

Isle of Wight Pension Fund

Governance Policy and Compliance Statement

Governance Policy Statement

Updated: 07/10/16

Introduction

This Policy and Compliance Statement outlines the governance arrangements for the Isle of Wight Pension Fund, as required by Regulation 55 of the Local Government Pension Scheme Regulations 2013 ("The Regulations").

Under that provision all LGPS Funds in England and Wales are required to produce a Governance Compliance Statement, keep it under review, revise it following any material change in its delegation arrangements and publish it, following such consultation as it considers appropriate. The statement is required to set out:

- whether the administering authority delegates their function or part of their function in relation to maintaining a pension fund to a committee, a sub-committee or an officer of the authority;
- if they do so
 - the terms, structure and operational procedures of the delegation;
 - the frequency of any committee or sub-committee meetings;
 - whether such a committee or sub-committee includes representatives of employing authorities (including authorities which are not Scheme employers) or members, and if so, whether those representatives have voting rights.
- the extent to which a delegation, or the absence of a delegation, complies with guidance given by the Secretary of State and, to the extent that it does not so comply, the reasons for not complying.
- details of the terms, structure and operational procedures relating to the local pension board established under the Regulations.

Each administering authority is required to:

- keep the statement under review;
- make such revisions as are appropriate following a material change in respect of any of the matters mentioned, above; and
- if revisions are made, publish the statement as revised.

In reviewing and making revisions to the statement, the authority must consult such persons as it considers appropriate.

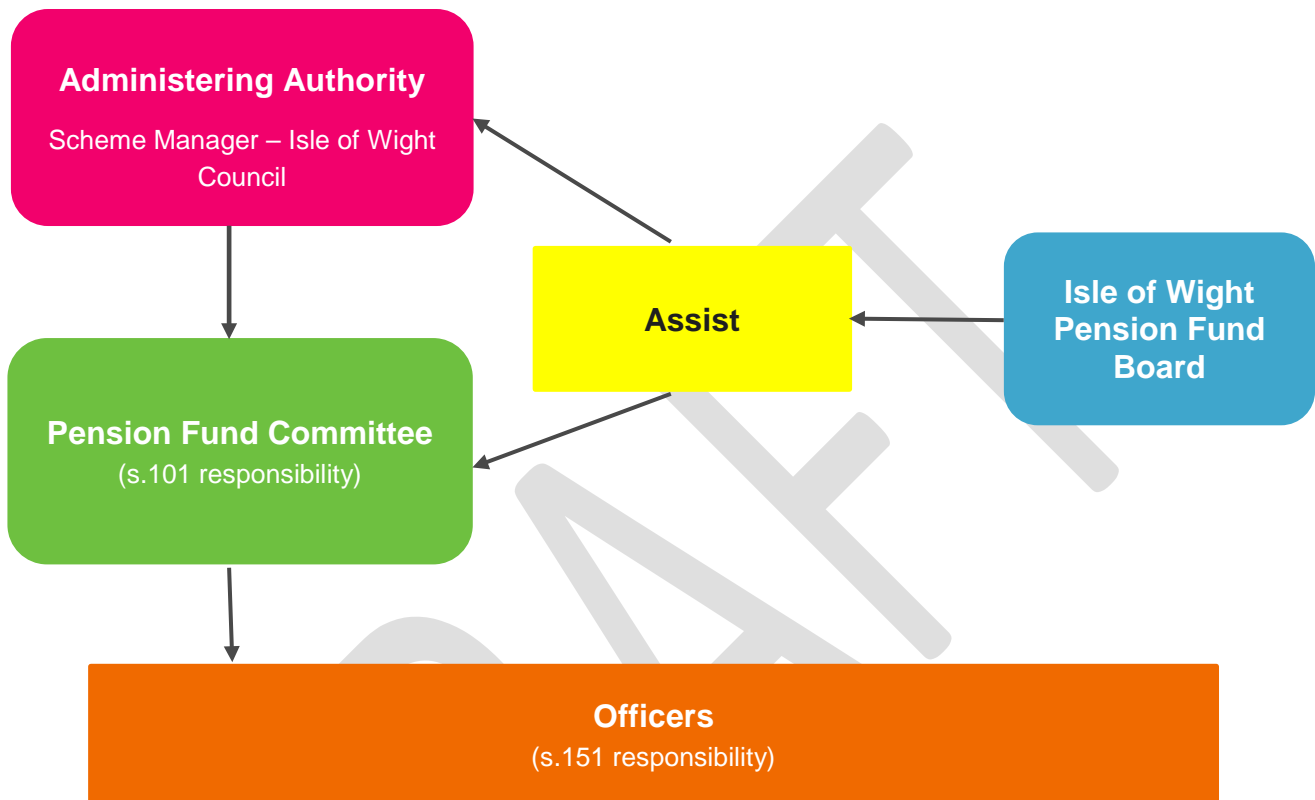
About the Isle of Wight Pension Fund

Under the Local Government Pension Scheme Regulations 2013, Isle of Wight Council is required to maintain a pension fund (the Fund) for its employees and those of other Scheme Employers within its area.

As at 31st March 2016, Isle of Wight Council administers the Fund for its own employees and those of 15 scheduled bodies and 14 admitted bodies.

Governance Structure

The Isle of Wight Pension Fund governance structure is illustrated below. This structure relates to the administering authority responsibilities only. The Isle of Wight Council is also an employer within the Isle of Wight Pension Fund. A separate governance structure and Scheme of Delegation is in place in relation to the Isle of Wight Council's employer responsibilities:



Role of the Pension Committee

Under the terms of its constitution Isle of Wight Council (“the Council”), as the administering authority to the Fund, has delegated its functions with regard to the fund to its Pension Fund Committee (“the Committee”). This is in line with guidance from the Chartered Institute of Public Finance & Accountancy (CIPFA).

The Committee oversees the proper administration and management of the Fund. It is responsible for:

- appointing external fund managers and advisers
- making suitable custody arrangements for the fund's investments
- considering and approving actuarial valuations every three years and determining the level of employers' contributions
- considering changes in Local Government Pension Scheme (“LGPS”) regulations and determining actions required
- considering and approving strategic advice on investment policy
- considering and approving the external managers' asset allocation and investment strategies
- monitoring the investment performance of the managers against the scheme specific benchmarks

- the periodic review of this statement, the Investment Strategy Statement, the Funding Strategy Statement, the Communications Policy and any other Policies relating to the Management of the Fund

The Committee normally meets four times each year, in February, May, July and November. Each meeting considers the strategy and performance of the Fund, together with any business matters that require attention. These include, at least once per annum, consideration of fund management and investment advice arrangements, and the investment strategy of the fund.

The July meeting also forms the annual meeting to which all employers and employee representatives are invited to discuss fund performance and developments in the statutory framework.

As well as these formal meetings, ad hoc sessions are arranged as required, principally in order to explore available investment strategy options in some depth.

The committee is constituted to reflect the views of the council as administering authority and the largest member employer with 87% of the contributing membership.

The committee consists of

- seven councillors with voting rights plus the Leader of the Council in an ex-officio capacity
- two representatives of the admission bodies/scheduled bodies in an observer capacity
- one representative of the trade unions in an observer capacity

Role of Officers

Officers of the Council have certain statutory and formal responsibilities. Executive powers are delegated to the Officers where appropriate under the Council's Scheme of Delegations, which sets the parameters within which the Officers can implement Committee decisions and operate the day-to-day business of the Isle of Wight Pension Fund.

