



Group Assurance (GA) Dashboard as at 30/04/24

30/04/2024		Functional activity progress			Group Assurance opinion ¹			Status of Overdue Management Actions			
Business Area	Activity	Current	Previous	Movement	Current	Previous	Movement		Current	Previous	Movement
Retail	Function self assessment	18	16	↔				Thematic	9	9	↔
	GA assessment sample checks	0	0					CIJ/PM Policy	57	57	↔
	GA assessment	16	9	↔				QAF	10	9	↑
LCAS A&CI incl Speak Up	Function self assessment	16	0	↔				Speak Up	1	1	↔
	GA assessment sample checks	0	0								
	GA assessment	15	0	↔							
Assurance Reviews	Non-Detriment review										
	Overturned Convictions Review										
	Past roles assurance										
¹ GA's previous opinion is from the Q4 report											
Legend		Unsatisfactory		Improvement needed		Satisfactory		WIP - GA Opinion TBC			

Continuous Assurance - Group Assurance Opinion

Executive Summary

As the SEG is aware Continuous Assurance commenced in January 2024 and is continuing to embed across the various functions.

As evident from the table above the outcomes of assurance range from Green to Red, which reflects the divergence in the complexity of the functions involved and pace at which functional self-assessment is becoming BAU.

The key messages as at 30th April 2024 are:

Retail

- Functional self-assessments need to be significantly improved along with the quality of artefacts forwarded to GA for our objective assessment.
- The level of open management actions remains significantly high. Since the CIJ review only 16% (13 out of 83) have been closed to date.
- 36 overdue management actions relate to Postmaster Policies, majority of which have a reforecast date for closure of June 2024.

Risk – the status of Functional Assessment and level of open management actions have a direct correlation to Retail's ability to demonstrate their conformance with the issue judgement and impacts on actions delivered on Postmasters.

GA opinion - engagement and communication between GA and Retail is continually improving and we can see Retail moving in the right direction, i.e., changing their approach to self-assessment and proactively challenging artefacts before sending to GA. That said these improvements will take time to embed and trickle through to the dashboard.

A&CI

Engagement with A&CI is exceptional with self-assessment fully imbedded and quality of artefacts to demonstrate their control environment is robust.

Other

We have engaged with Culture and Remediation Unit from April 24 to commence their self-assessment and should be reporting against these in Q2.

Please refer to **Appendix 1** which shows the breakdown of Open Management Actions.

**APPENDIX 1****Status of Open Management actions as at 30th April 2024**

Report by Function	Open	Open - due within 30 days	Overdue < 3 months	Overdue > 3 months	Closed	Grand Total
Culture (CIJ 9)					1	1
Common issues judgement	3	1	8	22	4	38
Postmaster Policy Review			36		9	45
QAF	4		6	4	77	91
Grand Total	7	1	50	26	91	175

Current open actions (CIJ & PM Policy Review)	30/04/2024
Operational Excellence/0-6mths programme	14
Awaiting one piece of evidence	10
Re-forecasted date	10
Awaiting re-forecast date	24
GA reviewing evidence	4
Awaiting QA	8
Total Open Actions	70