

The Pensions Regulator

Public Service Governance and Administration Survey 2019

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

Does your scheme have a documented policy to manage the pension board members' conflicts of interest?

Please select one answer only

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

A2. EVERYONE TO ANSWER

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

Please select one answer only

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

A3. EVERYONE TO ANSWER

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

Please write in the number for each of a-c below

- | | |
|--|---|
| 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 |

A4. EVERYONE TO ANSWER

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

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

2 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

Is the pension board able to obtain sufficient specialist advice on the following matters when it needs to?

Please select one answer per row

	Yes	No	Don't know
a) Administration	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
b) Cyber security	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
c) Legal	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>

A10. EVERYONE TO ANSWER

Focusing on the composition of your pension board, please tell us the following:

Please write in the number for each of a-d below

- | | |
|---|---|
| a) Number of <u>current</u> board members | 6 |
| b) Number of <u>vacant</u> positions on the board | 0 |
| c) Number of members that have <u>left</u> the board in the last 12 months | 2 |
| d) Number of members that have been <u>appointed</u> to the board in the last 12 months | 2 |

A11. EVERYONE TO ANSWER

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

Please select one answer only

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

A12. EVERYONE TO ANSWER

Has the scheme manager delegated the responsibility for making the day-to-day decisions needed to run the scheme to another person?

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 its own documented procedures for assessing and managing risk?

Please select 'No' if your scheme relies on your local authority's documented procedures for assessing and managing risk.

Please select one answer only

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

B2. EVERYONE TO ANSWER

Does your scheme have its own risk register?

Please select 'No' if your scheme relies on your local authority's risk register.

Please select one answer only

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

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

4

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 to what the top three governance and administration risks facing your scheme relate.

Please select up to three options below

1. Funding or investment
2. Record-keeping (i.e. the receipt and management of correct data)
3. Guaranteed Minimum Pension (GMP) reconciliation
4. Securing compliance with changes in scheme regulations
5. Production of annual benefit statements
6. Receiving contributions from the employer(s)
7. Lack of resources/time
8. Recruitment and retention of staff or knowledge
9. Lack of knowledge, effectiveness or leadership among key personnel
10. Poor communications between key personnel (board, scheme manager, administrator, etc.)
11. Failure of internal controls
12. Systems failures (IT, payroll, administration systems, etc.)
13. 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)
14. Administrator issues (expense, performance, etc.)
15. Other (please specify):
16. 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?

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

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

Please select all the options that apply

1. Performance against a service level agreement or service schedule
2. Member satisfaction ratings
3. 'Right first time' statistics
4. Testing the accuracy of calculations
5. Analysis of errors
6. Complaints volumes and trends
7. Volumes of rework required
8. Assessing project delivery against initially agreed time and cost
9. Benchmarking against the market
10. Auditing administration functions and systems
11. None of these
12. Don't know

C4. EVERYONE TO ANSWER

To what extent are the following processes automated?

A process is automated if it is completed through the use of technology, for example through a software platform, with minimal human intervention.

Please select one answer per row

	Fully automated	Mainly automated with some manual intervention	Mainly done manually	All done manually	Don't know
a) Verification and input of employer data	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b) Reconciliation of contributions	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c) Reporting – data quality	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d) Reporting – complaints and issues	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
e) Benefit value calculations	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f) Transfer value calculations	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
g) Production of benefit statements	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
h) Monitoring workload and resourcing	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

C5. EVERYONE TO ANSWER

What, if any, barriers do you face to automating more of the scheme's processes?

Please select all the options that apply

1. Lack of suitable technology
2. Difficulty in integrating it with the scheme's existing systems
3. The initial set-up costs involved
4. Securing the necessary internal approval
5. Internal resistance to (further) automation
6. Lack of knowledge/expertise about how to implement this
7. Poor quality of the data
8. Other (please specify):
9. No barriers to automating more of the scheme's processes
10. Don't know

C6. 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

1

C7. EVERYONE TO ANSWER

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?

Please select one answer only

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

C8. EVERYONE TO ANSWER

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

Please select one answer only

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

C9. 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 SINGLE EMPLOYER SCHEME (C9=1)

Does your participating employer...

Please select one answer per row

	Yes	No	Don't know
a) Always provide you with timely data?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
b) Always provide accurate and complete data?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
c) Submit data to you monthly?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
d) Submit data to you electronically?	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>

C11. ANSWER IF MULTI-EMPLOYER SCHEME (C9=2)

What proportion of your scheme's employers...

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

- a) Always provide you with timely data? %
- b) Always provide accurate and complete data? %
- c) Submit data to you monthly? %
- d) Submit data to you electronically? %

C12. EVERYONE TO ANSWER

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

Please select one answer only

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

C13. EVERYONE TO ANSWER

Does the scheme have a process in place for resolving contribution payment issues?

Please select one answer only

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

SECTION D – CYBER SECURITY

The next set of questions is about your scheme’s cyber security.

D1. EVERYONE TO ANSWER

Which, if any, of the following controls does your scheme have in place to protect your data and assets from ‘cyber risk’?

By ‘cyber risk’ we mean the risk of loss, disruption or damage to a scheme or its members as a result of the failure of its information technology systems and processes.

Please select all the options that apply

1. Roles and responsibilities in respect of cyber resilience are clearly defined and documented
2. Cyber risk is on the risk register and regularly reviewed
3. Assessment of the vulnerability to a cyber incident of the key functions, systems, assets and parties involved in the running of the scheme
4. Assessment of the likelihood of different types of breaches occurring in the scheme
5. Access to specialist skills and expertise to understand and manage the risk
6. System controls (e.g. firewalls, anti-virus and anti-malware products and regular updates of software)
7. Controls restricting access to systems and data
8. Critical systems and data are regularly backed up
9. Policies on the acceptable use of devices, passwords and other authentication, and on home and mobile working
10. Policies on data access, protection, use and transmission which are in line with data protection legislation and guidance
11. An incident response plan to deal with any incidents which occur
12. The scheme manager has assured themselves of third party providers’ controls (including administrators)
13. The scheme manager receives regular updates on cyber risks, incidents and controls
14. The pension board receives regular updates on cyber risks, incidents and controls
15. None of these
16. Don’t know

D2. EVERYONE TO ANSWER

Have any of the following happened to your scheme, including at your administration provider, in the last 12 months?

Please select all the options that apply

1. Computers becoming infected with ransomware
2. Computers becoming infected with other viruses, spyware or malware
3. Attacks that try to take down your website or online services
4. Hacking or attempted hacking of online bank accounts
5. People impersonating your scheme in emails or online
6. Staff receiving fraudulent emails or being directed to fraudulent websites
7. Unauthorised use of computers, networks or servers by staff, even if accidental
8. Unauthorised use or hacking of computers, networks or servers by people outside your scheme
9. Any other types of cyber security breaches or attacks
10. None of these
11. Don’t know

D3. ANSWER IF EXPERIENCED ANY CYBER SECURITY BREACHES IN THE LAST 12 MONTHS (D2=1-9)

Thinking of all the cyber security breaches or attacks experienced by your scheme in the last 12 months (including at your administration provider), which, if any, of the following happened as a result?

