

# **The Pensions Regulator**

## **Public Service Governance and Administration Survey 2022-23**

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. Please answer the questions 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 Pensions Regulator's (TPR'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. They should work with the pension board chair to complete it, and other parties (e.g., the administrator) where appropriate.

There is a space at the end of the survey to add comments about your answers where you feel this would be useful.

## **SECTION A – GOVERNANCE**

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

### **A1. EVERYONE TO ANSWER**

Focusing on the scheme's pension board meetings in the last 12 months, please tell us the following:

- a) Number of board meetings that were scheduled to take place 4
- b) Number of board meetings that actually took place 4
- c) Number of board meetings that were attended by the scheme manager or their representative 4

### **A2. ANSWER IF KNOW NUMBER OF BOARD MEETINGS THAT TOOK PLACE**

Thinking about the number of pension board meetings that took place, was this more, the same or less than in the previous 12 month period?

Please select one answer only

- 1. More
- 2. Same
- 3. Less
- 4. Don't know

### **A3. EVERYONE TO ANSWER**

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

Please select one answer only

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

### **A4. EVERYONE TO ANSWER**

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

By resources we mean staffing, IT/systems and available budget.

Please select one answer only

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

### **A5. EVERYONE TO ANSWER**

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

Please select one answer only

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

#### **A6. EVERYONE TO ANSWER**

How often does the scheme manager or pension board carry out an evaluation of the knowledge, understanding and skills of the board as a whole in relation to running the scheme?

Please select one answer only

1. At least monthly
2. **At least quarterly**
3. At least every six months
4. At least annually
5. Less frequently
6. Never
7. Don't know

#### **A7. EVERYONE TO ANSWER**

On average, how many hours of training per year does each pension board member have in relation to their role on the pension board?

Please write in the number below

**9** hours per year

#### **A8. EVERYONE TO ANSWER**

Does the pension board believe that in the last 12 months it has had access to all the information about the operation of the scheme it has needed to fulfil its functions?

Please select one answer only

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

#### **A9. EVERYONE TO ANSWER**

Does the scheme have a succession plan in place for the members of the pension board?

By this we mean a plan or process for how you will find, appoint and train suitable new members of the pension board to replace any existing board members who leave or retire.

Please select one answer only

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

## **SECTION B – MANAGING RISKS**

The next set of questions is about managing risks.

### **B1. EVERYONE TO ANSWER**

Does your scheme have any of the following?

| Please select one answer per row   | Yes                              | No                    | Don't know            |
|--|----------------------------------|-----------------------|-----------------------|
| a) Its own documented procedures for assessing and managing risk<br><i>(please select 'No' if your scheme relies on your local authority's documented procedures for assessing and managing risk)</i>                      | <input checked="" type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| b) Its own risk register<br><i>(please select 'No' if your scheme relies on your local authority's risk register)</i>  | <input checked="" type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| c) A documented policy to manage the pension board members' conflicts of interest  | <input checked="" type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| d) Processes to monitor records for all membership types on an ongoing basis to ensure they are accurate and complete  | <input checked="" type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| e) A process for monitoring the payment of contributions   | <input checked="" type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| f) A process for resolving contribution payment issues   | <input checked="" type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| g) Procedures to identify breaches of the law  | <input checked="" type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| h) Procedures to assess breaches of the law and report these to TPR if required  | <input checked="" type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| i) A process for dealing with remediation<br><i>(by 'remediation' we mean the actions required to remedy the age discrimination in the 2015 schemes. This is also often referred to as either 'McCloud' or 'Sergeant')</i> | <input checked="" type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| j) A process to monitor resourcing levels and address any issues   | <input checked="" type="radio"/> | <input type="radio"/> | <input type="radio"/> |

## B2. ANSWER IF HAVE ANY OF THE RISK MANAGEMENT PROCESSES (YES AT ANY OF B1a-j)

When were these last reviewed by the scheme manager or pension board?

