

think independently ...*act effectively*



December 2021



# ORA: Scheme Documents Review Schedule

Muse Advisory

Scheme document	Last review date	Next review date	Reviewed by	Approved by	Location/ Link to other docs	In draft Single Code	Code module	Relevant to the ORA	RAG status*	Comments/ actions
<b>Governance documents/processes</b>										
Trustee Strategy/Strategic Objectives						✓	Identifying and assessing risks (TGB031)	✓		
Role of the Governing Body						✓	Expected as part of the ESOG - Scheme governance (TGB046)	✓		
Terms of Reference						✓	Meetings and decision-making (TGB006) Investment governance (FAI001)			
MNT/D Appointment Arrangements and Process						✓	Member-nominated trustee appointments (TGB044)			
Trustee Chair Role Appointment Process						✓	Role of the chair (TGB015)			
Trustee Chair Role Profile						✓	Expected as part of the ESOG - Scheme governance (TGB046)			
Decision Making Processes						✓	Meetings and decision-making (TGB006) Expected as part of the ESOG - Scheme governance (TGB046)	✓		
Business Plan						No				
Schedule of Delegations						No	Delegations referred to in Working knowledge of pensions (TGB017)			

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Discretions Policy						No	Not specifically, but referred to in Working knowledge of pensions (TGB017)			
Authorised Signatory List						No				
Balance of Powers						No	Delegations referred to in Working knowledge of pensions (TGB017)			
Policy for Making Advisory/Provider Appointments						✓	Managing advisers and service providers (TGB010)			
Managing Advisers/Providers Policy						✓	Expected as part of the ESOG - Scheme governance (TGB046)			
Service Level Agreements						✓	Managing advisers and service providers (TGB010)			
Trustee Resignation and Removal Policy						✓	Recruiting to the governing body (TGB014)			
Trustee Training Policy to include: Working knowledge of pensions, Governance of knowledge and understanding and Building and maintaining knowledge						No	Training Policy not specifically, however items in red expected as part of the ESOG - Scheme governance (TGB046)	✓		

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Trustee Induction Process						No	Not specifically, but referred to in Building and maintaining knowledge (TGB003)			
Trustee Training Plan						✓	Governance of knowledge and understanding (TGB005)			
Succession Plan						✓	Recruiting to the governing body (TGB014)			
Meeting process						✓	Meetings and decision-making (TGB006) Expected as part of the ESOG - Scheme governance (TGB046)			
Trustee Remuneration Policy						✓	Remuneration policy (TGB016) Expected as part of the ESOG - Scheme governance (TGB046)			
Whistleblowing/ Reporting Breaches of the Law Processes						✓	Who must report (RTT003)			
Effective System of Governance Review Processes						✓	Scheme governance (TGB046)	✓		
Board Effectiveness Review Process						No				

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Anti-Bribery Policy & Hospitality and Gifts Policy						No				
<b>Risk Management documents/processes</b>										
Risk Management Policy and Processes						✓	Identifying and assessing risks (TGB031) Own risk assessment (TGB045)	✓		
Risk Management Function Processes						✓	Identifying and assessing risks (TGB031)	✓		
Risk Register						✓	Identifying and assessing risks (TGB031)	✓		
Internal Controls Policy and Processes						✓	Managing risk using internal controls (TGB032)	✓		
Scheme Business Continuity Plan (BCP)						✓	Continuity planning (TGB022) Expected as part of the ESOG - Scheme governance (TGB046)	✓		
Administration BCP						✓	Continuity planning (TGB022)	✓		
Conflicts Policy and Register						✓	Conflicts of interest (TGB039) Expected as part of the ESOG - Scheme governance (TGB046)	✓		
Cyber Security Policy						No				

