

CSPS PENSION ADMINISTRATION SERVICES AGREEMENT

SCHEDULE 2.1

SERVICES DESCRIPTION

Services Description

1 DEFINITIONS

In this Schedule, the following definitions shall apply:

2015 Remedy Eligible Members	means any Member: a) in active service on or before 31 March 2012 and an active member on or after 1 April 2015; or b) in active service on or before 31 March 2012 and subsequently left and re-joined the relevant scheme, provided they did not incur a disqualifying break in continuous service, as determined in the scheme's rules or regulations;
2015 Remedy Period	the period from 1 April 2015 up to and including 31 March 2022;
2015 Remedy or 2015 Remedy Programme	means the programme, regulations and solution delivered following the McCloud Judgement 2018. The programme seeks to remedy the discrimination arising following the introduction of the 2015 reformed public service schemes;
Active Member	a person who is in pensionable service and accruing Benefits in the Scheme;
Additional Voluntary Contribution or AVC	contributions over and above a Member's normal contributions if any, which the Member elects to pay to an occupational pension scheme in order to secure additional benefits;
Alpha Scheme	the pension scheme established by the Public Service (Civil Servants and Others) Pensions Regulations 2014 as amended from time to time, excluding Schedule 3 (which makes provision for ill-health benefits for persons who have a Partnership Pension Account) and Schedule 4 (which makes provision for death benefits in respect of persons who have a Partnership Pension Account);
Annual Benefit Statement or ABS	a statement issued once per annum showing the Benefits accrued by a Member;

Application Programming Interface or API	means a set of functions and procedures that access the features or data of an operating system, application, or other service;
Benefit	pensions and other payments payable to Members and, in some cases, dependents of Members, where entitlement exists under the Scheme Rules (as amended from time to time);
Beneficiary or Beneficiaries	a person who meets the relevant eligibility criteria to receive Benefits from the Civil Service Pension Scheme;
Bulk Transfer	a transfer of pension rights between one occupational scheme and another relating to a group of Members;
Calculation Engine	the product used to consume Member and Scheme data to produce a set of calculation results used for determining Member Benefits;
Cash Equivalent Transfer Value or CETV	an amount calculated in accordance with regulations made under section 97 (calculation of cash equivalents) of Pension Scheme Act 1993;
Civil Service Additional Voluntary Contributions Scheme or CSAVCS	a voluntary scheme which allows Members to save more for their retirement on a money purchase basis. As at the Effective Date, the current provider of CSAVCS is Legal & General;
Civil Service Compensation Scheme or CSCS	the scheme specifying the level of compensation that an Employer can pay a Member if a Member leaves under voluntary or compulsory redundancy, efficiency grounds and voluntary exit, established pursuant to the Superannuation Act 2010;
Civil Service Injury Benefits Scheme or CSIBS	the scheme specifying benefits payable to an eligible civil servant (plus certain other public servants) who has suffered a loss of earnings (or earnings capacity) as a result of a qualifying injury at work (or related to their work);
Civil Service Pensioners' Alliance or CSPA	the group which campaigns, lobbies and acts on behalf of pensioners from the civil service and related bodies;
Civil Service Pensions Board or CSPB	means the board responsible for assisting the Scheme Manager in the effective administration of the Civil Service Pension Scheme;

<p>Civil Service Pension Scheme or CSPS or Scheme</p>	<p>the following schemes (as replaced or varied in connection with the Superannuation Act 1972, the Public Service (Civil Servants and Others) Pensions Regulations 2014 or the Public Service Pensions Act 2013 or otherwise):</p> <ul style="list-style-type: none"> a) Alpha Scheme; b) Principal Civil Service Pension Scheme; c) Civil Service Supplementary Pension Scheme; d) Civil Service Compensation Scheme; e) Civil Service Injury Benefits Scheme; f) Civil Service Additional Voluntary Contribution Scheme; g) Partnership Pension Account III-Health Benefits Scheme (as replaced by Schedule 3 of the Public Service (Civil Servants and Others) Pensions Regulations 2014); h) Partnership Pension Account Death Benefits Scheme (as replaced by Schedule 4 of the Public Service (Civil Servants and Others) Pensions Regulations 2014); i) Unregistered Death Benefits Scheme; and j) any Legacy Scheme, <p>but excluding the Federated Superannuation Scheme for Universities, as this shall be administered by the Authority;</p>
<p>Common Data</p>	<p>basic Member data which is applicable to all schemes within the Civil Service Pension Scheme, including:</p> <ul style="list-style-type: none"> a) National Insurance number; b) surname and either forename or initials; c) sex; d) date of birth; e) date pensionable service started, membership/policy start date or first contribution date; f) expected retirement/maturity date (target retirement age); g) membership status; h) last status event – the date at which the membership status last changed, e.g. from active to deferred – where appropriate, this shall also capture the reason for the change in status (e.g. retired or opted out); and i) address including postcode;

Commutation	means giving up a part or all of a pension in exchange for an immediate lump sum;
Configuration Management Database	a configuration database, in either the form of a document or a database management system (e.g. Microsoft SQL Server or Microsoft Access) detailing the Supplier System (including technical infrastructure and operating procedures) and all updates and configuration changes to the Supplier System through which the Supplier provides the Services, which shall contain sufficient detail to permit the Authority and/or Replacement Supplier to understand how the Supplier provides the Services and to enable the smooth transition of the Services with the minimum of disruption;
Crown Body	any department, office or agency of the Crown;
Customer	any of the Authority, Members, and Employers;
Customer Journey	a tool which illustrates and describes any part of the Services from the Customer's perspective and is intended to provide the Supplier with insight into the Customer experience;
Data Management Strategy or DMS	means the Supplier's strategy to measure data quality standards, demonstrate improvements in data quality and clearly demonstrate how this is achieved by the Supplier. The Supplier shall develop and implement this strategy in accordance with the Authority Requirements including in particular the Data Requirements and Non-Functional Requirements;
Data Validation Catalogue	means a documented inventory including detailed descriptions and specific functions, of all validations executed across Member data to ensure high data quality standards;
Deferred Choice Underpin or DCU	has the meaning given in the 2015 Remedy Requirements;
Deferred Member	a person who is not an Active Member but who has built up Benefits within the Scheme which are not yet in payment;
Employer or Participating Employer	the Authority, any Crown Body and any public or private entity admitted to the Civil Service Pension Scheme through virtue of Schedule 1 to the

	Superannuation Act 1972 or the Public Service Pensions Act 2013 or otherwise;
Employer Specific Services	means the Services to be provided by the Supplier under this Agreement to meet the Requirements relevant to 'Employer Specific Services' including as identified in the table in Annex A of Schedule 2.1 (<i>Services Description</i>);
Employer Optional Services	the Services to be provided by the Supplier under this Agreement to meet the Requirements relevant to 'Employer Optional Services' including as identified in the table Annex A of in Schedule 2.1 (<i>Services Description</i>);
EP(UKR)PS	European Parliament (UK Representatives) Pension Scheme;
Future Services Programme	means the Authority's programme to put in place an administrative solution for the CSPS;
Government Actuary's Department or GAD	the Scheme Actuary or provider of actuarial services including Scheme valuations, risk analysis, modelling and actuarial advice;
Guaranteed Minimum Pension or GMP	the pension that a UK occupational pension scheme has to provide to its members who were contracted out of the State Earnings-Related Pension Scheme (SERPS) or State Second Pension (S2P) between 6 April 1978 and 5 April 1997;
Help Desk	the manned help desk operated by the Supplier for Members, Employers and other relevant Stakeholders to contact (by telephone, email and other methods) for assistance relating to the Scheme and/or Services;
Internal Dispute Resolution Procedure or IDR	the statutory complaint procedure of the same name which gives Members and/or Beneficiaries the right to formalise complaints about the administration of the Civil Service Pension Scheme, their membership and their retirement Benefits;
Interface Compliance Model or ICM	the compliance model established between participating Employers and the Authority defining the roles and responsibilities of each Employer with reference to the data they submit to the Supplier;

Last Day of Service or LDS	a Member's last day of employment before retirement or leaving service;
Legacy Schemes	<p>means any or all of the following minor pension schemes (a number of which are closed schemes) (as applicable) where the Scheme Manager acts as principal on the basis of information supplied by the various agencies:</p> <ul style="list-style-type: none"> a) pension increases to former Prime Ministers, former Speakers, various former public service appointees and former MEPs and their widow(er)s; b) payments to the United Kingdom Atomic Energy Authority for pensions paid in respect of periods in the Civil Service; c) payments to the Post Office Staff Superannuation Scheme for pensions paid in respect of periods in the Civil Service; d) Federated Superannuation System for Universities; e) Royal Irish Constabulary; f) Governors of overseas colonies; g) Approved Societies and certain other bodies displaced by the operation of the National Insurance Act 1946: <ul style="list-style-type: none"> i) Prudential Approved Societies; ii) Sick Visitors; and iii) Seaman's National Insurance Society; h) Wheat Commission – Pension Increases; i) Raw Cotton Commission – Pension Increases; j) Sugar Board – Pension Increases; k) Power Jets – Pension Increases; and l) any other schemes where the Scheme Manager acts as principal referred to in the Authority's resource accounts;
Lifetime Allowance	the lifetime allowance is the limit on how much a Member can accrue in pension Benefits over their lifetime without incurring a tax liability as defined by the limits set by HMRC;

Managing Public Money	the guidance of that name issued by HM Treasury on how to manage public funds (dated March 2022), as updated from time to time;
Member	an Active Member, a Deferred Member or a Pensioner;
Member Landscapes	a collection of data and analysis which describes Members including demographic and other anonymised information;
Member Paid Services	means the Services to be provided by the Supplier under this Agreement to meet the Requirements relevant to ‘Member Paid Services’ including as identified in the table in Annex A of Schedule 2.1 (<i>Services Description</i>);
MP	Member of Parliament;
Normal Pension Age	the age at which a Member normally becomes entitled to receive his or her pension under the Scheme Rules (as amended from time to time);
Operating Instructions	has the meaning given in Paragraph 2.5(d);
Other Arrangements	means the following: a) CSCS; b) CSIBS; c) Director of Public Prosecutions; d) European Parliament (United Kingdom Representatives) Pension Scheme (“EP(UKR)PS”) Administration; and e) Legacy Schemes;
PAS	means Pensions Administration System;
Partnership Pension Account or PPA	means an alternative defined contribution scheme available to individuals who are eligible to join the CSPS as Active Members;
Payroll Bureaus	means an accountancy service provider, which specialises in providing outsourced payroll and/or HR services for other businesses, in this case Employers;

Pensioner	a person who is in receipt of a pension payment from the Scheme;
Pensions Dashboard	means an online platform for individuals to access information about their pensions in one place. Pensions Dashboards aims to bring together information from multiple sources and include information on an individual's state pension as well as accrued and projected values of all of their pension pots;
Pensions Savings Statement	means a statement of the amount of pensions savings in the Scheme for a tax year;
Principal Civil Service Pension Scheme or PCSPS	means the pension scheme for civil servants and others established under the Superannuation Act 1972;
Quote	an illustration of Benefits;
Requirements	means the Authority's written requirements for the relevant Services as set out or referred to in Paragraphs 3 (<i>Transition Requirements</i>) and Paragraph 4 (<i>Operational Requirements</i>);
RTI	means real time information;
Scheme	the Civil Service Pension Scheme or CSPS;
Scheme Actuary	the actuary appointed by the Authority to advise the Civil Service Pension Scheme from time to time;
Scheme Annual Accounts	the resource accounts of the CSPS (which are produced at the end of each financial year and contain information on income, expenditure, balance sheet, cash flow and accompanying footnotes);
Scheme Specific Services	means the Services to be provided by the Supplier under this Agreement to meet the Requirements relevant to 'Scheme Specific Services' including as identified in the table in Annex A of Schedule 2.1 (<i>Services Description</i>);
Scheme Manager	means the Authority;
Scheme Medical Advisor	an advisor who is appointed by the Authority and provides medical advice to the Civil Service

	Pension Scheme on certain Scheme provisions in relation to ill health and injury benefit;
Scheme Pays	process by which Members, provided certain conditions have been met, can ask their pension scheme to deduct part or all of the tax charge, for exceeding their annual allowance, from their pension savings;
Scheme Specific Data	data which is required to effectively administer a pension scheme. Specific items shall vary from scheme to scheme dependent upon scheme design and structure, but could include actuarial factors and valuation data;
Scheme Rules	rules which govern the Benefits and the operation of the Civil Service Pension Scheme as amended from time to time, including the Public Service (Civil Servants and Others) Pensions Regulations 2014;
Shared Service Centres	means an organisation created by Government known as ISSC1 and ISSC2. These include the “Clusters” or “Hubs” being created by as part of the Government Shared Service Strategy;
Shared Service Providers	means third party suppliers contracted by Employers to provide HR and pension services;
Stakeholder	any person or body who has an interest in the Civil Service Pension Scheme. This includes: <ol style="list-style-type: none"> a) the Authority and its appointed bodies such as the Civil Service Pension Board; b) Employers; c) Members; d) Government Actuary’s Department (GAD); e) Civil Service money purchase providers (including providers of AVC schemes, partnership pensions and stakeholder pensions); f) the Scheme Medical Advisor; g) the Scheme Actuary; h) HM Revenue and Customs; i) any Regulatory Body; j) the Department for Work and Pensions;

	<p>k) Civil Service Trade Unions;</p> <p>l) other Government departments as appropriate;</p> <p>m) the Civil Service Pensioners Alliance;</p> <p>n) the Civil Service Benevolent Fund;</p> <p>o) the Civil Service Retirement Fellowship; and</p> <p>p) the Civil Service Sports Council;</p>
The Pensions Regulator or TPR	the UK regulator of occupational pension schemes;
Transactable	means that documentation, data and/or other information is sufficiently complete and accurate to the extent required to enable the Supplier to deliver the relevant Services and/or perform its obligations under this Agreement;
Transition Period	the period during which the Supplier shall provide the Transition Services in accordance with the Transition Plan;
Validated	means that the information held or received by the Supplier is Transactable or would be Transactable had the Supplier complied with its obligations under this Agreement; and
WPS	means a widow(er)s pension scheme, but applies to all surviving spouses or civil partners.

2 INTRODUCTION

- 2.1 An overarching requirement is for the Supplier to administer the Civil Service Pension Scheme (CSPS) in accordance with all Laws that govern the Scheme. Those Laws include the Superannuation Act 1972, as amended, and the Public Service Pensions Act 2013 and the Public Service (Civil Servants and Others) Pensions Regulations 2014.
- 2.2 The Supplier shall ensure that its administration of the CSPS also complies with all other pensions, tax, financial and other applicable Laws that have applied, apply, or will apply to the CSPS.
- 2.3 In accordance with Clause 8 (*Continuous Services Improvement*), the Supplier will be required to deliver ongoing improvements to Scheme administration arrangements, reflecting developing UK pensions best practice and Governmental data protection and security standards. The Supplier will ensure Scheme delivery efficiencies are achieved which support the continual improvement of the CSPS, but the efficiencies are balanced against the need to implement technical and communications improvements which will assist with the delivery of the Services in order to meet the Requirements.

- 2.4 This Schedule sets out the Requirements for the Services to be provided by the Supplier.
- 2.5 This Schedule:
- (a) sets out the Requirements for the Services;
 - (b) sets out in the table in Paragraph 1 (*Definitions*) the defined terms which are used in the Requirements;
 - (c) categorises the Operational Services in the table in Annex A (Categorisation of Operational Services) and identifies the applicable Requirements to each of the Operational Services categories; and
 - (d) sets out in Annex B (*Operating Instructions*) of this Schedule, the Authority's instructions as at the Effective Date to the Supplier in relation to the exercise of certain discretions and related matters under the Scheme Rules which the Authority has instructed the Supplier to exercise on its behalf as part of the Operational Services and the extent of the Authority's instructions in that regard ("**Operating Instructions**"). Annex B also sets out how the Supplier shall document and keep up to date the Operating Instructions during this Agreement.

3 TRANSITION REQUIREMENTS

- 3.1 The requirements for Transition Services are set out in this Paragraph 3 (the "**Transition Requirements**").
- 3.2 The Supplier shall provide Transition Services, including as described and/or referred to in the Transition Plan, Schedule 6.1 (*Transition Plan*) and the Supplier Solution, as necessary to meet the Transition Requirements which are set out in this Paragraph 3 immediately below, to enable the Operational Services to be performed from the Operational Services Commencement Date.

3.3 Transition Requirements

Brief Introduction

- a) The required outcome is that the Supplier successfully achieves the transition of all aspects of the CSPS administration services in a secure, robust and timely manner as agreed with the Authority. In accordance with Schedule 6.1 (*Transition Plan*) of this Agreement, the Supplier shall provide the Transition Services and complete Transition in accordance with a clear Transition Plan which the Supplier shall maintain up to date throughout the Transition Period. The Supplier shall establish a close working relationship with the Incumbent Provider to ensure timely and full cooperation exists on both sides. The Authority requires the Transition to be orderly and seamless for key Stakeholders who engage with the Scheme including Members and Employers.
- b) The Supplier is responsible for the efficient project management of the Transition Services and Transition Plan and shall keep the Authority regularly informed of progress against Transition Milestones.
- c) The importance of effective Stakeholder engagement and management throughout the Transition Period cannot be overstated. The Scheme and

related administration services need to operate within a complex ecosystem of Stakeholders with varying needs and interests and the Supplier shall ensure all Stakeholders are kept up to date regularly to secure their support and ensure they are able to adapt to any change in processes; this is particularly important for Employers, many of whom require lead in time to commission changes with their third party suppliers.