| Please select one answer per row<br>(just for those selected at B1)   | In the last 12 months            | More than 12 months ago but less than 3 years ago | More than 3 years ago | Never been reviewed   | Don't know            |
|---|----------------------------------|---|-----------------------|-----------------------|-----------------------|
| a) The scheme's own documented procedures for assessing and managing risk   | <input checked="" type="radio"/> | <input type="radio"/>                             | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| b) The scheme's own risk register   | <input checked="" type="radio"/> | <input type="radio"/>                             | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| c) The documented policy to manage the pension board members' conflicts of interest                                       | <input type="radio"/>            | <input checked="" type="radio"/>                  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| d) The processes to monitor records for all membership types on an ongoing basis to ensure they are accurate and complete | <input type="radio"/>            | <input checked="" type="radio"/>                  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| e) The process for monitoring the payment of contributions  | <input type="radio"/>            | <input checked="" type="radio"/>                  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| f) The process for resolving contribution payment issues  | <input type="radio"/>            | <input checked="" type="radio"/>                  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| g) The procedures to identify breaches of the law   | <input type="radio"/>            | <input checked="" type="radio"/>                  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| h) The procedures to assess breaches of the law and report these to TPR if required                                       | <input type="radio"/>            | <input checked="" type="radio"/>                  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| i) The process for dealing with remediation   | <input checked="" type="radio"/> | <input type="radio"/>                             | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| j) The process to monitor resourcing levels and address any issues  | <input type="radio"/>            | <input checked="" type="radio"/>                  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

## B3. EVERYONE TO ANSWER

In the last 12 months, how many pension board meetings reviewed the scheme's exposure to new and existing risks?

Please write in the number below

#### **B4. EVERYONE TO ANSWER**

To what do the top three governance and administration risks on your register relate? If you do not have a risk register, please tell us what the top three governance and administration risks facing your scheme relate to.

Please select up to three options below

1. Securing compliance with changes in scheme regulations
2. Ensuring the scheme is compliant with the pensions dashboards requirements
3. Lack of resources/time
4. Recruitment and retention of staff or knowledge
5. Remediation (i.e. the actions required to remedy the age discrimination in the 2015 schemes; also referred to as 'McCloud' or 'Sergeant')
6. Other ongoing court cases
7. Record-keeping (i.e. the receipt and management of correct data)
8. Production of annual benefit statements
9. Systems failures (IT, payroll, administration systems, etc.)
10. Cyber risk (i.e. the risk of loss, disruption or damage to a scheme or its members as a result of the failure of its IT systems and processes)
11. Administrator issues (expense, performance, etc.)
12. Guaranteed Minimum Pension (GMP) reconciliation
13. Scheme funding or investment
14. Other (please specify):.....
15. Don't know

#### **B5. EVERYONE TO ANSWER**

Which, if any, of the following actions have you taken in relation to the remediation proposals?

By 'remediation' we mean the actions required to remedy the age discrimination in the 2015 schemes. This is also often referred to as either 'McCloud' or 'Sergeant'.

Please select all the options that apply

1. Assessed the possible administration impacts
2. Assessed the data requirements
3. Commenced a specific data cleansing or data gathering exercise
4. Carried out immediate detriment calculations
5. Assessed any additional resources likely to be required
6. Discussed system requirements with IT suppliers
7. Recruited or made plans to recruit additional staff
8. Secured budget for additional requirements
9. Engaged with your Scheme Advisory Board or relevant authority
10. Provided specific information to members
11. Established a dedicated project team
12. Taken other actions (please specify): Updated risk register
13. None of these
14. Don't know

## **SECTION C – ADMINISTRATION AND RECORD-KEEPING PROCESSES**

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

### **C1. EVERYONE TO ANSWER**

Does the scheme have an administration strategy?

By this we mean policies and procedures that set out the responsibilities of the scheme and its employer(s).

Please select one answer only

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

### **C2. EVERYONE TO ANSWER**

Which of the following best describes the scheme's administration services?

Please select one answer only

1. Delivered in house
2. Undertaken by another public body (e.g. a county council) under a shared service agreement or outsource contract
3. Outsourced to a commercial third party
4. Other
5. Don't know

### **C3. EVERYONE TO ANSWER**

In the last 12 months, how many pension board meetings had administration as a dedicated item on the agenda?

Please write in the number below

4

### **C4. EVERYONE TO ANSWER**

Does the scheme's administrator have a formal data management plan or policy?

A data management plan or policy formally records the scheme's approach to managing and improving its pension scheme data.

