The Pensions Regulator

PSPS Governance and Administration Survey 2025-26

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 <u>online survey link</u> 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.

<u>SECTION A – GOVERNANCE</u>

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 <u>last 12 months</u>, please tell us the following:

Please write in the number for each of a-c below. Please include any board meetings that were held remotely (e.g. via teleconference or online meeting software)

  a) **Number of board meetings that were <u>scheduled</u> to take place (in the last 12 months)** ....4..........

  b) **Number of board meetings that actually <u>took place</u> (in the last 12 months)** ....4..........

  c) **Number of board meetings that were attended by the scheme manager or their representative (in the last 12 months)** ....4..........

A2. ANSWER IF KNOW NUMBER OF BOARD MEETINGS THAT TOOK PLACE (A1b=0+)
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 <u>time</u> 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 <u>resources</u> 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

Has the knowledge and understanding of the entire pension board been assessed against the expectations set for board members by TPR?

Please select one answer only

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

A8. EVERYONE TO ANSWER

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

We appreciate that this may differ for individual board members, but please provide your best estimate of the average hours.

Please write in the number below

..............20............... hours per year

A9. 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

A10. EVERYONE TO ANSWER

Does the scheme (or the sponsoring body) 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

A11. EVERYONE TO ANSWER

To what extent do you agree or disagree with the following…?

Please select one answer per row	Strongly disagree	Tend to disagree	Neither agree nor disagree	Tend to agree	Strongly agree	Don't know
Pension board members have a good range of relevant experience	○	○	○	○	○	○
The pension board is diverse in terms of protected characteristics such as age, gender, ethnicity and disability	○	○	○	○	○	○
The pension board has the right knowledge, skills and capabilities to deal with the advice and recommendations it needs to provide	○	○	○	○	○	○
The pension board has a good mix of cognitive diversity (i.e. people with different ways of thinking, problem-solving and approaching decisions)	○	○	○	○	○	○
The chair drives and promotes equality, diversity and inclusion within the board	○	○	○	○	○	○

SECTION B – MANAGING RISKS

The next set of questions is about managing risks.

B1. EVERYONE TO ANSWER
Does your scheme have adequate processes for governing the following?

Please select one answer per row	Yes	No	Don't know	Not applicable
Conflicts of interest	○	**○**	○	○
The knowledge and skills of pension board members	**○**	○	○	○
Identifying and reporting breaches of law	**○**	○	○	○
Resolving contribution and payment issues	**○**	○	○	○
LGPS SCHEMES ONLY: **Assessing and managing investment risks to the scheme**	**○**	○	○	○
Assessing and managing operational risks to the scheme	**○**	○	○	○
Ensuring accuracy of scheme and member data	**○**	○	○	○
Monitoring and managing the performance of advisers and service providers	**○**	○	○	○
LGPS SCHEMES ONLY: **Monitoring scheme investments**	**○**	○	○	○
The maintenance of IT systems and cyber controls	**○**	○	○	○
Ensuring compliance with statutory disclosures	**○**	○	○	○

B2. ANSWER IF HAVE ANY ADEQUATE PROCESSES (YES AT ANY B1 OPTION)

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

Please select one answer per row (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
Conflicts of interest	○	**O**	○	○	○
The knowledge and skills of pension board members	**O**	○	○	○	○
Identifying and reporting breaches of law	**O**	○	○	○	○
Resolving contribution and payment issues	**O**	○	○	○	○
LGPS SCHEMES ONLY: **Assessing and managing investment risks to the scheme**	**O**	○	○	○	○
Assessing and managing operational risks to the scheme	**O**	○	○	○	○
Ensuring accuracy of scheme and member data	**O**	○	○	○	○
Monitoring and managing the performance of advisers and service providers	**O**	○	○	○	○
LGPS SCHEMES ONLY: **Monitoring scheme investments**	**O**	○	○	○	○
The maintenance of IT systems and cyber controls	**O**	○	○	○	○
Ensuring compliance with statutory disclosures	**O**	○	○	○	○

B3. ANSWER IF HAD ANY BOARD MEETINGS IN LAST 12 MONTHS (A1b=1+)

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

............4................

B4. EVERYONE TO ANSWER

To what do the top three governance and administration risks facing your scheme relate?