- d) The Supplier shall consider the below Transition Requirements in conjunction with:
- i. all applicable Laws; and
 - ii. Schedule 2.2 (*Performance Levels*) including in particular the Performance Indicators.

TT 1 Transition Requirements

The Supplier shall:

Ref	Requirement
TT 1	Successfully complete the Transition including implementing all aspects of the Scheme administration services before the end of the Transition Period.

TT 1.1 Transition Plan Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
TT 1.1.1	Establish a transparent approach to project management of Transition Services and the Transition Plan, including the creation of the Project Initiation Document (“ PID ”) or equivalent detailing precisely what the Transition Services project entails, what it will achieve and how it will be achieved, including Benefit realisation.	Signed off PID.
TT 1.1.2	In accordance with Schedule 6.1 (<i>Transition Plan</i>) deliver a Detailed Transition Plan including Deliverables, Transition Milestones, resourcing requirements, roles and responsibilities of all parties and governance for each stage of the Transition Plan.	Within fifty (50) days of the Effective Date.

TT 1.2 Project Team Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
TT 1.2.1	Ensure that there is a ring-fenced project team dedicated to achieving the Transition in accordance with the Transition Plan. The Supplier shall ensure all project team work streams are transparent to the Authority with named leads and logically organised to deliver the Transition on time.	An organogram with named resources and roles should be presented to the Authority.
TT 1.2.2	Ensure a Project Group is established in accordance with the governance structure set out in Schedule 8.1 (<i>Governance</i>) with detailed Terms of Reference (“ ToR ”). This must include the provision of a Transition group and the ToR	Transition Project Group ToR to be presented to the Authority.

	must detail who is in the Transition Project Group, the frequency of meetings, escalation routes and a set agenda.	
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TT 1.3 Reporting Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
TT 1.3.1	Report to the Transition Project Group (or equivalent) in accordance with the Project Group's Terms of Reference or Project Initiation Document. The reporting shall be agreed with the Authority and the Authority must be able to shape the reporting.	Creation and submission of Transition governance reporting.
TT 1.3.2	Ensure the Project Group's Terms of Reference include the format of reports and reporting frequency.	Agreed Terms of Reference for the Project Group. Report template to be signed off by the Authority.
TT 1.3.3	Report to other key Stakeholders such as The Pensions Regulator ("TPR") and Civil Service Pensions Board ("CSPB") as required.	Delivery of ad hoc reports as required. Agreement from the Supplier to support wider governance groups as required throughout the duration of this Agreement.
TT 1.3.4	Comply as necessary with any reporting Requirements or provision of information to support Government reviews at key stages of the Transition project, such as the Infrastructure and Projects Authority ("IPA").	Agreement from the Supplier to support wider governance groups as required throughout the life of the Contract.

TT 1.4 Discovery Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
TT 1.4.1	Carry out all appropriate discovery required to inform the Transition approach and deliver the outcome of a successful Transition.	A Transition strategy document and Detailed Transition Plan.
TT 1.4.2	Work with the Incumbent Provider giving them sufficient notice to ensure appropriate resources are available.	

TT 1.4.3	Document findings and work collaboratively with the Authority and the Incumbent Provider to help resolve any issues that may impact Transition.	
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TT 1.5 Risk Management Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
TT 1.5.1	Manage Transition risk effectively in a manner agreed with the Authority.	A clear and shared risk register transparent to the Incumbent Provider, the Authority and the Supplier.
TT 1.5.2	Carry out regular Transition risk review meetings to ensure the continued monitoring of risks in line with Good Industry Practice.	Scheduled and agreed risk review dates within the Transition Plan. A signed off Terms of Reference for the management of risks.
TT 1.5.3	Ensure there are appropriate contingency measures in place to support a controlled Transition. Establish clear guidelines and a process for enacting contingency measures.	Risk register with “what if” scenario planning.

TT 1.6 Facilities Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
TT 1.6.1	Establish the Sites used by the Supplier in the provision of the Services, and provide the Authority with a guided tour at a convenient time for both Parties. The Supplier shall demonstrate why these Sites are suitable based on the resource profile used to deliver the Services throughout the duration of this Agreement.	Documented Sites location strategy.
TT 1.6.2	Establish all security measures for entry/exit and maintenance of the Site buildings. This shall include how security passes are issued, instructions for signing guests in and out of the relevant buildings, entry into specific areas of the buildings, including servers rooms or areas dedicated to processing sensitive information.	Security Management Plan (including Site and building security) accredited by the Security Working Group.

TT 1.6.3	Establish and implement the hardware elements of the Supplier Systems used to host the Authority Data and provide the Services. The Supplier shall ensure the Supplier System, Supplier Solution and the Services meet all applicable security Requirements under this Agreement (including Schedule 2.4 (<i>Security Management</i>) and the Supplier must demonstrate how the Supplier System will be restored following a Business Continuity or Disaster Recovery issue.	Infrastructure and architecture strategy and implementation of the strategy.
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TT 1.7 Pensions Administration Service Platform Requirements

The Business Systems Requirements detail what outcomes the Authority requires through the effective use of increased levels of automation of administrative processes. As part of the Transition, the Authority requires an effective implementation of those process automation systems as part of the Supplier's pension administration solution ready for use to deliver the Services to all Stakeholders in a more efficient manner and with improved service quality.

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
TT 1.7.1	Select and implement a pension administration system (" PAS ") to be used throughout the duration of this Agreement. The Supplier shall demonstrate why the Supplier has selected the particular PAS, including the benefits delivered by the system and how it achieves interoperability as detailed in the Business Systems Requirements.	Benefits analysis of the selected PAS.
TT 1.7.2	Obtain all relevant Scheme data from the Incumbent Provider. The Supplier shall map this data from the data source to the destination Database and ultimately migrated to the Supplier's PAS. The Supplier shall clearly document data migration from the Incumbent Provider's systems including detailing decisions not to migrate data in the Incumbent Provider's systems, and why that decision was taken.	Reconciliation at test stages and the live conversion to control data totals provided by the Incumbent Provider.
TT 1.7.3	Obtain and migrate all electronic documentation and / or image files relating to Member correspondence, and link them to the appropriate Member records in the PAS.	Reconciliation of document images indexed to the correct Member.

TT 1.7.4	Migrate additional data identified as part of the discovery exercise to ensure that all data is transferred from the Incumbent Provider to the Supplier. This shall include historic interface files, Scheme valuation extracts and reports sent to the Authority, The Pensions Regulator or Pensions Ombudsman.	Data inventory with all sources of data with a clear transfer and reconciliation plan.
TT 1.7.5	Develop and implement all necessary Benefit calculations to deliver a compliant service, optimising the use of end to end process automation where practicable.	A calculation inventory detailing its level of process automation. Signed off test evidence through an automated testing tool.

TT 1.8 Pensioner Payroll Requirements

Paying people in receipt of Benefits is of paramount importance and an area that the Supplier shall closely monitor throughout the Transition. The Authority requires the Supplier to ensure all Pensioners are paid accurately, securely and on time and this must be a primary focus of the Supplier. The Supplier shall take all steps necessary to assure the Authority that it is able to pay the existing Pensioner population, and continue to commence and terminate payments appropriately in accordance with the Scheme Rules.

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
TT 1.8.1	Configure its PAS to pay Members on their payment date. The Supplier shall ensure its PAS is capable of paying Members on all days of the week and can provide supplementary payroll runs where necessary.	Fully reconcile payroll runs against the Incumbent Provider's payroll runs through parallel running.
TT 1.8.2	Implement a mechanism in the PAS for commencing new payments for Members starting or changing their Benefits. The latter group may include those taking their residual pension following a partial retirement and dual Members who may be taking Alpha Scheme Benefits following the commencement of their PCSPS Benefits.	Clearly documented payroll workflow processes.
TT 1.8.3	Implement a mechanism in the PAS for terminating Benefit payments in the event a Pensioner undergoes a life event - most likely the Pensioner's death, but it could be a child dependant who no longer qualifies for a pension as a Beneficiary.	Clearly documented payroll workflow processes.

Ref	Requirement	Key output(s) / Deliverable(s)
TT 1.8.4	Implement a mechanism in the PAS for recovering debt owed to the Scheme following an overpayment.	Clearly documented payroll workflow processes.
TT 1.8.5	Implement a mechanism in the PAS for paying a Pensioner amounts owed in the case of an underpayment.	Clearly documented payroll workflow processes.
TT 1.8.6	Ensure all tax related reporting is implemented in the PAS, including RTI processing and financial accounting to the Authority.	Clearly documented payroll workflow processes.
TT 1.8.7	Ensure pension increase functionality exists in the PAS to apply the appropriate level of increase to each pension element.	Clearly documented payroll workflow processes.
TT 1.8.8	Ensure payslip functionality is implemented in its PAS to distribute payslips and year-end pay-related documentation to meet statutory requirements.	Signed off test scripts of the payment functionality by the Supplier.

TT 1.9 Website And Content Migration Requirements

The Civil Service Pension Scheme website can be found here:
<https://www.civilservicepensionscheme.org.uk/>

It is a key resource for Members and Employers and the Supplier shall ensure it continues to be available and promoted to Stakeholders in alignment with the Engagement Requirements.

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
TT 1.9.1	Migrate the existing Civil Service Pension Scheme website and content from the Incumbent Provider and establish clear processes for content reconciliation, review and the deployment of new material.	Website migration plan and process maps.
TT 1.9.2	Migration should include all existing modellers, tools and functionality that currently exists on the Scheme website. The migration should be seamless for Members and Employers who use the site on a daily basis.	Signed off test scripts demonstrating all areas of the Scheme website have been migrated and tested.

TT 1.10 Financial Management Requirements

The Authority takes its responsibility for financial management extremely seriously and recognises that financial information must be closely monitored and reconciled precisely throughout the duration of this Agreement. Effective forecasting will ensure that the Authority is able to transfer appropriate levels of funding to the Supplier to pay Pensioners in a timely manner.

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
TT 1.10.1	Establish a team responsible for the financial management of the Scheme.	Financial team organogram.
TT 1.10.2	Establish with the Authority the financial management reporting required during Transition. Financial management Requirements are detailed separately in the Financial Requirements, and the Supplier is required to ensure that those Financial Requirements for the Services to go-live are met during Transition.	Agreed testing and production of financial reporting and sign off from the Authority that the resulting financial reports meet the Authority's Requirements.
TT 1.10.3	Obtain all mandates required for the creation of Designated Bank Accounts for the Supplier to administer in order to receive and make payments in respect of the Scheme for the purposes of paying Benefits, collecting contributions and the transfer of monies to and from the Authority. Note: The Authority will closely scrutinise this process throughout the Transition.	Tested and signed off transfer of funds.
TT 1.10.4	Implement all anti-fraud measures specified by the Authority in the Financial Requirements.	Signed off anti-fraud measures.

TT 1.11 Process Automation Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
TT 1.11.1	Create a comprehensive process inventory detailing all of the workflows used as part of administering the Scheme and providing the Services. This must include the Supplier Personnel teams who carry out each element of the workflow, the calculations executed, letters and statements that are sent and any payroll actions. It must also explicitly demonstrate how the Supplier's performance against the Performance Indicators (as described in Schedule 2.2 (<i>Performance Levels</i>)) are measured at each stage of each automated process.	Signed off process inventory.
TT 1.11.2	Ensure the process inventory is included within the quality management system implemented as part of the Transition, and must be maintained and updated throughout the duration of this Agreement.	Signed off quality management document.
TT 1.11.3	Ensure workflows are configured within the PAS and thoroughly tested in accordance with the Supplier's "Software Development Life Cycle" (" SDLC ").	Signed off workflow processes demonstrated to the Authority and accepted by the Supplier's BAU teams.

TT 1.12 Member And Employer Contact Requirements

Members, former Members, Beneficiaries and Employers contact the Scheme administrator to discuss their case, ask questions and understand how to proceed with complex issues, including bereavement, ill health retirement and redundancy claims. As part of the Transition, the Supplier shall ensure communication and engagement channels are available to allow this support to continue including in accordance with the following Requirements.

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
TT 1.12.1	Establish a channel of communications and engagement with Members to discuss their queries and provide information as requested by Members. The Supplier's contact solution must take into account the needs of the Member, which can vary considerably and should consider availability - office hours, weekends, late evenings - to optimise the	Clear contact information for Members that they can use to suit their lifestyle and working practise, as well as consistent high standards of feedback.

Ref	Requirement	Key output(s) / Deliverable(s)
	opportunities for Members to communicate and engage with the Supplier.	
TT 1.12.2	Establish a channel of communication and engagement with Employers, who may wish to discuss individual Member cases, data-related issues or process matters, such as the initiation of CSCS applications for compensation.	Dedicated resources for Employers to contact and clear escalation points for high priority cases.

TT 1.13 Inflight Projects Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
TT 1.13.1	Work with the incumbent provider to effectively handover inflight projects originated by the Authority and Employers. For the purpose of these Requirements 'projects' include data correction and rectification work, payroll interface migration and legislative and regulatory improvements.	Transition plan containing inflight projects.
TT 1.13.2	Produce a clear and transparent project and programme register, accompanied by a clear plan for the Transition and completion of each project. The Supplier shall ensure this includes all industry-practice registers, including a risk register, issues log and dependencies log.	
TT 1.13.3	Provide clear cost and invoicing details for project delivery, being transparent about end costs to the commissioning authority - whether that is the Authority or Employer.	

TT 1.14 Transition Sign Off Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
TT 1.14.1	Plan and agree the formal handover from the Incumbent Provider to the Supplier. This must include agreed sign off procedures, the success criteria for sign off and how any residual issues will be remedied.	Exit and Transition plan agreed between the Incumbent Provider and the Supplier.

TT 2 Testing Requirements

In administering the Scheme and providing the Services, the Supplier is required to deliver complex services to a diverse range of Stakeholders with differing needs and requirements. The configuration of the Supplier System will be significant and likely to change as applicable Laws change, as well as process improvements are identified and implemented on a continuous basis. As such, testing will be a crucial component during this Agreement, but especially during the Transition phase and will be a key measure in determining whether Transition Milestones have been Achieved. The Authority requires visibility of the Supplier's testing plans, processes and test results to provide the Authority with the required assurance that functionality within the PAS performs as expected, whether it's a calculation, a workflow process or generating an accurate and complete Annual Benefit statement.

Testing procedures are detailed in Schedule 6.2 (*Transition Assurance and Project Testing Procedures*) of this Agreement.

The Supplier shall:

Ref	Requirement
TT 2	Carry out a full testing and assurance programme that will successfully test all elements of Transition in accordance with the Requirements of Schedule 6.2 (<i>Transition Assurance and Project Testing Procedures</i>).

TT 3 Business Continuity Readiness Requirements

Business Continuity and Disaster Recovery (also referred to as Service Continuity Planning) is detailed in Schedule 8.6 (*Service Continuity Plan and Corporate Resolution Planning*) of this Agreement.

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
TT 3.1	Test its Service Continuity Plan (developed in accordance with Schedule 8.6 (<i>Service Continuity Plan and Corporate Resolution Planning</i>) prior to going live, share the results of such test and demonstrate to the Authority's reasonable satisfaction how the Service Continuity Plan met the Requirements of Schedule 8.6 (<i>Service Continuity Plan and Corporate Resolution Planning</i>) and will ensure continuity of Services in the event of a Disaster and/or other business continuity event occurring.	

TT 4 Transition And Service “Go-Live” Requirements

Transition will be delivered by a project team of Supplier Personnel dedicated to the migration and Transition of the Scheme administration service from the Incumbent Provider to the Supplier. However, following the successful completion of Transition, the Supplier’s business as usual operational team of Supplier Personnel will provide the ongoing Services throughout the duration of this Agreement and the Transition project will ultimately be closed.

The Supplier shall:

Ref	Requirement
TT 4	Successfully handover the service delivery from the dedicated project team of Supplier Personnel to the business as usual operational team of Supplier Personnel before the Transition project is formally closed.

TT 4.1 TUPE Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
TT 4.1.1	Comply with the relevant provisions of Schedule 9.1 (<i>Staff Transfer</i>) and the Supplier shall ensure all Employment Regulations related activities meet all statutory deadlines.	Signed off TUPE action plan agreed with the Authority’s legal counsel.

TT 4.2 Knowledge Transfer And Training Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
TT 4.2.1	Ensure the successful transfer of Scheme knowledge from the Incumbent Provider to the Supplier’s pension administration service. The Supplier must demonstrate how that knowledge will be retained through written documentation or a knowledge bank database. The Supplier shall use all reasonable endeavours to ensure all existing written documentation containing direction from the Authority on Scheme-related matters is transferred from the Incumbent Provider to the Supplier and the Supplier shall store and index such documentation appropriately.	The approach and associated knowledge management must be demonstrated to the Authority.
TT 4.2.2	Ensure the Supplier’s operational team(s) are suitably trained on the Scheme Rules so that	

	they are able to effectively administer the Schemes from go-live following successful Transition.	
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TT 4.3 Handover To Business As Usual (BAU) Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
TT 4.3.1	Deliver an effective handover from the Supplier's project team to its business as usual team following Transition project closure.	Acceptance by the business as usual team of the operational delivery of the Services.
TT 4.3.2	<p>Ensure the Supplier's operational team(s) are suitably trained on the PAS and related systems and workflow functionality to effectively administer the Schemes from go-live.</p> <p>Note: This is in addition to TT4.2.2 which requires the Supplier to focus on training regarding understanding and applying the Scheme Rules, whereas this requirement is to ensure Supplier Personnel understand the systems processes of the Schemes, including how to work with new Stakeholders, including but not limited to Employers, the Scheme Medical Adviser, GAD, Shared Service Providers and Payroll Bureaus.</p>	Training plans for all operational staff.

