

Public Service Governance Survey 2017

Please answer these questions in relation to LGPS - AVON

The Pensions
Regulator

Section A - Basic information

QA1 Which of the following best describes your role within the pension scheme?

- Scheme manager or representative of the scheme manager*
- Pension board chair
- Pension board member
- Administrator
- 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 Does your scheme have a documented policy to manage the pension board members' conflicts of interest?

- Yes
- No
- Don't know

QB2 Does your scheme maintain a register of pension board members' interests?

- Yes
- No
- Don't know

QB3 How often does your pension board meet?

- At least monthly
- At least quarterly
- At least every six months
- At least annually
- Less frequently than annually
- Don't know

QB4 How often does the scheme manager, or a representative of the scheme manager, attend pension board meetings?

- Every time the pension board meets
- As required
- Rarely
- Never
- Don't know

QB5 Thinking about the interaction between the pension board and the scheme manager (or representative of the scheme manager), which of the following apply 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

- The scheme manager commissions advice from the pension board
- The pension board submits written reports to the scheme manager
- The pension board chair has face-to-face meetings with the scheme manager
- Other (please specify)
- Don't know

Agenda strategy planning -re meeting prior to each pension board meeting

QB6 Has the pension board done any of the following?

Please select one answer per statement

	Yes - in last 12 months	Yes - but not in last 12 months	No - not needed to do this	No - not done this	Don't know
Identified to the scheme manager where there are poor standards and/or non-compliance with legal requirements	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Set out recommendations to the scheme manager on addressing poor standards and/or non-compliance with legal requirements	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Advised the scheme manager on scheme regulations, the governance and administration requirements set out in legislation, and the standards expected by TPR	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Taken or secured actions to address poor standards and/or non-compliance with legal requirements	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

QB7 Do the scheme manager and pension board have sufficient time and resources to run the scheme properly?

- Yes
- No
- Don't know

QB8 Do the scheme manager and pension board have access to all the knowledge, understanding and skills necessary to properly run the scheme?

- Yes
- No
- Don't know

QB9 Does the scheme manager or pension board carry out a regular evaluation of the performance and effectiveness of the board as a whole?

- Yes
- No
- Don't know

Section C - Managing Risks

The next set of questions is about managing risks.

QC1 Does your scheme have documented procedures for assessing and managing risk?

- Yes
- No
- Don't know

QC2 Does your scheme have a risk register?

- Yes
- No
- Don't know

QC3 To what do the top three governance and administration risks on your risk register relate?

Please select up to three options below

- Funding or investment
- Record keeping
- Guaranteed Minimum Pension (GMP) reconciliation
- Securing compliance with legislation
- Employer compliance
- Lack of resources/time
- Recruitment and retention of staff or knowledge
- Lack of knowledge, effectiveness or leadership among key personnel
- Poor communications between key personnel (board, scheme manager, administrator, etc.)
- Failure of internal controls
- Systems failures (IT, payroll, administration systems, etc.)
- Administrator issues (expense, performance, etc.)
- Other (please specify)
- Don't know

Data Protection - failure to secure and manage data in accordance with statutory obligations

QC4 How often do you review the scheme's exposure to new and existing risks?

- At least monthly
- At least quarterly
- At least every six months
- At least annually
- Less frequently than annually
- Don't know

QC5 Which of the following best describes your administration services?

- Delivered in house
- Outsourced to another public body (e.g. a county council)
- Outsourced to a commercial third party
- Other
- Don't know

QC6 Which of the following do you use to monitor and manage the performance of your administrators (whether in-house or outsourced)?

Please select all that apply

- Performance metrics are set out in contracts or service level agreements
- Administrators provide independent assurance reports
- Independent auditors review the performance of administrators
- Administrators deliver regular reports to the scheme manager and/or pension board on the service provided
- Administrators attend regular meetings with the scheme manager and/or pension board
- Penalties are applied where contractual terms or service standards are not met
- Other
- Don't know

Section D - Administration and Record-Keeping Processes

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

QD1 How often does the pension board include administration as a dedicated item on the agenda at board meetings?

- Every time the pension board meets
- As required
- Rarely
- Never
- Don't know

QD2 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?

- Yes
- No
- Don't know

QD3 Does the scheme have an agreed process in place with the employer(s) to receive, check and review data?

- Yes
- No
- Don't know

QD4 What proportion of your scheme's employers...?

Please write in a percentage (0%-100%). If you do not know exactly, please give an approximate percentage.

A. Provide you with timely data?

%

B. Provide accurate and complete data?

%

QD5 Does the scheme have a process in place for monitoring the payment of contributions?