Role of Local Pension Board

Following changes made to the LGPS Governance Regulations by the Public Service Pensions Act 2013, a Local Pension Board was established. This is a new layer of governance containing member and employer representatives. It is designed to assist with securing compliance with the LGPS regulations. The Local Pension Board is not a decision making body but works alongside the Fund's Pension Fund Committee and Officers.

- Securing compliance with the scheme regulations and other legislation relating to the governance and administration of the scheme and any statutory pension scheme that is connected with it;
- Securing compliance with requirements imposed in relation to the scheme and any connected scheme by the Pensions Regulator; and
- Such other matters as the scheme regulations may specify.

Review

This policy statement will be reviewed annually, and revised and re-published following any material change in the above arrangements.

Principle	Detail of best practice principle	Compliance (Full/Partial/Non)	Statement of Compliance
Structure	a) The management of the administration of benefits and strategic management of fund assets clearly rests with the main committee established by the appointing council.	Fully compliant	a) The Isle of Wight Pension Fund Committee forms part of the council's constitution, which includes the terms of reference for the committee. The Pension Board for the Local Government Pension Scheme was constituted by the council in January 2015. The terms of reference for that board were approved by full council and form part of the constitution. The precise status of the Board and its relationship to the Administering Authority is still subject to national clarification. Although the board is constituted under the Public Services Pensions Act 2013, at present it is operated, administered and supported as though it were a committee of the Council set up under Local Government Act 1972 powers, in the absence of explicit guidance to the contrary, to ensure best practice standards are applied, but this may change.
	That representatives of participating LGPS employers, admitted bodies and scheme members (including pensioner and deferred members) are members of either the main or secondary committee established to underpin the work of the main committee.	Fully compliant	b) The terms of reference for the committee specify that the membership should include employer and member representatives. There is one non-voting representative from each of the two categories on the committee, nominated by employers and UNISON respectively. There are no representatives of pensioners or deferred members as such. The terms of reference for the board (in compliance with the Public Services Pensions Act 2013 and subsequent regulations) specify that employers and scheme members should be equally represented on the board.
	c) That where a secondary committee or panel has been established, the structure ensures effective communication across both levels	Fully compliant	c) There is no secondary committee
	d) That where a secondary committee or panel has been established, at least one seat on the main committee is allocated for a member from	Fully compliant	d) Not applicable.

Principle	Detail of best practice principle	Compliance (Full/Partial/Non)	Statement of Compliance
	the secondary committee or panel.		
B. Committee Membership and Representation	<p>a) That all key stakeholders are afforded the opportunity to be represented, within the main or secondary committee structure. These include:-</p> <p>i) employing authorities (including non-scheme employers, e.g. admitted bodies);</p> <p>ii) scheme members (including deferred and pensioner scheme members);</p> <p>iii) where appropriate, independent professional observers, and</p> <p>iv) expert advisors (on an ad-hoc basis)</p>	Fully compliant	<p>a) The committee membership (as stated in the council's constitution) includes 7 elected members (the council being the largest employer), 1 employee representative (UNISON) and 1 employer representative (nominated by the other participating employers).</p> <p>Only elected members are permitted to vote, on the grounds that the Administering Authority is responsible for and underwrites the fund at local level.</p> <p>Area for improvement: <i>Terms of reference to be updated to consider the situation should participating employers be unable to agree on a nominated representative.</i></p> <p>The committee is advised by fund managers, actuaries and independent investment advisers.</p> <p>The board membership comprises two employer representatives (one being an elected member of the council, the other nominated by the other participating employers) and two scheme member representatives (one active and one retired, both nominated by UNISON).</p> <p>The board has access to expert advisers should their input be required.</p>
	b) That where lay members sit on a main or secondary committee, they are treated equally in terms of access to papers and meetings, training and are given full opportunity to contribute to the decision making process, with or without voting rights	Fully compliant	<p>b) All members of both committee and board are given equal access to meetings and papers for both committee and board, which are published on the council's website.</p> <p>Members of the board are invited to attend committee meetings as observers.</p> <p>All members of both committee and board are invited to attend all training sessions, and any ad-hoc meetings convened for specific purposes (for example briefings about pooling of investments).</p>
C. Selection and role of lay members	a) That committee or panel members are made fully aware	Fully compliant	a) The role of the committee is fully explained in the council's constitution. Training has been provided to all members on the background to the LGPS, the

Principle	Detail of best practice principle	Compliance (Full/Partial/Non)	Statement of Compliance
	of the status, role and function they are required to perform on either a main or secondary committee		<p>role of the committee, the governance structure and future changes.</p> <p>The role of the board is fully explained in the terms of reference. An initial training session was provided to members by Hymans Robertson, outlining the responsibilities of board members in providing assurance to the council over the governance and administration standards of the pension fund.</p> <p>The precise status of the Board is still under discussion at national level. In the meantime, the Board has put in place a draft programme covering work on investment and membership issues, and a collective training programme.</p>
	b) That at the start of any meeting, committee members are invited to declare any financial or pecuniary interest related to specific matters on the agenda	Fully compliant	b) There is a standing agenda item at the start of each committee and board meeting to record declarations of interest.
D. Voting	a) The policy of individual administering authorities on voting rights is clear and transparent, including the justification for not extending voting rights to each body or group represented on main LGPS committees.	Fully compliant	<p>a) Voting rights for each type of membership are set out in the council's constitution.</p> <p>For the pension board, all members have equal voting rights.</p> <p>For the committee, non-elected members do not have a vote because they do not represent organisations responsible for underwriting the fund at local level.</p> <p>Area for improvement: <i>The justification for excluding non-elected members (i.e. staff and employer representatives) from voting rights (as set out above) is not explicitly stated in the committee's terms of reference</i></p>
E. Training/Facility time/Expenses	a) That in relation to the way in which statutory and related decisions are taken by the administering authority, there is a clear policy on training, facility time and reimbursement of expenses in respect of members involved in the decision-making	Partially compliant	<p>a) These items are set out in the council's constitution</p> <p>Area for improvement: <i>policies on reimbursement of expenses need to be made more explicit in the terms of reference for both committee and board. In the case of the Board, this may change subject to clarification at national level of its precise status.</i></p>

Principle	Detail of best practice principle	Compliance (Full/Partial/ Non)	Statement of Compliance
	process.		
	b) That where such a policy exists, it applies equally to all members of committees, sub-committees, advisory panels or any other form of secondary forum.	Fully compliant	b) All items contained in the constitution are applicable to all members of the committee.
	c) That the administering authority considers the adoption of annual training plans for committee members and maintains a log of all such training undertaken.	Partially compliant	c) The committee training needs analysis has not been formally updated since July 2013, although the training plan is regularly reviewed and updated throughout the year. The membership of the committee has been relatively stable since July 2013, so the underlying level of understanding of members is unchanged. Briefing sessions are delivered before each committee meeting to inform discussions for items on the main agenda. Members' attendance at committee training sessions and external training is reported in the fund's Knowledge and Skills Compliance Statement, as part of the annual report. No formal training needs analysis has been undertaken for the LGPS Pension Board. The current draft training programme assumes all its members have started with a need for training in all aspects of its responsibilities.
F. Meetings (frequency/ quorum)	a) That an administering authority's main committee or committees meet at least quarterly.	Fully compliant	a) The committee meets four times a year. The terms of reference for the board specify that it will meet on a sufficiently regular basis to fulfil its statutory obligations. In practice, the board meets four times a year, within four weeks of the committee.
	b) That an administering authority's secondary committee or panel meet at least twice a year and is synchronised with the dates when the main committee sits.	Fully compliant	b) Not applicable
	c) That an administering authority who does not include	Fully compliant	c) All employers are invited to the annual general meeting of the committee in July. Employers are also invited to meetings to consider the triennial valuation