4 OPERATIONAL REQUIREMENTS

4.1 The requirements for Operational Services are set out in this Paragraph 4 (the "**Operational Requirements**").

4.2 Core Administration Requirements

Brief Introduction

- a) The required outcomes from the Supplier's provision of the core administration services in accordance with this Agreement are that the Supplier administers the Civil Service Pension Scheme (CSPS) to ensure:
- i. The right Member gets the right Benefits at the right time.
 - ii. Benefits are processed efficiently, accurately and in a timely manner in accordance with the Scheme Rules, applicable Law, the requirements of any Regulatory Body (including The Pensions Regulator's codes of practice and the Pensions Ombudsman's determinations), guidance and direction provided by the Authority, as Scheme Manager, from time to time and Good Industry Practice.
 - iii. The Members' experience of the Services meets or exceeds their expectations of a high quality 'member-centric service', with the Supplier acting at all times with Members' best interests at heart in providing the Services. In all cases the Supplier will act proactively and effectively to keep Members regularly informed of their Benefits and options under the relevant Schemes and ensure Members' data and records are accurate and secure.
 - iv. All administration services are modern, future-proofed, highly efficient and effective in providing information, communications, guidance and support to Members at the right time.
 - v. That the burden on Employers is kept to a minimum wherever possible, with the Supplier taking on responsibility for the successful provision of the Services.
 - vi. Maintain accurate data (including Authority Data) and a complete audit trail of activities to demonstrate compliance with this Agreement.
- b) The Supplier shall consider the below Core Administration Requirements in conjunction with:
- i. all applicable Laws; and
 - ii. Schedule 2.2 (*Performance Levels*) including in particular the Performance Indicators.

CA 1 Service to Active Members

The Supplier shall:

Ref	Requirement
CA 1	Provide all relevant Services for the benefit of Active Members so that the Supplier achieves the Authority's required outcomes as set out in Paragraph 1 (Brief Introduction) above.

CA 1.1 New Members Requirements

The Supplier shall:

Ref	Requirement
CA 1.1.1	Provide new Members with all required and relevant information and enrol them into the CSPS.

CA 1.2 Members re-joining Requirements

The Supplier shall:

Ref	Requirement
CA 1.2.1	Provide Members who have opted out and who either wish to re-join or who have reached their re-enrolment date with all relevant information and enrol them into the CSPS.
CA 1.2.2	Abate Members' pensions where appropriate.

CA 1.3 Annual Benefit Statements, Pension Savings Statements and Lifetime Allowance Requirements

The Supplier shall:

Ref	Requirement
CA 1.3.1	Send Active Members annually a legally compliant Annual Benefit Statement.
CA 1.3.2	Send Active Members an additional legally compliant Annual Benefit Statement on request from the Member.
CA 1.3.3	Send relevant Active Members a legally compliant Pensions Savings Statement.
CA 1.3.4	Send relevant Active Members a legally compliant Lifetime Allowance letter.

CA 1.4 Scheme Pays

The Supplier shall:

Ref	Requirement
CA 1.4.1	On request from the Member, issue an estimate to the Member explaining the impact on their Benefits.
CA.1.4.2	On receipt of a Member's instruction, issue a payment instruction for a Member's tax liability and update their record accordingly.

CA 1.5 Transfers in Requirements

The Supplier shall:

Ref	Requirement
CA 1.5.1	Provide Members with all relevant information to enable them to transfer in pension Benefits from another pension scheme (other than any CSPS scheme), liaise with relevant third parties and process the transferring in .

CA 1.6 Bulk Transfers Requirements

The Supplier shall:

Ref	Requirement
CA 1.6.1	Provide Members with all relevant information and perform Bulk Transfers in or out of the CSPS.

CA 1.7 Transfers Out

The Supplier shall:

Ref	Requirement
CA 1.7.1	Supply Members on request an annual estimate of the CETV of their Benefits should they request to transfer them to another arrangement.

CA 1.8 Transfers from one Employer to another Employer Requirements

The Supplier shall:

Ref	Requirement
CA 1.8.1	Process the transfer of a Member from one CSPS Employer to another CSPS Employer.

CA 1.9 Quotes Requirements

The Supplier shall:

Ref	Requirement
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CA 1.9.1	Provide Members with Quotes including all relevant information on CSPS Benefits accrued and, where possible, projections of future Benefits.
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CA 1.10 Opting Out Requirements

The Supplier shall:

Ref	Requirement
CA 1.10.1	Provide Members with all relevant information to enable Members to opt out of the relevant scheme within the CSPS.
CA 1.10.2	Where a Member opts out, inform the Employer and ensure contributions are appropriately ceased.

CA 1.11 Additional Voluntary Contributions (“AVCs”), Partnership and Switching Requirements

The Supplier shall:

Ref	Requirement
CA 1.11.1	maintain accurate records of CSAVCS Members and related schemes.
CA 1.11.2	Liaise with CSAVCS providers to carry out any members’ requests in relation to their Civil Service Additional Voluntary Contributions (“ CSAVCS ”).
CA 1.11.3	Receive, reconcile and distribute annual AVC statements received from CSAVCS provider to CSAVCS members.
CA 1.11.4	Instruct legacy CSAVCS providers to make payment, on the death of a Member, on receipt of all relevant information and the agreement of the Authority.
CA 1.11.5	Act as liaison between Utmost Life and Pensions and their CSAVCS member and ensure the completion of relevant forms for deaths, retirements and transfers and instruct the provider to make payment and issue Life Time Allowance (“ LTA ”) certificates where appropriate.
CA 1.11.6	On receipt of a switching form, check eligibility, process the request and confirm with the Employer.

CA 1.12 Early leavers (Less than 2 years) Requirements

The Supplier shall:

Ref	Requirement
CA 1.12.1	Provide Members who are early leavers with all relevant information and options and process the refund or transfer due.
CA 1.12.2	Refund the Member’s contributions where they leave with less than three (3) months’ service.

CA 1.12.3	Offer Members who leave with more than three (3) months service but less than two (2) years' service the option of either a refund of contributions or a transfer out of the CSPS into another pension arrangement. The Supplier shall act on the Member's choice.
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CA 1.13 Retirement and Partial retirement Requirements

The Supplier shall:

Ref	Requirement
CA 1.13.1	Provide Members, retiring in full or in part, with all relevant information and options, and process Benefits due including any Commutation options.
CA 1.13.2	Abate Members' pensions where appropriate.

CA 1.14 Added Pension, Effective Pension Age and Enhanced Effective Pension Age Requirements

The Supplier shall:

Ref	Requirement
CA 1.14.1	Provide Members on request with details of all relevant information in response to requests from Members.
CA 1.14.2	Implement any options made by the Member.

CA 1.15 Ill-health reviews Requirements

The Supplier shall:

Ref	Requirement
CA 1.15.1	Process all ill-health reviews in an accurate and timely manner. The Supplier shall liaise with the Scheme Medical Adviser as necessary to meet this requirement.
CA 1.15.2	Provide ill-health retirement Quotes to Members on request.

CA 2 Service to Deferred Members (Early leavers with more than 2 years' service)

The Supplier shall:

Ref.	Requirement
CA 2	Provide all relevant Services for the benefit of Deferred Members so that the Supplier achieves the Authority's required outcomes as set out in Paragraph 1 (Brief Introduction) above.

CA 2.1 Transferring out CSPS Benefits Requirements

The Supplier shall:

Ref	Requirement
CA 2.1.1	Provide Deferred Members with all relevant information to enable them to transfer out their pension Benefits, liaise with relevant third parties and process the transferring out Benefits.
CA 2.1.2	Carry out procedures necessary to aim to prevent pensions mis-selling on transferring out CSPS Benefits.

CA 2.2 Deferment Requirements

The Supplier shall:

Ref	Requirement
CA 2.2.1	Process deferred Benefits and provide Members with all required and relevant information on Benefits deferred.
CA 2.2.2	Revise deferred Benefits following receipt and validation of additional or amended data.

CA 2.3 Pension Increase Requirements

The Supplier shall:

Ref	Requirement
CA 2.3.1	Apply increases to Deferred Members' pensions in accordance with applicable Law.

CA 2.4 Deferred Annual Benefit Statements Requirements

The Supplier shall:

Ref	Requirement
CA 2.4.1	Send Deferred Members each year an Annual Benefit Statement.
CA 2.4.2	Send Deferred Members additional Annual Benefit Statements where requested.

CA 2.5 Quotes Requirements

The Supplier shall:

Ref	Requirement
CA 2.5.1	Provide Members with Quotes including all relevant information on CSPS Benefits accrued and, where possible, projections of future Benefits.

CA 2.6 Retirement Requirements

The Supplier shall:

Ref	Requirement
CA 2.6.1	Provide Members with all required and relevant retirement information and options, and process Benefits due including any Commutation options.

CA 2.7 Ill-health reviews Requirements

The Supplier shall:

Ref	Requirement
CA 2.7.1	Process all ill-health reviews in an accurate and timely manner. The Supplier shall liaise with the Scheme Medical Adviser as necessary to meet this requirement.
CA 2.7.2	Provide ill-health retirement Quotes to Members on request.

CA 3 Service to Pensioners

The Supplier shall:

Ref	Requirement
CA 3	Provide all relevant Services for the benefit of Pensioners so that the Supplier achieves the Authority's required outcomes as set out in Paragraph 1 (Brief Introduction) above.

CA 3.1 Regular pension and lump sum Requirements

The Supplier shall:

Ref	Requirement
CA 3.1.1	Pay lump sum pension Benefits within one (1) day of the Member's retirement date.
CA 3.1.2	Set up and pay monthly pension payments in accordance with the Member's payment date.
CA 3.1.3	Provide Members with a payslip on initial set up of pension and when pay changes by £1 or more.
CA 3.1.4	Provide Members with a P60 and life time allowance Statement each year.

CA 3.2 Revision of Benefits Requirements

The Supplier shall:

Ref	Requirement
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CA 3.2.1	Revise Pensioner Benefits, including any lump sum payable, as necessary after receiving additional or revised data.
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CA 3.3 Pension Increase Requirements

The Supplier shall:

Ref	Requirement
CA 3.3.1	Apply increases to pension Benefits in accordance with applicable Law.

CA 3.4 Guaranteed Minimum Pension ("GMP") Requirements

The Supplier shall:

Ref	Requirement
CA 3.4.1	Ensure that the GMP element of any CSPS pension is correctly assessed and paid in accordance with applicable Law.

CA 3.5 Payment of Benefit to legally entitled third parties Requirements

The Supplier shall:

Ref	Requirement
CA 3.5.1	Pay Benefits to a legally entitled third party on production of a duly authorised legal document e.g. including a court order, earmarking order, 'Court of Protection' order.

CA 3.6 Widow(er) Pension Scheme ("WPS") contributions refunds Requirements

The Supplier shall:

Ref	Requirement
CA 3.6.1	Refund WPS contributions to eligible Members.

CA3.7 Existence checking Requirements

The Supplier shall:

Ref	Requirement
CA 3.7.1	Validate the identity and address of persons receiving pension payments and that they are still alive.
CA 3.7.2	Suspend payment where there is no evidence that the Member or Beneficiary is still alive or at the last known address.

CA 3.7.3	Reactivate pension payments on receipt of valid evidence of continued existence and current address.
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CA 3.8 Child pension review

The Supplier shall:

Ref	Requirement
CA 3.8.1	Review annually pensions in payment to children to check continued eligibility.
CA 3.8.2	Ensure Benefits cease by the relevant payment end date.

CA 4 Service to all Members

The Supplier shall:

Ref	Requirement
CA 4	Provide all relevant Services for the benefit of all Members so that the Supplier achieves the Authority's required outcomes as set out in Paragraph 1 (Brief Introduction) above.

CA 4.1 Death Benefits Requirements

The Supplier shall:

Ref	Requirement
CA 4.1.1	Obtain and/or provide all relevant information necessary to administer a death Benefit payment and pay any lump sum death Benefits to Beneficiaries or the estate as applicable.
CA 4.1.2	Calculate entitlement to partner and/or dependent pension Benefits and make payments to Beneficiaries.

CA 4.2 Death Nomination Requirements

The Supplier shall:

Ref	Requirement
CA 4.2.1	Record and maintain valid death Benefit nominations from Members.

CA 4.3 Divorce Requirements

The Supplier shall:

Ref	Requirement
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CA 4.3.1	Provide all relevant information to the Member, or a lawyer authorised by the Member to act on his or her behalf, in connection with proceedings for divorce.
CA 4.3.2	Recover charges (in respect of Member Paid Services) on behalf of the Authority from the divorcing Member or former partner following a court sharing order.
CA 4.3.3	Implement any court sharing or ear-marking order, recording as appropriate pension details for both pension credit and pension debit Members.

CA 4.4 Complaints Requirements

The Supplier shall:

Ref	Requirement
CA 4.4.1	Operate a robust and effective complaints process.
CA 4.4.2	Maintain and report to the Authority Management Information on complaints.
CA 4.4.3	Provide full responses to complaints raised by Members of Parliament either: <ul style="list-style-type: none"> ● to the relevant Members of Parliament where the complaint is received directly; or ● to the Authority in all other cases.
CA 4.4.4	Operate the Internal Dispute Resolution Procedure in accordance with procedures defined by the Authority.
CA 4.4.5	Implement and pay any redress awarded to a Member by the Authority under the Internal Dispute Resolution Procedure. The amounts will be limited in each case to: <ul style="list-style-type: none"> ● any demonstrable financial loss on the part of the Member; and ● (where applicable) compensation to the Member for distress and inconvenience in accordance with guidance provided by the Pensions Ombudsman.
CA 4.4.6	Provide information and support as requested by the Authority in responding to Pensions Ombudsman cases.

CA 4.5 Transfers from other schemes Requirements

The Supplier shall:

Ref	Requirement
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CA 4.5.1	Ensure the ongoing payment of existing pensions for Members of the transferred-in scheme and the payment of other Benefits as they become due.
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CA 4.6 Disclosure of Information Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
CA 4.6.1	Monitor and adhere to The Occupational and Personal Pension Schemes (Disclosure of Information) Regulations 2013, to ensure all legislative requirements are met, and report all breaches of disclosure regulations to the Authority.	
CA 4.6.2	Ensure the requirement in CA4.6.1 is configured within the Supplier Workflow Management System and can be audited and reported against in the event of a breach of the Occupational and Personal Pension Schemes (Disclosure of Information) Regulations 2013.	The Supplier shall provide a monthly report for the Authority detailing any breaches.
CA 4.6.3	In the event of a breach of the Occupational and Personal Pension Schemes (Disclosure of Information) Regulations 2013, the Supplier shall provide the Authority with a root cause analysis of the issue and how it intends to prevent future breaches .	The Supplier shall provide to the Authority a root cause analysis report within twenty (20) days of any breach.

CA 5 Other Arrangements

The Supplier shall:

Ref	Requirement
CA 5	Provide all relevant Services for the benefit of Members so that the Supplier achieves the Authority's required outcomes as set out in Paragraph 1 (Brief Introduction) above.

CA 5.1 Civil Service Compensation Scheme Requirements

The Supplier shall:

Ref	Requirement
CA 5.1.1	Calculate payments under the CSCS due to Members who are part of an early exit scheme.
CA 5.1.2	Provide relevant Members with all relevant information relating to the CSCS and process Benefits.
CA 5.1.3	Provide relevant Employers with all relevant information relating to an early exit scheme and process Benefits due.
CA 5.1.4	Recharge relevant Employers for payments made under the Civil Service Compensation Scheme.
CA 5.1.5	Inform the relevant Employer if a Member returns to their employment within the timeframe set out in the Scheme Rules which requires the Member to repay a proportional amount of their compensation payment. The Supplier must notify the relevant Employer of the amount to be repaid.
CA 5.1.6	Provide the relevant Employer with any required CSPA information to complete an inefficiency dismissal.

CA 5.2 Civil Service Injury Benefit Scheme Requirements

The Supplier shall:

Ref	Requirement
CA 5.2.1	Administer and make payments for any Benefits that become payable under the Civil Service Injury Benefit Scheme rules and injury warrants. The Supplier shall liaise with the Scheme Medical Adviser as necessary.
CA 5.2.2	<p>Where a Member contracts a disease and/or is injured or assaulted whilst at work, such Member may qualify for a sick leave excusal. Where such Member is granted a sick leave excusal: (i) such leave will be up to a maximum of six (6) months (or one hundred and eighty two (182) calendar days); (ii) the sick leave relating to that injury or disease, is removed from counting against the Member's individual sick leave record for sick pay purposes; and (iii) the Member is excluded from any unsatisfactory attendance procedures.</p> <p>The Supplier shall undertake all necessary activities to support any Members who may qualify or have qualified for a sick leave excusal, including but not limited to:</p> <ul style="list-style-type: none"> a) responding to enquiries relating to possible claims for sick leave excusal; b) liaising with the Scheme Medical Advisor where necessary; c) providing details to the relevant Employer of the rate of 'sick pay at pension rate'; and d) notifying the final decision to the Member and the relevant Employer.