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. Risks related to the remediation of age-related discrimination (McCloud/Sergeant)
6. Risks associated with other remediation or rectification exercises (e.g. reputational, complaints, resourcing etc.
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. Increases in 'business as usual' workload (e.g. restructuring which leads to increased retirement or redundancy quotes)
13. Guaranteed Minimum Pension (GMP) reconciliation
14. Scheme funding or investment (including asset pooling)
15. Impact of wider political decisions (e.g. local government reorganisation)
16. Other (please specify): ....
17. Don't know

B5. EVERYONE TO ANSWER

Which, if any, of the following actions have you taken in relation to the remediation of age-related discrimination in the 2015 schemes (often referred to as McCloud or Sergeant)?

Please select all the options that apply

1. Assessed the possible long-term administration impacts
2. Carried out immediate detriment calculations
3. Assessed any additional resources likely to be required for 'business as usual' services
4. Secured budget for additional requirements
5. Recruited additional staff
6. Completed relevant system changes
7. Engaged with your Scheme Advisory Board or relevant authority
8. Provided specific information to members
9. Established a dedicated project team
10. Taken other actions (please specify): ....
11. None of these
12. Don't know

B6. EVERYONE TO ANSWER

How confident does the pension board feel in identifying and evaluating any risks related to each of the following?

Please select one answer per row	Not at all confident	Not particularly confident	Fairly confident	Very confident	Don't know
Regulatory and legislative	○	○	🟡○	○	○
LGPS SCHEMES ONLY: **Investment**	○	○	🟡○	○	○
Scheme funding	○	○	🟡○	○	○
LGPS SCHEMES ONLY: **Climate change and ESG (environmental, social and governance)**	○	○	🟡○	○	○
Cyber control	○	○	🟡○	○	○
Administration and data	○	○	🟡○	○	○

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 governing body, administrators 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. ANSWER IF HAD ANY BOARD MEETINGS IN LAST 12 MONTHS (A1b=1+)

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

C5. ANSWER IF HAVE A DATA MANAGEMENT PLAN/POLICY (C4=1)

Does this data management plan or policy set out any of the following?

Please select one answer per row	Yes	No	Don't know
a) **What data is held or used**	○	○	○
b) **Where data is received from or transferred to**	○	○	○
c) **Processes for receiving, sharing and managing data**	○	○	○
d) **Data quality controls in place (e.g. validation checks)**	○	○	○
e) **The approach to measuring data and steps being taken to improve data (e.g. an improvement plan)**	○	○	○
f) **A data governance framework**	○	○	○

C6. EVERYONE TO ANSWER

Have you conducted any specific data improvement work in the past 12 months?

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)

C8. ANSWER IF SINGLE EMPLOYER SCHEME (C7=1)

In the last 12 months, has your participating employer…

Please select one answer per row	Yes	No	Don't know
a) **Always provided you with accurate and complete data?**	○	○	○
b) **Always submitted the data required each month to you on time?**	○	○	○

C9. ANSWER IF SINGLE EMPLOYER SCHEME (C7=1)

And in the last 12 months, has your participating employer submitted data to you electronically?

Please select one answer only

1. Yes – all data
2. Yes – some but not all data
3. No
4. Don't know

C10. ANSWER IF MULTI-EMPLOYER SCHEME (C7=2)

To the best of your knowledge, 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. By 'data' we are referring to member or contribution data.

a) Always provided you with accurate and complete data? ....90........... %

b) Always submitted the data required each month to you on time? ....90........... %

C11. ANSWER IF MULTI-EMPLOYER SCHEME (C7=2)

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

Please write in the percentage in each box – these three figures should <u>add up to 100%</u>. If you don't know exactly, please give approximate percentages.

Submitted <u>all</u> data to you electronically? ....100........... %

Submitted <u>some</u> but not all data to you electronically? .... %

<u>Not</u> 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 the employer(s) 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 and/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 (C14=1)

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

Please select all the options that apply

1. Due to increased focus or scrutiny by TPR
2. To deliver special project requirements (such as changing administrator or preparing for pensions dashboards)
3. To identify and address scheme issues (such as improving understanding of the risks to the scheme, addressing data issues or correcting data errors)
4. To drive efficiencies and cost savings
5. To deliver improved services to members (e.g. online portals, improved delivery of Annual Benefit Statements)
6. To prepare for remediation
7. Other reason (please specify): ....
8. Don't know

C16. EVERYONE TO ANSWER

In the next 2 years, do you expect your budget for managing and/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 and/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 (C17=1)

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

Please select all the options that apply

1. Due to 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, improved delivery of Annual Benefit Statements)
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 and/or automation to…?