Principle	Detail of best practice principle	Compliance (Full/Partial/Non)	Statement of Compliance
	lay members in their formal governance arrangements, must provide a forum outside of those arrangements by which the interests of key stakeholders can be represented.		results
G. Access	a) That, subject to any rules in the council's constitution, all members of main and secondary committees or panels have equal access to committee papers, documents and advice that falls to be considered at meetings of the main committee.	Fully compliant	a) All agendas, papers and minutes are available to members and the public via the council's website. All papers are published in advance of the meetings, in accordance with the council's democratic service standards.
H. Scope	a) That administering authorities have taken steps to bring wider scheme issues within the scope of their governance arrangements.	Fully compliant	a) The committee now receives regular reports on membership (including employers), administration standards, and funding levels as well as continuing to receive reports and presentations from fund managers. Reporting will continue to develop as regulations and guidance on the new governance arrangements are produced. In November 2015, the remit of the committee was expanded to include oversight of the Firefighters Pension Schemes – this area has yet to be fully developed. The pension board receives reports on decisions made by the committee, to ensure that they have been made in line with internal policies and procedures and best practice, and are consistent with legislation and regulation. The board's work plan includes a review of the current governance arrangements of the fund, including policies and procedures, to ensure that they are sufficient and fit for purpose. This area will continue to be developed over the next year.

Principle	Detail of best practice principle	Compliance (Full/Partial/Non)	Statement of Compliance
I. Publicity	a) That administering authorities have published details of their governance arrangements in such a way that stakeholders with an interest in the way in which the scheme is governed, can express an interest in wanting to be part of those arrangements.	Partially compliant	<p>a) All statutory statements and policies form part of the fund's annual report, which is published on the council's website.</p> <p>All strategies and policies are now available on the Pensions section of the council's website.</p> <p>There is no cross-reference between the council's pensions' webpage and the committee webpage. This inhibits information about the governance of the fund being readily available to scheme members.</p>

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Establishment of the local pension board

Principle	Detail of best practice principle	Compliance (Full/Partial/ Non)	Statement of Compliance
Local pension board to be established by 1 April 2015	Local Pension Board terms of reference agreed and approved by the Council		<i>Enter here the committee and date the terms of reference were agreed and link or reference to where this can be found</i>
All pension board members to have a personalised training plan in place that is regularly monitored and updated	The administering authority should have a person designated to take responsibility for ensuring training plans are followed and regularly review the members training requirements and keep appropriate records of their learning activities and the board as a whole		<i>Enter here whether individual training plans have been completed and where it can be found</i>
Expenses of the local pension board to be part of the expenses of administration of the pension fund	Provision has been made in the accounting procedures to identify the costs incurred in the establishment and operational costs of the local pension board		<i>Enter here how the costs are being identified</i>
Local Pension Board to have equal number of scheme member	The terms of reference will provide for an equal number of scheme member representatives and employer		<i>Enter here the number of scheme member and employer representatives</i>

Principle	Detail of best practice principle	Compliance (Full/Partial/ Non)	Statement of Compliance
representatives and employer representatives which is no fewer than 4 in total.	representatives which is no less than 4 in total		
Determine the manner and terms by which members of the local pension board are appointed.	The manner and terms by which members of the local pension board are clearly set out.		<i>Enter here where the manner and terms by which members of the local pension board are clearly set out.</i>
The administering authority to be satisfied that persons appointed to the local pension board do not have a conflict of interest.	The administering authority will have a conflict of interest policy and procedure in order to identify and manage actual and potential conflicts of interest		<p><i>Enter here whether a conflicts of interest policy has been adopted, where it can be found and the review procedure.</i></p> <p><i>Is it to be a regular feature on the local pension board agenda?</i></p> <p><i>Is there a register of interests? Who is responsible for maintaining it?</i></p> <p><i>Are local pension board members aware of what could be considered a conflict of interest? (i.e. included in induction training)</i></p>
The administering authority to have regard to guidance issued by the Secretary of State	The administering authority will have knowledge and access of the LGPS Advisory Board website (http://www.lgpsboard.org) and regularly check for updates and alerts.		<i>Enter here the post title of the officer(s) responsible for regularly checking the LGPS Advisory Board website and any other methods by which the Fund is kept informed of any guidance issued.</i>

The Pensions Regulator's Code of Practice

Requirement	Full Compliance	Compliance (Full/Partial/Non)	Statement of Compliance
Knowledge and Understanding			
<p>A member of the local pension board must be conversant with the scheme rules and any document recording policy about the administration of the scheme adopted by the administering authority</p>	<p>A training strategy has been adopted and a training plan drafted in which there is provision for informing local pension board members of the LGPS rules, regulations and the Fund's documents and recording policy.</p>		<p><i>Enter here whether a training strategy and plan have been adopted, where it can be found and the review process.</i></p>
<p>A process should be in place to ensure a member of the local pension board has the knowledge and understanding required of the law relating to pensions and other matters which are prescribed in the</p>	<p>A training strategy has been adopted and a training plan drafted in which there is provision for informing local pension board members of the law relating to pensions and matters prescribed in regulations.</p>		<p><i>Enter here whether a training strategy and plan have been adopted, where it can be found and the review process.</i></p>

Requirement	Full Compliance	Compliance (Full/Partial/Non)	Statement of Compliance
Regulations which is sufficient to enable them to perform their duties			
The administering authority should establish and maintain policies and arrangements for acquiring and retaining knowledge and understanding	A training strategy has been adopted and a training plan drafted to establish the arrangements for local pension board members to acquire and retain knowledge and understanding.		<i>Enter here whether a training strategy and plan have been adopted, where it can be found and the review process.</i>
The administering authority should designate a person to take responsibility for ensuring that a training framework is developed and implemented.	A training strategy has been adopted that contains details of the person designated to take responsibility for ensuring that a framework is developed and implemented		<i>Enter here whether a training strategy and plan have been adopted, where it can be found and the review process.</i> <i>Also state the post title or name of the person designated to take responsibility for ensuring that a framework is developed and implemented</i>
The members of the pension board should be familiar with the AVC options offered by the Fund, including the choice of	Information of the AVC options are provided to the local pension board members		<i>Enter here how information of the AVC options are provided to the local pension board members (e.g. induction training, contained in the training plan, provided with an information pack)</i>

Requirement	Full Compliance	Compliance (Full/Partial/Non)	Statement of Compliance
investments offered to members and the relative performance of those			
The administering authority to prepare and keep an updated list of the documents with which they consider pension board members need to be conversant, including the scheme rules and relevant Fund specific documentation.	An updated list of documents is maintained		<i>Enter here whether a list is in existence, where it is available and the post title(s) of the person(s) responsible for maintaining it and notifying local pension board members of updates.</i>
The roles and responsibilities of pension board members to be clearly documented	The terms of reference of the pension board should clearly set out the role, responsibility and duties of the pension board members		<i>Enter here whether a policy has been adopted, where it is available and the post title(s) of the person(s) responsible for maintaining it</i>
Local pension board members to	Local pension board members should have personalised		<i>Enter here how this awareness is communicated (e.g. at induction training, contained within the training strategy, personal training plans, regular</i>