CA 5.3 Director of Public Prosecutions Requirements

The Supplier shall:

Ref	Requirement
CA 5.3.1	Administer the Director of Public Prosecution's Benefits in a timely and accurate manner.

CA 5.4 European Parliament (United Kingdom Representatives) Pension Scheme ("EP(UKR)PS") Administration Requirements

The Supplier shall carry out in accordance with agreed Service Levels, all activities necessary to:

Ref	Requirement	Key output(s) / Deliverable(s)
CA 5.4.1	Provide the Member with the necessary information that will allow the Member to decide whether to claim their retirement Benefits.	Three (3) months before normal retirement age
CA 5.4.2	Provide the EP(UKR)PS payroll provider with the award details once the Member has provided the relevant information for an award to be made.	Within five (5) working days of receiving the relevant information
CA 5.4.3	Provide details to the EP(UKR)PS scheme medical adviser of a Member's application for ill-health retirement.	Within ten (10) Working Days
CA 5.4.4	Process the ill-health award on receipt of a decision from the EP(UKR)PS scheme medical adviser.	Within five (5) Working Days
CA 5.4.5	Provide all necessary information, Benefit quotation and application details to the relevant nominee following a valid notification of the death of a Member.	Within two (2) Working Days
CA 5.4.6	Facilitate transfers of Benefits into and out of the EP(UKR)PS.	Within ten (10) Working Days

CA 5.5 Legacy Schemes Requirements

The Supplier shall:

Ref	Requirement
CA 5.5.1	Administer and make payments for any Benefits that become payable under the Legacy Schemes.

4.3 Engagement Requirements

Brief introduction

- a) The key required outcome from the Supplier's provision of the engagement and communications services in accordance with this Agreement is improved quality and effectiveness of communications with Members, Employers and other Stakeholders and increased overall engagement and appreciation of the value of the Scheme for Members. In addition to this key outcome, other required outcomes include:
- i. Members understand the Scheme and Benefits available and are able to actively plan for their retirement;
 - ii. Members understand and are able to consider appropriate changes to reflect their individual needs and life stages/events;
 - iii. Members understand the value of the pension as a key part of the total reward package;
 - iv. Employers understand the Scheme and its benefits including their roles and responsibilities and are better able to support Members and seek improvements to employee retention; and
 - v. Other Stakeholders (e.g. Shared Services Providers, Scheme Actuary, legal advisers, auditors, Scheme Medical Advisor, Regulatory Bodies, HMRC/other Government departments) understand their roles and responsibilities and are able to obtain the information and support necessary to provide an efficient and effective service to Members, Employers and the Scheme.
- b) The Supplier shall consider the below Engagement Requirements in conjunction with:
- i. all applicable Laws; and
 - ii. Schedule 2.2 (*Performance Levels*) including in particular the Performance Indicators.

CE 1 Engagement – Overarching All Stakeholders Requirements

This section defines the overarching engagement requirements at a high level and links into the following subsections for lower level requirements.

The Supplier shall:

Ref	Requirement
CE 1	<p>As a minimum:</p> <ul style="list-style-type: none"> ● establish an overarching strategic view and understanding of communication and engagement needs and responsibilities in relation to the entire Scheme administration including strategic aims, objectives and benefits of engagement linked to the Authority’s strategic objectives as described in the Authority’s Scheme vision and objectives as shared with the Supplier including the 7 pillars (the “7 Pillars”); ● identify (including through appropriate segmentation) and analyse the roles, needs and responsibilities of Stakeholders so that the Supplier’s overarching Scheme engagement strategy is clear on the roles, needs and priorities and can then more easily develop into lower level engagement plans and strategies within the Scheme; ● ensure engagement and communication strategies integrate with and support the efficient and improved delivery of established core administration service requirements such as complaint processes, contact centre and official query handling; for example, MP letters; ● use an evidence-based approach in developing its engagement strategy and plans for Members; ● ensure engagement and communication strategies demonstrate an understanding of engaging/communicating at or prior to key stages both reactively and proactively (as applicable); ● use and analyse demographics, to deliver more effective engagement/communications which achieve required outcomes; ● develop trust and confidence in the Scheme, including in its administration and delivery; and ● adopt and maintain an engagement approach, methods and styles which are based at all times on ensuring inclusivity to maximise engagement despite any cognitive impairment, accessibility, equality and/or disability issues for individual Members.

CE 1.1 Engagement – Specific All Stakeholders Requirements

The Supplier shall:

Ref	Requirements	Key output(s) / Deliverable(s) includes
CE 1.1.1	Design, develop and agree with the Authority annually, an effective three (3) year rolling communication and engagement strategy	Within six (6) months of the Effective Date the Overarching CE

Ref	Requirements	Key output(s) / Deliverable(s) includes
	<p>(“Overarching CE Strategy”) that aligns with the Authority’s strategic aims and vision for the Scheme including the 7 Pillars, and reflects the varied membership demographics and Employer sizes and the changing needs of Members, Employers and other Stakeholders. In fulfilling this requirement the Supplier’s responsibilities include but are not limited to undertaking the following activities and reflecting the results of these in the proposed Overarching CE Strategy for approval by the Authority:</p> <ul style="list-style-type: none"> ● a complete and accurate understanding of all Stakeholders and their key interactions (both existing and in the foreseeable future) in relation to the Scheme and the Services using information, feedback and segmentation techniques which it shall document and provide to the Authority; ● methods for building Members’, Employers’ and other Stakeholders’ trust in the Scheme; ● early engagement with Stakeholders to support government pension policy and reforms through provision of information, quality service and support; ● methods for improving Stakeholders’ understanding of the level of Scheme benefits; ● work with Stakeholders to support appreciation of the Civil Service Pension Scheme as part of attract and retain activity and Members’ appreciation of their pension as part of their reward package; ● a strategy to address the changing needs and responsibilities of the Stakeholders during this Agreement, employing innovation techniques through continuous improvement; and ● an approach which is inclusive of all Stakeholders. <p>The Supplier shall evaluate the effectiveness of all existing overarching engagement and communication activities with all Stakeholders in the Scheme. This shall include the Supplier validating and/or recommending improvements to existing overarching</p>	<p>Strategy must be approved by the Authority.</p>

Ref	Requirements	Key output(s) / Deliverable(s) includes
	<p>engagement and communication activities together with detailed plans for achieving a smooth and orderly service transition. Such detailed plans to be agreed in writing with the Authority.</p> <p>In fulfilling this requirement, the Supplier's responsibilities include but are not limited to:</p> <ul style="list-style-type: none"> ● providing the Authority with detailed documentation demonstrating its understanding of the Stakeholder engagement calendar; and ● providing a formal approach to enabling and supporting service transition which shall minimise the impact of transition upon Stakeholders. 	
CE 1.1.2	<p>Define and document the Supplier's methodology for measuring and reporting on overarching engagement outcomes which describes the measures against which the Supplier's overarching engagement strategy performance and outcomes will be measured and against which baseline comparisons made. The Supplier shall ensure all overarching engagement activity and results are recorded so that improvements can be identified and measured by the Supplier on an ongoing basis, including demonstrating performance against clear stretch targets agreed with the Authority. The Supplier's methodology shall include but is not limited to:</p> <ul style="list-style-type: none"> ● documenting and agreeing with the Authority what good overarching engagement looks like and how the Supplier will measure it; ● documenting and agreeing with the Authority what good overarching communication looks like and how the Supplier will measure it; ● demonstrating how the Supplier will use data to drive desired engagement and communication outcomes with Stakeholders including identifying areas of both strength and weakness of such data driven methods; ● demonstrating how it will implement Management Information systems to 	Signed off methodology and process for measuring engagement.

Ref	Requirements	Key output(s) / Deliverable(s) includes
	<p>record and manipulate the necessary data to assess overarching engagement performance outcomes and identify and recommend to the Authority on an ongoing basis continual improvements to overarching engagement strategies and service delivery generally throughout the duration of this Agreement;</p> <ul style="list-style-type: none"> ● reflect the changing needs and responsibilities of Members, Employers and other Stakeholders employing innovation techniques through continuous improvement; and ● allow for continual dynamic review of overarching engagement performance measures and outcomes throughout the life of this Agreement. 	
CE 1.1.3	<p>Deliver annually, a three (3) year communications and engagement plan complete with matrix (“RACI”), with clear roles and responsibilities for all parties and timelines for delivery (“CE Plan”).</p> <p>The CE Plan will be agreed on an annual basis in advance with the Authority and once agreed the Supplier shall deliver the annual plan in accordance with the timelines specified with the Authority. The Supplier shall ensure each such CE Plan delivered annually:</p> <ul style="list-style-type: none"> ● includes a detailed description of the measured outputs to support strategic overarching engagement objectives and benefits; ● demonstrates a clear link from implementing the annual plans to the overarching engagement strategy and achieving objectives and targets and realising benefits; and ● outlines an approach to hosting support to the Authority for engagement events such as “Civil Service Live”, “Regional Employer Forum”, and other Member or Stakeholder engagement meetings/ events throughout each year of the Agreement. 	Signed off, on an annual basis, a three (3) year CE Plan. The CE Plan to be signed off annually three (3) months prior to the commencement of the first year of such plan.
CE 1.1.4	Document and agree with the Authority a methodology for how it will enable	Within six (6) months of the Effective Date the Independent

Ref	Requirements	Key output(s) / Deliverable(s) includes
	<p>independent assurance of its overarching communication and engagement activity and performance (“Independent Assurance Methodology”). This shall include but not be limited to the Supplier describing how it will:</p> <ul style="list-style-type: none"> ● engage with a suitable third party to undertake an independent assessment of its ongoing overarching engagement activity, performance and achievements on an annual basis; ● respond to and implement the recommendations of such independent third party assessor to meet the required overarching engagement approach; ● benchmark Scheme communications and engagement methods, activities and channels against industry standards and outside comparable markets; and ● determine and understand what “good” looks like and review results for enhancement requirements to achieve the Scheme vision. 	<p>Assurance Methodology must be approved by the Authority.</p>
CE 1.1.5	<p>Ensure its communications strategy (“Supplier Communications Strategy”) is documented and agreed with the Authority including ensuring it is aligned and fully integrated with the Overarching CE Strategy agreed with the Authority. The Supplier shall ensure all plans, materials and activities are fully inclusive and support the sustainability agenda, are in line with applicable Laws, government policy and Good Industry Practice. This shall include but not be limited to the Supplier:</p> <ul style="list-style-type: none"> ● communicating applicable policy and/or changes in applicable Law accurately, concisely and promptly to Members and Employers; ● using plain English in all communications with Stakeholders; ● adhering at all times to the Authority’s branding guidelines for the Scheme; ● adopting clear and consistent content management/version control; 	<p>Within six (6) months of the Effective Date the Supplier Communication Strategy must be approved by the Authority.</p>

Ref	Requirements	Key output(s) / Deliverable(s) includes
	<ul style="list-style-type: none"> • meeting accessibility requirements and needs of all Stakeholders on an overarching basis; • regularly reviewing and making improvements (agreed by the Authority) to its overarching communication strategy, tools and methods on an ongoing basis during this Agreement; and • maintaining all standard Member, Employer and other Stakeholder communications materials (including website, portal, Scheme booklets and guides, letters, statements, forms newsletters etc.) (the “Communications Materials”) ensuring such items comply at all times with the Scheme Rules, and the Supplier shall review the Communications Materials at least annually for possible enhancements resulting from changes to pensions policies, applicable Laws, Scheme Rules etc. The Communications Materials include but are not limited to: <ul style="list-style-type: none"> (i) Civil Service Pension Scheme booklets / literature; (ii) website management, content and publication; (iii) Civil Service Pension Scheme guidance; (iv) annual newsletter for Active Members; (v) annual newsletter for Pensioners; (vi) annual newsletter for Deferred Members; (vii) standard letters, forms and communications; (viii) Member communications on money purchase issues; and (ix) Member and Employer communications to support special events, for example Scheme changes and pension reform. <p>The Supplier shall ensure that Communications Materials and related tools</p>	

Ref	Requirements	Key output(s) / Deliverable(s) includes
	<p>are materially accurate and as user friendly as reasonably practicable.</p> <p>The Supplier shall provide horizon scanning and policy liaison functions which shall work collaboratively with the Authority and shall identify and assess in consultation with the Authority in relation to any potential changes in the Scheme Rules and applicable Laws ensuring that the Supplier keeps all Communications Materials and related tools accurate, comprehensive and up-to-date.</p>	

CE 2 Communication and Engagement – Overarching Employer Support Requirements

The successful delivery of the Future Services model for administration of the Scheme as it applies to Employers is central to the continuous improvement of the Scheme administration services. Employers play a critical role within the administration of Scheme and it is important that they are engaged in service improvement decisions, supported to deliver their functions and understand their roles, needs and responsibilities in relation to the Scheme.

The Supplier shall:

Ref	Requirement
CE 2	<p>As a minimum:</p> <ul style="list-style-type: none"> ● provide services that prioritise and facilitate ease of access and use systems (including interfaces) for Employers to fulfil their roles and responsibilities efficiently and address their reasonable needs as Employers; ● assist the Employers in promoting the value and benefits of the Scheme to Members; ● develop and promote Employers’ trust and confidence in the Supplier as the administrator of the Scheme; ● avoid a one-size-fits all approach to the method and style of Employer engagement, given that the Employers vary in size from over 75,000 Members to 1 Member; ● demonstrate how it will support the Authority in ensuring Employers understand the nature and extent of their roles and responsibilities and are meeting them; and ● provide Management Information, as agreed with the Authority, to Employers on service delivery.

CE 2.1 Engagement – Specific Employer Support Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s) includes
CE 2.1.1	<p>Design, develop and agree with the Authority annually, an effective three (3) year rolling Employer engagement approach. This shall define how the Supplier will proactively engage and provide the necessary support to Employers to help them understand their responsibilities in relation to administering the Civil Service Pension Scheme.</p> <p>This shall include, but is not limited to the Supplier:</p> <ul style="list-style-type: none"> a) maintaining and providing: <ul style="list-style-type: none"> i) guidance and general training; and ii) any other new forms of Employer guidance and communications as agreed with the Authority; b) dealing with enquiries relating to administration of the Scheme and providing reasonable information and support to all existing and new Employers considering admission to the Civil Service Pension Scheme, including: <ul style="list-style-type: none"> i) Provision of standard information and guidance about Scheme administration; ii) Provision of guidance and information on Employer responsibilities; iii) Informing Employers about the type and quality of data they need to provide to the Supplier, and the implications of non-compliance with Employer data requirements for the Scheme; iv) Assistance to Employers in implementing the Scheme (including implementing and/or integrating as necessary with Supplier Systems); and c) providing all the relevant general training materials and supporting tools to enable the Employer to carry out its functions for the Scheme, including: <ul style="list-style-type: none"> i) Developing, maintaining and delivering effective training 	<p>Within six (6) months of the Effective Date the Supplier's Employer engagement approach must be approved by the Authority.</p>

Ref	Requirement	Key output(s) / Deliverable(s) includes
	<p>materials for Employers and their HR professionals;</p> <p>ii) Developing and maintaining administration supporting tools e.g. re-joiner calculator, support on auto-enrolment etc; and</p> <p>d) engaging with Employers to promote the accurate and timely delivery of Services to Members and Beneficiaries, including:</p> <p>i) ensuring periodic contact with each Employer to provide them with support to help them meet their obligations to the Civil Service Pension Scheme;</p> <p>ii) facilitating 'User' group(s) for Employers or any other meetings as reasonably required to deliver the Employer engagement strategy. These shall provide a forum for:</p> <ul style="list-style-type: none"> ▪ Employers to feedback on Service received and share experiences on best practice; and ▪ consultation on process changes affecting Employers; <p>iii) Providing a secretarial function for any meetings (including but not limited to production of papers, follow up actions, minutes, agendas etc);</p> <p>e) Provide effective notification to Employers of any future changes to service delivery and the impact on the Employers; and</p> <p>f) Provide the Authority with support managing the yearly Annual Assurance exercise. This shall include the Supplier:</p> <p>i) issuing the agreed template to all Employers with associated communications on behalf of the Authority;</p> <p>ii) tracking the completion of the template and chasing non-compliant Employers;</p> <p>iii) collating the returns and providing the Authority with an amalgamated table of responses; and</p>	

Ref	Requirement	Key output(s) / Deliverable(s) includes
	<p>iv) providing ideas for improving and streamlining the process on an ongoing basis.</p>	
<p>CE 2.1.2</p>	<p>The Supplier shall engage in a consultation process with the Authority and other Stakeholders. This shall result in the gathering and deployment of insight and Customer understanding through:</p> <ul style="list-style-type: none"> a) each Employer having a nominated Customer relationship manager at the Supplier; b) regular regional Employer forums (at least one (1) per year or more frequent as reasonably required) to gain insight and feedback and share any Supplier developments; c) change management and control processes; d) monthly contract meetings (convened through the Administration and Communications Working Group) with the Authority as described in Schedule 8.1 (<i>Governance</i>); and e) continuous Customer insight activity (Customer feedback, bespoke research and analysis of external and internal data). <p>The output of the activities in a) to e) immediately above shall all be used to influence future developments in the Scheme and the implementation of change that impacts Stakeholders.</p> <p>The Supplier's change management process shall include an assessment of the impact on Customers. The Supplier shall use reasonable endeavours to ensure that all changes to the Scheme are understood from the Member and Employer perspective.</p> <p>Any significant operational changes that impact the services received by Employers or Members shall be discussed and agreed with the Authority prior to implementation in accordance with the Change Control Procedure.</p>	<p>Clearly document processes in the Overarching CE Strategy as outlined in CE1.1.1</p>

CE 3 Engagement – Stakeholders introduction

Outside of Members and Employers there are a number of other Stakeholders with which the Supplier must interact to administer the CSPS. The Supplier shall ensure it understands these other Stakeholders and their roles in the Scheme. The Supplier recognises the need for and shall ensure the appropriate channels of communication are followed as appropriate for relevant Stakeholders.