Please select one answer only

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

SECTION D – ANNUAL BENEFIT STATEMENTS

The next set of questions is about members' Annual Benefit Statements (ABS).

D1. EVERYONE TO ANSWER

In 2025, in which of the following ways were your active members sent their ABS?

Please select all the options that apply

1. Via a digital online portal,
2. By post
3. Other way(s) (please specify): ....
4. Don't know

D2. ANSWER IF ABS SENT VIA DIGITAL PORTAL (D1=1)

How are members notified that their ABS is available on the portal?

Please select all the options that apply

1. Email from the scheme
2. Letter from the scheme
3. Informed by the employer
4. Other (please specify): ....
5. Don't know

D3. ANSWER IF USED MORE THAN ONE METHOD TO SEND ABS AT D1

In 2025, 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%). If you do not know exactly, please give approximate percentages

Via a digital online portal	........95........... %
By post	..........5......... %
Other way(s)	.... %

D4. EVERYONE TO ANSWER

In 2025, what proportion of active members received their ABS by the statutory deadline?

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

.............100............... %

D5. ANSWER IF DEADLINE WAS MISSED FOR ANY MEMBERS (D4=0-99%)

~~**Was the missed deadline for issuing active member ABS's 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~~

D6. ANSWER IF MISSED DEADLINE WAS NOT REPORTED TO TPR (D5=3)

~~**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

D7. EVERYONE TO ANSWER

What proportion of all the ABS's the scheme sent out in 2025 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.................. %

D8. EVERYONE TO ANSWER

Looking forwards, how confident are you that all active members will receive their annual benefit statements by the statutory deadline in 2026?

Please select one answer only

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

The next set of questions focus on the remediation of age-related discrimination in the 2015 schemes (often referred to as McCloud or Sergeant).

D9. ANSWER IF LGPS (FIRE, POLICE & OTHER SCHEMES SKIP TO D11)

What <u>proportion</u> of your ABS's issued by 31 August 2025 included remedy information for affected members?

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

............<mark>100</mark>.................. %

D10. ANSWER IF LGPS

Has your Pension Committee/Board made a determination to extend the deadline for including remedy information on ABS's beyond 31 August 2025 for any members where this deadline could not be met?

Please select one answer only

1. Yes
2. <mark>No</mark>
3. Don't know
4. Not applicable as deadline was met for all members

D11. ANSWER IF NOT LGPS (LGPS SCHEMES SKIP TO SECTION E)

In 2025, what proportion of affected members received their Remediable Service Statement (RSS) by the statutory deadline?

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

a) Pensioner members .... %

b) Deferred members .... %

c) Active members .... %

D12. ANSWER IF NOT LGPS

In 2025, what proportion of your affected members were sent their RSS in each of these ways?

Please write in the percentage (from 0% to 100%). If you do not know exactly, please give approximate percentages

Via a digital online portal .... %

By post .... %

Other way(s) .... %

D13. ANSWER IF LESS THAN 100% OF MEMBERS RECEIVED RSS BY DEADLINE AT D11

For those RSS's that could not be issued in time to meet the statutory deadline, what were the main reasons for missing this deadline?

Please select a maximum of three answers

1. Lack of resources or time
2. Complexity of the remedy calculations
3. Lack of necessary data
4. Recruitment, training and retention of staff and knowledge
5. Delays in receiving regulations/guidance
6. Lack of knowledge, effectiveness or leadership among key personnel
7. Issues with systems (IT, administration systems, etc.)
8. Lack of automation of calculations
9. Competing regulatory priorities (e.g. pensions dashboards requirements)
10. Other reason (please specify): ………………………………………………………………………………………
11. Don't know

D14. ANSWER IF LESS THAN 100% OF MEMBERS RECEIVED RSS BY DEADLINE AT D11

Was the missed deadline for issuing affected members their RSS 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

D15. ANSWER IF MISSED RSS DEADLINE WAS NOT REPORTED TO TPR (D14=3)

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

D16. ANSWER IF NOT LGPS

Has your scheme used the regulatory discretion to defer the statutory deadline for issuing some or all RSS's?

Please select one answer only

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

D17. ANSWER IF USED REGULATORY DISCRETION TO DEFER RSS (D16=1)

Has your scheme manager made a written record of any decision to exercise the discretion regarding a particular member or class of members, which includes a full description of the reasons for the decision?

