

The Pension Regulator's and Scheme Advisory Board Compliance Checklist

Summary Results Dashboard

| No | Completed | Compliant |
|--------------------------------------|-----------|-----------|
| Reporting Duties | | |
| A1 | G | G |
| A2 | G | G |
| A3 | G | G |
| A4 | G | G |
| Knowledge & Understanding | | |
| B1 | G | G |
| B2 | G | G |
| B3 | G | G |
| B4 | G | G |
| B5 | G | G |
| B6 | G | G |
| B7 | G | G |
| B8 | G | G |
| B9 | G | G |
| B10 | G | G |
| B11 | G | G |
| B12 | A | A |
| Conflicts of Interest | | |
| C1 | G | G |
| C2 | G | G |
| C3 | G | G |

| No | Completed | Compliant |
|--------------------------------------|-----------|-----------|
| C4 | G | G |
| C5 | G | G |
| C6 | G | G |
| C7 | G | G |
| C8 | G | G |
| C9 | G | G |
| C10 | G | G |
| C11 | G | G |
| Publishing Scheme Information | | |
| D1 | G | G |
| D2 | G | G |
| D3 | G | G |
| D4 | G | G |
| Risk and Internal Controls | | |
| E1 | G | G |
| E2 | G | G |
| E3 | G | G |
| E4 | G | G |
| E5 | G | G |
| E6 | G | G |
| E7 | G | G |
| E8 | G | G |

| No | Completed | Compliant |
|---|-----------|-----------|
| Maintaining Accurate Member Data | | |
| F1 | A | A |
| F2 | G | G |
| F3 | G | G |
| F4 | G | G |
| F5 | | |
| F6 | G | G |
| F7 | G | G |
| F8 | G | G |
| F9 | G | G |
| F10 | G | G |
| F11 | G | G |
| Maintaining Contributions | | |
| G1 | G | G |
| G2 | G | G |
| G3 | G | G |
| G4 | G | G |
| G5 | G | G |
| G6 | G | G |
| G7 | G | G |
| G8 | G | G |
| G9 | G | G |

| No | Completed | Compliant |
|--|-----------|-----------|
| Providing Information to Members and Others | | |
| H1 | G | G |
| H2 | G | G |
| H3 | G | G |
| H4 | G | G |
| H5 | G | G |
| H6 | G | G |
| H7 | G | A |
| H8 | G | G |
| H9 | G | G |
| H10 | G | G |
| H11 | G | G |
| H12 | G | G |
| H13 | G | G |
| Internal Dispute Resolution | | |
| I1 | G | G |
| I2 | G | G |
| I3 | G | G |
| I4 | G | G |
| I5 | G | G |
| I6 | G | G |
| I7 | G | G |

| No | Completed | Compliant |
|---|-----------|-----------|
| I8 | G | G |
| I9 | G | G |
| Reporting Breaches | | |
| J1 | G | G |
| J2 | G | G |
| J3 | G | G |
| Scheme Advisory Board Requirements | | |
| K1 | G | G |
| K2 | G | G |
| K3 | G | G |
| K4 | G | G |
| K5 | G | G |
| K6 | G | G |
| K7 | A | A |
| K8 | G | G |
| K9 | G | G |
| K10 | G | G |
| K11 | G | G |
| K12 | G | G |
| K13 | G | G |
| K14 | G | G |
| K15 | G | G |

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