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s) includes
CE 3.1	Respond promptly to queries raised by third parties e.g. Members of Parliament /Members of the Scottish Parliament/Assembly Members/Members of the Legislative Assembly and Members of the European Parliament.	Establish and maintain a collaborative working relationship between the Authority and the Supplier. The Supplier shall ensure compliance with any regulatory timescales for responding to any such requests and enquiries.
CE 3.2	Provide the Authority promptly with information that it may need to communicate with third parties.	The Supplier shall ensure compliance with any regulatory timescales for responding to any such requests and enquiries.
CE 3.3	Issue ad hoc communications/statements to Members on behalf of third parties if required by the Authority.	
CE 3.4	Provide information in relation to all relevant Stakeholders, such as Civil Service money purchase providers, the Civil Service Compensation Scheme and the Civil Service Pensioners' Alliance.	The Supplier shall ensure compliance with any regulatory timescales for responding to any such requests and enquiries.
CE 3.5	Liaise with Employers and the Scheme Medical Adviser and provide/obtain, electronically, all relevant evidence and information to allow the Scheme Medical Adviser to assess Members' applications and appeals for ill health retirement Benefits.	The Supplier shall ensure compliance with any regulatory timescales for responding to any such requests and enquiries. The Supplier shall establish a collaborative working relationship with the Scheme Medical Adviser ensuring that all processes are seamlessly integrated.
CE 3.6	Liaise with and provide, electronically, information to other advisers and providers to the Authority (such as actuaries, legal advisers, auditors, consultants, HMRC, The Pensions Regulator, the Department for Work and Pensions and any other Government department etc.).	

Ref	Requirement	Key output(s) / Deliverable(s) includes
CE 3.7	<p>The Supplier shall proactively engage and consult with Stakeholders, in particular the Authority and Employers (or as may be required with Members, consultation groups etc.) as appropriate:</p> <ul style="list-style-type: none"> a) to assess the impact on administration processes of any proposed changes to Scheme Rules or other wider applicable Law; b) to assist, as reasonably required, the Authority during policy development to facilitate delivery issues being taken into account; c) to contribute to the Authority response to Government or other consultations on delivery impact of proposed changes, where practical and appropriate; d) to participate, as reasonably required, with wider industry groups, e.g. Public Sector Pension Administration Working Group; and e) to provide information about changes in Scheme Rules or Changes in Law or related issues which affect the Benefits due to Members. For example: <ul style="list-style-type: none"> (i) Meeting with relevant Stakeholders where reasonable and approved by the Authority to explain Scheme benefits; (ii) Meeting with specific groups of Members where reasonable and approved by the Authority to explain the impact of regulatory or tax issues (e.g. annual and Lifetime Allowance issues); and (iii) Meeting with Employers and the Scheme Actuary where reasonable and approved by the Authority on Bulk Transfers of staff. 	

CE 4 Communication and Engagement – Channels and Guidelines

The Supplier Shall:

Ref	Requirement	Key output(s) / Deliverable(s) includes
CE 4.1	(i) Provide a Help Desk and make available a contact telephone number and an email address for Members to make enquiries or requests. Ensure the Help Desk is staffed and contactable on Working Days between 8:00am and 6:00pm; (ii) Allow Members to communicate with it by post; and (iii) Ensure all e-mail communications with Members use the format agreed with the Authority.	Help Desk in place Day 1 following the Operational Service Commencement Date.
CE 4.2	(i) enable a Member to access information about, and make use of, their Benefits; and (ii) provide a service for all Members, responding to their requests and provide sufficient information that will enable the Member to seek appropriate advice to help them make decisions.	Signed off process in place Day 1 following the Operational Service Commencement Date.
CE 4.3	Ensure all web-based services are delivered via a web site provided by the Supplier with a domain name agreed with the Authority (and such domain name shall be Project Specific IPR and as such all rights to such domain name shall be assigned to the Authority in accordance with the terms of this Agreement).	Signed off process in place Day 1 following the Operational Service Commencement Date.
CE 4.4	Develop and maintain all the communications products (including the Communication Materials) required to support the Overarching CE Strategy and the Suppliers Communications Strategy. The Supplier shall carry out a communications product review to ensure that all communication materials: <ul style="list-style-type: none"> • conform to the Scheme Rules; • comply with applicable Laws; • follow Good Industry Practice; and • use “plain English”. The Supplier shall demonstrate how Feedback on the products and tools used to support the Member engagement and communication strategy is used to improve the Supplier’s understanding of Customer needs. This understanding shall be gathered using various methods including; Customer Journeys,	Within six (6) months of the Effective Date the Communication and Engagement strategy must be approved by the Authority.

Ref	Requirement	Key output(s) / Deliverable(s) includes
	<p>Member Landscapes, segmentation techniques and Employer forums tools.</p> <p>From this feedback the Supplier shall ensure that communication materials are reviewed to ensure that they continue to be fit for purpose.</p> <p>The Supplier shall not be required to agree all communications/engagement products and tools (including the Communication Materials) (e.g. individual Member correspondence) with the Authority. However, the Supplier shall agree with the Authority which products and tools shall require review and sign off by the Authority and which shall not.</p> <p>Any significant changes to service delivery outputs that have a direct impact on Customers shall require approval from the Authority and, where appropriate, other Stakeholders. These changes will be managed in accordance with the Change Control Procedure</p> <p>In conducting this review and improvement process the Supplier shall review all core letters held on the pension administration system plus other letters not held on the administration system to develop a core product set of letters to be used under a structured change management control process. The Supplier will agree content owners and review protocols with the Authority in order to ensure greater consistency of service and improve accuracy and enhance Customer service.</p> <p>The Supplier shall ensure that only current versions of template communication materials are used, reviewed and improved and older versions are archived.</p>	
CE 4.5	<p>Lead on raising standards through creating or adopting innovations in communications and engagement with Stakeholders. Throughout the duration of this Agreement Supplier shall make available communication channels (that continue to be innovative, cost effective and accessible taking into consideration the demographics of Members) to enable Members to communicate with the Supplier as easily and efficiently as possible.</p>	

Ref	Requirement	Key output(s) / Deliverable(s) includes
	<p>Ensure the communication channels are responsive to the characteristics of the differing Member groups.</p> <p>Respond to communications in a timely, accurate and lawful manner and in a format to meet the Member's needs.</p>	
CE 4.6	<p>Ensure all communications adhere to CSPS branding guidelines as notified by the Authority from time to time. This includes:</p> <ul style="list-style-type: none"> • All communications to Members and Employers in relation to the Civil Service Pension Scheme; and • Any website and/or communications media providing services and information in relation to the Civil Service Pension Scheme. <p>In addition, the Supplier will from time to time and upon request by the Authority review the Scheme branding guidelines, recommend improvements, and implement changes agreed with the Authority.</p>	Signed off process in place Day 1 following the Operational Service Commencement Date.
CE 4.7	Regularly review communications products to a timescale agreed with the Authority.	Signed off process in place Day 1 following the Operational Service Commencement Date.
CE 4.8	Obtain feedback on communications products from Stakeholders to a timescale agreed with the Authority.	Signed off process in place Day 1 following the Operational Service Commencement Date.

4.4 Data Requirements

Brief Introduction

- a) The Authority's vision for the Civil Service Pension Scheme is to become the best administered public sector pension scheme in the UK and to achieve this the Authority is looking for a clear, transparent and measurable data strategy to deliver exemplary data standards.
- b) Good data quality is essential to deliver the efficiencies the Authority requires from the Supplier in administering the Scheme and the Services through increased levels of automation. Most importantly, good data quality in the Scheme ensures that the payment of Benefits is right first time, every time, providing Members with the best possible experience during key life events.
- c) The Supplier will develop and implement a Data Management Strategy ("**DMS**") that must measure data quality standards, demonstrate improvements in data quality and clearly articulate how this will be achieved and maintained throughout the duration of this Agreement. The Supplier shall set out in the DMS how it will ensure Authority Data is stored, collected, cleansed and how data quality will be reported to the Authority. The Supplier shall ensure the DMS meets the requirements set out in these Data Requirements. The DMS shall describe how the Supplier will meet the Standards and applicable Laws (including Data Protection Legislation) and detail how the Supplier will validate and use Authority Data within operational processes to minimise delays to the Member and provide a visible channel of engagement for Employers. For the purposes of this Requirements document any reference to "Employers" includes their third party suppliers.
- d) The outcome the Authority requires is a data set of Authority Data that is continuously maintained, cleansed, monitored and updated in line with the Authority's and any Regulatory Body's (including The Pensions Regulator) requirements in relation to data quality. Employers or their third party providers should be able to easily complete, update and/or correct errors in Authority Data at the earliest possible opportunity and in an efficient and secure manner. The Supplier shall ensure the Supplier Solution automatically validates the Authority Data consistently and on a continuous basis and thereby minimises delays to the Member requests or errors in calculations, due to data validation or other data issues, at the point of a key life event.
- e) The Supplier shall consider the below Data Requirements in conjunction with:
 - i. all applicable Laws; and
 - ii. Schedule 2.2 (*Performance Levels*) including in particular the Performance Indicators.

DM 1 Data Management

The Supplier shall:

Ref	Requirement
DM 1	Implement a data management solution for all Authority Data processed (including stored) by the Supplier that is secure, scalable and accessible to those with a valid need to access the Authority Data.

DM 1.1 Data Management Strategy

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
DM 1.1.1	<p>Produce, maintain and implement a DMS that sets out how the Supplier will manage and continuously improve the quality, accuracy and completeness of Authority Data required to administer the CSPS. The DMS will contain:</p> <ul style="list-style-type: none"> a) An inventory of Authority Data and related Databases managed by or on behalf of the Supplier including how each data field is used by the Supplier in administering the Scheme, who has access to the Authority Data and where and how it is stored; b) An explanation of how Authority Data will be collected, loaded and validated by the Supplier to deliver all Services to the Authority, including in relation to the Civil Service Compensation Scheme, the Civil Service Injury Benefit Scheme and the Civil Service Additional Voluntary Contribution scheme; c) A clear data model articulating the Database structure for all Authority Data; d) A strategy for complying at all times with Data Protection Legislation; e) A strategy for effective data management to measure, improve and maintain data quality throughout the duration of this Agreement; f) Detailed explanation of how the Supplier will achieve interoperability through an auditable and secure mechanism between Employers and their third party providers and the Supplier to receive and provide data updates; 	The Supplier shall provide the DMS and obtain the Authority's approval of the DMS within six (6) months of the Effective Date.

Ref	Requirement	Key output(s) / Deliverable(s)
	<p>g) A strategy for data query-handling from Members and Employers;</p> <p>h) How the Supplier will meet the different needs and capabilities of Employers;</p> <p>i) The process for carrying out regular data health checks and remedial actions as issues are identified;</p> <p>j) How the Supplier will recognise and seamlessly adapt to emerging trends in the Scheme's membership and working practises e.g. zero hours contracts and part-time part-year contracts;</p> <p>k) The interface process, and how efficiencies will be achieved through greater use of automation. This approach shall align with the Business Systems Requirements BS4.1;</p> <p>l) How Employers will rectify and/or confirm data validation issues; and</p> <p>m) How the Supplier will define, maintain and adopt data standards that align with the Authority's data standards throughout the duration of this Agreement.</p>	
DM 1.1.2	Establish procedures and training to ensure that data standards are adopted within the Supplier's organisation structure.	Training and continuous improvement plan demonstrated to the Authority within six (6) months of the Effective Date.
DM 1.1.3	At all times maintain clear audit trails and records of permissions for all Supplier Personnel accessing Authority Data. The Supplier shall ensure clear documentation is maintained outlining how user access controls meet the requirements of this Agreement including the Supplier's Security Management Plan.	Signed off Data Security Policy within six (6) months of the Effective Date.

DM 1.2 Data Updates

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
DM 1.2.1	<p>Enable Employers and Members to make timely and accurate scheduled data submissions, supporting them throughout the process.</p> <p>Ensure Employers receive clear and transparent documentation detailing the structure of the data submission with examples illustrating how complex scenarios are interfaced, such as zero hour contracts, part time / part year working patterns and backdated salary awards.</p> <p>Ensure Documentation is maintained and updated in line with current working practices and changes to operational processes throughout the duration of this Agreement.</p>	<p>Signed off interface developers' guide within six (6) months of the Effective Date.</p> <p>Signed off scenarios and support documents within six (6) months of the Effective Date.</p>
DM 1.2.2	<p>Enable Employers to submit data through a daily secure file transfer protocol process (forming part of the Supplier Solution) (or such other agreed data exchange and validation mechanism as agreed by the Parties) that is validated daily on receipt.</p> <p>Ensure the Supplier Solution allows Employers to mark suspicious but accurate data as "correct" to build banks of "trusted data" and avoid future data queries back to the Employer.</p> <p>Ensure the Supplier Solution provides an efficient and effective mechanism to amend incorrect data.</p> <p>Demonstrate how data validations (via the Supplier Solution) cater for variations in Employers' employment terms and conditions.</p>	<p>System architecture diagram detailed as part of the overall technology stack submitted to the Authority prior to the Operational Services Commencement Date.</p> <p>Signed off Data Validation Catalogue.</p>
DM 1.2.3	<p>Monitor Employer data performance and engage with Employers where necessary to improve performance. The Supplier shall ensure there is no ambiguity for Employers in how to access support from the Help Desk and Supplier Personnel when it's needed for data-related issues.</p>	<p>Signed off process for implementing the Interface Compliance Model agreed with the Authority prior to the Operational Services Commencement Date.</p>
DM 1.2.4	<p>Provide all necessary support to Employers during a migration of their payroll and/or HR systems to ensure the smooth transition from one provider to another, including a reconciliation of membership volumes and monetary values,</p>	<p>Documented approach to payroll interface migration support reviewed by the Authority prior to the Operational Services Commencement Date.</p>

	including salaries, allowance histories and payroll values.	
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DM 1.3 Regulatory

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
DM 1.3.1	<p>Report quarterly to the Authority the results and quality of the Scheme's Common Data items against the Pension Regulator's targets set. The Supplier shall work with the Scheme Manager to establish a set of Scheme-specific data items and report quarterly to the Authority in a format agreed with the Authority the results and quality of the Scheme-specific data against targets agreed with the Authority.</p> <p>Ensure Scheme-specific data validations are designed and integrated into the validation suite.</p> <p>Work with relevant Employers or their third party suppliers on improvement plans where a data quality issue has been identified.</p>	An agreed TPR dashboard and reporting format with the Authority prior to the Operational Services Commencement Date.
DM 1.3.2	<p>Produce data extracts required in the prescribed format and frequency for the Pensions Dashboard in accordance with timescales agreed with the Authority - see FS Business Systems - BS7.2. The Supplier shall ensure any Authority Data quality issues are addressed in anticipation of sending Authority Data extracts to the Pensions Dashboard to avoid additional queries from Members using the Pensions Dashboard, and provide accurate Benefit estimates.</p>	In accordance with the Pensions Dashboard's timescales.