- Yes
- No
- Don't know

QD6 Does the scheme have a process in place for resolving contribution payment issues and assessing whether to report payment failures to TPR?

- Yes
- No
- Don't know

QD7 Which of these controls does your scheme have in place to ensure the security of members' data?

Please select all that apply

- Your scheme and the administrators have training in the principles of the Data Protection Act
- You have a process to ensure data breaches are reported to the administrator and by the administrator to the scheme manager
- The credentials of staff able to access scheme and member records are regularly reviewed
- Your scheme and the administrators are familiar with how to protect against cyber threat, e.g. familiarity with the government's Cyber Essentials guidance
- None of these
- Don't know

QD8 How are your records held?

- All electronically
- Mainly electronically but some held on paper
- Mainly held on paper
- All on paper
- Don't know

Section E - Data Review

QE1 Before completing this survey how familiar were you with the terms 'common data' and 'scheme specific (conditional) data'?

Common data are basic data items which are used to identify scheme members.

Scheme-specific (conditional) data are other data items needed to run the scheme e.g. to accurately calculate member benefits. This includes data required by scheme regulations or needed to comply with other pieces of legislation.

Please select one answer per row

	Very familiar	Quite familiar	Not very familiar	Not at all familiar	Don't know
A. Common data	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
B. Scheme specific (conditional) data	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

QE2 Does your administrator currently measure your common data score and scheme specific (conditional) data score?

- Yes, they measure both the common and conditional data scores
- They only measure the common data score
- They only measure the conditional data score
- No, they do not measure either score
- Don't know

QE3 When did your scheme last carry out a data review exercise?

- Within the last 12 months
- More than 12 months ago
- Never
- Don't know

QE4 Did the data review look at any of the following?

Please choose all that apply

- Members' basic details (e.g. name, DOB & NI number)
- Address data
- Existence checks
- Salary or earnings data
- Member benefit data
- Key dates held on member records
- Contracted out data
- Other (please specify)
- None of these
- Don't know

QE5 Did your scheme's most recent data review exercise identify any issues or problems?

- Yes
- No
- Don't know

QE6 Has any action been taken to address the issues identified?

Please choose one answer that most closely describes the action your scheme has taken to date

- An improvement plan is in development
- An improvement plan is in place but rectification work is not yet complete
- An improvement plan has been put in place and rectification work has been completed
- Rectification work has been undertaken without an improvement plan
- No plan has been developed and no work has taken place
- Other (specify)
- Don't know

Section F - Communications

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

QF1 In 2017, what proportion of active members received their annual benefit statements by the statutory deadline?

Please write in a percentage (0%-100%). If you do not know exactly, please give an approximate percentage.

%

QF2 Was the missed deadline for issuing active member statements reported to TPR?

- Yes - and Breach of Law report made
- Yes - but decided not to make a Breach of Law report
- No - not reported
- Don't know

QF3 How confident are you that member communications are accurate, clear, relevant and provided in plain English?

- Very confident
- Fairly confident
- Not very confident
- Not at all confident
- Don't know

Section G - Resolving Issues

QG1 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 write in below. Number at B should be equal or lower than number at A.

A. Total number of complaints received:

B. Number of complaints that have entered the Internal Dispute Resolution (IDR) process:

QG2 To what did the top three types of complaints relate?

Please select up to three of the options below

- Eligibility for ill health benefit
- Slow or ineffective communication
- Inaccuracies or disputes around pension value or definitions
- Delays to benefit payments
- Disputes or queries about the amount of benefit paid
- Delay or refusal of pension transfer
- Inaccurate data held and/or statement issued
- Pension overpayment and recovery
- Other (specify)
- Don't know

Beneficiary Payments (Survivors Pensions/Death Grants)

Section H - Reporting Breaches

QH1 Does the scheme have procedures in place to allow the scheme manager, pension board members and others to identify breaches of the law?

- Yes
- No
- Don't know

QH2 In the last 12 months, have you identified any breaches of the law?

- Yes
- No
- Don't know

QH3 What were the root causes of the breaches identified?

Please select all that apply

- | | |
|---|-------------------------------------|
| Systems or process failure | <input type="checkbox"/> |
| Failure to maintain records or rectify errors | <input type="checkbox"/> |
| Management of transactions (e.g. errors or delays in payment of benefits) | <input type="checkbox"/> |
| Failure of employers to provide timely, accurate or complete data | <input checked="" type="checkbox"/> |
| Other employer related issues (please specify) | <input type="text"/> |
| Conflicts of interest | <input type="checkbox"/> |
| Lack of knowledge and understanding | <input type="checkbox"/> |
| Something else (please specify) | <input type="text"/> |
| Don't know | <input type="checkbox"/> |

QH4 Are there procedures in place to assess breaches of the law, and report these to TPR if required?