Please select all the options that apply

1. Software or systems were corrupted or damaged
2. Personal data (e.g. on members, beneficiaries or staff) was altered, destroyed or taken
3. Permanent loss of files (other than personal data)
4. Temporary loss of access to files or networks
5. Lost or stolen assets, trade secrets or intellectual property
6. Money was stolen
7. Your website or online services were taken down or made slower
8. Lost access to any third-party services you rely on
9. None of these
10. Don't know

SECTION E – DATA REVIEW

The next set of questions is about your scheme's approach to reviewing and improving its data.

E1. EVERYONE TO ANSWER

When did your scheme last complete a data review exercise?

Please select one answer only

1. Within the last 12 months
2. More than 12 months ago
3. Never completed one
4. Don't know

E2. ANSWER IF SCHEME HAS EVER COMPLETED A DATA REVIEW EXERCISE (E1=1 OR 2)

Did your scheme's most recently completed data review exercise identify any issues or problems with the following?

Please select one answer per row

	Yes	No	Don't know
a) National insurance number	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
b) Date of birth	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
c) First name	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
d) Surname	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
e) Gender	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
f) First line of address	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
g) Postcode	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
h) Membership start date	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
i) Membership end date (if applicable)	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
j) Expected retirement age	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
k) Anticipated income at retirement (based on expected retirement age)	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
l) Other data item(s)	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>

E3. ANSWER IF REVIEW IDENTIFIED ISSUES WITH ANY OF THE SPECIFIC DATA ITEMS (YES AT ANY OF E2a-k)

Focussing just on the specific data items that you identified issues or problems with in your most recently completed data review, approximately what percentage of the scheme memberships were affected by each one?

Please select one answer per row
(just for those selected at E2)

	% of memberships affected					Don't know
	<1%	1-9%	10-19%	20-29%	30%+	
a) National insurance number	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b) Date of birth	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c) First name	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d) Surname	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e) Gender	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f) First line of address	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
g) Postcode	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
h) Membership start date	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
i) Membership end date (if applicable)	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
j) Expected retirement age	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
k) Anticipated income at retirement (based on expected retirement age)	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

E4. ANSWER IF DATA REVIEW IDENTIFIED ISSUES WITH ANY DATA ITEMS (YES AT ANY OF E2a-l)

Has any action been taken to address the issues or problems identified with the data?

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

1. An improvement plan is in development
2. An improvement plan is in place but rectification work is not yet complete
3. An improvement plan has been put in place and rectification work has been completed
4. Rectification work has been undertaken without an improvement plan
5. No improvement plan has been developed and no work has been undertaken
6. Don't know

SECTION F – ANNUAL BENEFIT STATEMENTS

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

F1. EVERYONE TO ANSWER

In 2019, 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.

100 %

F2. ANSWER IF DEADLINE WAS MISSED FOR ANY MEMBERS (F1=0-99%)

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

F3. ANSWER IF MISSED DEADLINE WAS NOT REPORTED TO TPR (F2=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

F4. EVERYONE TO ANSWER

What proportion of all the annual benefit statements the scheme sent out in 2019 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 %

SECTION G – RESOLVING ISSUES

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

G1. EVERYONE TO ANSWER

Does the scheme have a working definition of what constitutes a complaint?

Please select one answer only

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

G2. EVERYONE TO ANSWER

Focusing on the complaints you have received in the last 12 months from members or beneficiaries in relation to their benefits and/or the running of the scheme, please tell us the following information.

Please write in the number for each of a), b) and c) below. The number at b) should be equal to or lower than the number at a). The number at c) should be equal to or lower than the number at b).

- | | |
|--|----------|
| a) <u>Total</u> number of complaints received | 1 |
| b) Number of these complaints that have entered the Internal Dispute Resolution (IDR) process | 0 |
| c) Number of these complaints that were upheld by the IDR process | 0 |

G3. ANSWER IF ANY COMPLAINTS ENTERED THE IDR PROCESS IN THE LAST 12 MONTHS (G2b>0)

To what did the top three types of complaint going through the IDR process relate?

Please select up to three options below

1. Slow or ineffective communication
2. Inaccuracies or disputes around pension value or definitions
3. Delays to benefit payments
4. Disputes or queries about the amount of benefit paid
5. Delay or refusal of pension transfer
6. Inaccurate data held and/or statement issued
7. Pension overpayment and recovery
8. Eligibility for ill health benefit
9. Other (please specify):
10. Don't know

SECTION H – REPORTING BREACHES

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

H1. EVERYONE TO ANSWER

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

Please select one answer only

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

H2. EVERYONE TO ANSWER

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

Please select one answer only

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

H3. ANSWER IF ANY BREACHES OF THE LAW NOT RELATED TO ANNUAL BENEFIT STATEMENTS HAVE BEEN IDENTIFIED IN THE LAST 12 MONTHS (H2=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

H4. EVERYONE TO ANSWER

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

Please select one answer only

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

H5. ANSWER IF ANY BREACHES OF THE LAW NOT RELATED TO ANNUAL BENEFIT STATEMENTS HAVE BEEN IDENTIFIED IN THE LAST 12 MONTHS (H2=1)

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 I – GOVERNANCE AND ADMINISTRATION

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

I1. 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):
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

I2. 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 McCloud judgement
10. Other (please specify):
11. There are no barriers
12. Don't know

SECTION J – PERCEPTIONS OF TPR

The final set of questions is about your views of TPR.

J1. EVERYONE TO ANSWER

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
a) Tough	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b) Efficient	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c) Visible	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d) Fair	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e) Respected	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f) Evidence-based	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
g) Decisive	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
h) Clear	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
i) Approachable	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

J2. EVERYONE TO ANSWER

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?

Please select one answer only

1. Very effective
2. Fairly effective
3. Neither effective nor ineffective
4. Not very effective
5. Not at all effective
6. Don't know

J3. EVERYONE TO ANSWER

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

Please select one answer per row

	Strongly agree	Agree	Neither agree nor disagree	Disagree	Strongly disagree	Don't know
a) TPR is effective at bringing about the right changes in behaviour among its regulated audiences	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b) TPR is proactive at reducing serious risks to member benefits	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

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 a few more questions about your survey responses.

K1. 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.*

K2. 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

K3. 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

K4. 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

K5. 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

K6. 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

Claire Neale

K7. 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 or on 01732 220582.

Scheme return
2018 - 2019

The Pensions Regulator

Your scheme details:

Firefighters' Pension Scheme (FPS 1992) - Hampshire Fire and Rescue Service

Date produced: **13 November 2019**

PSR number: 10079130

Please note that this document cannot be used in place of a scheme return and will not be accepted as such by the Pensions Regulator. If you are required to complete a scheme return and are unable to do so online you should contact us by phone on 0345 600 5666 and select option 2 (Mon - Fri 9am - 5.30pm). Alternatively you can email us at exchange@thepensionsregulator.gov.uk

1. Introduction

The following are the details that were on the scheme return submitted on 13 November 2019 11:37 AM.

