100%

Results

Using this report

In this report we have provided an indicative risk rating for each answer you selected, alongside some guidance and links to additional information. This report does not provide an assessment of compliance with the law – it indicates areas that might be of particular concern and where you may wish to focus. You should seek legal advice where required.

To minimise the risk of non-compliance with the law, you should conduct a comprehensive review of your scheme against the requirements set out in the legislation and the guidance provided in our code of practice. Statistics refer to findings from TPR's 2015 survey into the Governance and Administration of Public Service Schemes.

A summary of your results



Results - Governing your scheme

Your Answer:	Yes	Green
Feedback:	You should keep roles and responsibilities under review, in particular conscheme regulations or working arrangements (eg where certain function scheme manager). Roles and responsibilities should be made clear durappointment process, so they are clear about what is expected of them. You should also ensure these are communicated and understood by reladministrator, members or in the case of local government pension scheme committee, eg by publishing them alongside other pension board inform	is are delegated by the ing the board member and what the role entails. evant parties such as the emes, the pension

Question 2 - Have you published information about the pension board and ensured it is kept up to date?			
Your Answer:	Yes – we publish information to legal requirements and provide additional information about the pension board and board business	Green	
Feedback:	Our code of practice sets out examples of additional information you may wish to compublishing if you don't already do so. You should monitor all published data to ensuraccurate and complete. You should also ensure that the information is suitably accessible – it should be avaischeme members and all staff who are eligible to be automatically enrolled into the without them needing to ask for it. Further information is on our website.	re it remains ailable to all	
Useful Links:	Code of Practice 14: Publishing information about schemes		
	Website: Publishing scheme information		

Your Answer:	Yes	Green
Clearly defined policies and arrangements can help board members meet around knowledge and understanding. Four in five public service scheme arrangements in place.		9
T GOGDGON.	You should keep your processes under regular review to ensur	re they remain effective and fit fo

Your Answer:	Yes	Green
Feedback:	Board members should regularly review their skills, knowledge and competenci and weaknesses, and should invest sufficient time in their learning and develop Many schemes use pension board training plans to help board members acquir knowledge and understanding. If you don't already do so, you may wish to consindividual training plans as the training needed may vary according to each mer expertise. Further information is in our code and our quick guide to personal de	ment. e and retain ider the use of nber's role and

b) Individual training needs analysis			
Your Answer:	Yes	Green	
Feedback:	Using individual training needs analysis can help board members identify specific ir training needs. Training is an important part of the pension board members' role and they should in time in their learning and development alongside their other responsibilities and dut members should keep their skills, knowledge and competencies under regular reviegaps and weaknesses for further training.	ivest sufficient ies. Board	
c) Training log			
Your Answer:	Yes	Green	
Feedback:	Many schemes use training logs to help board members track their learning. They help you demonstrate steps you have taken to comply with legal requirements. You should regularly review the training log to ensure that risks associated with knowledge gaps are being mitigated. Board members should keep their skills, knowledge and competencies under regular review to identify gaps and weaknesses for further training.		
Useful Links:	Code of Practice 14: Knowledge and understanding required by pension board mer	<u>mbers</u>	
	Quick guide to personal development		
	Template: Assessing your Learning Needs		

Question 5 - Do you have a conflicts policy and procedure for pension board members?			
Your Answer:	Yes	Green	
Feedback:	Nine in ten public service schemes have put conflicts policies and procedures in pla members. These help identify, monitor and manage any interests that have the pote become conflicts. You should review the policy and procedures regularly to ensure they remain fit for	ential to	
Useful Links:	Code of Practice 14: Conflicts of interest and representation		

Question 6 - Do you have a register of interests (or equivalent)?			
Your Answer:	Yes Green		
Feedback:	A register is a simple and effective way of recording and monitoring interests. Conflicts should be included as an opening agenda item at pension board meetings and you should capture decisions about how to manage potential conflicts. The register of interests should be circulated to the pension board for ongoing review and published, for example on a scheme's website.		
Useful Links:	Code of Practice 14: Conflicts of interest and representation		

Results - Managing risks and issues

Question 1 - Do you have pr	ocedures in place for assessing and managing risk?	
Your Answer:	Yes	Green
Feedback:	You should review your processes regularly to ensure they remain effective and fit is Seven in ten public service schemes aim to review the effectiveness of their risk mand internal controls systems at least annually. Our code provides practical guidance management to consider in your review.	anagement
Useful Links:	Code of Practice 14: Managing risks	
	Checklist: Internal Controls	

Question 2 - Do you have a r	isk register?	
Your Answer:	Yes	Green
Feedback:	You should review risks regularly. Three in five public service schemes assess risks quarter. The risk register, and any other internal controls you put in place, should be kept ur ensure that they remain effective and fit for purpose.	
Useful Links:	Code of Practice 14: Managing risks	
	Example Risk Register	

Question 3 - Where you have outsourced services, do you ensure that providers demonstrate that they have internal controls in place?		
Your Answer:	Yes	Green
You should review the effectiveness of your internal controls regularly, in outsourced service providers. Feedback: You should ensure that you receive sufficient assurance from providers provide – it should be sufficiently detailed and comprehensive for you to effectiveness of their internal controls. Our code provides further guidan		ers on the services they u to properly assess the
Useful Links:	Code of Practice 14: Managing risks	