Please select one answer only

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

~~D18. ANSWER IF LESS THAN 95% OF MEMBERS RECEIVED RSS BY DEADLINE AT D11~~

~~**At what point do you expect 95% of your RSS's to have been issued?**~~

~~*Please select one answer only*~~

~~1. Have already reached this target~~
~~2. Within 6 months~~
~~3. Within 1 year~~
~~4. Within 2-3 years~~
~~5. Over 3 years~~
~~6. Don't know~~

~~D19. ANSWER IF NOT YET REACHED 95% TARGET (D18=2-5)~~

~~**Looking forwards, how confident are you that this timescale will be met?**~~

~~*Please select one answer only*~~

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

~~D20. ANSWER IF LESS THAN 100% OF MEMBERS RECEIVED RSS BY DEADLINE AT D11~~

~~**Have you communicated with those members whose RSS's have missed the statutory deadline?**~~

~~*Please select one answer only*~~

~~1. Yes, they have been informed of the delay and given an estimated date for their RSS to be issued~~
~~2. Yes, they have been informed of the delay but~~ <u>~~not~~</u> ~~given an estimated date~~
~~3. No~~
~~4. 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 (E1=1)

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

In the last 12 months, have you identified any breaches of the law that were <u>not</u> related to Annual Benefit Statements or Remediable Service Statements?

Please select one answer only

1. Yes
2. <mark>No</mark>
3. Don't know

E4. ANSWER IF IDENTIFIED ANY BREACHES OF THE LAW NOT RELATED TO ABS OR RSS (E3=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 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~~

E5. ANSWER IF IDENTIFIED ANY BREACHES OF THE LAW NOT RELATED TO ABS OR RSS (E3=1)

~~**In the last 12 months, have you reported any breaches to TPR as you thought they were materially significant? Please do <u>not</u> include any breaches that related to Annual Benefit Statements or Remediable Service 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 <u>three</u> 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. <mark>Improved understanding of underlying legislation and standards expected by TPR</mark>
2. Improved engagement by TPR
3. <mark>Improved understanding of the risks facing the scheme</mark>
4. <mark>Resources increased or redeployed to address risks</mark>
5. Administrator action (please specify): ....
6. Scheme manager action (please specify): ....
7. Pension board action (please specify): ....
8. Other (please specify): ....
9. No improvements made to governance/administration in the last 12 months
10. Don't know

F2. EVERYONE TO ANSWER

What are the main <u>three</u> 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 – GENERAL CODE OF PRACTICE

The next set of questions is about TPR's General Code of Practice. This consolidates ten of TPR's previous codes of practice and covers aspects of governance common to all types of scheme.

G1. EVERYONE TO ANSWER

How familiar are you with the expectations set out in the General Code of Practice?

Please select all the options that apply

1. You have a very good understanding of it
2. ==You have a fairly good understanding of it==
3. You know a little bit about it
4. You are aware of it but know nothing about it
5. You were not aware of the General Code before today
6. Don't know

G2. ANSWER IF AWARE OF GENERAL CODE (G1=1-4)

Has the governing body compared the scheme's governance processes with the General Code of Practice to identify any gaps where improvements are required?

Please select one answer only

1. Yes
2. ==No, but plan to do this (or are in the process of doing this)==
3. No, and no plans to do this
4. Don't know

G3. ANSWER IF HAVE COMPARED PROCESSES AGAINST GENERAL CODE (G2=1)

Did you identify any gaps where improvements were required?

Please select one answer only

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

G4. ANSWER IF IDENTIFIED ANY GAPS (G3=1)

Thinking about the gaps that you identified in the scheme's governance processes, have you…?

Please select one answer only

1. Already remedied these
2. <mark>Started work to remedy these</mark>
3. Or not yet started work to remedy these
4. Don't know

G5. ANSWER IF AWARE OF GENERAL CODE (G1=1-4)

Based on what you know about it, to what extent do you agree or disagree that the General Code of Practice has…?

Please select one answer per row	Strongly disagree	Tend to disagree	Neither agree nor disagree	Tend to agree	Strongly agree	Don't know
Improved how this scheme is governed	○	○	○	<mark>○</mark>	○	○
Increased the work required by this scheme to meet TPR's expectations	○	○	○	○	<mark>○</mark>	○
Made it easier to understand TPR's expectations	○	○	○	<mark>○</mark>	○	○

SECTION H – 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.

H1. 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. <mark>Pension board chair</mark>
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.

H2. 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

H3. 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

H4. 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

H5. EVERYONE TO ANSWER

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

Please write in below

.............Sioned Parry – Pension Board Chair..

H6. 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 <u>online survey link</u> 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