

Information  
for those  
running public  
service pension  
schemes

Public service pension schemes

# Self-assessment tool questionnaire

October 2016

The Pensions  
Regulator

## Governing your scheme

### Have you clearly defined and recorded the roles and responsibilities of the pension board?

- ▶ Yes
- ▶ No
- ▶ In progress
- ▶ Don't know

### Have you published information about the pension board and kept it up to date?

- ▶ Yes – we publish information to legal requirements
- ▶ Yes – we publish information to legal requirements and provide additional information about the pension board and board business
- ▶ No
- ▶ In progress
- ▶ Don't know

### Do you have policies and arrangements in place to help pension board members acquire and retain the requisite knowledge and understanding?

- ▶ Yes
- ▶ No
- ▶ In development
- ▶ Don't know

### Do you use the following for your pension board?

- ▶ Individual training needs analysis
- ▶ Training plans
- ▶ A training log

### Do you have a conflicts policy and procedure for pension board members?

- ▶ Yes
- ▶ No
- ▶ In development
- ▶ Don't know

### Do you have a register of interests (or equivalent)?

- ▶ Yes
- ▶ No
- ▶ In development
- ▶ Don't know

## Managing risks and resolving issues

**Do you have procedures in place for assessing and managing risk?**

- ▶ Yes
- ▶ No
- ▶ In development
- ▶ Don't know

**Do you have a risk register?**

- ▶ Yes
- ▶ No
- ▶ In development
- ▶ Don't know

**Where you have outsourced services, do you ensure that providers demonstrate that they have internal controls in place?**

- ▶ Yes
- ▶ No
- ▶ In progress
- ▶ Don't know
- ▶ We don't use outsourced services

**Do you have a service level agreement in place with your scheme administrators?**

- ▶ Yes
- ▶ No
- ▶ In development
- ▶ Don't know

**Are your internal dispute resolution arrangements clearly communicated to members and others?**

- ▶ Yes
- ▶ No
- ▶ In progress
- ▶ Don't know

**Do you have procedures in place to identify, assess and report breaches of the law?**

- ▶ Yes
- ▶ No
- ▶ In development
- ▶ Don't know

## Administration

**Do you have a process in place to ensure that information is provided to TPR as required (eg through the scheme return)?**

- ▶ Yes
- ▶ No
- ▶ In development
- ▶ Don't know

**Do you have processes in place to monitor scheme records for all membership types on an ongoing basis and ensure they are accurate and complete?**

- ▶ Yes
- ▶ No
- ▶ In development
- ▶ Don't know

**Do you have controls in place to ensure that your employer(s) provide timely, accurate and complete data?**

- ▶ Yes
- ▶ No
- ▶ In development
- ▶ Don't know

**When did you last carry out a data review exercise?**

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

**Where you have identified poor quality or missing data, do you have an improvement plan to address issues?**

- ▶ Yes
- ▶ No
- ▶ In development
- ▶ Don't know

Administration continued...

**Do you have processes in place for monitoring scheme contributions, resolving issues and assessing whether to report payment failures to TPR?**

- ▶ Yes
- ▶ No
- ▶ In development
- ▶ Don't know

**Have you reviewed your processes for issuing annual benefit statements to ensure they are fit for purpose?**

- ▶ Yes
- ▶ No
- ▶ In progress
- ▶ Don't know

**Have you taken steps to ensure member communications are clear, accurate and easily accessible?**

- ▶ Yes
- ▶ No
- ▶ In progress
- ▶ Don't know

## How to contact us

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