Please select one answer only

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

## C7. EVERYONE TO ANSWER

Is your scheme single employer or multi-employer?

Please select one answer only

1. Single employer scheme (i.e. used by just one employer)
2. Multi-employer scheme (i.e. used by several different employers)

## C10. ANSWER IF MULTI-EMPLOYER SCHEME

In the last 12 months, what proportion of your scheme's employers have...

Please write in the percentage (from 0% to 100%) in each box. If you don't know exactly, please give approximate percentages

- |  |      |
|--|------|
| a) Always provided you with accurate and complete data?          | 55 % |
| b) Always submitted the data required each month to you on time? | 99 % |

## C11. ANSWER IF MULTI-EMPLOYER SCHEME

And in the last 12 months, what proportion of your scheme's employers have...

Please write in the percentage (from 0% to 100%) for each of a-c below. If you don't know exactly, please give approximate percentages. The percentages in the three boxes should add up to 100%

- |   |         |
|---|---------|
| a) Submitted all data to you electronically?              | 100 %   |
| b) Submitted some but not all data to you electronically? | ..... % |
| c) Not submitted any data to you electronically?          | ..... % |

## C12. EVERYONE TO ANSWER

Do you automatically test the data received from the employer(s) (i.e. automatic validation)?

For example, checking that there are no duplicate National Insurance numbers or that postcodes are in a valid format.

Please select one answer only

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

## C13. EVERYONE TO ANSWER

Do you provide information or training to employers on the data they need to provide?

Please select one answer only

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

## C14. EVERYONE TO ANSWER

In the last 2 years, would you say that the budget you've spent on managing or improving the scheme's data has increased, stayed the same or decreased?

In this context we're referring to data about scheme members such as personal identifiers (e.g. name, national insurance number), contribution records, etc.

Please select one answer only

1. Increased
2. Stayed the same
3. Decreased
4. Don't know



### **C15. ANSWER IF BUDGET FOR MANAGING/IMPROVING DATA HAS INCREASED**

What were the reasons for this increased spend on managing or improving the scheme's data?

Please select all the options that apply

1. Increased focus or scrutiny by TPR
2. Improved understanding of the risks facing the scheme
3. To address issues identified through a data review, complaint or audit
4. To prepare for transition to a new administrator
5. To prepare for the pensions dashboards
6. To prepare for remediation
7. To deliver other special projects (e.g. GMP equalisation)
8. To reduce errors and complaints
9. To drive efficiencies and cost savings
10. To deliver improved services to members (e.g. online portals)
11. Other reason (please specify): **Change of administrator**
12. Don't know

### **C16. EVERYONE TO ANSWER**

In the next 2 years, do you expect your budget for managing or improving data to...?

Please select one answer only

1. Increase
2. **Stay the same**
3. Decrease
4. Don't know

### **C17. EVERYONE TO ANSWER**

In the last 2 years, would you say that the investment you've made in administration technology or automation has increased, stayed the same or decreased?

Please select one answer only

1. **Increased**
2. Stayed the same
3. Decreased
4. Don't know

### **C18. ANSWER IF INVESTMENT IN ADMINISTRATION TECHNOLOGY/AUTOMATION HAS INCREASED**

What were the reasons for this increased investment in administration technology or automation?

Please select all the options that apply

1. Increased focus or scrutiny by TPR
2. To prepare for the pensions dashboards
3. To prepare for remediation
4. To reduce errors and complaints
5. **To drive efficiencies and cost savings**
6. **To deliver improved services to members (e.g. online portals)**
7. To implement digital or biometric checks
8. Other reason (please specify): .....
9. Don't know

### **C19. EVERYONE TO ANSWER**

In the next 2 years, do you expect your budget for administration technology or automation to...?

Please select one answer only

1. Increase
2. **Stay the same**
3. Decrease
4. Don't know

### **C20. ANSWER IF BUDGET FOR MANAGING/IMPROVING DATA OR INVESTMENT IN ADMINISTRATION TECHNOLOGY/AUTOMATION HAS INCREASED**

You mentioned that you have increased your spend on managing/improving data or on administration technology/automation in the last 2 years. Has this resulted in any of the following benefits?