- Yes
 No
 Don't know

QH5 In the last 12 months, have you reported any breaches to TPR as you thought they were materially significant?

- Yes
 No
 Don't know

Section I - Governance and Administration

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

QI1 To what do the main three barriers to improving the governance and administration of your scheme relate?

Please select up to three of the options below

- Lack of resources or time
 Complexity of the scheme
 The volume of changes that are required to comply with legislation
 Recruitment, training and retention of staff and knowledge
 Lack of knowledge, effectiveness or leadership among key personnel
 Poor communications between key personnel (board, scheme manager, administrator, etc)
 Employer compliance
 Issues with systems (IT, payroll, administration systems, etc)
 Other (please specify)
 There are no barriers
 Don't know

QI2 To what would you attribute any improvements made to the scheme's governance and administration in the last 12 months?

Please select all that apply

Improved understanding of underlying legislation and standards expected by TPR	<input type="checkbox"/>
Improved engagement by TPR	<input type="checkbox"/>
Improved understanding of the risks facing the scheme	<input type="checkbox"/>
Resources increased or redeployed to address risks	<input checked="" type="checkbox"/>
Administrator action (please specify)	<input type="text" value="Restructure of administration to pr"/>
Scheme manager action (please specify)	<input type="text"/>
Pension board action (please specify)	<input type="text"/>
Other (please specify)	<input type="text"/>
No improvements to governance/administration in last 12 months	<input type="checkbox"/>
Don't know	<input type="checkbox"/>

Section J - TPR Products and Perceptions

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

QJ1 Have you used or are you aware of the following materials provided by TPR?

Please select one answer per row

	Used in last 12 months	Used but not in last 12 months	Aware of this but not used it	Not aware of this	Don't know
Public service section of the TPR website	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Public service code of practice	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Guide to issuing annual benefit statements	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Guides to public service pension boards	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Public service toolkit	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Reporting breaches guidance	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Self-assessment tool	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Data improvement quick guide	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Example risk register	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Quick guide to scheme return	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Internal controls checklist	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Record keeping quick guide	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
News by email service	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>

QJ2 How useful did you find each of the following TPR materials?

Please select one answer per material used

	Very useful	Fairly useful	Not very useful	Not at all useful	Don't know
Public service section of the TPR website	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Public service code of practice	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Reporting breaches guidance	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Data improvement quick guide	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Internal controls checklist	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Record keeping quick guide	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

QJ3 When did you most recently visit TPR's website?

- In the last month
- 2-3 months ago
- 4-6 months ago
- 7-12 months ago
- More than a year ago
- Don't know / can't remember
- Have never visited the TPR website

QJ4 To what extent would you say you get what you want from the TPR website when you visit it? Would you say you typically...?

- Get everything you want
- Get most of what you want
- Get some of what you want
- Do not get what you want
- Don't know

QJ5 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 row

	Strongly agree	Agree	Neither agree nor disagree	Disagree	Strongly disagree	Don't know
Tough	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Efficient	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Visible	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Fair	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Respected	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Evidence-based	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Decisive	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Clear	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Approachable	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

QJ6 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?

- Very effective
- Fairly effective
- Neither effective nor ineffective
- Not very effective
- Not at all effective
- Don't know

QJ7 In September TPR started an email campaign aimed at driving up the standards of governance in pension schemes. The campaign is also referred to as 21st century trusteeship. It outlines how people involved in running schemes can take action to meet the expected standards.

Do you remember receiving any emails about this from TPR?

- Yes
- I think so
- No
- Don't know

Section K - Attribution

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. Before you submit your answers, there are just four more questions about your survey responses.

QK1 What other parties did you consult with to complete this survey?

- Scheme manager or representative of the scheme manager
- Pension board chair
- Pension board member
- Administrator
- Other
- Did not consult with any other parties

QK2 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?

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

QK3 And would you also be happy for the responses you have given to be linked to your scheme name and shared with the relevant scheme advisory board? This is to help inform the advisory boards of areas for improvement and to further their engagement with pension boards.

- Yes, I am happy for my responses to be linked to my scheme name and shared with the relevant advisory board
 No, I would like my responses to remain anonymous

QK4 Please record your name below. This is just for quality control purposes and will not be passed on to TPR.

Geoff Cleak - Pensions Manager

ENDS