Requirement	Full Compliance	Compliance (Full/Partial/Non)	Statement of Compliance
be aware of their personal responsibilities in terms of knowledge and understanding	training plans in place, making them aware of their personal responsibilities in terms of knowledge and understanding		<i>agenda item, monitoring by person designated to take responsibility for ensuring that a framework is developed and implemented)</i>
The administering authority to assist individual local pension board members to determine the degree of knowledge and understanding to effectively carry out their role as a pension board member (including pre-appointment training and mentoring if appropriate)	A monitoring system / procedure should be contained in the training strategy and in place in order to assist the local pension board member to attain the level of knowledge and understanding that is sufficient for them to effectively carry out their role, responsibilities and duties as a pension board member		<i>Enter here whether a training strategy and plan have been adopted, where it can be found and the review process. Also state the post title or name of the person designated to take responsibility for ensuring that a framework is developed and implemented and how this is achieved</i>
The administering authority to maintain individual training plans for local pension board members	Individual training records are kept and maintained of the learning activities of the local pension board members.		<i>Enter here the post title or name of the person designated to take responsibility for maintaining the individual training records of the local pension board members. Are these regularly reported to the board / individual?</i>

Requirement	Full Compliance	Compliance (Full/Partial/Non)	Statement of Compliance
Local pension board members to invest sufficient time in their learning and development alongside their other responsibilities.	There is provision in the individual training plans to monitor and record attendance at training events and whether sufficient time is being invested in learning and development.		<p><i>Enter here the post title or name of the person designated to take responsibility for maintaining the individual training records of the local pension board members.</i></p> <p><i>Are these regularly reported to the board / individual?</i></p> <p><i>When / how?</i></p>
Pension board members complete tPR's e-learning programme	Local pension board members are required to complete the Pensions Regulator's e-learning programme but this is not in isolation and is supplemented by specific LGPS and related Fund learning activities		<p><i>Enter here whether the training strategy sets out the requirement or method by which local pension board members complete the Pensions Regulator's e-learning programme and how this is recorded and monitored</i></p>
Conflicts of Interest			
The administering authority should have in place an appropriate conflicts of interest policy, clearly identifying individual roles in identifying and reporting potential conflicts of interest	Administering authorities should ensure that there is an agreed and documented conflicts policy & procedure, which includes identifying, monitoring & managing potential conflicts of interest.		<p><i>Enter here whether a conflicts policy is in existence, where it is available and the post title(s) of the person(s) responsible for maintaining it.</i></p>

Requirement	Full Compliance	Compliance (Full/Partial/Non)	Statement of Compliance
and to whom any potential conflict should be reported			
The conflicts of interest policy has a regular review date incorporated in to it	Regular review date specified within the policy.		<i>Enter here if a regular review date has been implemented</i>
The administering authority to maintain a register of all conflicts (and potential conflicts) that are raised, reviewing them appropriately	<p>The administering authority should retain and regular review a register of all conflicts (and potential conflicts) that have been raised.</p> <p>Conflicts should be reviewed and any action taken forward.</p>		<p><i>Enter here whether a register of conflicts exists, where it can be found and the post title(s) of the person(s) responsible for maintaining it.</i></p> <p><i>Details of the review process and action taken should be clearly documented</i></p>
Declaration of conflicts (or potential conflicts) of interest to be disclosed on appointment and at regular intervals (inc. as a standing item at all meetings)	The administering authority should retain a 'register of interest'. This is a simple and effective means of recording and monitoring dual interests and responsibilities of the Pension Board members.		<p><i>Enter here whether a register of conflicts exists, where it can be found and the post title(s) of the person(s) responsible for maintaining it.</i></p> <p><i>This should include initially disclosed conflicts of interest and any additional thereafter.</i></p>

Requirement	Full Compliance	Compliance (Full/Partial/Non)	Statement of Compliance
Publishing information about schemes			
The administering authority must publish information about the local pension board and keep that information up to date	Provision is made on the Council website or Fund website that is available for all scheme members to view and should include: <ul style="list-style-type: none"> - Name - Representative role - Employment and job title (where relevant) - The appointment process to the pension board 		<i>Enter here where the information about the local pension board is published and the post title of the person(s) responsible for its maintenance</i> <i>Add link to webpage</i>
The administering authority should publish information about the local pension board's business	All board papers, agendas and minutes of meetings are available on the Council website or Fund website for all scheme members to view		<i>Enter here where the board paper, agendas and minutes of meetings can be viewed.</i> <i>Add link to webpage</i>
The administering authority should consider any requests for additional information to be published to encourage scheme	There will be details on the Council website or Fund website informing scheme members who to contact if they wish to make any requests for further information to be published. There will be a procedure in		<i>Enter here where the details can be found.</i> <i>Confirm if there is a procedure in place for determining requests for further information to be published</i>

Requirement	Full Compliance	Compliance (Full/Partial/Non)	Statement of Compliance
member engagement and promote a culture of transparency	place for determining what scheme member requests will be agreed and how the decision is communicated to the scheme member		
Managing Risks			
The administering authority is required to have in place internal controls that include adequate systems, arrangements and procedures for the administration and management of the Fund (including external service providers and third parties)	There are in place systems, arrangements and procedures to ensure that the scheme is being run in accordance with the scheme rules as set out in regulations. This will include a clear separation of duties, processes for escalation and decision making and documented procedures for assessing and managing risk, reviewing breaches of law and managing contributions to the scheme.		<i>Enter here details of hierarchy and reporting</i> <i>The existence of a risk register and its review frequency</i> <i>The auditing arrangements of the fund administration.</i> <i>If outsourced or shared service how the service provider is monitored against service levels</i>
The administering authority should have in place a risk register to record all risks and actions taken, which is reviewed	An appropriate risk register is produced, recording all identified risks and action taken. This should be a standing item at all Pension Board meetings.		<i>Enter where (if) the risk register is available and the person responsible for maintaining it.</i>

Requirement	Full Compliance	Compliance (Full/Partial/Non)	Statement of Compliance
regularly			
The administering authority should regularly review the effectiveness of its risk management and internal control processes	<p>Scheduled review dates should be included within the business remit of the Administering Authority.</p> <p>A review report should be produced detailing the effectiveness and any adjustments required with the Schemes risk management and internal controls</p>		<i>Enter here if there are scheduled review dates and their frequency.</i>
Risk management and internal controls should be a standing item on the Pension Committee and pension board agendas	Risk Management and internal controls included as an agenda item with the Pension Committee and pension board agendas.		<i>Enter here whether risk management and internal controls have been added to the agenda.</i>
Scheme record keeping			
The administering authority must be able to demonstrate that they keep accurate, up to date and enduring records to be able to govern and	There is in place a reliable pension administration software system for the purpose of keeping accurate and up to date scheme member data.		<p><i>Enter here the system operated and its industry acceptance</i></p> <p><i>If outsourced or shared service how the data is monitored for accuracy or how member information is kept up to date and notified to the service provider</i></p>

Requirement	Full Compliance	Compliance (Full/Partial/Non)	Statement of Compliance
administer the LGPS effectively			
The administering authority must ensure that scheme member data across all membership categories specified in the Record Keeping Regulations is complete and accurate and the data is subject to regular data evaluation	<p>There is in place a procedure for all membership categories to pass on information with regard to changes in their own circumstances</p> <p>There is in place a procedure for scheme employers to advise of changes in circumstances of their scheme members</p>		<i>Enter here whether such procedures exist to notify changes in scheme member data</i>
The administering authority must keep specific data which will enable it to uniquely identify a scheme member and calculate pension benefits correctly	Scheme members have a unique identifier on the pension administration software system.		<p><i>Enter here what identifier is used (e.g. NI number, payroll number, scheme reference number)</i></p> <p><i>Enter also whether or not scheme members can be identified by searching by surname or alternative if unique number not yet allocated or unavailable</i></p>
The administering authority should require	Processes are established which facilitates the transmission of complete and		<i>Enter here whether an established process is in place for the timely and accurate transmission of data</i>

