

Summary Dashboard

A dashboard showing the summary of the results of the latest compliance checklist is shown below:

		Apr-16	Oct-17			Apr-16	Oct-17
No.		Completed	Completed	Compliant		Compliant	
Reporting							
A1		Fully completed	Fully completed	Fully compliant		Fully compliant	
A2		Fully completed	Fully completed	Partially compliant		Fully compliant	
A3		Not yet relevant	Fully completed	Not yet relevant		Fully compliant	
A4		Fully completed	Fully completed	Fully compliant		Fully compliant	
Knowledge and Understanding Knowledge and Understanding							
B1		Fully completed	Fully completed	Fully compliant		Fully compliant	
B2		Fully completed	Fully completed	Partially compliant		Fully compliant	
B3		Fully completed	Fully completed	Partially compliant		Partially compliant	
B4		Fully completed	Fully completed	Fully compliant		Fully compliant	
B5		Fully completed	Fully completed	Fully compliant		Fully compliant	
B6		Fully completed	Fully completed	Partially compliant		Partially compliant	
B7		Fully completed	Fully completed	Partially compliant		Fully compliant	
B8		Fully completed	Fully completed	Fully compliant		Partially compliant	
B9		Not yet relevant	Fully completed	Not yet relevant		Not yet relevant	
B10		Fully completed	Fully completed	Non-compliant		Partially compliant	
B11		Fully completed	Fully completed	Partially compliant		Fully compliant	
B12		Fully completed	Fully completed	Partially compliant		Partially compliant	
Conflicts of Interest Conflicts of Interest							
C1		Fully completed	Fully completed	Fully compliant		Fully compliant	
C2		Fully completed	Fully completed	Fully compliant		Fully compliant	
C3		Fully completed	Fully completed	Fully compliant		Fully compliant	
C4		Fully completed	Fully completed	Fully compliant		Fully compliant	
C5		Fully completed	Fully completed	Fully compliant		Fully compliant	
C6		In progress	In progress	Non-compliant		Partially compliant	
C7		Fully completed	Fully completed	Non-compliant		Partially compliant	
C8		Fully completed	Fully completed	Fully compliant		Fully compliant	
C9		Fully completed	Fully completed	Fully compliant		Fully compliant	
C10		Fully completed	Fully completed	Fully compliant		Fully compliant	
C11		Fully completed	Fully completed	Fully compliant		Fully compliant	
Publishing Information Publishing Information							
D1		Fully completed	Fully completed	Fully compliant		Fully compliant	
D2		Fully completed	Fully completed	Fully compliant		Fully compliant	
D3		Fully completed	Fully completed	Fully compliant		Fully compliant	
D4		Fully completed	Fully completed	Fully compliant		Fully compliant	
Risk and Maintaining Contributions							
E1		Fully completed	Fully completed	Partially compliant		Fully compliant	
E2		Fully completed	Fully completed	Fully compliant		Fully compliant	
E3		Fully completed	Fully completed	Fully compliant		Fully compliant	
E4		Fully completed	Fully completed	Fully compliant		Fully compliant	
E5		Fully completed	Fully completed	Fully compliant		Fully compliant	
E6		Fully completed	Fully completed	Fully compliant		Fully compliant	
E7		Fully completed	Fully completed	Fully compliant		Fully compliant	
E8		Fully completed	Fully completed	Non-compliant		Partially compliant	
Maintaining Accurate Member Data Maintaining Accurate Member Data							
F1		In progress	Fully completed	Non-compliant		Partially compliant	
F2		Fully completed	Fully completed	Fully compliant		Fully compliant	
F3		In progress	Fully completed	Non-compliant		Fully compliant	
F4		Fully completed	Fully completed	Fully compliant		Fully compliant	
F5		Fully completed	Fully completed	Fully compliant		Fully compliant	
F6		Fully completed	Fully completed	Fully compliant		Fully compliant	
F7		In progress	Fully completed	Non-compliant		Fully compliant	
F8		Fully completed	Fully completed	Partially compliant		Partially compliant	
F9		Fully completed	Fully completed	Fully compliant		Fully compliant	
F10		In progress	Fully completed	Non-compliant		Partially compliant	
F11		Fully completed	Fully completed	Fully compliant		Fully compliant	
Maintaining Contributions Maintaining Contributions							
G1		In progress	Fully completed	Non-compliant		Fully compliant	
G2		In progress	Fully completed	Non-compliant		Fully compliant	
G3		In progress	Fully completed	Non-compliant		Fully compliant	
G4		In progress	Fully completed	Non-compliant		Fully compliant	
G5		In progress	Fully completed	Non-compliant		Fully compliant	
G6		Fully completed	Fully completed	Partially compliant		Fully compliant	
G7		Fully completed	Fully completed	Employers - Fully compliant		Employers - Fully compliant	
G8		In progress	Fully completed	Partially compliant		Fully compliant	
G9		In progress	Fully completed	Non-compliant		Fully compliant	

