

2015

# Public service governance and administration survey

## Note to respondents

Please note: for locally administered pension schemes, where we use the word 'scheme', this term includes pension funds and administering authorities.

When answering questions, if you choose an answer by mistake, please click the chosen option again to undo and then choose the correct answer. Once completed, please save your survey and either email it to: [pspsr@tpr.gov.uk](mailto:pspsr@tpr.gov.uk) or print it off and send it by post to:

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The Pensions  
Regulator

# Survey questions

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## Basic information – Scheme contact

1. What is your job title?

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

Please tick the relevant box

Scheme manager

Pension board member

Administrator

Other (please specify)

3. How would you rate your awareness and understanding of the governance and administration requirements introduced by the Public Service Pensions Act 2013/the Public Service Pensions Act (Northern Ireland) 2014? (Scale 1-5 – 1 = low and 5 = high)

1      2      3      4      5

Awareness

1      2      3      4      5

Understanding

4. How would you rate your awareness and understanding of The Pensions Regulator's code of practice for public service pension schemes? (Scale 1-5 – 1 = low and 5 = high)

1      2      3      4      5

Awareness

1      2      3      4      5

Understanding

5. Have you undertaken any training relating to public service pension schemes?

Yes

No

Don't know

6. If so, who provided the training?

## Basic information – Pension scheme

7. Which of the following options best describes your scheme:

Centrally administered

Locally administered

If locally administered, is your scheme:

Fire and rescue

Local government

Police

8. This question is voluntary: What is the name of your scheme if centrally administered, or if locally administered – what is the name of your pension fund/administering authority?

9. What is the total membership (active plus deferred plus pensioner) of your scheme?

Under 999

999-4,999

5,000-49,999

50,000-1 million

Over 1 million

10. Which of the following statements best describes the current status of your scheme's pension board?

Fully established and operational (terms of reference agreed, all board members appointed and pension board meetings have commenced)

Established but yet to be operational (terms of reference agreed, all board members appointed)

Will be fully established and operational within three months

Will be fully established and operational within six months

Longer than six months to be fully established and operational

11. How frequently does or will the pension board meet normally?

Monthly

Quarterly

Bi-annually

Annually

When required

## Action – Pension scheme

12. Which of the following statements best describes the activity being undertaken to ensure compliance with the legal requirements introduced by the Public Service Pensions Act 2013<sup>1</sup>/the Public Service Pensions Act (Northern Ireland) 2014<sup>2</sup>?

Identifying key risks/issues

Developing a plan to address key risks/issues

Implementing a plan to address key risks/issues

We already have a plan in place and are addressing key risks/issues

'Risks/issues' are those which may prevent legal requirements introduced by the Public Service Pensions Act 2013<sup>1</sup>/the Public Service Pensions Act (Northern Ireland) 2014<sup>2</sup> relating to the governance and administration of the scheme being met.

13. Has the scheme been reviewed against the practical guidance and standards of conduct and practice set out in The Pensions Regulator's code of practice for public service pension schemes?

Yes, in-depth review

Yes, high level review

Planning to complete a review in the next six months

No review completed/planned to be completed

I'm not aware of the code

Don't know

<sup>1</sup> <http://www.legislation.gov.uk/ukpga/2013/25/contents>

<sup>2</sup> <http://www.legislation.gov.uk/nia/2014/2/contents>

## Knowledge and understanding required by pension board members

14. Has guidance on the roles, responsibilities and duties of pension boards and the members of those boards been produced?

Yes                  No                  Don't know

15. Has the scheme manager or another person ensured that pension board members fully understand their roles, responsibilities and duties?

Yes                  No                  Don't know

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

Yes                  No

If Yes, what has been developed? Please select all that apply.

Training framework

Individual training needs analysis

Individual training plan

Pension board training plan

Training log

Other (please specify)

17. Where do pension board members receive their training from?

18. What themes or issues are/will be covered in pension board member training?  
Please select all that apply.

Law relating to pensions

Scheme rules

Scheme administration policies

Pension board training plan

Practical guidance and standards set in our code  
of practice for public service pension schemes

Other (please specify)

Don't know

19. Please could you identify the top 3 themes or issues that will be covered in pension board training that you have identified in question 18.

20. How regularly will pension board members undertake training?

Monthly

Quarterly

Every six months

Annually

Only when a training need is identified

Don't know

## Pension board members – Conflicts of interest and representation

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

Yes                  No                  Don't know

22. Does your conflicts policy and procedure include any of the following? (Select all that apply)

Identifying conflicts of interest

Assessing conflicts of interest

Monitoring conflicts of interest

Managing potential conflicts of interest

23. Does your scheme appoint pension board members under procedures that require them to disclose any interests, including other responsibilities, which could become conflicts of interest, before they are appointed?