Requirement	Full Compliance	Compliance (Full/Partial/Non)	Statement of Compliance
<p>participating employers to provide them with timely and accurate data</p>	<p>accurate data.</p> <p>Employers are aware of the importance of accurate and timely submission of data and have access to expertise in order to resolve queries.</p>		<p><i>Is there a pension administration strategy in place?</i></p> <p><i>Is there information for employers on the website?</i></p> <p><i>Are there penalties for late submission or supply of inaccurate data?</i></p>
<p>The administering authority should seek to ensure that employers understand the main events which require information about members to be communicated</p>	<p>Processes are in place for employers to inform the administering authority in the event there is an event affecting a scheme member, such as –</p> <ul style="list-style-type: none"> • Joins or leaves the scheme • Changes their rate of contributions • Changes their name, address or salary • Changes their membership status • Transfers employment between scheme employers • Strike days or breaks in service 		<p><i>Enter here whether an established process is in place for the timely and accurate transmission of data</i></p> <p><i>Is there a pension administration strategy in place?</i></p> <p><i>Is there information for employers on the website?</i></p> <p><i>Are there penalties for late submission or supply of inaccurate data?</i></p>

Requirement	Full Compliance	Compliance (Full/Partial/Non)	Statement of Compliance
	<ul style="list-style-type: none"> 50/50 membership (This list is not exhaustive)		
The administering authority should have policies and procedures in place for the regular monitoring of data	Scheme managers must establish and operate adequate internal controls, which should include processes and systems to support record-keeping requirements and ensure that they are effective at all times.		<i>Enter here whether there are policies and procedures in place, where it is available and the post title(s) of the person(s) responsible for maintaining it.</i>
The administering authority should carry out regular (at least annually) data reviews	Administering authorities establish twice yearly dates to review the data quality held for the scheme. Internal process completed to investigate quality.		<i>Enter here confirmation details of the data reviews</i>
The administering authority should ensure that appropriate procedures and timescales are in place for scheme employers to provide updated information when member data	Processes are established which details the timely transmission of complete and accurate data		<i>Enter here whether an established process is in place for the timely and accurate transmission of data</i> <i>Is there a pension administration strategy in place?</i> <i>Is there information for employers on the website?</i> <i>Are there penalties for late submission or supply of inaccurate data?</i>

Requirement	Full Compliance	Compliance (Full/Partial/Non)	Statement of Compliance
changes			
The administering authority should be able to trace the flow of funds into and out of the scheme, reconcile these and keep records of transactions	There are audited processes in place that record transactions into and out of the Fund		<i>Enter here confirmation that regular audits take place on the processes in accounting and reconciling monies into and out of the fund</i>
The administering authority must keep records of pension board meetings and discussions and records of decisions made other than at a local pension board meeting that is later ratified.	Records are available that show decisions made and discussions at local pension board meetings and those that take place outside and are later ratified at a local pension board meeting		<i>Enter here where the records are available</i> <i>Add link to webpage</i>
The administering authority should retain records for as long as they are needed and have in place an adequate system and process for record	A policy on document retention is in place that includes the retention of local pension board papers and documents		<i>Enter here whether there is a policy document in place that includes the retention of local pension board papers and documents</i> <i>Add the retention time limit</i> <i>Add link to webpage</i>

Requirement	Full Compliance	Compliance (Full/Partial/Non)	Statement of Compliance
retention			
Where the administering authority has identified poor quality or missing data there should be a data improvement plan in place	A data improvement plan is in place which contains measures for the administering authority to monitor and a timeframe for attaining accurate data		<i>Enter here whether a data improvement plan is in place with timescales for data improvement or what measures will be taken where inaccurate data is discovered</i>
The administering authority should reconcile member records with the relevant employers and be able to identify those scheme members who are approaching retirement, those who are active members and those that are deferred members	<p>Scheme member records are reconciled with the relevant employers at least on an annual basis.</p> <p>Pension Administration software systems can identify scheme members approaching retirement, active members and deferred members.</p>		<p><i>Enter here when and how scheme member records are reconciled with their relevant employers.</i></p> <p><i>Confirm that the pension administration software system can identify scheme members approaching retirement, active members and deferred members.</i></p>
The administering authority must ensure that processes created	Data Protection Act is complied with and all relevant persons are aware of their		<p><i>Enter here how this awareness is communicated</i></p> <p><i>Officers – internal</i></p>

Requirement	Full Compliance	Compliance (Full/Partial/Non)	Statement of Compliance
to manage scheme member data are compliant with the Data Protection Act 1998 and data protection principles.	responsibilities		<i>Committee/LPB members –induction / info packs</i>
The administering authority should be able to demonstrate that records are kept in accordance with other relevant legislation	Evidence that key requirements are set out where applicable under the following legislation – Pensions Act 1995 and 2004 Pensions Act 2008 and the Employers' Duties (Registration and Compliance) Regulations 2010 Occupational Pension Schemes (Scheme Administration) Regulations 1996 Registered Pension Schemes (Provision of Information) Regulations 2006 Data Protection Act 1998 Freedom of Information Act 2000		<i>Enter here some evidence or statement that the relevant pieces of legislation are complied with in relation to the Fund's record keeping</i>
Maintaining Contributions			
The administering	All employers are aware of the		<i>Enter here how employers are made aware of their responsibilities to meet</i>

Requirement	Full Compliance	Compliance (Full/Partial/Non)	Statement of Compliance
<p>authority should ensure there are effective policies and procedures in place to identify payment failures and assess the materiality of any failures identified</p>	<p>payment deadlines</p> <p>Procedures and processes are in place to monitor the payment of contributions, record payments of contributions to the Fund, manage overdue contributions and identified payment failures are reported to a senior officer.</p>		<p><i>contribution payment deadlines (Pension Administration Strategy, Admission Agreement)</i></p> <p><i>Confirmation that procedures are in place to monitor and record payments of contributions to the</i></p> <p><i>The action taken when a payment failure is identified and the reporting responsibilities</i></p>
<p>Employers should be provided with the necessary guidance to ensure they provide the required information to enable contributions to be monitored</p>	<p>Employers are provided with the necessary scheme documents and training requirements to fulfil their obligations within the Scheme.</p> <ul style="list-style-type: none"> - Contribution templates - Fund liaison contact for contributions 		<p><i>Enter here where the employer contribution documents are held and the person responsible for maintaining them.</i></p> <p><i>Detail the Fund's contact for contribution pay over.</i></p>
<p>Where the administering authority identify a payment failure they should follow a process to resolve issues quickly (e.g. monthly monitoring of employer</p>	<p>Records are maintained of investigations and communications (and outcomes) in relation to payment failures, together with communication with the employer</p>		<p><i>Enter here confirmation that a procedure and process is in place to resolve issues where there is a payment failure by an employer</i></p>

Requirement	Full Compliance	Compliance (Full/Partial/Non)	Statement of Compliance
<p>payments to ensure contributions paid on time and in full) and maintain a record of investigations and communications in relation to such failures</p>			
<p>The administering authority should review processes or develop a new process which is able to detect situations where fraud may be more likely to occur and where additional checks may be appropriate.</p>	<p>This will be identified on the fund's risk register</p> <p>A regular review of processes to detect fraud is undertaken</p>		<p><i>Enter here confirmation the process to detect situations where fraud may take place is recorded on the risk register (enter reference)</i></p> <p><i>Confirm that regular reviews of the process to detect fraud are undertaken (date of last review / date of next review)</i></p>
<p>The administering authority must report payment failures which are likely to be of material significance to the Regulator.</p>	<p>Responsible officers are aware of the requirement and there is a procedure in place for reporting payment failures to the regulator in accordance with the code of practice</p>		<p><i>Enter here where the procedure is documented (reporting policy)</i></p>