DM 1.4 Authority Data Access

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
DM 1.4.1	<p>Enable the Authority to access remotely and without Supplier intervention:</p> <ul style="list-style-type: none"> all Database(s) of Authority Data via a management information tool, which allows the Authority to undertake analysis of the Database(s) and the Authority Data; Administration Supplier Systems that enable individual Member records and casework to 	<p>Within six (6) months of the Effective Date demonstrate to the Authority how access to Supplier Systems, Authority Data and Database(s) will be monitored and controlled and ultimately granted by the Supplier.</p>

	<p>be viewed in real time - update access will not be required; and</p> <ul style="list-style-type: none"> • Documents stored by the Supplier. <p>The Supplier shall provide the Authority with training on how to access the data using the Supplier's digital platform Supplier System training for Authority staff.</p>	
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DM 1.5 Data Exchange

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
DM 1.5.1	Document all procedures and processes necessary to extract, manage and transfer Authority Data to a third party. These must include a data dictionary, decode tables, reconciliation values for each table data and an entity relationship diagram. All these materials to be shared with the Authority and/or a third party as directed by the Authority.	Database/ Supplier System documented artefacts approved by the Authority prior to the Operational Services Commencement Date.
DM 1.5.2	Provide a data matching exchange mechanism for relevant Authority Data to comply with the National Fraud Initiative and have the ability to record a response.	
DM 1.5.3	Provide a data exchange mechanism for relevant Authority Data to meet requirements for mortality tracing exercises.	
DM 1.5.4	Provide information and data to support benchmarking exercises as directed by the Authority.	
DM 1.5.5	Provide information and data to support the Office of National Statistics analysis as directed by the Authority.	
DM 1.5.6	Meet the data standards set by Government Business Services, with the exception of property, to facilitate effective and consistent data exchange. The standards can be found here: <u>DS-1 Top Datasets</u>	

DM 1.6 Data Quality

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
DM 1.6.1	<p>Implement processes and systems to manage Authority Data quality including to:</p> <ul style="list-style-type: none"> • Implement Authority Data quality checks using operational processes to ensure that all Authority Data the Supplier creates, captures, validates, processes, stores and maintains is complete and accurate to perform the Services; • Ensure Supplier data validations work consistently across the Supplier's service operations; • Ensure Authority Data validations are configurable within the administration system without the need to commission third party providers to "build" validations for the Scheme; • Regularly review and report monthly on data quality and improvement action plans. The Supplier shall identify and rectify promptly Authority Data inconsistencies; • Making available to the Authority the quality of the Authority Data set in real-time through a secure digital portal as part of the Supplier Solution; • Produce a Data Validation Catalogue that is reviewed annually with the Authority; • Ensure Member data issues are remedied by the Supplier without referring the Member on to another organisation; and • Undertake monthly cleansing and required remedial action in order to continually improve and maintain the quality of Authority Data (Common Data and Scheme Specific Data checks), based on guidelines set down by The Pensions Regulator. 	<p>Signed off Data Management Strategy.</p> <p>Signed off Data Validation Catalogue.</p>

DM 1.7 Specific Data Activities

The Authority works towards facilitating the wider Government agenda. Data access is critical to these activities. In performing its obligations under this Agreement the Supplier shall undertake the specific data activities described in this section.

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
DM 1.7.1	<p>Retrieve and transfer accurate Authority Data through a secure mechanism and in formats as agreed with the Authority, as appropriate, to:</p> <ul style="list-style-type: none"> • Provide the appointed Scheme Actuary with data for the purposes of carrying out its obligations to the Authority; • Provide the Authority with information to support their statistical analysis, reporting and any ad-hoc analysis requested by the Authority; • Provide data to meet the Authority's requirements in responding to Ministerial questions and Ministerial briefings; and • When requested by the Authority, the Supplier will provide an analysis of any relevant Authority Data issues concerning the reliability and completeness of the Authority Data. 	<p>Demonstrate to the Authority how these ad hoc requests will be actioned and documented in the Data Management Strategy.</p>
DM 1.7.2	<p>Data Migration</p> <p>(Where applicable) The transition from the incumbent supplier of pension administration services in respect of the CSPS to the Supplier will require a data migration as specified in this Agreement including the Transition Requirements and Schedule 6.1 (<i>Transition Plan</i>). The Supplier shall manage the data migration and demonstrate to the Authority how it will:</p> <ul style="list-style-type: none"> • Migrate all Authority Data sources and Databases including Member data, Scheme data, Employer contact data, audit data, data cleanse information and historic files, such as Scheme valuations and payroll interfaces; • How the Supplier will reconcile all Authority Data sources at the point or points of migration; and • Document an effective Authority Data migration plan to be agreed with the Authority. 	<p>Signed off Authority Data migration plan within two (2) months of the Effective Date.</p>

DM 2 Data Security

The Supplier shall:

Ref	Requirement
DM 2	Perform its obligations set out in Schedule 2.4 (<i>Security Management</i>).

4.5 Business Systems Requirements

Brief Introduction

- a) The required outcome is that the Supplier successfully establishes Supplier Systems (as part of the Supplier Solution) capable of supporting the effective administration of the Civil Service Pension Scheme (CSPS).
- b) These Business Systems Requirements do not stipulate the technology platform to be used by the Supplier but instead detail the requirements of such a platform. It is then for the Supplier to determine the most suitable technology platform to deliver these requirements.
- c) The Supplier shall as part of the Supplier Solution design, develop and establish a secure, robust, scalable IT infrastructure that maximises automation of administration processes and reduces costs. The Supplier shall demonstrate to the Authority and ensure the Authority understands the architecture of all technology elements of the Supplier Solution and how the technology component parts of the Supplier Solution will work holistically (in a fully integrated manner), minimising bespoke developments that are costly to develop and maintain. The Authority requires longevity in the IT infrastructure, Software and other technology components of the Supplier Solution to avoid redundancy and technical debt.
- d) The Authority requires a Supplier Solution and Services that align with wider Government strategic initiatives as well as the Standards set out or referred to in Schedule 2.3 (Standards) of this Agreement.
- e) Most importantly, the Authority requires the Supplier to design, develop and implement a Supplier Solution that is engaging for Members, allowing them to understand the decisions they are making and enable them to interact easily and in a user friendly manner with the Civil Service Pension Scheme via online and other digital components when it suits them. The Supplier Solution must facilitate transparency to enable all Stakeholders interacting with the CSPS to have confidence in the Authority and the Supplier.
- f) Employers should find the relevant elements of the Supplier Systems (which form part of the Supplier Solution) simple to use, consistent and clear. The Supplier System should be regarded by Employers as their “go-to” source of information to help them address Scheme related queries effectively and avoid repeated corrections.
- g) The Supplier System should be market-leading and instrumental in delivering the Authority's vision for the Scheme to become the “best administered public service pension scheme in the United Kingdom”.

- h) The Supplier shall consider the below Business Systems Requirements in conjunction with:
- i. all applicable Laws; and
 - ii. Schedule 2.2 (Performance Levels) including in particular the Performance Indicators.

BS 1 Infrastructure Requirements

The Supplier shall:

Ref	Requirement
BS 1	Successfully implement an infrastructure capable of supporting the business software solutions required to meet the Authority Requirements and provide the Services in accordance with this Agreement using a secure and scalable architecture.

BS 1.1 Hardware and Maintenance Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
BS 1.1.1	Utilise scalable hardware solutions to enable effective and efficient processing throughout the Scheme year.	Upon reasonable request from the Authority, demonstrate to the Authority how the Supplier System will scale during peaks and troughs throughout the Scheme year.
BS 1.1.2	Ensure, in accordance with Schedule 5 (<i>Software and Supplier Equipment</i>), all hardware elements of the Supplier System are appropriately serviced and maintained in accordance with the manufacturer's or supplier's guidance, and updated to ensure the products are covered by support agreements.	Documented and signed off hardware support, maintenance and upgrade plan.

BS 1.2 Back up Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
BS 1.2.1	Ensure that a complete and effective backup process exists to safeguard against hardware failures, malicious attacks and corruption. The backup process should align with the Service Continuity Plan in accordance with Schedule 8.6 (<i>Service Continuity Plan and Corporate Resolution Planning</i>) of this Agreement.	Documented backup process and test certificate evidenced to the Authority.
BS 1.2.2	A full back up of all Authority Data must have a "Recovery Point Objective" (RPO) of at least twenty-four (24) hours from the current point in time. That is, all data sources will never lose	Documented backup process and test certificate evidenced to the Authority.

	more than twenty-four (24) hours-worth of work in the event of a Disaster.	
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BS 1.3 Business Continuity and Disaster Recovery Requirements

The Authority expects all business systems and infrastructure changes to be subject to business continuity and disaster recovery (BCDR) plans. The Authority's BCDR requirements are set out or referred to in Schedule 8.6 (*Service Continuity Plan and Corporate Resolution Planning*) of this Agreement.

BS 1.4 Application Programming Interface ("API") Requirements

As part of the Authority's drive to increase automation of administration processes and tasks to deliver business efficiencies and improve the overall service for Employers, the Authority requires seamless interaction between the Supplier, Employers and/or their third party service providers. The Authority requires the Supplier to deliver operational efficiencies, improved data quality and minimise the risk of a data breach (including any Personal Data Breach) and, most importantly, improve the Member experience. However, this must be balanced with the security risk of penetration and malicious attacks on the Supplier Solution and the Services.

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
BS 1.4.1	Develop secure and scalable API capability, allowing only authenticated and authorised third parties to integrate and operate seamlessly with the Authority Data, Databases and technology platforms (within the Supplier System). Where an API interface is required by the Authority the Supplier will provide a documented API specification for integration purposes and support for those bodies who will use the APIs.	Test certificate for the API functionality.
BS 1.4.2	Establish in accordance with the Security Management Plan a security agreement and interface with authorised third parties, to be approved by the Authority's Security Working Group (SWG).	Signed off Security Management Plan and interface, agreed with the SWG.
BS 1.4.3	Establish a security matrix detailing access levels of all parties using the API gateway.	Signed off security matrix, agreed with the Authority's SWG.

BS 1.5 Printing Requirements

To minimise the impact on the environment, reduce cost and improve access to the Scheme, the Authority seeks to increase digitisation of processes and outputs. As detailed in Schedule 2.3 (*Standards*) of this Agreement, the Authority seeks to meet its commitments to minimise the impact on the environment.

However, the Authority recognises that hard copies of correspondence will be required for some Members e.g. forms that require a wet signature.

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
BS 1.5.1	Ensure printing of documents containing Members' data only occurs within a secure office environment. The Authority must have confidence that paper-based information is being handled securely and does not pose a significant security risk. This should include secure destruction of paper-based products.	Signed off agreement of how paper-based information will be controlled and destroyed.
BS 1.5.2	Adhere to security requirements within the FS Security Requirements.	

BS 2 Security Requirements

The Supplier shall:

Ref	Requirement
BS 2	Data security in relation to Authority Data, Databases and the Scheme generally is of paramount importance to the Authority and must underpin the design and decisions made as part of transforming and delivering Services to Members. As such, security measures must be agreed with the Authority's SWG. The Authority's SWG requirements must be considered and addressed by the Supplier as part of the Supplier Solution to these Business Systems Requirements. The Authority's security requirements are detailed in the "FS Security Requirements" document, and Schedule 2.4 (<i>Security Management</i>) of this Agreement.

BS 3 Pension Administration Requirements

The Supplier shall:

Ref	Requirement
BS 3	Implement a digital solution to administer the Scheme aligned to the Authority's security requirements set out or referred to in this Agreement.

This section details the Authority's requirements for the components of the pension administration platform (within the Supplier System) which forms part of the Supplier Solution.

BS 3.1 Database(s) Requirements

The Supplier shall ensure that all Database(s) store all necessary Authority Data including Member data to successfully administer the Scheme – both the migrated and ongoing data provision.

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
BS 3.1.1	Implement a scalable, flexible, secure and sustainable Database solution that can be developed with the needs of the CSPS. Changes, including changes to pension legislation, means that the Database solution will need to be configurable.	Architectural blueprints maintained by the Supplier and available to the Authority on request.
BS 3.1.2	Document the Database schema and metadata, including relations between any table data sets.	Signed off entity relationship diagram and data dictionary by the Authority.
BS 3.1.3	Provide a clear audit trail of Database transactions.	Demonstration of audit capabilities.
BS 3.1.4	Support processing of multiple bulk transactions simultaneously. This includes multiple payroll interfaces and Scheme events as detailed in the Scheme calendar.	Demonstration of system capabilities.
BS 3.1.5	Ensure roles are regularly audited and support a principle of "least privilege" user access rights.	Signed off security policy.

BS 3.2 Pensions Administration Software (PAS) Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
BS 3.2.1	Deliver a secure, scalable and extensible Software solution as part of the Supplier System that is configurable to meet the needs of a changing and demanding pension environment and meets the changing needs of Members and Employers.	Supplier's assessment criteria for the Pensions Administration Software.
BS 3.2.2	Ensure the Supplier System uses the latest version of Software (in accordance with Schedule 5 (<i>Software</i>)), following a robust and agreed testing cycle.	Up to date Assets register.
BS 3.2.3	Allow the Authority to request change in a structured and auditable way that allows the Supplier to carry out developments using managed system configuration.	Demonstration of system capabilities.
BS 3.2.4	Ensure the Supplier Solution (including the Software elements) provides for a fully integrated end to end system that seamlessly integrates administration services, including document	Demonstration of system capabilities.

	management, workflow management, payroll, digital integration and the Calculation Engine through to communications outputs without the need for bespoke developments.	
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BS 3.3 Workflow Management Requirements

The Supplier must ensure that Supplier Solution administration processes are carried out consistently, efficiently and are audited to ensure a high quality, scalable and cost-effective service to Members and Employers. The following principles apply to the development and implementation of workflow processes.

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
BS 3.3.1	Deliver a workflow management system (“ WMS ”) and ensure the WMS is integrated into the Supplier’s pensions administration platform (within the Supplier System) and interacts seamlessly as a fully end to end system with the document management system, case set up, allocation and management, data, Calculation Engine and communications outputs (letters and statements).	Demonstration of system capabilities.
BS 3.3.2	Ensure the WMS is flexible enough to execute tasks at each entity level of the pensions administration system (within the Supplier System). The Authority anticipates that administration processes will function at different entity levels. These may include at the individual person level (e.g. divorce or tax queries), the Membership level (e.g. leaver events), the paypoint level (e.g. interface processing) or Scheme level (e.g. Annual Benefit Statement production). The WMS must be capable of operating at each of these levels.	Demonstration of system capabilities.
BS 3.3.3	Ensure that the WMS is capable of being developed as the Scheme adapts and changes over time. This must include a defined test approach.	Demonstration of system capabilities.
BS 3.3.4	Ensure the WMS is auditable.	Demonstration of system audit capabilities.
BS 3.3.5	Ensure the WMS is transparent to Stakeholders interacting with the Scheme and its processes. In particular, Employers and Members must be able to interact with all relevant elements of the Supplier System where tasks are allocated to	Demonstration of digital capabilities.

	them. The Supplier shall ensure this is built into a wider, secure portal accessed digitally by users. The user must be effectively informed of tasks assigned to them e.g. via email or text.	
BS 3.3.6	Document (as part of the Business Process Manual) all processes implemented within the WMS including workflow processes and procedure guides and aides.	Signed off process catalogue and maps using a recognised process maps standard, such as Unified Modelling Language (“UML”).
BS 3.3.7	Ensure the WMS is capable of producing periodic MI and reporting at both individual transactional level and at an aggregated summary level. The Supplier shall ensure the Authority is able to view data and information in real time, and not only in static, paper-based documents through the solution to requirement BS11.1.17.	Documented Management Information and Business Intelligence suite.

BS 3.4 Calculation Engine Requirements

The Calculation Engine is responsible for calculating the Benefits paid to Members. The Authority requires the Supplier to ensure that the automated software Calculation Engine provided by the Supplier as part of the Supplier Solution can cater for all Benefit scenarios, maximising automation, efficiency, consistency and accuracy. The Supplier shall ensure the Calculation Engine is configured using a clear and transparent specification. The Supplier shall ensure the Calculation Engine is a software product that is loosely coupled from the core pension administration system, providing longevity to the Scheme.

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
BS 3.4.1	Document the full suite of calculation types including all permutations of those calculations applicable to the Schemes.	A clear and transparent Benefit calculation inventory.
BS 3.4.2	Document the full suite of calculation types and permutations of the calculations that will be developed within the Calculation Engine. The Supplier will ensure that at least 95% of individual Member Benefit calculations per annum executed are on-system, automated calculations and should be able to demonstrate this to the Authority. The 95% refers to the volume of calculations performed and rather than 95% of calculation types. This will exclude non-standard calculation volumes such as those related to annual exercises such as pension increase and Annual Benefit Statements.	A clear and transparent Benefit calculation inventory.
BS 3.4.3	Produce and document calculation proformas (aligned with the Scheme Rules and relevant	

Ref	Requirement	Key output(s) / Deliverable(s)
	<p>regulations) and related calculation specifications. The Supplier shall ensure these specifications provide transparency as to the calculations formulae, aligning with the Scheme Rules with worked examples. The specifications should contain a detailed calculation algorithm including any Employer or Member specific exceptions.</p> <p>The detail must include inputs and outputs for each calculation and how these inputs are used within the calculation to determine the outputs.</p>	
BS 3.4.4	Ensure the calculations are modularised and configurable and the Calculation Engine is scalable to accommodate bulk Scheme events processing of different calculation permutations.	Demonstration of system capabilities.
BS 3.4.5	Ensure the Calculation Engine is extensible. The Supplier shall ensure the Calculation Engine is capable of being adapted to produce the required calculations for items such as modellers, valuation extracts, Annual Benefit Statements, Pensions Dashboard information and other Scheme events.	Documented system architecture.
BS3.4.6	<p>Test the development of its Calculation Engine against a comprehensive test pack of sample Members. The Supplier shall ensure the test pack evolves as the calculations are updated.</p> <p>The testing approach must align with the requirements of Schedule 6.2 (<i>Transition Assurance and Project Testing Procedures</i>).</p>	Documented testing strategy and test pack inventory.
BS3.4.7	Ensure the Calculation Engine has longevity beyond the duration of this Agreement.	Documented system architecture.
BS3.4.8	Ensure the Calculation Engine results are auditable. The Supplier shall ensure the Supplier Solution is able to report on the volume of calculations being executed and who is executing them.	Documented system architecture.
BS3.4.9	The Calculation Engine shall avoid hard coded values. The Calculation Engine should call on parameters that are clearly defined and easily updated as the Scheme evolves or as parameters are updated in line with recommendations and directions from the Government Actuary's Department. The Supplier shall ensure the parameters are called by the	Documented configuration management document.