The scheme return details were confirmed by Mrs Claire Neale.

2. Scheme details (includes membership details)

Basic details	
Scheme name	Firefighters' Pension Scheme (FPS 1992) - Hampshire Fire and Rescue Service
PSR number	10079130
Scheme address	Hampshire Fire & Rescue Service Strategic Headquarters Leigh Road EASTLEIGH Hampshire SO50 9SJ United Kingdom
Scheme type	Occupational
Benefit type	Defined benefit
Current status	Closed to new members since 05 April 2006
Scheme year-end (DD/MM)	31/03 since 01 April 1973
HMRC reference number (PSTR)	00616321RF

Number of members as at 31 March 2018 The Pensions Regulator requires to know the number of members present at the scheme year-end between the dates 1 April 2017 and 31 March 2018.	
Active members	151
Deferred members	85
Pensioner members	954
Total of members	1190

Number of members as at 31 March 2019 The Pensions Regulator requires to know the number of members present at the scheme year-end between the dates 1 April 2018 and 31 March 2019.	
Active members	110
Deferred members	81
Pensioner members	967
Total of members	1158

3. Governance Details

PSR number: 10079130

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Manager of the scheme	
Role or organisation name	Hampshire Fire & Rescue Authority (Delegated scheme management to Standards and Governance Committee)
Address of manager of the scheme	Mr Robert Carr, Hampshire Fire & Rescue Service Strategic Headquarters Leigh Road EASTLEIGH Hampshire SO50 9SJ United Kingdom
Telephone number	01962 847508
Email address	rob.carr@hants.gov.uk

Pension board member	
Name of pension board member	Mr Malcolm Eastwood
Pension board member type	Member
Chair of pension board	No
Address of pension board member	[REDACTED]
Telephone number	[REDACTED]
Email address	[REDACTED]

Pension board member	
Name of pension board member	Councillor Roger Price
Pension board member type	Employer
Chair of pension board	No
Address of pension board member	Hampshire County Council The Castle WINCHESTER Hampshire SO23 8UJ United Kingdom
Telephone number	01962 847741
Email address	roger.price@hants.gov.uk

PSR number: 10079130

Pension board member	
Name of pension board member	Mr Stew Adamson
Pension board member type	Employer
Chair of pension board	Yes
Address of pension board member	Hampshire Fire & Rescue Service Strategic Headquarters Leigh Road EASTLEIGH Hampshire SO50 9SJ United Kingdom
Telephone number	02380 644000
Email address	stew.adamson@hantsfire.gov.uk

Pension board member	
Name of pension board member	Mr Richard North
Pension board member type	Member
Chair of pension board	No
Address of pension board member	Hampshire Fire & Rescue Service Strategic Headquarters Leigh Road EASTLEIGH Hampshire SO50 9SJ United Kingdom
Telephone number	02380 644000
Email address	richard.north@hantsfire.gov.uk

Pension board member	
Name of pension board member	Mr Dan Tasker
Pension board member type	Employer
Chair of pension board	No
Address of pension board member	Hampshire Fire & Rescue Service Headquarters Leigh Road EASTLEIGH Hampshire SO50 9SJ United Kingdom
Telephone number	02380 644000
Email address	dan.tasker@hantsfire.gov.uk

PSR number: 10079130

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Pension board member	
Name of pension board member	Mr Richard Scarth
Pension board member type	Member
Chair of pension board	No
Address of pension board member	Hampshire Fire & Rescue Service Headquarters Leigh Road EASTLEIGH Hampshire SO50 9SJ United Kingdom
Telephone number	02380 644000
Email address	richard.scarth@hantsfire.gov.uk

PSR number: 10079130

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PSR number: 10079130

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3. Record-keeping

Common data	
Have you measured your common data in the last three years?	Yes
When did you last measure your common data?	October 2019
What percentage of this data have you assessed to be present and accurate?	96%

Scheme-specific ('conditional') data	
Have you measured your scheme-specific ('conditional') data in the last three years?	Yes
When did you last measure your scheme-specific ('conditional') data?	October 2019
What percentage of this data have you assessed to be present and accurate?	90%

PSR number: 10079130

5. Employer details

Employer	
Employer's name	Hampshire Fire and Rescue Authority
Employer type	Participating Employer
Organisation type	Government / public body
Address of employer	Hampshire Fire & Rescue Service Strategic Headquarters Leigh Road EASTLEIGH Hampshire SO50 9SJ United Kingdom
Employer status	Active since 01 February 1900
Employer email address	fire.pensions@hants.gov.uk

PSR number: 10079130

6. Service provider details

Insurance company	
There is currently no insurance company listed as involved with this scheme.	

Third party administrator	
Organisation name	Hampshire Pension Services
Address of administrator	2nd floor E11 South Hampshire County Council The Castle WINCHESTER Hampshire SO23 8UJ United Kingdom
Telephone number	01962 845588
Email address	pensions@hants.gov.uk

In-house administrator	
There is currently no in-house administrator listed as involved with this scheme. Details required are name and address, telephone number and email address.	

Auditor	
Organisation name	Ernst & Young Llp
Address of auditor	Ernst & Young Llp 1 More London Place LONDON SE1 2AF United Kingdom
Telephone number	02079512000
Email address	assurance@uk.ey.com

PSR number: 10079130

PSR number: 10079130

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7. Contact details

Scheme contact details	
Name of contact	Mrs Claire Neale
Job title	Employer Pension Manager
Address of contact	2nd Floor EII South Hampshire County Council The Castle WINCHESTER Hampshire SO23 8UJ United Kingdom
Telephone number	01962 845481
Email address	claire.neale@hants.gov.uk

Pension tracing service contact details	
Name of contact	Mrs Claire Neale
Address of contact	2nd Floor EII South Hampshire County Council The Castle WINCHESTER Hampshire SO23 8UJ United Kingdom
Telephone number	01962 845481
Email address	claire.neale@hants.gov.uk

Consent to electronic service details	
Confirmed by contact name	Mrs Claire Neale
Confirmed date	04/11/2019
Email address	claire.neale@hants.gov.uk

PSR number: 10079130

Scheme return
2018 - 2019

The Pensions Regulator

Your scheme details:

Firefighters' Pension Scheme 2006 - Hampshire Fire and Rescue Service

Date produced: **13 November 2019**

PSR number: 10276804

Please note that this document cannot be used in place of a scheme return and will not be accepted as such by the Pensions Regulator. If you are required to complete a scheme return and are unable to do so online you should contact us by phone on 0345 600 5666 and select option 2 (Mon - Fri 9am - 5.30pm). Alternatively you can email us at exchange@thepensionsregulator.gov.uk

1. Introduction

The following are the details that were on the scheme return submitted on 13 November 2019 11:58 AM.

The scheme return details were confirmed by Mrs Claire Neale.