Requirement	Full Compliance	Compliance (Full/Partial/Non)	Statement of Compliance
Member communication			
Administering authority to provide an annual benefit statement to all active, deferred and pension credit members containing certain legal information and to ensure all AVC members are provided with a similar statement from their AVC provider	<p>Annual benefit statements are issued to each active, deferred pensioner and pension credit member.</p> <p>Statements must be issued no later than 5 months after the end of the Scheme year to which it relates</p> <p>The Administering Authority will have liaised with the Schemes AVC provider and ensured an appropriate timetabled production of the members AVC statement is produced.</p>		<p><i>Enter here the date annual benefit statements were issued to active, deferred and pension credit members and the relevant Scheme year to which it relates</i></p> <p><i>Enter here the Administering Authorities AVC provider and the agreement details for the member's annual benefit statement production.</i></p>
The administering authority must provide scheme members with basic scheme information, meeting minimum legal requirements	<p>The fund will have in place a communication policy which contains details of what information is provided to scheme members and the communication media.</p>		<p><i>Enter here confirmation that a communication policy is in place (link to webpage) which sets out what information is provided to scheme members and how it is communicated (scheme booklet, dedicated fund website, council webpage)</i></p>
Disclosure regulations make provision for scheme members	<p>The fund will have In place a communication policy that sets out how and when it will communicate with any of the</p>		<p><i>Enter here confirmation that a communication policy is in place (link to webpage) which sets out what information is provided to scheme members and how it is communicated (scheme booklet, dedicated fund website,</i></p>

Requirement	Full Compliance	Compliance (Full/Partial/Non)	Statement of Compliance
and others to receive information that is relevant to their pension rights and scheme entitlements and provided within certain legal timescales	following “relevant persons” within the prescribed legal timescales. Active members Deferred members Pensioner members Prospective members Spouses, civil partners of members or prospective members Other beneficiaries Recognised trade unions		<i>council webpage)</i>
Where information is provided electronically it should comply with legal requirements	Administering authority ensuring that all electronically produced information complies with the legal requirement		<i>Enter here whether or not the administering authority has complied with the legal requirements.</i>
The administering authority should attempt to make contact with their scheme members and where contact is not possible	A tracing service has been engaged to trace scheme members where contact details are considered incorrect		<i>Enter here whether or not a tracing service is used and the circumstances in which it is used.</i>

Requirement	Full Compliance	Compliance (Full/Partial/Non)	Statement of Compliance
carry out a tracing exercise to locate scheme members.			
Requests for information should be acknowledged if information requested cannot be immediately provided.	A customer service standard is in place that requires a written response to be provided within a specified timescale and where that response cannot be provided that a letter of acknowledgement is sent with an indicative response time.		<i>Enter here to confirm that a customer service standard is in place and what the response timescales</i>
Internal Dispute Resolution Procedure			
The administering authority has in place an Internal Dispute Resolution Procedure	An Internal Dispute Resolution Procedure is in place in accordance with the LGPS regulations and it clearly states the procedure and process to apply for a dispute to be resolved including – <ul style="list-style-type: none"> - Who it applies to - Who the adjudicator is (stage 1) - Who to contact with a dispute - The information that an applicant must include - How the final decision is 		<i>Enter here confirmation that there is an Internal Dispute Resolution Procedure in place in accordance with the LGPS regulations and the required information included in correspondence where required (inc. website, booklets, etc.)</i> <i>Link to webpage</i>

Requirement	Full Compliance	Compliance (Full/Partial/Non)	Statement of Compliance
	<p>reached</p> <ul style="list-style-type: none"> - How the dispute can be escalated if dis-satisfied - The appropriate timescales 		
<p>The administering authority has ensured all scheme employers have appropriate arrangements in place for dealing with stage 1 disputes</p>	<p>A 'specified person' has been nominated by the scheme employer.</p> <p>The appropriate timescales known by the scheme employer for their reply.</p>		<p><i>Enter here if a list of the 'specified person' for each employer is in existence, where it is held and who maintains it.</i></p>
<p>The administering authority should regularly review its dispute process to ensure its effectiveness and that the necessary timescales are being met (inc. the employer processes at stage 1)</p>	<p>The administering authority to complete an annual review of its dispute process.</p> <p>Ongoing and completed disputes to be logged appropriately.</p> <p>Timescales for completion of dispute cases reviewed.</p>		<p><i>Enter here the details of the annual review, where it is held and the post title(s) of the person(s) responsible for maintaining it.</i></p> <p><i>Is this accessible on the Fund's website?</i></p>

Requirement	Full Compliance	Compliance (Full/Partial/Non)	Statement of Compliance
Breaches of the Law			
<p>The administering authority should be satisfied that those responsible for reporting breaches of the law are made aware of their legal requirements and the Pensions Regulator's guidance.</p>	<p>Those responsible for reporting breaches are made aware of the legal requirements and the regulator code of practice.</p> <p>Relevant training should be provided to those responsible for reporting breaches. Sign off required on completion of training and understanding.</p> <p>All those that are responsible to report breaches, should establish and operate appropriate and effective procedures to ensure that they are able to meet their legal obligation.</p>		<p><i>Enter here the details of all training provided and the corresponding training documentation.</i></p> <ul style="list-style-type: none"> -Include the procedures used -List of names and roles that should report breaches within the Fund -Training list document -Annual review of post holders involved
<p>The administering authority should have a breaches of the law policy in place</p>	<p>Breaches of the law policy detailed within the Fund's annual governance statement</p>		<p><i>Enter here whether a policy is in existence, where it is available and the post title(s) of the person(s) responsible for maintaining it.</i></p>
<p>The administering authority should maintain a breaches log and have identified a</p>	<p>Named person detailed within the Funds annual governance statement.</p> <p>Breaches log established,</p>		<p><i>Enter here the post title(s) of the person(s) responsible.</i></p>

Requirement	Full Compliance	Compliance (Full/Partial/Non)	Statement of Compliance
<p>person responsible for maintaining the breaches of the law policy, logging, reporting and recording processes</p>	<p>updated and maintained. Confirmation of the reporting of breaches.</p>		

DRAFT

The Pensions Regulator

Public Service Governance Survey 2016

THIS DOCUMENT IS INTENDED TO BE USED AS A GUIDE TO HELP YOU GATHER THE INFORMATION REQUIRED FOR THE SURVEY. PLEASE NOTE, HOWEVER, THAT WE NEED YOU TO COMPLETE THE QUESTIONNAIRE THROUGH THE ONLINE SURVEY LINK CONTAINED IN YOUR INVITATION EMAIL.

Thank you for taking the time to complete this survey.

The questions in the survey should be answered in relation to the scheme referenced in your invitation email. Where the scheme is locally administered, we mean the sub-scheme or fund administered by the local scheme manager.

Your responses will be kept anonymous unless you consent otherwise at the end of the survey. Linking your scheme name to your answers will help inform The Pension Regulator's engagement with you in the future.

This survey should be completed by the scheme manager or by another party on behalf of the scheme manager. You should work with the pension board chair to complete it, and other parties (e.g. the administrator) where appropriate.

SECTION A – BASIC INFORMATION

QA1. EVERYONE TO ANSWER

Which of the following best describes your role within the pension scheme?