Yes                  No                  Don't know

24. Does your scheme have a register of interests?

Yes, we have a register of interests or another document that records dual interests and responsibilities (go to question 25)

No, we do not have a register of interests or another document that records dual interests and responsibilities (go to question 26)

Don't know (go to question 26)

25. How regularly is the register of interests or other document that records dual interests and responsibilities reviewed?

Monthly

Quarterly

Annually

Don't know

## Publishing information about schemes

26. Does your scheme have in place procedures to ensure that information about the pension board which must be published, is published and kept up to date?

Yes

No

Don't know

27. Does/will your scheme publish additional information (not specified in legislation) about the pension board? If Yes, please specify the information that the scheme publishes.

## Internal controls

28. How regularly does your scheme assess risks\*?

Monthly

Quarterly

Every six months

Annually

Less than once a year

Never

Don't know

\*'Risks' are those that may prevent the scheme being administered and managed in accordance with the scheme rules and requirements of the law.

29. Does your scheme have a risk register?

Yes

No

Don't know



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

Yes                      No                      Don't know

How often does/will the scheme review the effectiveness of its risk management and internal control systems?

At least every six months

At least once a year

At least once every three years

Never/We haven't

It varies (please specify the timeframe)

Don't know

31. What type of external advisers and service providers are engaged by the pension scheme?  
Please select all that apply.

Third party administrator/outsourced service providers  
(If Yes, please answer question 32, if No, please go to question 33)

Auditor

Legal adviser

Investment or fund manager

Investment consultant

Custodian

IFA

Other (please state)

None

32. If your scheme uses outsourced service providers, do you require them to demonstrate that they have adequate internal controls relating to the services they provide?

Yes                      No                      Don't know

33. Do you have a documented service level agreement in relation to your scheme and the services provided by your scheme administrators (applies to both in-house and outsourced)?

Yes                      No                      Don't know

34. How frequently do you receive information on internal controls relating to the services that administrators provide?

Monthly

Quarterly

Every six months

Annually

Less than once a year

Never

Don't know

### **Scheme record-keeping**

35. Does your scheme have policies and processes in place to monitor data on an ongoing basis to ensure that it is accurate and complete, in relation to:

Active members? (Yes or No or N/A)	Yes	No	N/A
Deferred members? (Yes or No or N/A)	Yes	No	N/A
Pensioner members? (Yes or No or N/A)	Yes	No	N/A
Beneficiaries (Yes or No or N/A)	Yes	No	N/A
Pension credit/debit members (Yes or No or N/A)	Yes	No	N/A

36. Has the scheme's data been measured against the requirements of the Public Service Pensions (Record Keeping and Miscellaneous Amendments) Regulations 2014?

Measured

Partially measured

Not measured

Don't know

37. If you have answered 'Measured' or 'Partially measured' to question 36, did the scheme measure the presence and/or the accuracy of the scheme's data?

Presence of data

Accuracy of data

Both presence and accuracy of data

Don't know

38. If your scheme has measured its data, what action, if any has been taken to resolve any issues identified.

Data improvement plan to be developed

Data improvement plan being implemented

Data cleansing exercise to be carried out

Data cleansing exercise has been carried out

Other (please specify)

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

Within the last 12 months

More than 12 months ago

Don't know

40. How frequently does your scheme carry out/plan to carry out a data review exercise including an assessment for accuracy and completeness of the data?

More frequently than annually

Annually

Less frequently

Don't know

41. What does your data review involve?

Full review and checks of all data held by the scheme

Randomly selected segments of data reviewed and checked

Key risk areas of data reviewed and checked

Assessing the completeness of all data

Assessing the accuracy of all data

Varies each review

Don't know

Other (please specify)

42. Does your scheme require participating employers to provide timely data?

Yes

No

Don't know

Does your scheme require participating employers to provide accurate data?

Yes

No

Don't know

43. What proportion of your scheme's employers provide you with timely, accurate and complete data as a matter of course? (Please write in percentage)

## Maintaining contributions

44. Do you have a method or other process for monitoring the payment of contributions to the scheme?

Yes                      No                      Don't know

45. Does your scheme have a process to resolve payment issues and assess whether to report payment failures?

Yes                      No                      Don't know

## Providing information to members

46. Has your scheme provided a member benefit information statement to members as a matter of course in the last 12 months?

Yes to all members

Yes to active members only

Yes to deferred members only

No

Don't know

47. If Yes, what scheme year does the member benefit information statement relate to – eg the year to 31 March 2014

## Internal dispute resolution

48. How frequently does your scheme assess the effectiveness of the scheme's internal dispute resolution arrangements and under what circumstances do you carry out that review?

Please specify the:

Frequency

Circumstances

49. How do you communicate your internal dispute resolution arrangements to your members and others?

## Reporting breaches

50. Is training provided for scheme managers and pension board members on their duty to report breaches of the law to the regulator?

Yes

No

Don't know

51. Does the scheme have procedures in place to enable the scheme manager, pension board members and those who have a duty to report to identify and assess breaches of the law?

Yes

No

Don't know

## How to contact us

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