Please select all the options that apply

1. Reduced errors or complaints
2. **Efficiencies and cost savings**
3. **Improved services to members**
4. Greater member engagement
5. Other benefits (please specify): .....
6. None of these
7. Don't know

## **SECTION D – ANNUAL BENEFIT STATEMENTS**

The next set of questions is about members' annual benefit statements.

### **D1a. EVERYONE TO ANSWER**

In 2022, in which of the following ways were your active members sent their annual benefit statements?

Please select all the options that apply

1. Via a digital online portal, with notification by email
2. Via a digital online portal, with notification by letter
3. Via a digital online portal, with no notification
4. By post
5. Other way(s) (please specify): Via employer
6. Don't know

### **D1b. ANSWER IF USED MORE THAN ONE METHOD TO SEND ANNUAL BENEFIT STATEMENTS AT D1a**

In 2022, what proportion of your active members were sent their annual benefit statements in each of these ways?

Please write in the percentage (from 0% to 100%) for each of a-e below. If you do not know exactly, please give approximate percentages

- |   |         |
|---|---------|
| a) Via a digital online portal, with notification by email  | 67.19 % |
| b) Via a digital online portal, with notification by letter | ..... % |
| c) Via a digital online portal, with no notification        | ..... % |
| d) By post  | 0.62 %  |
| e) Other way(s) (please specify): Via Employer              | 100 %   |

### **D2. EVERYONE TO ANSWER**

In 2022, what proportion of active members received their annual benefit statements by the statutory deadline?

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

99.4 %

### **D3. ANSWER IF DEADLINE WAS MISSED FOR ANY MEMBERS**

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

Please select one answer only

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

### **D4. ANSWER IF MISSED DEADLINE WAS NOT REPORTED TO TPR**

What was the main reason for not reporting the breach?

Please select one answer only

1. Not material - few statements affected
2. Not material - very short delay
3. Other reason (please specify): .....
4. Don't know

#### **D5. EVERYONE TO ANSWER**

What proportion of all the annual benefit statements the scheme sent out in 2022 contained all the data required by regulations?

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

100 %

#### **D6. EVERYONE TO ANSWER**

Looking forwards, how confident are you that all active members will receive their annual benefit statements by the statutory deadline in 2023?

Please select one answer only

- a) Very confident
- b) Fairly confident
- c) Not particularly confident
- d) Not at all confident
- e) Don't know

## **SECTION E – REPORTING BREACHES**

The next set of questions is about the scheme's approach to dealing with any breaches of the law.

### **E1. EVERYONE TO ANSWER**

Do you maintain documented records of any breaches of the law identified?

Please select one answer only

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

### **E2. ANSWER IF MAINTAIN RECORDS OF BREACHES OF THE LAW**

Do these records include the decision taken on whether or not to report the breach of the law to TPR?

Please select one answer only

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

### **E3. EVERYONE TO ANSWER**

Does the pension board receive reports on any breaches of the law identified?

Please select one answer only

1. Always
2. **Sometimes**
3. Never
4. Don't know

### **E4. EVERYONE TO ANSWER**

In the last 12 months, have you identified any breaches of the law that were not related to annual benefit statements?

Please select one answer only

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

### **E5. ANSWER IF ANY BREACHES OF THE LAW NOT RELATED TO ANNUAL BENEFIT STATEMENTS HAVE BEEN IDENTIFIED IN THE LAST 12 MONTHS**

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 the employer(s) to provide timely, accurate or complete data
5. Late or non-payment of contributions by the employer(s)
6. Other employer-related issues (please specify): .....
7. Something else (please specify): .....
8. Don't know

**E6. ANSWER IF ANY BREACHES OF THE LAW NOT RELATED TO ANNUAL BENEFIT STATEMENTS HAVE BEEN IDENTIFIED IN THE LAST 12 MONTHS**

In the last 12 months, have you reported any breaches to TPR as you thought they were materially significant? Please do not include any breaches that related to annual benefit statements.

Please select one answer only

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

## **SECTION F – IMPROVEMENTS TO GOVERNANCE AND ADMINISTRATION**

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

### **F1. EVERYONE TO ANSWER**

What do you believe are the top three factors behind any improvements made to the scheme's governance and administration in the last 12 months?