Please select one answer only

1. Scheme manager or employee of the scheme manager*
2. Pension board chair
3. Pension board member
4. Administrator
5. Other (please specify):

**In this survey 'scheme manager' refers to the definition within the Public Service Pensions Act, e.g. the Local Authority, Fire and Rescue Authority, Police Pensions Authority, Secretary of State/Minister or Ministerial department.*

SECTION B – GOVERNANCE

The first set of questions is about how your pension board works in practice.

QB1. EVERYONE TO ANSWER

Does your scheme have a conflicts policy and procedure for pension board members?

Please select one answer only

1. Yes
2. No
3. Don't know

QB2. EVERYONE TO ANSWER

Does your scheme have a register of interests?

Please select one answer only

1. Yes
2. No
3. Don't know

QB3. EVERYONE TO ANSWER

Has your scheme developed policies and arrangements to help pension board members acquire and retain the knowledge and understanding they require?

Please select one answer only

1. Yes
2. No
3. Don't know

QB4. EVERYONE TO ANSWER

Thinking about the interaction between the pension board and the scheme manager (or employee of the scheme manager), which of the following applies to your scheme?

Please select all that apply and use the 'Other' option to specify any other ways in which the pension board and scheme manager interact

1. The scheme manager attends pension board meetings
2. The scheme manager commissions advice from the pension board
3. The pension board submits written reports to the scheme manager
4. The pension board chair has face-to-face meetings with the scheme manager
5. Other (please specify)
6. Don't know

QB5. ANSWER IF THE SCHEME MANAGER ATTENDS PENSION BOARD MEETINGS (QB4=1)

How often does the scheme manager, or an employee of the scheme manager, attend pension board meetings?

Please select one answer only

1. Every time the pension board meets
2. As required
3. Don't know

QB6. EVERYONE TO ANSWER

On a scale of 1 to 10, where 10 represents 'very good' and 1 represents 'very poor', how would you rate the pension board's ability to...?

Please select one answer per statement

- a) Identify to the scheme manager where there are poor standards and/or non-compliance with legal requirements

Very poor -----> Very good
1 2 3 4 5 6 7 8 9 10 Don't know

- b) Set out recommendations to the scheme manager on addressing poor standards and/or non-compliance with legal requirements

Very poor -----> Very good
1 2 3 4 5 6 7 8 9 10 Don't know

- c) Advise the scheme manager on scheme regulations, the governance and administration requirements set out in legislation, and the standards expected by TPR

Very poor -----> Very good
1 2 3 4 5 6 7 8 9 10 Don't know

- d) Take or secure actions to address poor standards and/or non-compliance with legal requirements

Very poor -----> Very good
1 2 3 4 5 6 7 8 9 10 Don't know

QB7. EVERYONE TO ANSWER

If you would like to add any further comments in relation to this question (QB6), please use the space below.

.....
.....

SECTION C – MANAGING RISKS

The next set of questions is about managing risks.

QC1. EVERYONE TO ANSWER

Does your scheme have documented procedures for assessing and managing risk?

Please select one answer only

- 1. Yes
- 2. No
- 3. Don't know

QC2. ANSWER IF SCHEME HAS PROCEDURES FOR ASSESSING & MANAGING RISK (QC1=1)

To what extent would you say your risk management procedures have contributed to establishing new or revised internal controls? Would you say they have...?

Please select one answer only

1. Contributed significantly
2. Contributed in some way
3. Not contributed at all
4. Don't know

QC3. EVERYONE TO ANSWER

Does your scheme have a risk register?

Please select one answer only

1. Yes
2. No
3. Don't know

QC4. ANSWER IF SCHEME HAS RISK REGISTER (QC3=1)

What are the top three governance and administration risks on your register?

Please write in

1. Risk 1:
2. Risk 2:
3. Risk 3:
4. Don't know

QC5. EVERYONE TO ANSWER

Which of the following best describes your administration services?

Please select one answer only

1. Delivered in house
2. Outsourced to another public body (e.g. a county council)
3. Outsourced to a commercial third party
4. Other (please specify):

QC6. EVERYONE TO ANSWER

Which of the following do you use to monitor and manage the performance of your administrators (whether in-house or outsourced)?

Please select all the options that apply

1. Performance metrics are set out in contracts or service level agreements
2. Administrators provide independent assurance reports
3. Independent auditors review the performance of administrators
4. Administrators deliver regular reports to the scheme manager and/or pension board on service provided
5. Administrators attend regular meetings with the scheme manager and/or pension board
6. Penalties are applied where contractual terms or service standards are not met
7. Other (please specify):
8. Don't know

SECTION D – ADMINISTRATION AND RECORD-KEEPING PROCESSES

The next set of questions is about administration and record-keeping.

QD1. EVERYONE TO ANSWER

Do you have processes in place to monitor scheme records for all membership types on an ongoing basis to ensure they are accurate and complete?

Please select one answer only

1. Yes
2. No (please use the space below if you would like to provide more information):
.....
3. Don't know

QD2. EVERYONE TO ANSWER

Does the scheme have an agreed process in place with employer(s) to receive, check and review data?

Please select one answer only

1. Yes
2. No
3. Don't know

QD3. EVERYONE TO ANSWER

What proportion of your scheme's employers provide you with timely, accurate and complete data as a matter of course?

Please write in a percentage. If you do not know exactly, please give an approximate percentage

1. %
2. Don't know

QD4. EVERYONE TO ANSWER

Does the scheme have a process in place for monitoring the payment of contributions?

Please select one answer only

1. Yes
2. No
3. Don't know

QD5. EVERYONE TO ANSWER

Does the scheme have a process in place for resolving contribution payment issues and assessing whether to report payment failures to TPR?

Please select one answer only

1. Yes
2. No
3. Don't know

SECTION E – DATA REVIEW

QE1. EVERYONE TO ANSWER

When did your scheme last carry out a data review exercise?

Please select one answer only

1. Within the last 12 months
2. More than 12 months ago
3. Never
4. Don't know

QE2. ANSWER IF SCHEME HAS CARRIED OUT A DATA REVIEW EXERCISE (QE1=1 OR 2)

What data did the review cover?

Please select one answer only

1. Data collected after 1 April 2015 but not before this date
2. Data collected before 1 April 2015 but not after this date
3. Data collected both before and after 1 April 2015
4. Other (please specify):

QE3. ANSWER IF SCHEME HAS CARRIED OUT A DATA REVIEW EXERCISE (QE1=1 OR 2)

Did your scheme's most recent data review exercise identify any issues or problems?

Please select one answer only

1. Yes
2. No
3. Don't know

QE4. ANSWER IF MOST RECENT DATA REVIEW IDENTIFIED ANY ISSUES OR PROBLEMS (QE3=1)

What action, if any, was taken to address the issues the review identified?

Please select all the options that apply

1. A data improvement plan was put in place or updated
2. A data cleansing exercise was carried out
3. Additional validation checks
4. Pensioner existence checks
5. Address chasing exercises
6. Further or improved member communications (e.g. reminding members to check their records are up to date)
7. Other (please specify):
8. No action taken
9. Don't know

QE5. ANSWER IF A DATA IMPROVEMENT PLAN WAS PUT IN PLACE/UPDATED (QE4=1)

What is the current end date for the data improvement plan you have put in place or updated?

1. MONTH: YEAR:
2. Don't know

QE6. ANSWER IF A DATA IMPROVEMENT PLAN WAS PUT IN PLACE/UPDATED (QE4=1)

What data does your improvement plan cover?

Please select one answer only

1. Data collected after 1 April 2015 but not before this date
2. Data collected before 1 April 2015 but not after this date
3. Data collected both before and after 1 April 2015
4. Other (please specify):

SECTION F – COMMUNICATIONS

The next set of questions is about communicating to members and resolving issues or complaints the scheme has received.

