

Item 8 – Paper D

Local Pension Board Survey

At the meeting on 6th March 2017, the SAB agreed with the recommendation that the committee should prepare a web based version of the survey. Subject to any additions or amendments agreed by the committee, the Secretariat will prepare a mock-up based on the draft below.

RECOMMENDATION – that the committee agrees the draft survey below to enable the Secretariat to prepare a final web based version.

Section 1 : Compliance & Administration

- 1 When did the Board first meet? (insert date DD/MM/Year)
- 2 How often a year is the Board required to meet?
- 3 How many meetings have been held to date?
- 4 What is the number of employer representatives on the Board?
- 5 What is the number of employee representatives on the Board?
- 6 Was the Chair of the Board :-
 - i) Selected by the Scheme Manager?
 - ii) Selected by Board members?
 - iii) Recruited after competition?
 - iv) Any other?
- 7 Is the Chair of the Board remunerated?
- 7a If the answer to 7 is "YES", what remuneration is paid?
- 8 Are any other members of the Board remunerated?
- 8a If the answer to 8 is "YES", what is the average amount of remuneration?
- 9 Are expenses paid to Board members?
- 10 Is facility time given by the scheme manager to employee representatives of the Board?

YES/NO
YES/NO
YES/NO
YES/NO
YES/NO
YES/NO
YES/NO
YES/NO

- 11** Is there a written constitution for the Board?
- 12** Does the Board have a terms of reference?
- 13** Does the Board have a conflict of interest register?
- 14** Do you keep a register of breaches of the law?
- 15** Is there a risk register?
- 16** Is there a programme for Board members to acquire knowledge and understanding?
- 17** Where "YES" has been given as the answer to Questions 11 to 16, on a scale of 1 (very poor) to 10 (very good), how would you evaluate :-
 - i)** the constitution
 - ii)** the terms of reference
 - iii)** the conflict of interest register
 - iv)** the register of breaches
 - v)** the risk register
 - vi)** the knowledge and understanding programme

	YES/NO
	YES/NO
	YES/NO
	YES/NO
	YES/NO
	YES/NO

18 Is personal liability or indemnity insurance available to Board members?

19 Is the Board compliant with guidance issued by the Scheme Advisory Board?

20 If the answer to Question 19 is "No", give reasons below :-

YES/NO
YES/NO

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21 Give up to three examples where you think the Board is working well :-

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22 Give up to three examples where you think the Board could improve what it does :-

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23 On a scale of 1 (very poor) to 10 (very good), how would you evaluate :-

i) the relationship between the administering authority and the board?	
ii) the relationship between the pensions' committee and the board?	
iii) the board's ability to identify non-compliance with legal requirements?	
iv) the board's ability to make recommendations to the administering authority when non-compliance has been identified?	
v) the administering authority's response to any such recommendations?	
vi) the effectiveness of communication between the administering authority, pensions' committee and the board?	
vii) the knowledge and understanding programme available to the board?	
24 Has the administering authority in any capacity attended any local pension board meetings?	YES/NO
25 In the last 12 months, have any breaches of the law been identified by the local pension board?	YES/NO
26 Who is responsible for agreeing the agenda for local pension board meetings?	
27 Have any local pension board meetings not been quorate?	YES/NO
28 Is voting a regular feature of local pension board meetings?	YES/NO
29 Does the local pension board have a webpage on the administering authority's web site?	YES/NO
30 Does the local pension board have a workplan?	YES/NO
31 Has the local pension board agreed any success measures/KPIs for its work?	YES/NO
32 Has the local pension board produced an Annual Report?	YES/NO
33 Are the local pension board's papers agenda, papers, etc, available on the board's webpage?	YES/NO
34 Does the local pension board have control of a budget?	YES/NO
35 If it has a budget, can it be used to access independent external advice?	YES/NO
36 Does the local pension board have access to internal and external audit reports?	YES/NO

37 Describe below any ways in which you think the working relationship between the administering authority, pensions' committee and the board could be improved.

38 Use the space below to comment on any other aspect of the new governance arrangements that you consider to be relevant.