2. Scheme details (includes membership details)

Basic details	
Scheme name	Firefighters' Pension Scheme 2006 - Hampshire Fire and Rescue Service
PSR number	10276804
Scheme address	Hampshire Fire & Rescue Service Headquarters Leigh Road EASTLEIGH Hampshire SO50 9SJ United Kingdom
Scheme type	Occupational
Benefit type	Defined benefit
Current status	Closed to new members since 31 March 2015
Scheme year-end (DD/MM)	31/03 since 06 April 2006
HMRC reference number (PSTR)	00680146RV

Number of members as at 31 March 2018

The Pensions Regulator requires to know the number of members present at the scheme year-end between the dates 1 April 2017 and 31 March 2018.

Active members	87
Deferred members	460
Pensioner members	100
Total of members	647

Number of members as at 31 March 2019

The Pensions Regulator requires to know the number of members present at the scheme year-end between the dates 1 April 2018 and 31 March 2019.

Active members	57
Deferred members	463
Pensioner members	111
Total of members	631

3. Governance Details

PSR number: 10276804

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Manager of the scheme	
Role or organisation name	Hampshire Fire and Rescue Authority (Delegated scheme management to Standards and Governance Committee)
Address of manager of the scheme	Mr Robert Carr, Hampshire Fire & Rescue Service Headquarters Leigh Road EASTLEIGH Hampshire SO50 9SJ United Kingdom
Telephone number	01962 847508
Email address	rob.carr@hants.gov.uk

Pension board member	
Name of pension board member	Mr Malcolm Eastwood
Pension board member type	Member
Chair of pension board	No
Address of pension board member	[REDACTED]
Telephone number	[REDACTED]
Email address	[REDACTED]

Pension board member	
Name of pension board member	Councillor Roger Price
Pension board member type	Employer
Chair of pension board	No
Address of pension board member	Hampshire County Council County Treasurer The Castle WINCHESTER Hampshire SO23 8UB United Kingdom
Telephone number	01962 847741
Email address	roger.price@hants.gov.uk

PSR number: 10276804

Pension board member	
Name of pension board member	Mr Stew Adamson
Pension board member type	Employer
Chair of pension board	Yes
Address of pension board member	Hampshire Fire & Rescue Service Headquarters Leigh Road EASTLEIGH Hampshire SO50 9SJ United Kingdom
Telephone number	02380 644000
Email address	stew.adamson@hantsfire.gov.uk

Pension board member	
Name of pension board member	Mr Richard North
Pension board member type	Member
Chair of pension board	No
Address of pension board member	Hampshire Fire & Rescue Service Headquarters Leigh Road EASTLEIGH Hampshire SO50 9SJ United Kingdom
Telephone number	02380 644000
Email address	richard.north@hantsfire.gov.uk

Pension board member	
Name of pension board member	Mr Dan Tasker
Pension board member type	Employer
Chair of pension board	No
Address of pension board member	Hampshire Fire & Rescue Service Headquarters Leigh Road EASTLEIGH Hampshire SO50 9SJ United Kingdom
Telephone number	02380 644000
Email address	dan.tasker@hantsfire.gov.uk

PSR number: 10276804

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Pension board member	
Name of pension board member	Mr Richard Scarth
Pension board member type	Member
Chair of pension board	No
Address of pension board member	Hampshire Fire & Rescue Service Headquarters Leigh Road EASTLEIGH Hampshire SO50 9SJ United Kingdom
Telephone number	02380 644000
Email address	richard.scarth@hantsfire.gov.uk

PSR number: 10276804

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PSR number: 10276804

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3. Record-keeping

Common data	
Have you measured your common data in the last three years?	Yes
When did you last measure your common data?	October 2019
What percentage of this data have you assessed to be present and accurate?	84%

Scheme-specific ('conditional') data	
Have you measured your scheme-specific ('conditional') data in the last three years?	Yes
When did you last measure your scheme-specific ('conditional') data?	October 2019
What percentage of this data have you assessed to be present and accurate?	75%

PSR number: 10276804

5. Employer details

Employer	
Employer's name	Hampshire Fire and Rescue Service
Employer type	Participating Employer
Organisation type	Government / public body
Address of employer	Hampshire Fire & Rescue Service Headquarters Leigh Road EASTLEIGH Hampshire SO50 9SJ United Kingdom
Employer status	Active since 01 February 1900
Employer email address	fire.pensions@hants.gov.uk

PSR number: 10276804

6. Service provider details

Insurance company	
There is currently no insurance company listed as involved with this scheme.	

Third party administrator	
Organisation name	Hampshire Pension Services
Address of administrator	Hampshire County Council 2nd floor E11 South The Castle WINCHESTER Hampshire SO23 8UJ United Kingdom
Telephone number	01962 845588
Email address	pensions@hants.gov.uk

In-house administrator	
There is currently no in-house administrator listed as involved with this scheme. Details required are name and address, telephone number and email address.	

Auditor	
Organisation name	Earnst & Young Llp
Address of auditor	Ernst & Young Llp 1 More London Place LONDON SE1 2AF United Kingdom
Telephone number	02079512000
Email address	assurance@uk.ey.com

PSR number: 10276804

PSR number: 10276804

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7. Contact details

Scheme contact details	
Name of contact	Mrs Claire Neale
Job title	Employer Pension Manager
Address of contact	Hampshire County Council 2nd Floor EII South The Castle WINCHESTER Hampshire SO23 8UJ United Kingdom
Telephone number	01962 845481
Email address	claire.neale@hants.gov.uk

Pension tracing service contact details	
Name of contact	Mrs Claire Neale
Address of contact	Hampshire County Council 2nd Floor EII South The Castle WINCHESTER Hampshire SO23 8UJ United Kingdom
Telephone number	01962 845481
Email address	fire.pensions@hants.gov.uk

Consent to electronic service details	
Confirmed by contact name	Mrs Claire Neale
Confirmed date	04/11/2019
Email address	claire.neale@hants.gov.uk

PSR number: 10276804

Scheme return
2018 - 2019

The Pensions Regulator

Your scheme details:

Firefighters' Pension Scheme 2015 - Hampshire Fire and Rescue Service (HFRS)

Date produced: **13 November 2019**

PSR number: 10276688

Please note that this document cannot be used in place of a scheme return and will not be accepted as such by the Pensions Regulator. If you are required to complete a scheme return and are unable to do so online you should contact us by phone on 0345 600 5666 and select option 2 (Mon - Fri 9am - 5.30pm). Alternatively you can email us at exchange@thepensionsregulator.gov.uk

1. Introduction

The following are the details that were on the scheme return submitted on 13 November 2019 11:45 AM.

The scheme return details were confirmed by Mrs Claire Neale.

2. Scheme details (includes membership details)

Basic details	
Scheme name	Firefighters' Pension Scheme 2015 - Hampshire Fire and Rescue Service (HFRS)
PSR number	10276688
Scheme address	Hampshire Fire & Rescue Service Headquarters Leigh Road EASTLEIGH Hampshire SO50 9SJ United Kingdom
Scheme type	Occupational
Benefit type	Defined benefit
Current status	Open to new members since 01 April 2015
Scheme year-end (DD/MM)	31/03 since 01 April 2015
HMRC reference number (PSTR)	00823277RK

Number of members as at 31 March 2018

The Pensions Regulator requires to know the number of members present at the scheme year-end between the dates 1 April 2017 and 31 March 2018.

