

## **WILTSHIRE COUNCIL**

WILTSHIRE LOCAL PENSION BOARD  
14 November 2019

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### **INTERNAL & EXTERNAL AUDIT UPDATES**

#### **Purpose of the Report**

1. The purpose of this report is to present an progress update against the Final Internal Audit Report for the Wiltshire Pension Fund prepared by the South West Audit Partnership (SWAP) and issued on 30 April 2019.

#### **Background**

2. An internal auditor undertook a report on key controls and GDPR during March and April. The Final report, including agreed management actions, was presented to the Local Pension Board on 23 May 2019.

3. The Final Audit Report on key controls and GDPR provided an opinion of 'reasonable assurance', stating

*"Generally, risks are well managed by some systems require the introduction or improvements of internal controls to ensure the achievement of objectives".*

4. However, the report made two priority 2 recommendations and five priority 3 recommendations, as detailed in the report.

5. The report also states:

*"Although there are a number of recommendations, a reasonable assurance opinion has been offered in relation to this audit as the Management Team of the Pensions Fund had a high awareness of the current issues and have a number of projects underway or planned to improve the controls. This includes the implementation of i-connect, member self-service, Docmail, as well as undertaking an end-to-end review of the process to identify inefficiencies."*

#### **Considerations for the Board**

6. Officers' self-assessment of the Fund's progress against the recommendations made as at the end of October 2019 can be found in the appendix to this paper.

#### **Environmental Impact of the Proposal**

7. There is no known environmental impact of this proposal.

#### **Safeguarding Considerations/Public Health Implications/Equalities Impact**

8. There are no known implications at this time.

#### **Financial Considerations & Risk Assessment**

9. There are no financial considerations resulting from this proposal although the paper reviews risk as part of the audit.

## **Proposals**

10. The Board is asked to note the progress made and make any recommendations it considers appropriate.

ANDY CUNNINGHAM  
Head of Pensions Administration and Relations

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Unpublished documents relied upon in the production of this report: NONE

## **Appendices:**

Appendix A – Summary of progress against the recommendations.