Please select up to three options below

1. Improved understanding of underlying legislation and standards expected by TPR
2. Improved engagement by TPR
3. Improved understanding of the risks facing the scheme
4. Resources increased or redeployed to address risks
5. Administrator action (please specify): .....
6. Scheme manager action (please specify): Improved engagement with employers
7. Pension board action (please specify):.....
8. Other (please specify): Improved understanding of information provided by the administrator
9. No improvements made to governance/administration in the last 12 months
10. Don't know

### **F2. EVERYONE TO ANSWER**

What are the main three barriers to improving the governance and administration of your scheme over the next 12 months?

Please select up to three options below

1. Lack of resources or time
2. Complexity of the scheme
3. The volume of changes that are required to comply with legislation
4. Recruitment, training and retention of staff and knowledge
5. Lack of knowledge, effectiveness or leadership among key personnel
6. Poor communications between key personnel (board, scheme manager, administrator, etc.)
7. Employer compliance
8. Issues with systems (IT, payroll, administration systems, etc.)
9. The remediation process (also referred to as 'McCloud' or 'Sergeant')
10. The pensions dashboards requirements
11. Other (please specify): .....
12. There are no barriers
13. Don't know

## **SECTION G – PENSIONS DASHBOARDS**

Government has been working on legislation to enable the development of pensions dashboards. Pensions dashboards are digital interfaces such as websites or apps which will enable a person to see all their pensions in one place.

### **G1. EVERYONE TO ANSWER**

The Pension Schemes Act 2021 contains provisions to require trustees and scheme managers to provide data to savers through pensions dashboards. Before today, were you aware of this change to pensions law?

Please select one answer only

1. Yes – aware of this change to pensions law
2. No – heard of pension dashboards but not aware of this change to pensions law
3. No – hadn't heard of pensions dashboards before this survey
4. Don't know

### **G2. ANSWER IF AWARE OF PENSIONS DASHBOARDS**

As far as you know, has the scheme manager or a member of the pension board done any of the following?

Please select all the options that apply

1. Attended or viewed a TPR pensions dashboards webinar
2. Listened to a TPR pensions dashboards podcast
3. Read TPR's guidance on pensions dashboards
4. Engaged with any other material put out by TPR regarding pensions dashboards (please specify): .....
5. None of these
6. Don't know

### **G3. ANSWER IF READ TPR'S GUIDANCE ON PENSIONS DASHBOARDS**

How useful did the scheme manager and/or pension board find TPR's guidance on pensions dashboards?

Please select one answer only

1. Very useful
2. Fairly useful
3. Not particularly useful
4. Not at all useful
5. Don't know



## **SECTION H – CLIMATE CHANGE (FOR LOCAL GOVERNMENT SCHEMES ONLY)**

The next set of questions is about climate change.

### **H1. ANSWER IF LOCAL GOVERNMENT SCHEME (LGPS)**

Firstly, has your scheme allocated time or resources to assessing any financial risks and opportunities associated with climate change?

Please select one answer only

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

### **H2. ANSWER IF ALLOCATED TIME/RESOURCES TO CLIMATE CHANGE (H1=1)**

Which of the following processes do you use to manage climate-related risks and opportunities?

| Please select one answer per row   | Yes                              | No                               | Don't know            |
|--|----------------------------------|----------------------------------|-----------------------|
| a) Include climate-related issues as a regular agenda item at pension board meetings           | <input type="radio"/>            | <input checked="" type="radio"/> | <input type="radio"/> |
| b) Assign responsibility for climate-related issues to a specified individual or sub-committee | <input type="radio"/>            | <input checked="" type="radio"/> | <input type="radio"/> |
| c) Include, monitor and review targets in the scheme's climate policy                          | <input type="radio"/>            | <input checked="" type="radio"/> | <input type="radio"/> |
| d) Add climate-related risks to your risk register   | <input type="radio"/>            | <input checked="" type="radio"/> | <input type="radio"/> |
| e) Include climate related topics in your pension board training plan                          | <input checked="" type="radio"/> | <input type="radio"/>            | <input type="radio"/> |

### **H3. ANSWER IF ALLOCATED TIME/RESOURCES TO CLIMATE CHANGE (H1=1)**

Have you taken any of the following actions on stewardship in order to help with your management of climate risks?