Active members	931
Deferred members	270
Pensioner members	3
Total of members	1204

Number of members as at 31 March 2019

The Pensions Regulator requires to know the number of members present at the scheme year-end between the dates 1 April 2018 and 31 March 2019.

Active members	1055
Deferred members	358
Pensioner members	5
Total of members	1418

3. Governance Details

PSR number: 10276688

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Manager of the scheme	
Role or organisation name	Hampshire Fire and Rescue Authority (Delegated scheme management to Standards and Governance Committee)
Address of manager of the scheme	Mr Robert Carr, Hampshire Fire & Rescue Service Headquarters Leigh Road EASTLEIGH Hampshire SO50 9SJ United Kingdom
Telephone number	01962 847508
Email address	rob.carr@hants.gov.uk

Pension board member	
Name of pension board member	Mr Malcolm Eastwood
Pension board member type	Member
Chair of pension board	No
Address of pension board member	[REDACTED]
Telephone number	[REDACTED]
Email address	[REDACTED]

Pension board member	
Name of pension board member	Councillor Roger Price
Pension board member type	Employer
Chair of pension board	No
Address of pension board member	Hampshire County Council County Treasurer The Castle WINCHESTER Hampshire SO23 8UB United Kingdom
Telephone number	01962 847741
Email address	roger.price@hants.gov.uk

PSR number: 10276688

Pension board member	
Name of pension board member	Mr Stew Adamson
Pension board member type	Employer
Chair of pension board	Yes
Address of pension board member	Hampshire Fire & Rescue Service Headquarters Leigh Road EASTLEIGH Hampshire SO50 9SJ United Kingdom
Telephone number	02380 644000
Email address	stew.adamson@hantsfire.gov.uk

Pension board member	
Name of pension board member	Mr Richard North
Pension board member type	Member
Chair of pension board	No
Address of pension board member	Hampshire Fire & Rescue Service Headquarters Leigh Road EASTLEIGH Hampshire SO50 9SJ United Kingdom
Telephone number	07918 888104
Email address	richard.north@hantsfire.gov.uk

Pension board member	
Name of pension board member	Mr Dan Tasker
Pension board member type	Employer
Chair of pension board	No
Address of pension board member	Hampshire Fire & Rescue Service Headquarters Leigh Road EASTLEIGH Hampshire SO50 9SJ United Kingdom
Telephone number	02380 644000
Email address	dan.tasker@hantsfire.gov.uk

PSR number: 10276688

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Pension board member	
Name of pension board member	Mr Richard Scarth
Pension board member type	Member
Chair of pension board	No
Address of pension board member	Hampshire Fire & Rescue Service Headquarters Leigh Road EASTLEIGH Hampshire SO50 9SJ United Kingdom
Telephone number	02380 644000
Email address	richard.scarth@hantsfire.gov.uk

PSR number: 10276688

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3. Record-keeping

Common data	
Have you measured your common data in the last three years?	Yes
When did you last measure your common data?	October 2019
What percentage of this data have you assessed to be present and accurate?	97%

Scheme-specific ('conditional') data	
Have you measured your scheme-specific ('conditional') data in the last three years?	Yes
When did you last measure your scheme-specific ('conditional') data?	October 2019
What percentage of this data have you assessed to be present and accurate?	73%

PSR number: 10276688

5. Employer details

Employer	
Employer's name	Hampshire Fire and Rescue Authority
Employer type	Participating Employer
Organisation type	Government / public body
Address of employer	Fire Headquarters Leigh Road Eastleigh Hampshire SO50 9SJ United Kingdom
Employer status	Active since 01 February 1900
Employer email address	fire.pensions@hants.gov.uk

PSR number: 10276688

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6. Service provider details

Insurance company	
There is currently no insurance company listed as involved with this scheme.	

Third party administrator	
Organisation name	Hampshire Pension Services
Address of administrator	Hampshire County Council 2nd floor EII South The Castle WINCHESTER Hampshire SO23 8UJ United Kingdom
Telephone number	01962 845588
Email address	pensions@hants.gov.uk

In-house administrator	
There is currently no in-house administrator listed as involved with this scheme. Details required are name and address, telephone number and email address.	

Auditor	
Organisation name	Ernst & Young
Address of auditor	Ernst & Young Llp 1 More London Place LONDON SE1 2AF United Kingdom
Telephone number	02079512000
Email address	assurance@uk.ey.com

PSR number: 10276688

PSR number: 10276688

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7. Contact details

Scheme contact details	
Name of contact	Mrs Claire Neale
Job title	Employer Pension Manager
Address of contact	Hampshire County Council 2nd Floor EII South The Castle WINCHESTER Hampshire SO23 8UJ United Kingdom
Telephone number	01962 845481
Email address	claire.neale@hants.gov.uk

Pension tracing service contact details	
Name of contact	Mrs Claire Neale
Address of contact	Hampshire County Council 2nd Floor EII South The Castle WINCHESTER Hampshire SO23 8UJ United Kingdom
Telephone number	01962 845481
Email address	claire.neale@hants.gov.uk

Consent to electronic service details	
Confirmed by contact name	Mrs Claire Neale
Confirmed date	04/11/2019
Email address	claire.neale@hants.gov.uk

PSR number: 10276688

The Pension Regulator Scheme Returns - FIRE Schemes

Year end 31/03/2017				
TPR Scheme Return November 2017				
Scheme	Actives	Deferreds	Pensioners	Beneficiaries
1992 Fire Pension Scheme	195	84	812	127
2006 Fire Pension Scheme	122	391	28	1
2006 Modified Fire Pension Scheme	40	42	57	2
2015 Fire Pension Scheme	840	159	1	0
Total	1,197	676	898	130

Year end 31/03/2018						
TPR Scheme Return November 2018						
Scheme	Actives	Deferreds	Pensioners	Beneficiaries	Common Data Score	Conditional Data Score
1992 Fire Pension Scheme	151	85	825	129	97.45%	99.40%
2006 Fire Pension Scheme	52	416	33	5	94.99%	98.80%
2006 Modified Fire Pension Scheme	35	44	60	2	99.28%	97.83%
2015 Fire Pension Scheme	931	270	3	0	99.17%	97.30%
Total	1,169	815	921	136		

Year end 31/03/2019						
TPR Scheme Return November 2019						
Scheme	Actives	Deferreds	Pensioners	Beneficiaries	Common Data Score	Conditional Data Score
1992 Fire Pension Scheme	110	81	836	131	96%	90%
2006 Fire Pension Scheme	30	421	37	5	84%	75%
2006 Modified Fire Pension Scheme	27	42	67	2	98%	82%
2015 Fire Pension Scheme	1,055	358	5	0	97%	73%
Total	1,222	902	945	138		