Ref	Requirement	Key output(s) / Deliverable(s)
	Calculation Engine code such that they can be changed without the need to update code.	

BS 3.5 Document Management Requirements

The Authority requires the Supplier to ensure the document management system within the Supplier Solution will include and manage documents produced by the pension administration platform (within the Supplier System) and documents received from Stakeholders or other parties via different communication channels, such as email, post, forms submitted online.

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
BS 3.5.1	Ensure incoming documents are consistently scanned, quality assured, correctly indexed and stored using a robust, secure and scalable document management system.	
BS 3.5.2	Ensure that documents are processed through the WMS. The Supplier shall ensure system rules are configured allowing actions to be initiated by the receipt of documents, such as initialising a workflow process, or moving a process out of a pending stage upon receipt of a document.	Demonstration of system capabilities.
BS 3.5.3	Ensure the document management system has the capability to hide sensitive documents based on security requirements.	Demonstration of system capabilities.
BS 3.5.4	Ensure documents produced by the pension administration system are indexed and stored persistently. The Supplier shall ensure data merged into the documents from the pension administration system is automated and capable of setting conditional paragraphs and text within the documents.	Demonstration of system capabilities.
BS 3.5.5	Ensure the Supplier has development capability of documents and statements. This should ensure that development of documents are adaptable as business needs change.	Demonstration of system capabilities.

BS 4 Overarching Payroll Interface Requirements

The payroll interface is the data file(s) containing HR and payroll data for each Active Member of the Scheme. These files are sent from every Employer on a monthly basis.

Employers are required to adhere to an Interface Compliance Model ("ICM") owned and governed by the Authority that sets the frequency of data exchange via an interface, the number of acceptable validation failures and response times to these failures.

The current interface process accepts one of three (3) formats - the full interface (the "Full Interface"), the standard interface ("Standard Interface") and the manual interface ("Manual Interface"). The Full Interface is being deprecated and may not be used by any Employers at the point of Service transition.

The Supplier shall ensure the administration of the Scheme delivers a more innovative approach to payroll interface submissions.

BS 4.1 Specific Payroll Interface Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
BS 4.1.1	Take on the existing administration services from the incumbent administrator, and shall ensure it understands in detail who is involved in the payroll interface process including when the payroll interface data is sent by each Employer and what is required to process the payroll interface data and return a data validation report explaining to Employers the quality of the payroll data received.	Transition plan and signed handover by the Contractor of the interface process.
BS 4.1.2	Ensure it is able to validate and load payroll interface data from all three interface data formats – Standard Interface, Manual Interface and Full Interface.	Successful loading of interface data files.
BS 4.1.3	Ensure all data validation issues in relation to payroll interface data are remedied by the Supplier as part of the monthly interface cycle.	Successful loading of interface files.
BS 4.1.4	Ensure any additional payroll interface data validations that are required at the interface load stage are configured.	Successful loading of interface files.
BS 4.1.5	Ensure Employers have guidance on the payroll data interface process, how the payroll data is to be submitted, any special conditions and the nature of the data validations performed by the Supplier. The Supplier shall ensure Employers have a point of contact for raising questions and receiving additional support to help them through the payroll data interface process.	Successful loading of interface files and signed off guidance notes.
BS 4.1.6	Ensure submission of payroll interface data is through a secure portal as agreed with the Security Working Group.	Signed off process by the SWG.

BS 4.1.7	Ensure a scalable, secure and integrated platform is created for Employers and their third party payroll providers to correct, delete or confirm data validation failures identified as part of the payroll data interface process replacing existing mechanisms.	Successful rectification of an interface file.
BS 4.1.8	Keep an up to date Customer Relationship Management (“CRM”) database containing the contacts and relationships between Employer, paypoints, payroll providers, Shared Service Centres and any other key Stakeholders. The Supplier shall ensure the CRM database is kept up to date for security reasons, and the role of each contact defined.	Successful migration of CRM data to destination system.
BS 4.1.9	Work with Employers to ensure their adherence to the ICM. The Supplier shall ensure that where Employers fail to comply with the ICM it shall escalate in accordance with the ICM.	Signed off data strategy.
BS 4.1.10	Ensure a robust, comprehensive and recognisable test plan is produced and executed as the payroll data interface process develops for both Transition and the duration of this Agreement.	Signed off test strategy.
BS 4.1.11	Provide support for Employers and their third party payroll providers migrating from one system to another, or new Employers admitted to the CSPS. The Supplier shall ensure support is provided to New Fair Deal Employers on boarding for the first time. The Supplier shall ensure the Employer is able to submit a valid, well-structured payroll data interface on a regular basis.	Demonstration to the Authority of the support mechanisms available to Employers.
BS 4.1.12	Provide regular updates on payroll data interface volumes and Employer performance.	Signed off Management Information pack.
BS 4.1.13	Implement an online approach to payroll data interface submissions in place of the Manual Interface.	Manual Interface deprecation and the introduction of a secure digital portal for submitting low volume Member submissions.

BS 5 Ad hoc updates Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
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BS 5.1.1	Minimise the volume of ad hoc requests to Employers to confirm accuracy and validity of Authority Data held. The Supplier shall demonstrate improvements in accuracy and validity of Authority Data held over time using reporting metrics to be agreed with the Authority.	Signed off data strategy.
BS 5.1.2	Allow data to be input into the Supplier System by the Employer or their third party payroll supplier securely and validated in real time to minimise back and forth requests.	Demonstration of the system capabilities.

BS 6 Finance Requirements

The Supplier shall:

Ref	Requirement
BS 6	Provide accurate and timely financial Management Information to the Scheme Manager. The Authority's finance requirements are detailed in the Finance Requirements document. The Supplier shall ensure the Supplier System and the Supplier Solution meets those Finance Requirements, which must include the facility to recalculate under and over payments and recoup monies owed in such an event.

BS 7 Pensioner Payroll Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
BS 7.1.1	Provide a payroll system that is scalable, robust and secure. The payroll system must be capable of making payments on a daily basis in accordance with the date of payment for each person in receipt of a pension, including Pensioner Members, partial retirees and other Beneficiaries.	Demonstration of the system capability.
BS 7.1.2	Provide a system that is integrated into the pension platform to provide a seamless process between the retirement activities and the payroll updates.	Demonstration of the system capability.
BS 7.1.3	Ensure the payroll system is auditable and only accessible to those Supplier Personnel involved in running the payroll for the CSPS following the principle of least privilege access rights.	Demonstration of the system capability.

BS 7.1.4	Ensure the payroll system is capable of producing outputs, including payslips and P60s. The Authority requires the Supplier to minimise the use of paper-based products, and the Supplier shall put an effective plan in place to migrate from traditional paper payslips to digital products for Members that are willing to go paperless.	Demonstration of the system capability.
BS 7.1.5	Ensure the payroll system is capable of running pension increase routines. The process must be able to run in bulk and not impact other business as usual activities.	Demonstration of the system capability.
BS 7.1.6	Ensure the payroll system can process statutory and voluntary deductions, provide reporting requirements in accordance with Schedule 8.4 (<i>Reports and Records Provisions</i>) of this Agreement and interface with the UK's tax authority using standard Real Time Information ("RTI") functionality.	Demonstration of the system capability.

BS 8 Pensions Dashboard Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
BS 8	Implement a digital solution that is scalable, auditable and secure, to comply with the Government's Pensions Dashboard programme specification in line with the programme's timeline.	Signed off project plan for the delivery of the Pensions Dashboard.

BS 9 Call Centre Requirements

The Supplier shall:

Ref	Requirement
BS 9	The Authority's ambition is to increase digital engagement with Members and Employers. However, feedback from Members and Employers is that they value being able to talk to the Scheme administrator, and so the Supplier shall continue to provide a call centre service, as key part of the Services.

BS 9.1 Email, Telephony and Contact Management Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
BS 9.1.1	<p>Implement an intelligent telephony system that directs callers to the most appropriate support.</p> <p>The initial design or mapping of the call routing and IVR solution must be agreed with the Authority. Subsequent changes must also be agreed with the Authority before release to the production environment.</p>	<p>Demonstration of an effective and Member centric call management system to Authority.</p>
BS 9.1.2	<p>Log call information. The Supplier shall ensure calls are recorded for training and audit purposes. The Supplier shall log the nature of the call to help improve digital support. The Supplier shall ensure that when engagement with a Member occurs, it is logged against the relevant Member, so that the operational teams can view the history.</p>	<p>Demonstration of an effective and Member centric call management system to Authority.</p>
BS 9.1.3	<p>Provide call centre staff with access to Member data training and an up to date knowledge database to provide the knowledge and information resources needed to enable Supplier staff to fully respond to and resolve non-complex queries at the first point of contact with a Member. The Supplier Solution must be able to initiate workflow management cases where appropriate.</p>	<p>Demonstration of an effective and Member centric call management system to Authority.</p>
BS 9.1.4	<p>Provide call centre staff with a solution to log calls and refer more complex queries such as high levels of complexity or highly sensitive (public profile) cases or highly vulnerable Members to operational teams. The Supplier Solution must be able to initiate workflow management cases where appropriate.</p>	<p>Demonstration of an effective and Member centric call management system to Authority.</p>
BS9.1.5	<p>Call centre metrics must be agreed and reported to the Scheme Manager in accordance with Schedule 8.4 (<i>Reports and Record Provisions</i>), reporting provision M17.</p>	<p>This requirement may be achieved as part of the reporting requirements above.</p>
BS 9.1.6	<p>Ensure when calls are recorded that this fact is made clear to the caller including the purpose of recording the call.</p>	<p>Signed off data strategy.</p>
BS 9.1.7	<p>The telephony system solution is scalable, as peaks and troughs in call activity are experienced throughout the Scheme year.</p> <p>Increased call volumes are experienced as Scheme communications are received by Members, including Annual Benefit Statements and pension increase statements, and the</p>	<p>Demonstration of an effective and Member centric call management system to Authority.</p>

Ref	Requirement	Key output(s) / Deliverable(s)
	telephony system solution must be able to manage the increase.	
BS 9.1.8	Provide support for those Members who wish to engage with the Supplier using email. The Supplier shall ensure clear Help Desk email addresses are published on the Scheme website and the Supplier shall ensure call response times are followed in accordance with the Target Performance Levels set out in Schedule 2.2 (<i>Performance Levels</i>) of this Agreement.	Demonstration of email contact management system to Authority.
BS 9.1.9	Emails are indexed to the Member record with a full history of email chains available for the Supplier Personnel operational teams working on the query or issue.	Demonstration of email contact management system to Authority.
BS 9.1.10	Request Customer satisfaction survey feedback following Member contact with the Supplier to understand Members' contact experience. The Supplier shall make the satisfaction survey results available to the Authority as requested and the Supplier shall present the results so as to identify any trends to determine whether Members' contact experience is improving or degrading over time.	Demonstration of email contact management system to Authority.

BS 10 Overarching Dispute Resolution Requirements

The Supplier is responsible for managing Internal Dispute Resolution Procedure ("IDRP") complaints and working with the Authority to resolve stage 2 complaints.

The Supplier shall:

Ref	Requirement
BS 10	Ensure it manages complaints in relation to the Scheme and/or the Services in such a manner as to achieve the outcome the Authority requires which is to provide full and complete responses to either pre-IDRP complaints or stage 1 IDRP complaints that take account of TPR and Pensions Ombudsman recommendations and treat Members fairly in the spirit of the Financial Conduct Authority initiative "Treating Customers Fairly". In doing so the Supplier shall use reasonable endeavours to reduce the instances of complaints raised under stage two or progressing to the Pensions Ombudsman, MPs or other third parties.

BS 10.1 Specific Dispute Resolution Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
BS 10.1.1	Log complaints cases and record data pertinent to the case.	Signed off Scheme complaints procedure.
BS 10.1.2	Provide visibility of the complaint case and Member data to the Scheme Manager as necessary to resolve stage 2 cases.	Signed off Scheme complaints procedure.
BS 10.1.3	Provide reporting relating to the number of complaint cases, their status, the nature of the cases, the resolution actions relating to completed cases and any actions taken to prevent re-occurrence for continuous improvement purposes.	Signed off Scheme complaints procedure.
BS 10.1.4	Ensure all system activities are auditable.	Signed off Scheme complaints procedure.
BS 10.1.5	Ensure documents relating to all case types (Pre-IDRP, Stage 1 IDRP and Stage 2 IDRP) are retained securely and able to be easily retrieved and shared as necessary with the Scheme Manager or other bodies as instructed by the Scheme Manager.	Signed off complaints procedure.

BS 11 Overarching Scheme Website Requirements

The Civil Service Pension Scheme currently provides a website for Members and Employers that clearly articulates the roles and responsibilities of Stakeholders. It provides information about the various Schemes within the CSPS and FAQs to support Members and Employers in their decision making. It directs Members to the secure Member portal and provides instructions on how Members can register for access to Member functionality. It is an essential resource for Stakeholders and provides educational reference material for those who wish to understand the Scheme in greater detail.

The Supplier shall:

Ref	Requirement
BS 11	<p>Provide a public facing Scheme website detailing the role and responsibilities of the Civil Service Pension Scheme. However, the Authority's ambition is to encourage Members and Employers – including their third party providers - to interact with the Scheme and the Supplier using a secure online portal delivering a functionally rich experience. The Supplier shall use reasonable endeavours to ensure users of the secure online portal feel empowered by the experience, allowing them to interact with the Scheme in a similar way as they would using their bank's online portal.</p> <p>Additionally, the Supplier shall ensure the Authority has access to the secure online portal allowing it to see Member and Employer data to avoid duplication, increase visibility and make informed decisions.</p>

	The Supplier shall control access and use of the secure online portal through defined and implemented security procedures, and at all times the Supplier must be able to demonstrate security controls are in place to protect all Authority Data including in particular Authority Personal Data, Employer Personal Data and Joint Personal Data.
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BS 11.1 Specific Scheme Website Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
BS11.1.1	Create a comprehensive digital strategy that outlines the role and ambitions of the Scheme website in delivering an effective service to Members and Employers and other Stakeholders.	Signed off digital strategy that aligns with the Authority's strategy.
BS 11.1.2	Implement a scalable, flexible, and secure Scheme website using the current website address.	Implemented Scheme website, with migrated content.
BS 11.1.3	Provide a clear site map for the content of the Scheme website.	Implemented Scheme website content map.
BS 11.1.4	Ensure effective processes exist for the maintenance of the Scheme website and its contents, including clear sign off protocols for releasing content.	Delivered web content release process for the Scheme website.
BS 11.1.5	Ensure the Scheme website content is maintained and refreshed as new content is created and remove obsolete content.	Continuous web content updates throughout the duration of this Agreement.
BS 11.1.6	Work with the Authority and agree the content of the Scheme website.	Signed off Scheme website content.
BS 11.1.7	Implement website analytics for the Scheme website.	Scheme Website usage report.
BS 11.1.8	Deliver a secure online digital portal for Members. The Supplier shall ensure Members are able to use the secure online portal to track inflight cases, model Benefits and view their data in real time. The Supplier shall ensure the secure online portal allows Members to initiate processes and make effective decisions regarding their pension Benefit entitlements.	Signed off secure online digital portal platform.
BS 11.1.9	Deliver an effective support mechanism to Members through the secure online digital portal.	Signed off secure online digital portal platform.

Ref	Requirement	Key output(s) / Deliverable(s)
BS 11.1.10	Enable Members to respond to queries raised by the Supplier and/or action process workflows through the secure online digital portal in a structured, guided and intuitive format.	Signed off secure online digital portal platform.
BS 11.1.11	Produce and deliver an effective roll out plan to support BS11.1.8, BS11.1.13, BS11.1.17 & BS11.1.19.	Secure online digital portal platform roll out plan.
BS 11.1.12	Ensure the security process used to access the secure online portal is agreed by the Authority.	Security Working Group approval.
BS 11.1.13	Deliver a secure online digital portal for Employers and their third party suppliers. The Supplier shall ensure the functionality of the secure online portal allows Employers and their third party suppliers to view authorised Member data, track Members' cases, submit payroll interface data as well as complete and/or correct Member data as required.	Signed off secure online digital portal platform.
BS 11.1.14	Deliver functionality through the Employer secure online portal to initiate administration cases to be completed by the Supplier. As part of the initiation process, the Supplier shall as part of an automated process ensure the solution is capable of recording all required data fields to complete the process.	Signed off secure online digital portal platform.
BS 11.1.15	Process related queries should be raised with Employers or their third party suppliers via the secure online portal and responses should be auditable with the case history available to both Parties.	Signed off secure online digital portal platform.
BS 11.1.16	Facilitate a workshop with a range of Employers to establish their reporting needs and provide a facility for Employers to execute the reports through the secure online portal.	Completed Employer workshop.
BS 11.1.17	Deliver a secure online digital portal for the Authority. The Supplier shall ensure the functionality of the secure online portal allows authorised Authority staff to view authorised Member data, Employer information, dashboards, create and run reports (as described and/or referred to in Schedule 8.4 (<i>Reports and Records Provision</i>)), track Internal Dispute Resolution Procedure ("IDRP") cases as detailed above under "Dispute Resolution".	Signed off secure online digital portal platform.

