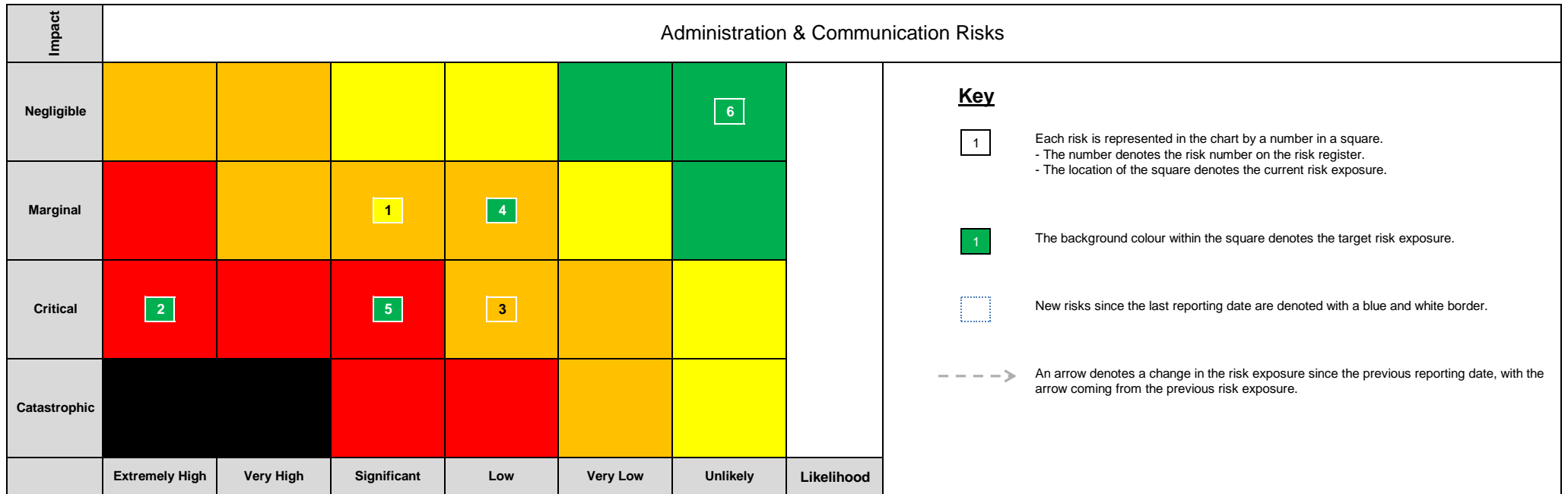


## Administration and Communication Risks Heat Map and Summary

## Appendix 2



08 February 2017

**Clwyd Pension Fund - Control Risk Register**  
Administration & Communication Risks

**Objectives extracted from Draft Administration Strategy (02/2016) and Draft Communications Strategy (02/16):**  
A1 Provide a high quality, professional, proactive, timely and customer focussed administration service to the Fund's stakeholders  
A2 Administer the Fund in a cost effective and efficient manner utilising technology appropriately to obtain value for money  
A3 Ensure the Fund's employers are aware of and understand their roles and responsibilities under the LGPS regulations and in the delivery of the administration functions of the Fund  
A4 Ensure the correct benefits are paid to, and the correct income collected from, the correct people at the correct time  
A5 Maintain accurate records and ensure data is protected and has authorised use only  
C1 Promote the Scheme as a valuable benefit and provide sufficient information so members can make informed decisions about their benefits  
C2 Communicate in a clear, concise manner  
C3 Ensure we use the most appropriate means of communication, taking into account the different needs of different stakeholders  
C4 Look for efficiencies in delivering communications through greater use of technology and partnership working  
C5 Regularly evaluate the effectiveness of communications and shape future communications appropriately

Risk no.	Risk Overview (this will happen)	Risk Description (if this happens)	Strategic objectives at risk (see key)	Current impact (see key)	Current likelihood (see key)	Current Risk Status	Internal controls in place	Target Impact (see key)	Target Likelihood (see key)	Target Risk Status	Meets target?	Further Action?	Risk Manager	Next review date	Last Updated	Previous Impact	Previous Likelihood	Previous Risk Status	Risk removed (date)
1	Unable to meet legal and performance expectations (including inaccuracies and delays) due to staff issues	There are poorly trained staff and/or we can't recruit/retain sufficient quality of staff, including potentially due to pay grades	All	Marginal	Significant	High	1 - Training Policy, Plan and monitoring in place 2 - BP 2016/17 improvements assist with staff engagement 3 - Benefit consultants available to assist if required 4 - Ongoing task/SLA reporting to management/AP/PC/LPB to quickly identify issues 5 - Recent restructuring of team 6 - Data protection training, policies and processes in place 7 - System security and independent review/sign off requirements	Negligible	Low	High	☹️ Current impact 1 too high Current likelihood 1 too high	1 - Consider risk from senior staff/similar age	Pensions Administration Manager	30/09/2016	14/04/2016	Marginal	Significant	High	
2	Unable to meet legal and performance expectations (including inaccuracies and delays) due to employer issues	Employers: -don't understand or meet their responsibilities -don't have access to efficient data transmission -don't allocate sufficient resources to pension matters	A1 / A4 / A5 / C2 / C3 / C4 / C5	Critical	Extremely High	High	1 - Administration strategy recently agreed 2 - Employer steering group established 3 - Greater engagement through Pension Board 4 - Backlog project in place 5 - Part of 2016/7 internal audit plans for all Councils	Negligible	Very Low	High	☹️ Current impact 2 too high Current likelihood 4 too high	1 - Roll out admin strategy including I-connect	Pensions Administration Manager	30/04/2016	14/04/2016	Critical	Extremely High	High	
3	Unable to meet legal and performance expectations due to external factors	Big changes in employer numbers or scheme members or unexpected work increases (e.g. severance schemes or regulation changes)	A1 / A4 / A5 / C2 / C3 / C4 / C5	Critical	Low	High	1 - Ongoing task and SLA reporting to management/AP/PC/LPB to quickly identify issues 2 - Benefit consultants available to assist if required	Marginal	Low	High	☹️ Current impact 1 too high		Pensions Administration Manager	30/06/2016	14/04/2016	Critical	Low	High	
4	Scheme members do not understand or appreciate their benefits	Communications are inaccurate, poorly drafted or insufficient	C1 / C2 / C3	Marginal	Low	High	1 - Communications Strategy in place 2 - Annual communications survey for employees and employers 3 - Specialist communication officer employed	Negligible	Very Low	High	☹️ Current impact 1 too high Current likelihood 1 too high	1 - Continue with website development 2 - Roll out member self service	Pensions Administration Manager	30/09/2016	14/04/2016	Marginal	Low	High	
5	High administration costs and/or errors	Systems are not kept up to date or not utilised appropriately, or other processes inefficient	A2 / A4 / C4	Critical	Significant	High	1 - Business plan has number of improvements (task management, doc prod etc) 2 - Recent efficiency review 3 - Pension Admin Manager on management group for admin software	Negligible	Very Low	High	☹️ Current impact 2 too high Current likelihood 2 too high	1 - Various improvements in 2016/17 business plan (e.g. doc prod)	Pensions Administration Manager	30/06/2016	14/04/2016	Critical	Significant	High	
6	Service provision is interrupted	System failure or unavailability	A1 / A4 / C2	Negligible	Unlikely	High	1 - Disaster recover plan in place and regularly checked	Negligible	Unlikely	High	☺️		Pensions Administration Manager	31/03/2017	14/04/2016	Negligible	Unlikely	High	