

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"/> |
| b) Public service code of practice | <input type="radio"/> |
| c) Guide to issuing annual benefit statements | <input type="radio"/> |
| d) Guides to public service pension boards | <input type="radio"/> |
| e) Public service toolkit | <input type="radio"/> |
| f) Reporting breaches guidance | <input type="radio"/> |
| g) Self-assessment tool | <input type="radio"/> |
| h) News by email service | <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