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Cyber Incident Response Plan						✓	Cyber controls (ADM016)			
IT Policy (including Maintaining, Upgrading, and Replacing Hardware and Software, Use of Devices)						✓	Maintenance of IT systems (ADM015)			
Own Risk Assessment						✓	Own risk assessment (TGB045)			
<b>Legislative/Regulatory documents/processes</b>										
Trust Deed and Rules						No				
Scheme Memoranda						No				
Articles of Association						No				
Scheme Return						✓	Registrable information and scheme returns (RTT001)			
Data Breaches Policy and Register						No	Covered by Data Protection legislation			
Data Protection Policy						No	Covered by Data Protection legislation			
Individuals' Rights Policy						No	Covered by Data Protection legislation			
Privacy Notice						No	Covered by Data Protection legislation			
Actuarial Valuation and Recovery Plan						No	Covered by other legislation	✓		

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Summary Funding Statement						✓	Statutory financial statements (DB) (CAD011)			
Benefit Statement						✓	Statutory financial statements (DB) (CAD011)			
DC Annual Benefit Statement/ Statutory Money Purchase Illustration Statement						✓	Statutory financial statements (DC) (CAD003)			
DC Chair's Statement (including Value for Members Assessment)						✓	Chair's statement (CAD008)			
Scams and risk warnings						✓	Retirement risk warnings and guidance (CAD004) Scams (CAD005)	✓		
Auditor's Statement						✓	Audit requirements (CAD014)			
Notifiable Events						No	Covered by Pensions Act 2004 and updated Pensions Act 2021			
<b>Scheme operations documents/processes</b>										
Administration Strategy						✓	Administration (ADM001)	✓		
Record-keeping Processes						✓	Scheme records (ADM003)	✓		

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Data Monitoring Processes						✓	Data monitoring (ADM006)	✓		
Policy on Collecting, Cleaning, and Maintaining Data						No	Not specifically, but referred to in Working knowledge of pensions (TGB017)	✓		
Public Provision of Information Policy						No	Not specifically, but referred to in Working knowledge of pensions (TGB017)			
Transfer-out Processes						✓	Transfers (ADM014)	✓		
Short-service Refund Processes						✓	Short service refunds (CAD016)	✓		
General Principles for Member Communications						✓	General principles for member communications (CAD001) Expected as part of the ESOG - Scheme governance (TGB046)	✓		
Member Communication Policy						No	Not specifically, but referred to in Working knowledge of pensions (TGB017)			
Internal Dispute Resolution Procedure ("IDRP")						✓	Dispute resolution procedures (CAD015) Expected as part of the ESOG - Scheme governance (TGB046)	✓		



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<b>Financial transactions documents/processes</b>										
Payment Schedule						✓	Receiving contributions (ADM007)	✓		
Schedule of Contributions						✓	Receiving contributions (ADM007)	✓		
Contributions Monitoring Processes						✓	Monitoring contributions (ADM008)	✓		
Financial Transactions Processes						✓	Financial transactions (ADM002)	✓		
<b>Investment-related documents/processes</b>										
Statement of Investment Principles						✓	Investment governance (FAI001)	✓		
Investment Strategy						✓	Investment decision-making (FAI003)	✓		
Use of Investment Advisers						✓	Investment governance (FAI001)			
Investment Governance Policies						✓	Investment governance (FAI001) Expected as part of the ESOG - Scheme governance (TGB046)	✓		
Investment Decision Making Processes						✓	Investment decision-making (FAI003) Expected as part of the ESOG - Scheme governance (TGB046)	✓		

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Environmental, Social and Governance (ESG)/Climate Change						No	Covered by separate legislation, but referred to in modules of the Code Climate Change expected as part of the ESOG - Scheme governance (TGB046)	✓		
Stewardship Processes						No	Expected as part of the ESOG - Scheme governance (TGB046) Referred to in Stewardship (FAI006)	✓		
Investment review and performance monitoring processes						✓	Investment monitoring (FAI005) Expected as part of the ESOG - Scheme governance (TGB046)	✓		
Annual Implementation Report (Implementation Statement)						✓	Implementation report (FAI004)			
CMA Compliance Statement						No				