APPENDIX F

Description of Data Issue	Number of Records Affected	Proposed Resolution	Additional Cost involved?	Target Date
Address and/or Postcode not current	88	All deferred and pensioner members; arrange for Target (third party tracing) to obtain addresses where possible or confirm if deceased.	Yes Target will charge £1 for each address trace initially; further charges may be applicable if more detailed investigation is required.	TBC approval needed for associated cost
Date of Birth inconsistent/incorrect	1	Write to member and request confirmation/evidence of DOB.	N/A	31/03/2020
Date Pensionable service started is inconsistent	57	Confirm correct start date with Fire Authority (or previous Fire Authority if transferred from elsewhere)	N/A	31/03/2020
Date Pensionable Service Ended inconsistent	5	Review documents held, or confirm correct leaving date with Fire Authority	N/A	31/03/2020
Divorce Details incomplete	23	HPS to carry out review of highlighted records to ensure Pension Sharing Order has been set up correctly.	N/A	31/03/2020
Transfer In Details incomplete	39	HPS to carry out review of highlighted records to ensure Transfer In has been set up correctly.	N/A	31/03/2020
CARE Benefits incorrect/inconsistent	26	HPS to carry out review of highlighted records to ensure CARE pension has been calculated and revalued correctly.	N/A	31/03/2020
Deferred Benefit pension elements are not consistent/valid	3	HPS to carry out review of highlighted records to ensure deferred benefits are correct and recorded accurately on member record.	N/A	31/03/2020

		Impact					
		Negligible	Minor	Moderate	Major	Catastrophic	
		1	2	3	4	5	
Likelihood	Rare	1	1	2	3	4	5
	Unlikely	2	2	4	6	8	10
	Possible	3	3	6	9	12	15
	Likely	4	4	8	12	16	20
	Almost certain	5	5	10	15	20	25

Risk Register for Fire Pensions

Risk Register for Fire Pensions

Risk number	Date identified	Risk area	Risk description	Likelihood	Impact	Risk score	Control measure / mitigation	Likelihood after mitigation	Impact after mitigation	Risk score after mitigation	Risk owner
1	12/05/2017	Operations	Failure to administer the pension scheme in a proper and effective manner	2	3	6	<ul style="list-style-type: none"> Liaison with employer End of Year Employer web (UPM access) Fire Employer Group & Pensions Admin Group Fire Pension Board Management oversight and escalation to Rob Carr Diversification – we run a Shared Services arrangement Ability to call in temporary staff for peak workloads Business continuity plan 	1	3	3	Scheme Manager
2	12/05/2017	Financial	Failure to pay the right amounts on time and in line with legislation	3	3	9	Pensions Services: - <ul style="list-style-type: none"> Testing software Internal and External Audits Standardisation of systems and processes All processes and calculation have a “doer” and a separate “checker” Monthly mortality screening for pensions in payment Declaration of Entitlement forms annually to pensioners and beneficiaries living overseas or upon mail being returned Participation in National Fraud Initiative reporting 	2	3	6	Pension Administrator
3	12/05/2017	Funding	Failure to adequately account for fund pension contributions	2	4	8	<ul style="list-style-type: none"> Strong financial plan for HFRA Planned budget Aim to complete all Home Office returns on time 	1	4	4	Scheme Manager
4	12/05/2017	Regulatory and Compliance	Failure to identify and interpret and implement legislation correctly	3	4	12	<ul style="list-style-type: none"> Scheme Advisory Board Local Government Association (LGA) Regional Fire Pension Officer Groups Fire Pension Board Employer Pension Manager as a dedicated resource liaising between <ul style="list-style-type: none"> Fire Employer Group & Pensions Admin Group, pulling together Key Accountabilities for IBC Pensions Admin Team, HR and Hampshire Pension Services 	2	4	8	Scheme Manager

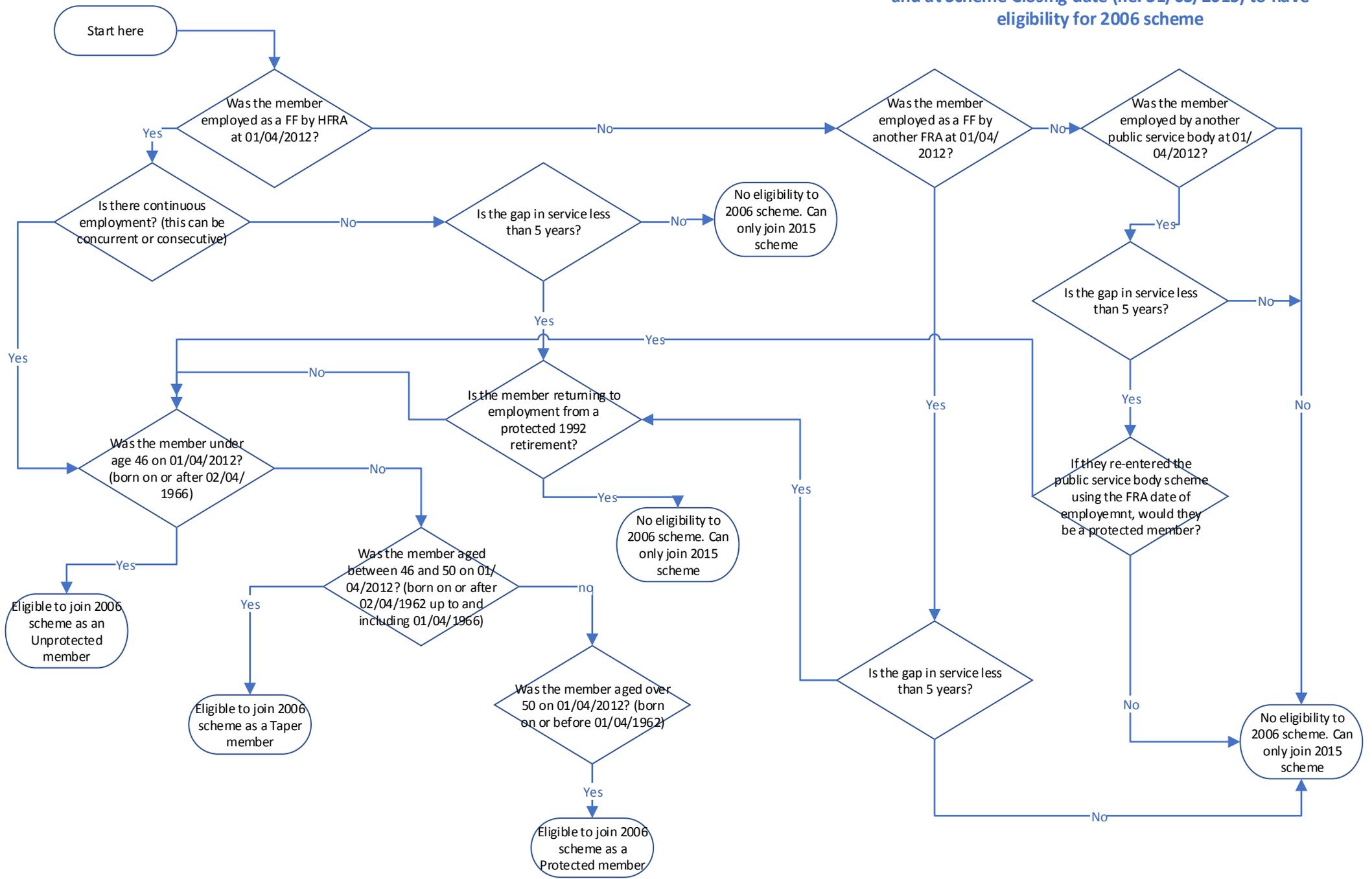
BEFORE MITIGATION		Impact				
		Negligible	Minor	Moderate	Major	Catastrophic
		1	2	3	4	5
Likelihood	Rare	1				
	Unlikely	2			1. Failure to administer the pension scheme in a proper and effective manner	3. Failure to adequately account for fund pension contributions
	Possible	3			2. Failure to pay the right amounts on time and in line with legislation	4. Failure to identify and interpret and implement legislation correctly
	Likely	4				
	Almost certain	5				