Providing Information to Members and Information to Members and Others		
H1	Fully completed	Fully completed
H2	Fully completed	Fully completed
H3	Fully completed	Fully completed
H4	Fully completed	Fully completed
H5	Fully completed	Fully completed
H6	Fully completed	Fully completed
H7	Fully completed	Fully completed
H8	Fully completed	Fully completed
H9	Fully completed	Fully completed
H10	Fully completed	Fully completed
H11	Not yet relevant	Not yet relevant
H12	Fully completed	Fully completed
H13	Fully completed	Fully completed
Internal Dispute Resolution		Internal Dispute Resolution
I1	Fully completed	Fully completed
I2	Fully completed	Not yet relevant
I3	Fully completed	Fully completed
I4	Fully completed	Fully completed
I5	Fully completed	Fully completed
I6	Fully completed	Fully completed
I7	Fully completed	Fully completed
I8	Fully completed	Fully completed
I9	Not yet relevant	Not yet relevant
Reporting Breaches		Reporting Breaches
J1	Fully completed	Fully completed
J2	Fully completed	Fully completed
J3	Fully completed	Fully completed
Scheme Advisory Board Requirements		Scheme Advisory Board Requirements
K1	Fully completed	Fully completed
K2	Fully completed	Fully completed
K3	Fully completed	Fully completed
K4	Fully completed	Fully completed
K5	Fully completed	Fully completed
K6	Fully completed	Fully completed
K7	Fully completed	Fully completed
K8	Fully completed	Fully completed
K9	Fully completed	Fully completed
K10	Fully completed	Fully completed
K11	Fully completed	Fully completed
K12	Fully completed	Fully completed
K13	Fully completed	Fully completed
K14	Not yet relevant	Fully completed
K15	Fully completed	Fully completed

Employers - Partially compliant	Employers - Partially compliant
Fully compliant	Fully compliant
Fully compliant	Fully compliant
Fully compliant	Fully compliant
Fully compliant	Fully compliant
Fully compliant	Fully compliant
Employers - Partially compliant	Employers - Fully compliant
Fully compliant	Fully compliant
Fully compliant	Fully compliant
Fully compliant	Fully compliant
Not yet relevant	Not yet relevant
Partially compliant	Fully compliant
Partially compliant	Partially compliant
Fully compliant	Fully compliant
Non-compliant	Not yet relevant
Fully compliant	Fully compliant
Partially compliant	Fully compliant
Fully compliant	Fully compliant
Fully compliant	Fully compliant
Fully compliant	Fully compliant
Partially compliant	Partially compliant
Not yet relevant	Not yet relevant
Fully compliant	Fully compliant
Fully compliant	Fully compliant
Partially compliant	Fully compliant
Partially compliant	Fully compliant
Fully compliant	Fully compliant
Fully compliant	Fully compliant
Fully compliant	Fully compliant
Fully compliant	Fully compliant
Partially compliant	Partially compliant
Non-compliant	Partially compliant
Fully compliant	Fully compliant
Fully compliant	Fully compliant
Partially compliant	Partially compliant
Non-compliant	Fully compliant
Partially compliant	Fully compliant
Fully compliant	Fully compliant
Not yet relevant	Fully compliant
Fully compliant	Fully compliant