficiaries are appropriate, together with the level of approval sought on all disability pensions in payment. This will involve a manual review all child beneficiary member files and addressing any approval requirements with the HoPA, where necessary.	Child review process monitoring will be complete by 30 June 2022, with a view to being presented to members at next available Local Pension Board meeting.	Head of Pensions Administration, Benefits Team Manager Revised to 30 June 2022
Online Retirement Tool - Added Voluntary Contributions	22/01/2021	Ensure that previously identified AVC concerns are resolved to prevent any issues having an impact on the successful delivery of the Online Retirement Tool.	SYPA have instructed Barnett Waddingham LLP to undertake a review of the AVC provisions. This is due to be completed by the end of Quarter 2 2022/23. It is expected the results will be put forward to the Pensions Authority following the conclusion of this review.	Benefits Team Manager Revised to July 2022
Accounts Receivable	11/03/2021	Lack of a formal debt recovery procedure may result in uncertainty of roles, responsibilities, inconsistencies, etc.	<p>The new finance system was implemented from 01/12/2021, slightly later than anticipated, and since this date we have been working on bringing the system up to date and the backlog of work caused by the system implementation.</p> <p>Part of the implementation involves familiarisation with the enhanced debt recovery functionality the system provides, including automation of reminders and more detailed analysis of the outstanding debts to improve reporting. We are currently producing the initial debt recovery procedure in relation to the first stages of recovery, and will shortly be moving on to formalising the remainder of the debt recovery process.</p>	Financial Services Manager Revised to September 2022

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Investment Income - Operational Procedures	15/03/2022	New operational procedure manuals to be produced for Investment Income following change of system from ICON to Shareholder.	The team working on transactions on Shareholder have all been fully trained and briefed and were involved in developing the procedures being used, along with keeping notes. These officers will document new procedure manuals for Shareholder for future use. These will be reviewed and signed off by the Finance Team Leader and Financial Services Manager by September 2022; and regularly reviewed thereafter.	Financial Services Manager September 2022
Main Accounting - Operational Procedures	23/03/2022	New operational procedure manuals to be produced for Main Accounting following change of system from Integra to Advanced Financials.	The team working on the Advanced Financials system have all been fully trained and briefed and were involved in developing the procedures being used, along with keeping notes. These officers will now document the new procedure manuals for General Ledger, Bank Reconciliations, and Systems Access. These will be reviewed and signed off by the Finance Team Leader and Financial Services Manager by 31st December 2022; and regularly reviewed thereafter.	Financial Services Manager September 2022
Accounts Payable - Operational Procedures	24/03/2022	New operational procedure manuals to be produced for Accounts Payable following change of system.	The team working on Accounts Payable on Advanced Financials have all been fully trained and briefed and were involved in developing the procedures being used, along with keeping notes. These officers will now complete the documentation of new procedure manuals for all the relevant accounts payable processes. These will be reviewed and signed off by the Finance Team Leader and Financial Services Manager by 30th September 2022; and regularly reviewed thereafter.	Financial Services Manager September 2022
Financial Management System Post Implementation Review - Operational Procedures	03/05/2022	New operational procedure manuals to be produced for Accounts Receivable following change of system.	The team working on Accounts Receivable on Advanced Financials have all been fully trained and briefed and were involved in developing the procedures being used, along with keeping notes. These officers will now complete the documentation of new procedure manuals for all the relevant Accounts Receivable processes. These will be reviewed and signed off by the Finance Team Leader and Financial Services Manager by 31st December 2022; and regularly reviewed thereafter.	Financial Services Manager December 2022

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Pensions Administration System - Action Logs		Failure to maintain an accurate and up to date Action Log, including the detailed actions required, by whom and when may result in a lack of clarity with regards to the actions required and a lack of a framework upon which these can be managed / monitored.	<p>Monthly Account meetings and regular Technical Groups have been operating for some time and are minuted. Initiated by SYPA and Cheshire Pension Fund, a new Strategic LGPS Meeting consisting of all LGPS Pension Manager clients and senior Civica representatives is being set up and Terms of Reference have been provisionally agreed. The first meeting is scheduled for 26th May 2022 (with a pre-meet solely for LGPS Managers at the end of April) – This action has been completed.</p> <p>The meetings will have a focus on current service performance (and resolution) as well as product and service development and will be held twice-yearly and chaired and minuted by Civica. Actions arising will be published for the benefit of all LGPS Pension Manager clients. This will be reviewed at the end of December 2022.</p>	<p>Head of Pensions Administration / Pensions Systems Manager</p> <p>December 2022</p>