AFTER MITIGATION		Impact				
		Negligible	Minor	Moderate	Major	Catastrophic
		1	2	3	4	5
Likelihood	Rare	1			1. Failure to administer the pension scheme in a proper and effective manner	3. Failure to adequately account for fund pension contributions
	Unlikely	2			2. Failure to pay the right amounts on time and in line with legislation	4. Failure to identify and interpret and implement legislation correctly
	Possible	3				
	Likely	4				
	Almost certain	5				

APPENDIX H

To establish eligibility for 2006 NFPS for entrants to FPS pension scheme on or after 01/04/2015

The member has to have been employed on 01/04/2012 and at Scheme Closing date (i.e. 31/03/2015) to have eligibility for 2006 scheme



Last updated: 20 December 2019

Home Office – Sargeant fact sheet

Background

CARE Schemes

In 2014 or 2015 all main public service pensions, including the firefighters' scheme, were reformed to provide defined benefits on a career-average basis.

In a career average scheme, members build up pension each year based on a percentage of their pensionable earnings and this is added to their pension account. The pension account contains the pension built up in previous years and is revalued each year. When a member retires, the total built up in your pension account is received as an annual pension. This is called Career Average Revalued Earnings (CARE).

Reforms were made that reflected the recommendations of Lord Hutton's Independent Public Service Pensions Commission, which produced its final report in March 2011, and were intended to make public sector pensions affordable and sustainable in the long term.

Transitional Protection

In all the main public service CARE schemes introduced in 2015, those closest to their scheme's Normal Pension Age (NPA), which is when a member could choose to retire with an unreduced pension, were given 'full' transitional protection. In practical terms this meant that those within 10 years of their NPA as at April 2012 were allowed to remain in their current scheme.

In most of these schemes those who were between 10 and 14 years from normal retirement age were given 'tapered' transitional protection, meaning they did move to the new 2015 scheme, but at a later date than those members who were not afforded transitional protection.

McCloud/Sargeant

Two claims were brought, one against the judges' pension scheme (the *McCloud* case), the other against the firefighters' pension scheme (the *Sargeant* case) claiming that transitional arrangements were discriminatory on the basis of age, sex and race. The claims were heard together.

The Court of Appeal determined, amongst other things that transitional protection gave rise to unlawful age discrimination in the judges' and firefighters' pension schemes. The Supreme Court refused the Government's application for permission to appeal, meaning that the Court of Appeal decision stands.

On 15 July 2019 the Chief Secretary to the Treasury made a written ministerial statement (HCWS1725) confirming that, as 'transitional protection' was offered to members of all the main public service pension schemes, the government believes that the difference in treatment will need to be remedied across all those schemes. The statement set out that government, alongside the Employment Tribunal process, will also engage with employer and member representatives, and the devolved administrations, to help inform proposals to the Tribunal and in respect of the other public service pension schemes.

A case management hearing was scheduled for 18 December 2019 in the *Sargeant* case, with a view to setting out the procedural steps to appropriately implement the Court of Appeal decision.

1. What happened at the Firefighters' case management hearing on the 18 December?

The Court of Appeal determined in its judgment in *Sargeant* that the transitional provisions in the Firefighters' pension schemes resulted in direct age discrimination between:

- a) those who were members of the old scheme (the Firefighters' Pension Scheme 1992) ("FPS") and were fully transitionally protected by remaining in that Scheme after 31st March 2015 as a result of being an active member under the 1992 Scheme on 31st March 2012,
- b) those who were members of the FPS as at 31st March 2012 and were not treated as fully transitionally protected and moved to the new English Firefighters' Pension Schemes after 31st March 2015,

In the light of this, the Tribunal in the *Sargeant* case gave an interim declaration that the claimants (who all fell in within category (b)) are entitled to be treated as if they had been given full transitional protection and had remained in their current scheme after 1 April 2015.

The Government intends to extend the same treatment to all members of the public service pension schemes (whether claimants or not) who are in the same legal and factual position as the claimants.

The Government is also aware that many non-protected members may be better off in the new career average pension arrangements than they would have been in the old pre-2015 pension schemes and would suffer a detriment if they simply moved back to the old schemes. It is therefore the government's intention to ensure that such persons can keep the benefits they have accrued and making the required changes to the public service pension schemes will take time.

2. Changes to the Firefighter Pension Schemes

The difference in treatment will in due course be removed for all members with relevant service across all the main public service pension schemes – not just those who have lodged legal claims. Any solution will need to ensure that all members can instead keep the pensions they have earned to date.

The Government will be launching a public consultation on changes to the schemes and before that will hold a series of technical discussions with stakeholders. This will progress alongside the remedy directed by the Tribunals in the *Sargeant* case.

For the Firefighters' pension scheme, some members are likely to have been better off remaining in their old scheme, while others may benefit more from the new scheme – that will depend on the individual circumstances of affected members. Any changes to the scheme must take account of this in order to ensure members can keep benefits they have already accrued.

Technical discussions will be held with the Firefighters' Pensions Scheme Advisory Board (SAB). The SAB comprises members of the Fire Brigade's Union, Fire and Rescue Services Association, the Fire Officers' Association and the Fire Leaders' Association as well as employer representatives.

These discussions will consider changes to the scheme which are necessary:

- in order to remove discriminatory provisions from the public service pension schemes for non-claimants; and

- to ensure individuals can keep benefits they have accrued regardless of changes needed to remove discrimination, for example if they would have been better off in the new scheme.

Following these discussions, the Government will formally consult on its proposals, providing a further opportunity for input.

3. What about ill-health retirees and those who have already retired?

The Government is committed to urgently addressing the position of scheme members who have been ill-health retired or have already retired from the 2015 scheme. Changes of this nature require time to implement and the Home Office will provide further detail in due course. Please contact your FRA if you are an affected claimant.

4. Does the McCloud/Sargeant judgment increase the costs of public service pensions?

Initial estimates suggest removing the difference in treatment the discrimination will add around £4bn per annum to scheme liabilities across the public services from 2015.

The underlying aims of the 2015 reforms remain: public service pensions are and will continue to be a significant cost for the taxpayer. The McCloud/Sargeant judgment does not alter the government's commitment to ensuring that the cost of public service pensions is both affordable for taxpayers and sustainable for the long term.