By stewardship we mean the responsible allocation, management and oversight of capital to create long-term value for pension scheme members.

| Please select one answer per row   | Yes                              | No                               | Don't know            |
|--|----------------------------------|----------------------------------|-----------------------|
| a) Talked to advisers and asset managers about how climate-related risks and opportunities are built into their engagement and voting policies   | <input checked="" type="radio"/> | <input type="radio"/>            | <input type="radio"/> |
| b) When appointing new asset managers, asked the prospective manager how they include climate factors in engagement and voting behaviour   | <input checked="" type="radio"/> | <input type="radio"/>            | <input type="radio"/> |
| c) When outsourcing activities, set out in legal documents your expectations on climate stewardship and approaches (e.g. in the Investment Management Agreement or in side letters to pooled fund documentation) | <input checked="" type="radio"/> | <input type="radio"/>            | <input type="radio"/> |
| d) Joined collaborative engagement efforts on climate change   | <input type="radio"/>            | <input checked="" type="radio"/> | <input type="radio"/> |
| e) Signed the UK Stewardship Code  | <input type="radio"/>            | <input checked="" type="radio"/> | <input type="radio"/> |

## **SECTION I – TPR CODES OF PRACTICE AND GUIDANCE**

The next set of questions is about TPR's Codes of Practice and guidance.

### **I1. EVERYONE TO ANSWER**

Before this survey, were you aware that TPR produces...?

| Please select one answer per row   | Yes                              | No                    | Don't know            |
|--|----------------------------------|-----------------------|-----------------------|
| a) Codes of Practice<br><i>(a Code of Practice is not a statement of law, but sets out the standards of conduct and practice that TPR expects)</i>                                       | <input checked="" type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| b) Guidance<br><i>(guidance refers to material published by TPR intended to help explain particular matters or provide examples of good practice)</i>                                    | <input checked="" type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| c) The Public Service Toolkit<br><i>(the Public Service Toolkit is a free online learning programme for pension board members, and others, to improve their knowledge of their role)</i> | <input checked="" type="radio"/> | <input type="radio"/> | <input type="radio"/> |

### **I2. ANSWER IF AWARE OF TPR CODES OF PRACTICE, GUIDANCE OR TOOLKIT**

When did you last use or consult any of...?

| Please select one answer per row | In the last 3 months             | 4-6 months ago                   | 7-12 months ago       | Over 12 months ago    | Never                 | Don't know            |
|----------------------------------|----------------------------------|----------------------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| a) TPR's Codes of Practice       | <input checked="" type="radio"/> | <input type="radio"/>            | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| b) TPR's guidance                | <input type="radio"/>            | <input checked="" type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| c) TPR's Public Service Toolkit  | <input type="radio"/>            | <input checked="" type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

### **I3. ANSWER IF EVER USED TPR CODES OF PRACTICE AT I2a**

Which of the following Codes of Practice have you ever used or consulted?

Please select all the options that apply

1. Governance and administration of public service pension schemes (Code 14)
2. Any other TPR Codes of Practice
3. None of these
4. Don't know

### **I4. EVERYONE TO ANSWER**

Most of TPR's Codes of Practice will soon be replaced by a new 'Single Code'. Before this survey, were you aware of the introduction of a Single Code of Practice?

Please select one answer only

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

### 15. ANSWER IF AWARE OF TPR SINGLE CODE (I4=1)

Based on what you know about it, to what extent do you agree or disagree that the Single Code of Practice will...?

| Please select one answer per row  | Strongly agree        | Tend to agree                    | Neither agree nor disagree       | Tend to disagree      | Strongly disagree     | Don't know            |
|---|-----------------------|----------------------------------|----------------------------------|-----------------------|-----------------------|-----------------------|
| a) Improve how this scheme is governed                                  | <input type="radio"/> | <input type="radio"/>            | <input checked="" type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| b) Increase the work required by this scheme to meet TPR's expectations | <input type="radio"/> | <input checked="" type="radio"/> | <input type="radio"/>            | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| c) Make it easier to understand TPR's expectations                      | <input type="radio"/> | <input type="radio"/>            | <input checked="" type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

## **SECTION J – TPR ENFORCEMENT POLICY**

The next questions are about TPR's scheme management enforcement policy.