Question 4 - Do you house or outsourced	nave a service level agreement, or equivalent, in place with your scheme administrators, whether?
Your Answer:	Yes Green
Feedback:	The administration of the scheme is where a larger proportion of the scheme manager's duties are carried out – it is vital that you pay attention to the way your scheme is administered. You should ask the administrator to attend relevant meetings, as this will help you better understand the administration function and identify improvements. You should regularly monitor the performance of your administrator against documented targets and take steps to address areas of poor performance.
Useful Links:	Code of Practice 14: Managing risks

Question 5 - Are your internal dispute resolution arrangements clearly communicated to members and others?			
Your Answer:	Yes	Gre	en
Feedback:	You should consider using a variety of ways to come example in joining booklets, benefit letters or decision arrangements accessible to potential applicants, for website, as some public service schemes do.	ion letters. Schemes should also make th r example by publishing them on a schen	neir me
	You should ensure that the effectiveness of the arrangements is assessed regularly. Further information on internal dispute resolution is available in our code.		r
Useful Links:	Code of Practice 14: Internal dispute resolution		

Question 6 - Do you have procedures in place to identify, assess and report breaches of the law?			
Your Answer:	Yes	Green	
Feedback:	You should review your procedures regularly so they remain effective and fit for purpose. Some pension boards have made breach monitoring a standing agenda item, where they review all breaches (whether significantly material or not) to track progress and ensure issues are addressed. If a breach does occur and you think it is of material significance to us, you should report it to us		
	as soon as possible. Don't wait for the issue to be resolved. Our code details inform should include in a report.	nation you	
Useful Links:	Code of Practice 14: Reporting breaches of the law		

Results - Administration

Question 1 - Do you have a process in place to ensure that information is provided to TPR as required (eg through the scheme return)?			
Your Answer:	Yes	Green	
Feedback:	scheme return when asked. To help you meet your legal obligations, you shou online portal Exchange and make sure this inform	You must provide us with certain information and keep this information up to date, and complete a scheme return when asked. To help you meet your legal obligations, you should provide us with a 'scheme contact' via our online portal Exchange and make sure this information is kept up to date in light of role changes. Larger schemes may wish to provide several people with access to Exchange.	
Useful Links:	Website: Reporting requirements		
	<u>Exchange</u>		

Question 2 - Do you have processes in place to monitor scheme records for all membership types on an ongoing basis and ensure they are accurate and complete?		
Your Answer:	Yes	Green
Feedback:	Processes should cover all membership types and you ensure they remain effective and fit for purpose. Guid website.	, ,
Useful Links:	Code of Practice 14: Scheme record-keeping	
	Website: Types of records to keep	

Question 3 - Do you have controls in place to ensure that your employer(s) provides timely, accurate and complete data?		
Your Answer:	Yes	Green
Feedback:	Receiving good data from your employer(s) is key to your ability to maintain accurate scheme records. Though nine in ten public service schemes require employers to provide timely, accurate complete data, schemes have reported that a significant proportion of employers do not provide this as a matter of course. This can create significant record-keeping issues, even in single employer schemes.	
	You should work with employers to ensure that scheme and employer processes are effit for purpose. Our guide to issuing annual benefit statements highlights examples of practice for communicating and working with employers.	
Useful Links:	Code of Practice 14: Scheme record-keeping	
	Quick guide to issuing annual benefit statements	

Question 4 - When did you last carry out a data review exercise?			
Your Answer:	Within the last year	Green	
Feedback:	You should continue to carry out a data review at least annually. Data records should be additionally reviewed and cleansed when you change administrator or administration k: system/platform. Further information on record-keeping can be found in our code and on our website.		
Useful Links:	Code of Practice 14: Scheme record-keeping Website: Types of records to keep		

Question 5 - Where you have identified poor quality or missing data, do you have an improvement plan to address issues?		
Your Answer:	Yes	Green
Feedback:	Your plan should have specific data improvement measure date within a reasonable timeframe when the scheme will h	

Question 6 - Do you have processes in place for monitoring scheme contributions, resolving issues and assessing whether to report payment failures to TPR?		
Your Answer:	Yes	Green
Feedback:	You should review your processes regularly to ens Guidance can be found in our code and our Manag	
Useful Links:	Code of practice 14: Maintaining contributions Checklist: Managing contributions	

Your Answer:	Yes	Green
Feedback:	You should proactively address issues that arose in the previous year and ensure remedial work is completed before the next cycle. You should also consider reporting on the lessons learnt, for example to the pension board, employers or members.	
	Some best practice examples to consider for future reviews are included in annual benefit statements.	our guide to issuing
Useful Links:	Quick guide to issuing annual benefit statements	

Question 8 - Have you taken steps to ensure that member communications are clear, accurate and easily accessible?			
Your Answer:	Yes	Green	
Feedback:	You should regularly review your member communications to ensure members are engage with their pension savings. You can find out about members' information noticews on your communications in a number of ways - by speaking to employee repute the pension boards, listening in on calls to the administrator, undertaking members even organising focus groups.	eeds and their resentatives on	