5. Will the additional cost of removing the difference in treatment be borne by employers?

The most recent valuation process set employer contribution rates until 2023. The next valuation will assess scheme costs in the round, in the usual way, and will set employer contribution rates from 2023. There are numerous factors that could affect the valuations between now and then, of which the McCloud ruling is just one.

It is too early to say whether employer contribution rates will increase from 2023. If deficits do emerge in the scheme, they will need to be paid off over the deficit recovery period in the usual way.

APPENDIX K

Fire Pension Board calendar report of items for 2020/21

April 2020	July 2020	October 2020	January 2021
STANDING ITEMS	STANDING ITEMS	STANDING ITEMS	STANDING ITEMS
Statutory items: <ul style="list-style-type: none"> • HMRC Event reporting 2018/19 • Q3 2019/20 AFT returns to HMRC 	Statutory items: <ul style="list-style-type: none"> • Q4 2019/20 AFT returns to HMRC 	Statutory items: <ul style="list-style-type: none"> • Q1 2020/21 AFT returns to HMRC • Annual Benefit Statements 	Statutory items: <ul style="list-style-type: none"> • Q2 2020/21 AFT returns to HMRC • Annual Pension Saving Statements
IDRP & Breaches	IDRP & Breaches	IDRP & Breaches	IDRP & Breaches
Risks <ul style="list-style-type: none"> • Risk Register • O'Brien case • McCloud case • Scheme Eligibility 	Risks <ul style="list-style-type: none"> • Risk Register • O'Brien case • McCloud case 	Risks <ul style="list-style-type: none"> • Risk Register • O'Brien case • McCloud case 	Risks <ul style="list-style-type: none"> • Risk Register • O'Brien case • McCloud case
Communication <ul style="list-style-type: none"> • Presentations • Member portal • Meetings 	Communication <ul style="list-style-type: none"> • Presentations • Member portal • Meetings 	Communication <ul style="list-style-type: none"> • Presentations • Member portal • Meetings 	Communication <ul style="list-style-type: none"> • Presentations • Member portal • Meetings
ADDITIONAL ITEMS	ADDITIONAL ITEMS	ADDITIONAL ITEMS	ADDITIONAL ITEMS
	Training / LNA update	Annual LGA Fire Conference	TPR Administration survey
			TPR Scheme Returns
			Calendar of items for next year
SEPARATE REPORTS	SEPARATE REPORTS	SEPARATE REPORTS	SEPARATE REPORTS
Legislation & LGA update	Legislation & LGA update	Legislation & LGA update	Legislation & LGA update
Annual Board Report	Annual Pensions Administration report		

Ref	Topic	Familiar (ü)	Almost (?)	Unsure (X)
A	Background and Understanding of the Legislative Framework of the Fire pension scheme			
A1	Differences between public service pension schemes like the Fire Pension Scheme (FPS) and private sector trust- based schemes	5	1	0
A2	Role of the Independent Public Service Pensions Commission (IPSPC) and its recommendations	3	2	1
A3	Key provisions of the 2013 Pension Act	2	3	1
A4	The structure of the scheme and the main bodies involved including the Responsible Authority, the Scheme Manager, the Scheme Advisory Board, the Local Pension Board and the Scheme employers	4	2	0
A5	An overview of local authority law and how Administering Authorities are constituted and operate	3	2	1
A6	Scheme and connected scheme rules overview (including the Regulations)	2	3	1
A7	The Firefighter Pension Scheme 1992	4	1	1
A8	The Firefighter Pension Scheme 2006 and main changes from the 1992 scheme	4	1	1
A9	The Firefighters Pension Fund	2	2	2
A10	The Firefighters Compensation Scheme	2	2	2
A11	Firefighters (Modified) Pension Scheme	3	2	1
A12	The Firefighters Pension Scheme 2015	4	1	1
	TOTAL 72	38	22	12
B	General pensions legislation applicable to the FPS - An overview of wider legislation relevant to the FPS including:			
B1	Automatic Enrolment (Pensions Act 2008)	3	3	0
B2	Contracting out (Pension Schemes Act 1993)	2	3	1
B3	Data protection (Data Protection Act 1998)	4	2	0
B4	Employment legislation including anti- discrimination, equal treatment, family related leave and redundancy rights	4	2	0
B5	Freedom of Information (Freedom of Information Act 2000)	4	2	0
B6	Pensions sharing on divorce (Welfare Reform and Pensions Act 1999)	1	5	0
B7	Tax (Finance Act 2004)	1	4	1
	TOTAL 42	19	21	2

C	Role and responsibilities of the Local Pension Board			
C1	Role of the Local Pension Board	4	2	0
C2	Conduct and conflicts	4	2	0
C3	Reporting of breaches	4	2	0
C4	Knowledge and understanding	4	2	0
	TOTAL 24	16	8	0
D	Role and responsibilities of the Scheme Manager			
D1	Membership and eligibility	4	2	0
D2	Benefits and the payment of benefits	4	2	0
D3	Decisions and discretions	2	2	2
D4	Disclosure of information	2	4	0
D5	Record keeping	4	2	0
D6	Internal controls	4	2	0
D7	Internal dispute resolution	4	2	0
D8	Reporting of breaches	4	2	0
D9	Statements, reports and accounts	4	2	0
	TOTAL 54	32	20	2
E	Funding and Investment			
E1	Requirement for triennial and other valuations	2	2	2
F	Role and responsibilities of Scheme Employers			
F1	Automatic Enrolment & Opting Out	3	3	0
F2	Deduction and payment of contributions	4	1	1
F3	Special contributions	2	1	3
F4	Employer decisions and discretions	3	1	2
F5	TUPE and outsourcing (including Fair Deal and the Best Value Authorities Staff Transfers (Pensions) Directions 2007)	2	2	2
	TOTAL 30	14	8	8

G	Tax and Contracting Out			
G1	Finance Act 2004	2	1	3
G2	Role of HMRC	3	2	1
G3	Registration	2	1	3
G4	Role of 'scheme administrator'	3	1	2
G5	Tax relief on contributions	2	4	0
G6	Taxation of benefits	2	4	0
G7	Annual and lifetime allowances	3	3	0
G8	Member protections (primary, enhanced, IP etc)	1	4	1
G9	National Insurance	3	2	0
G10	Contracting out (Pensions Scheme Act 1993)	1	3	2
G11	Impact of abolition of contracting out in 2016	1	2	3
	TOTAL 66	23	27	15
H	Role of advisors and key persons			
H1	Officers of the Fire and Rescue Authority	4	2	0
H2	Auditor	4	2	0
H3	Lawyers	4	2	0
H4	Administrators – in house v. third party	4	2	0
H5	Procurement of services	4	2	0
H6	Contracts with third parties	4	2	0
	TOTAL 36	24	12	0
J	Key Bodies connected to the Scheme - an understanding of the roles and powers of:			
J1	Courts	4	1	1
J2	HMRC	4	2	0
J3	Information Commissioner	4	0	2
J4	Pensions Advisory Service	4	2	0
J5	Pensions Ombudsman	4	2	0
J6	The Pensions Regulator (including powers in relation to Local Pension Boards)	4	2	0
	TOTAL 36	24	9	3