### **J1. EVERYONE TO ANSWER**

Before this survey, were you aware that last year TPR published a new-look enforcement policy that includes a number of changes?

Please select one answer only

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

### **J2. ANSWER IF AWARE OF CHANGES TO TPR'S ENFORCEMENT POLICY**

How much do you know about the changes to TPR's enforcement policy?

Please select one answer only

1. A lot about them
2. A fair amount
3. A little bit
4. Nothing
5. Don't know

### **J3. ANSWER IF ANY KNOWLEDGE OF CHANGES TO TPR'S ENFORCEMENT POLICY**

Specifically, which of the following changes to TPR's enforcement policy are you aware of?

Please select all the options that apply

1. It is a consolidated version of TPR's existing policies for DB, DC and public service pension schemes
2. It covers TPR's approach to new fixed and escalating penalty powers
3. It covers TPR's options to use both criminal and regulatory powers in respect of the same set of circumstances
4. TPR has new powers to impose high fines for providing false or misleading information to either TPR or scheme trustees
5. Any other changes (please specify): .....
6. None of these
7. Don't know

### **J4. ANSWER IF ANY KNOWLEDGE OF CHANGES TO TPR'S ENFORCEMENT POLICY**

Have you read TPR's new-look enforcement policy?

Even if you have only skimmed or partially read the new-look policy please still select 'yes'.

Please select one answer only

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

## **SECTION K – EQUALITY, DIVERSITY AND INCLUSION**

The final set of questions is about pension board equality, diversity and inclusion.

### **K1. EVERYONE TO ANSWER**

Diversity data refers to characteristics such as age, gender, ethnicity, religion, etc. Does the scheme formally obtain and record any diversity data in relation to the members of the pension board?

This question is about the pension board not the scheme's members. Please only answer yes if you record diversity data about the members of the pension board.

Please select one answer only

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

### **K4. ANSWER IF DO NOT CAPTURE DIVERSITY DATA ABOUT THE PENSION BOARD (K1=2)**

Why does the scheme not capture diversity data in relation to the pension board?

Please select all the options that apply

1. Concerns about data protection legislation
2. No interest in collecting this data
3. **No need to collect this data**
4. Haven't thought about collecting this data
5. We consider/assess the diversity of the pension board but don't formally record it
6. Other reason (please specify): .....
7. None of these
8. Don't know

## **SECTION L – 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 a few more questions about your survey responses.

### **L1. EVERYONE TO ANSWER**

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

Please select one answer only

1. Scheme manager\*
2. Representative of the scheme manager
3. Pension board chair
4. Pension board member
5. Administrator
6. 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.

### **L2. EVERYONE TO ANSWER**

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

Please select all the options that apply

1. Scheme manager
2. Representative of the scheme manager
3. Pension board chair
4. Pension board member
5. Administrator
6. Other
7. Did not consult with any other parties

### **L3. 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 scheme name would 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 for this purpose
2. No, I would like my responses to remain anonymous

### **L4. EVERYONE TO ANSWER**

And would you 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.

Please select one answer only

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

#### **L5. EVERYONE TO ANSWER**

TPR may conduct some follow up research on this topic to improve their advice and engagement with schemes such as yours. Would you be willing for us to pass on your name, contact details and relevant survey responses to them so that they, or a different research agency on their behalf, could invite you to take part?

You may not be contacted and, if you are, there is no obligation to take part. Your contact details will be stored for a maximum duration of 12 months, before being securely destroyed.

Please select one answer only

1. Yes, I am happy to be contacted for follow-up research
2. No, I would prefer not to be contacted for follow-up research

#### **L6. EVERYONE TO ANSWER**

Please record your name below. This is just for quality control purposes and will not be passed on to TPR (unless you have agreed that they can contact you for follow-up research).

Please write in below

.....

#### **L7. EVERYONE TO ANSWER**

Finally, please use the space below if you have any other comments or would like to clarify/ explain any of the answers you have given.

Please write in below if applicable

.....

.....

.....

.....

Thank you. Please now submit your responses through the [online survey link](#) contained in your invitation email. If you have any queries or technical issues please contact James Murray (Director, OMB Research) at [james.murray@ombresearch.co.uk](mailto:james.murray@ombresearch.co.uk)