QF1. EVERYONE TO ANSWER

In 2016, what proportion of active members received their annual benefit statements by the statutory deadline?

Please write in a percentage. If you do not know exactly, please give an approximate percentage.

- 1. %
- 2. Don't know

QF2. EVERYONE TO ANSWER

Does the scheme do any of the following to assess and, where necessary, to improve, the effectiveness of its communications to members?

Please select all the options that apply

- 1. Research the views of members
- 2. Conduct an annual communications review
- 3. Have a communications plan
- 4. Review relevant innovations in technology that could improve member access to communications, including interactive tools
- 5. Seek feedback from the pension board's member representatives
- 6. None of the above
- 7. Don't know

SECTION G – RESOLVING ISSUES

QG1. EVERYONE TO ANSWER

In the last 12 months, how many complaints have you received from members or beneficiaries in relation to their benefits and/or the running of the scheme?

Please include all complaints, including those which have not entered the Internal Dispute Resolution (IDR) process. If you do not know exactly, please give an approximate number.

- 1.
- 2. Don't know

QG2. ANSWER IF ANY COMPLAINTS RECEIVED IN THE LAST 12 MONTHS (QG1>0)

Please list the top three types of complaints received (e.g. benefit payment delays, incorrect estimate of pension entitlement, inaccurate personal data held).

Please specify

- 1.
- 2.
- 3.
- 4. Don't know

QG3. ANSWER IF ANY COMPLAINTS RECEIVED IN THE LAST 12 MONTHS (QG1>0)

How many of these complaints have entered the IDR process?

1.
2. Don't know

SECTION H – REPORTING BREACHES

QH1. EVERYONE TO ANSWER

Does the scheme have procedures in place to allow the scheme manager, pension board members and others to identify and assess breaches of the law, and report these to TPR if required?

Please select one answer only

1. Yes
2. No
3. Don't know

QH2. EVERYONE TO ANSWER

In the last 12 months, have you identified any breaches of the law?

Please select one answer only

1. Yes
2. No
3. Don't know

QH3. ANSWER IF ANY BREACHES HAVE BEEN IDENTIFIED IN THE LAST 12 MONTHS (QH2=1)

What were the root causes of the breaches identified?

Please select all the options that apply

1. Systems or process failure
2. Failure to maintain records or rectify errors
3. Management of transactions (e.g. errors or delays in payments of benefits)
4. Failure of employers to provide timely, accurate or complete data
5. Other employer-related issues (please specify):
6. Conflicts of interest
7. Lack of knowledge and understanding
8. Something else (please specify):
9. Don't know

QH4. ANSWER IF ANY BREACHES HAVE BEEN IDENTIFIED IN THE LAST 12 MONTHS (QH2=1)

In the last 12 months, have you reported any breaches to TPR as you thought they were materially significant?

Please select one answer only

1. Yes
2. No
3. Don't know

SECTION I – GOVERNANCE AND ADMINISTRATION

The next set of questions is about your progress in addressing governance and administration issues.

Q11. EVERYONE TO ANSWER

What are the main barriers you face to improving the governance and administration of your scheme?

Please specify

.....

.....

.....

.....

Q12. ANSWER IF BARRIERS TO IMPROVING SCHEME GOVERNANCE & ADMINISTRATION (AT Q11)

And what steps are you currently taking to address these barriers?

Please specify

.....

.....

.....

.....

Q13. EVERYONE TO ANSWER

To what would you attribute any improvements made to the scheme’s governance and administration in the last 12 months?

Please select all the options that apply

1. Improved understanding of underlying legislation and standards expected by TPR
2. Improved understanding of the risks facing the scheme
3. Resources increased or redeployed to address risks
4. Administrator action (please specify):
5. Scheme manager action (please specify):
6. Pension board action (please specify):
7. Other (please specify):
8. Don't know

SECTION J – TPR PRODUCTS AND PERCEPTIONS

The final set of questions is about your views of TPR and its products.

QJ1. EVERYONE TO ANSWER

To what extent have you used the following products provided by TPR?

Please select one answer per product

	I am not aware of this	I am aware of this but have not used it	I have used this	Don't know
a) Public service section of the TPR website	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b) Public service code of practice	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c) Guide to issuing annual benefit statements	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d) Guides to public service pension boards	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e) Public service toolkit	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f) Reporting breaches guidance	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
g) Self-assessment tool	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
h) News by email service	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

QJ2. ANSWER FOR ANY TPR PRODUCTS USED (CODE 3 AT QJ1a-h)

How useful did you find each of the following TPR products?

Please select one answer per product used

	Very useful	Fairly useful	Not very useful	Not at all useful	Don't know
a) Public service section of the TPR website	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b) Public service code of practice	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c) Guide to issuing annual benefit statements	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d) Guides to public service pension boards	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e) Public service toolkit	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f) Reporting breaches guidance	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
g) Self-assessment tool	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
h) News by email service	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

QJ3. EVERYONE TO ANSWER

Are there any products you would like TPR to provide that it does not currently offer?

Please select one answer only

1. Yes (please specify):
2. No
3. Don't know

QJ4. ANSWER IF HAVE USED THE PUBLIC SERVICE SECTION OF TPR'S WEBSITE (QJ1a=3)

When did you most recently visit TPR's website?

Please select one answer only

1. In the last month
2. 2-3 months ago
3. 4-6 months ago
4. 7-12 months ago
5. More than a year ago
6. Don't know/ can't remember

QJ5. ANSWER IF HAVE USED THE PUBLIC SERVICE SECTION OF TPR'S WEBSITE (QJ1a=3)

To what extent would you say you get what you want from the website when you visit it? Would you say you typically...?

Please select one answer only

1. Get everything you want
2. Get most of what you want
3. Get some of what you want
4. Do not get what you want
5. Don't know

QJ6. EVERYONE TO ANSWER

Thinking about your overall perception of TPR, to what extent do you agree or disagree with the following words as ways to describe TPR?

Please select one answer per statement

	Strongly agree	Agree	Neither agree nor disagree	Disagree	Strongly disagree	Don't know
a) Informative	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b) Respected	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c) Authoritative	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d) Approachable	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e) Straightforward	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

QJ7. EVERYONE TO ANSWER

Thinking now about how TPR operates, how effective do you think it is at improving standards in scheme governance and administration in public service pension schemes?

Please select one answer only

1. Very effective
2. Fairly effective
3. Neither effective nor ineffective
4. Not very effective
5. Not at all effective
6. Don't know

SECTION K – ATTRIBUTION

That's it. Thank you for completing this survey. Your responses will help TPR understand how schemes are progressing and any issues they may face, which will inform further policy and product developments.

QK1. EVERYONE TO ANSWER

Finally, what other parties did you consult with to complete this survey?

Please select one answer only

1. Scheme manager or employee of the scheme manager*
2. Pension board chair
3. Pension board member
4. Administrator
5. Other (please specify):
6. Did not consult with any other parties

**In this survey 'scheme manager' refers to the definition within the Public Service Pensions Act, e.g. the Local Authority, Fire and Rescue Authority, Police Pensions Authority, Secretary of State/Minister or Ministerial department.*

QK2. EVERYONE TO ANSWER

To inform TPR's engagement going forward, they would like to build an individual profile of your scheme by linking your scheme name to your survey answers. This will only be used for internal purposes by TPR and your identity will not be revealed in any published report.

Are you happy for your responses to be linked to your scheme name and supplied to TPR for this purpose?

Please select one answer only

1. Yes, I am happy for my responses to be linked to my scheme name and supplied to TPR
2. No, I would like my responses to remain anonymous