Ref	Requirement	Key output(s) / Deliverable(s)
BS 11.1.18	<p>Deliver a secure online knowledge database accessible by Authority staff containing information and know how acquired throughout the duration of this Agreement. This includes, but is not limited to, instructions from the Authority, Employer-specific information, questions and answers between the Supplier and the Authority, and instructions provided to the operational area on how to process specific scenarios. The Supplier shall ensure this knowledge database is made available through the secure online Authority portal.</p> <p>A mechanism must be in place to allow collaboration between the Authority and Supplier on specific Scheme points of clarification, with an effective audit trail of the outcome.</p>	Delivered knowledge base.
BS 11.1.19	Deliver a secure online portal for use by the Scheme Medical Adviser, with the facility to communicate the progress of a case, and submit documentation back and forth to facilitate case management.	Signed off secure online digital portal platform.
BS 11.1.20	Provide a Help Desk service for account issues for all Stakeholders with access to a secure online portal.	Established helpdesk and sign posting to the helpdesk.

BS 12 Overarching Reporting Requirements

The Supplier shall ensure reporting is clear, available in real time, produced in formats appropriate to the needs of the Authority and adaptable.

The Supplier shall:

Ref	Requirement
BS 12	Ensure the Authority achieves the outcome it requires to receive information through four channels set out below.

BS 12.1 Specific Reporting Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
BS 12.1.1	Ensure reports are available via a secure online portal for all Stakeholders in receipt of a report.	Demonstration of Supplier Solution for reporting.

Ref	Requirement	Key output(s) / Deliverable(s)
BS 12.1.2	Ensure the execution of a request for a report in the secure online portal is auditable.	Demonstration of Supplier Solution for reporting.
BS 12.1.3	Ensure reports are capable of being downloaded in a format that is not proprietary to the Supplier.	Demonstration of Supplier Solution for reporting.
BS 12.1.4	Implement access controls in relation to user access and use of the secure online portal to ensure only authorised Authority staff have access to reporting functionality and that access permissions are kept up to date through a demonstrable process.	Demonstration of Supplier Solution for reporting.
BS 12.1.5	Make available MI and reporting dashboards accessible via a secure online portal to provide Authority staff with access to real time information and reporting on the volume of “work in progress”.	Demonstration of Supplier Solution for reporting.
BS 12.1.6	Ensure that the dashboards referred to in BS12.1.5 are delivered with the capability to drill down into further detail, including the history of a workflow process for each case type and the volume of cases in a pending stage.	Demonstration of Supplier Solution for reporting.
BS 12.1.7	Execute a set of pre-configured reports providing real time information. These shall include membership statistics and membership movement reports. The Supplier shall ensure further reports are also made available to the Authority as defined or referred to in Schedule 8.4 (<i>Reports and Records Provision</i>) of this Agreement.	
BS 12.1.8	Provide functionality allowing the Authority to create and execute its own reports in relation to all Authority Data. The Supplier shall ensure the reporting functionality is accompanied by appropriate user documentation and reasonable levels of training and support throughout the duration of this Agreement. The functionality shall include the ability to save the parameters of a configured report and run the pre-configured report as required.	
BS 12.1.9	Create an established process for the Authority to request ad hoc reports from the Supplier. The Supplier shall include a testing and sign off	

Ref	Requirement	Key output(s) / Deliverable(s)
	stage in this process before issuing the report to the Authority.	
BS 12.1.10	Ensure that the secure online reporting facility is available outside business hours, allowing for reasonable levels of maintenance and updates to the systems.	

4.6 Governance & Transparency Requirements

Brief Introduction

- a) The Authority aims to become an exemplar in contract governance and management amongst public sector pension schemes to deliver a service that meets the Authority's overall aims and objectives, namely to provide the best administered and managed UK public sector pension scheme. The Supplier shall ensure the Scheme is fit for the 2020s and beyond, and mirrors best practice not only in the UK pension industry but in comparable other services. The improved service will help Members better appreciate the value of the Scheme and the benefit it provides to them; reduce administrative burdens on Employers and meet their needs, and provide good value for money.
- b) Good governance and transparency in reporting is essential to deliver this.
- c) The outcome the Authority seeks to achieve is for a governance structure that will support the efficient management of this Agreement and the Services and provide assurance and transparency to oversight bodies such as the Civil Service Pensions Board. The governance should enable a collaborative working relationship between the Authority and the Supplier.
- d) The Authority will retain its role of providing strategic oversight of Scheme administration, but requires the Supplier as an intelligent provider to:
 - i. Provide the Authority with clear recommendations to resolve issues based on sound analysis and appropriate legal, compliance and risk management advice as appropriate;
 - ii. To minimise requests for the Authority to authorise routine Supplier tasks, decisions and outputs so as to ensure the Supplier retains responsibility for administering all elements of the Scheme and is fully accountable for delivery of the Services. Where Authority sign-offs are reasonably required, the Supplier will remain responsible for ensuring the services are delivered in accordance with this agreement and all legislative and regulatory requirements and shall request and manage sign-off requests in a pro-active manner using the agreed governance channels as set out in Schedule 8.1 (*Governance*). This includes a focus on having the necessary resources in place to ensure that delays in obtaining Authority sign-offs do not occur and therefore there is no operational impact on the Supplier's administration of the Scheme and provision of the Services in accordance with this Agreement;
 - iii. To ensure Contract Changes and Operational Changes are delivered through a robust, portfolio management function and the Change Control Procedure is effective; and
 - iv. To document a roadmap for new or potential improvements to the Services. There is a need for Stakeholders to understand the potential development of the Services to continue to align, for example, to Government Shared Services Strategies and future directions. The ability to respond to changing needs and industry innovation shall form a key part of the roadmap (created and

maintained by the Supplier) in ensuring the continued sustainability of the service model and the Supplier shall ensure the roadmap addresses this key requirement. Any Dispute in relation to the roadmap and/or future direction of development and/or improvement of the Services may be referred by either Party for resolution in accordance with the Dispute Resolution Procedure set out in Schedule 8.3 (*Dispute Resolution Procedure*).

- e) The Supplier shall consider the below Governance and Transparency Requirements in conjunction with:
- i. all applicable Laws; and
 - ii. Schedule 2.2 (*Performance Levels*) including in particular the Performance Indicators.

GOV 1 Governance Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverables (s)
GOV 1.1	<p>Demonstrate and provide clear evidence to reassure the Authority of the efficiency and effectiveness of the Supplier's operations and compliance with applicable Laws, Standards, accounting and other requirements set out or referred to in this Agreement.</p>	<p>Demonstrating compliance with the Standards and other requirements of this Agreement.</p> <p>Compliance validated by inspections, reviews and/or audits (in accordance with the audit rights described in Part C of Schedule 7.5 (<i>Financial Reports and Audit Rights</i>) including audits by external bodies including the GIAA and National Audit Office ("NAO").</p>
GOV 1.2	<p>Establish and maintain effective management structures, staffing and other Governance related arrangements to ensure the Supplier is able to provide the Service(s) in accordance with this Agreement including:</p> <ul style="list-style-type: none"> • a governance structure that has clear lines of responsibility with roles and responsibilities allocated where they can be most effectively delivered; • a structure to manage risk and assurance to reduce exposure to risk and their negative consequences, targeted escalations and effective decision making; and • a structure to respond to the increasing complexity of Scheme administration, evolving services and Customer expectations with all the additional governance requirements this brings, while ensuring that technical expertise and knowledge is retained. 	<p>Deliverables shall include:</p> <ul style="list-style-type: none"> • documented governance structure covering all relevant Supplier and Key Sub-contractor operations in relation to providing the Services and administering the Scheme; and • risk management methodology and procedures (including how the risk register is shared and reviewed in conjunction with the Authority as part of the Governance arrangements described in Schedule 8.1 (<i>Governance</i>)). • The Deliverables described immediately above to be approved by the Authority prior to the Operational Services Commencement Date.
GOV 1.3	<p>Provide Performance Monitoring Reports in accordance with Schedule 2.2 (<i>Performance Levels</i>) which are transparent, comprehensive and accurate reports of the Supplier's performance of the Services.</p>	<p>Deliverables shall include the provision of:</p> <ul style="list-style-type: none"> • Management Information that is timely, concise and shows the Supplier's performance against the Performance

Ref	Requirement	Key output(s) / Deliverables (s)
		<p>Indicators at any given point; and</p> <ul style="list-style-type: none"> • Performance Monitoring Reports in accordance with Schedule 2.2 (<i>Performance Levels</i>). <p>The Deliverables described immediately above to be approved by the Authority prior to the Operational Services Commencement Date.</p>
<p>GOV 1.4</p>	<p>Deliver Management Information in a timely manner and that is comprehensive, concise, accurate, transparent and relevant to ensure the Authority is fully briefed on all relevant information that is material to the running of the Service(s) and supports effective decision-making. The frequency and format of Management Information reports to be provided by the Supplier shall be agreed with the Authority.</p> <p>The Authority requires the Management Information provision is in line with the requirements set out in Annex 5 of Schedule 8.4 (<i>Reports and Records Provisions</i>) thus providing transparency.</p>	<p>Deliverables shall include the provision of:</p> <ul style="list-style-type: none"> • the right Management Information and reports that the Governance structure described in Schedule 8.1 (<i>Governance</i>) needs to be effective and support decision-making. • The format and content of the Deliverables described immediately above to be approved by the Authority prior to the Operational Services Commencement Date and the Management Information to be provided following the Operational Services Commencement Date in accordance with the requirements in this Agreement.
<p>GOV 1.5</p>	<p>Attend and contribute effectively to the Governance Groups as set out in Schedule 8.1 (<i>Governance</i>). The Supplier shall:</p> <ul style="list-style-type: none"> • ensure attendance by named individuals to ensure each Authority Group Member has at all times a counterpart Supplier Group Member of equivalent seniority and expertise; • provide sufficient Supplier Group Members to attend Group meetings to ensure the meetings are quorate; • when needed, provide empowered deputies to attend Group meetings; and 	<p>Establish and maintain a collaborative working relationship between the Authority and the Supplier including embedding the behavioural and cultural changes required to support collaborative working and effective decision making.</p>

Ref	Requirement	Key output(s) / Deliverables (s)
	<ul style="list-style-type: none"> ensure Supplier Group Members adhere to terms of reference for the relevant Governance Groups. 	
GOV 1.6	Provide access to key individuals within the Supplier Personnel to respond to any urgent requests and enquiries from the Authority including Parliamentary Questions and Pension Ombudsman investigations.	<p>Establish and maintain a collaborative working relationship between the Authority and the Supplier.</p> <p>The Supplier shall ensure compliance with any regulatory timescales for responding to any such requests and enquiries.</p>
GOV 1.7	Provide an organogram of management structure for the Services with key delivery roles, including support functions/representatives such as legal, Compliance, Risk Management etc. identified along with escalation routes.	Deliverables shall include the provision of an organogram identifying clear lines of responsibility with roles and responsibilities allocated where they can be most effectively delivered.
GOV 1.8	Have in place an effective Service Continuity Plan (including a Business Continuity Plan, robust cyber security protocols and Disaster Recovery Plan) to ensure continuity of Services and/or rapid recovery of Services including in the event of a Disaster.	All business systems and infrastructure changes to be reviewed and assessed in relation to any impact on the Service Continuity Plan in accordance with the requirements set out or referred to in Schedule 8.6 (<i>Service Continuity Plan and Corporate Resolution Planning</i>).
GOV 1.9	<p>Provide secretariat support for the Authority chairperson for all Governance Groups as set out in Schedule 8.1 (<i>Governance</i>). This shall include but is not limited to such tasks as:</p> <ul style="list-style-type: none"> (a) scheduling Group meetings; (b) circulating agenda and any supporting papers to all attendees three (3) Working Days in advance of such meeting; (c) monitoring the progress of any follow up tasks and activities agreed to be carried out following Group meetings; and 	Establish and maintain a collaborative working relationship between the Authority and the Supplier embedding the behavioural and cultural changes required to support effective decision making, record keeping and transparency.

Ref	Requirement	Key output(s) / Deliverables (s)
	(d) ensuring that minutes for Group meetings are recorded and disseminated electronically to the appropriate persons and to all Group meeting participants within seven (7) Working Days after the Group meeting.	

4.7 Financial Management Requirements

Brief Introduction

- a) The Supplier shall provide the Authority with accurate, timely financial information in order to meet all applicable Laws. All information may be subject to audit. Therefore the Supplier should keep clear audit trails and ensure it implements and maintains robust financial systems and controls.
- b) The Supplier shall consider the below Financial Management Requirements in conjunction with:
 - i. all applicable Laws; and
 - ii. Schedule 2.2 (*Performance Levels*) including in particular the Performance Indicators.

FM 1 - Financial transactions (payments and receipts) Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
FM 1.1	<p>Maintain the separate Designated Bank Accounts as directed by the Authority exclusively for receiving and paying monies in respect of the financial transactions it is required to make or receive in performing the Services.</p> <p>Any bank charges, including for faster payments and overseas payments, will be met by the Supplier unless the Authority directs the Supplier to specifically make these payments.</p>	<p>The Supplier shall ensure compliance with any statutory requirements and financial regulations.</p>
FM 1.2	<p>Implement and maintain financial systems and controls to facilitate the required financial transactions.</p> <p>Process banking receipts and payment instructions, ensure required signatories authorise transactions and perform daily reconciliations of funds received and paid out, including payments to overseas bank accounts. Maintain bank accounts and cashflow to ensure the account is never overdrawn.</p>	<p>The Supplier shall ensure compliance with any statutory requirements and financial regulations.</p>
FM 1.3	<p>Accurately prepare all relevant payment documentation such as remittance advices and authorisations.</p> <p>Implement processes for levels of payment authority, as agreed with the Authority, to minimise fraud in relation to all financial transactions processed.</p> <p>Report details of any under or over payments of Benefits each month to the Authority.</p>	<p>The Supplier shall ensure compliance with any statutory requirements and financial regulations.</p>
FM 1.4	<p>Record all transactions via a ledger system, with both summary and detailed transactional reporting being available to the Authority, on a monthly, quarterly and annual basis or as required by the Authority.</p> <p>The Supplier shall also provide a monthly income and expenditure statement to the Authority in a format agreed with the Authority.</p>	<p>The Supplier shall ensure compliance with any statutory requirements and financial regulations.</p>
FM 1.5	<p>Not pay payments to addresses in a prohibited country. The list of prohibited countries shall be as updated by the Authority from time to time.</p> <p>The Supplier must:</p>	<p>The Supplier shall ensure compliance with any statutory requirements and financial regulations.</p>

Ref	Requirement	Key output(s) / Deliverable(s)
	<ul style="list-style-type: none"> i) advise Pensioners requesting payment to a prohibited country that payment must be made to a UK bank or an alternative approved bank only; and ii) make payments to a UK bank or an alternative approved bank for onward transmission to an approved bank in the prohibited country. 	
FM 1.6	<p>The Supplier shall maintain an up to date list of all Authority approved organisations on the Supplier's pension administration systems to which voluntary deductions can be made. This shall include details of bank details, address, telephone number and contact names, and shall provide Pensioners with:</p> <ul style="list-style-type: none"> a) relevant information of approved organisations to which deductions from their pension payments can be made; and b) communications, from time to time, from approved organisations to some or all Pensioners as appropriate. 	The Supplier shall ensure compliance with any statutory requirements and financial regulations.

FM 2 - Accounts (forecasting and expenditure) Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
FM 2.1	Maintain effective financial controls sufficient to comply with applicable Laws and applicable Standards including financial reporting standards and applicable guidelines (including the HMT publication " Managing Public Money ").	The Supplier shall ensure compliance with any statutory requirements and financial regulations.
FM 2.2	Record all transactions arising either in the nominal ledger itself, or in subsidiary ledgers, with sufficient information to maintain a clear audit trail to source documents and authorisations.	The Supplier shall ensure compliance with any statutory requirements and financial regulations.
FM 2.3	Provide the Authority with a trial balance (being a list of the closing balances (debits and credits) on a certain date), in line with the Authority's requirements (as provided to the Supplier from time to time) within four (4) Working Days of the month end of all transactions recorded each month, by nominal ledger account, together with year to date balance figures.	The Supplier shall ensure compliance with any statutory requirements and financial regulations.

Ref	Requirement	Key output(s) / Deliverable(s)
FM 2.4	On a daily basis, provide account level information and advice to the Authority on the extent to which the income and expenditure will remain within HMT published forecasts and tolerance levels for the CSPS, with identification and analysis of the underlying reasons if not.	The Supplier shall ensure compliance with any statutory requirements and financial regulations.
FM 2.5	Provide evidence-based analytical reports of financial information and transactions on a defined and ad hoc basis (as specified by the Authority from time to time).	The Supplier shall ensure compliance with any statutory requirements and financial regulations.
FM 2.6	Reconcile the Designated Bank Accounts used for the Services on a monthly basis to the ledgers maintained on behalf of the Authority and provide the Authority with monthly reports on the reconciliations and a certificate to confirm reconciliation.	The Supplier shall ensure compliance with any statutory requirements and financial regulations.
FM 2.7	<p>Hold levels of funds in the Designated Bank Accounts at any time between the maximum and minimum levels set by the Authority and notified to the Supplier from time to time.</p> <p>Notify the authority by 10 a.m. of any issues that would require additional funding to be provided, and the amount, to prevent an overnight debit balance on the account.</p> <p>By working day eight (8) provide the Authority with forecasted funds required and seek (by the approved channel agreed with the Authority) funding from the Authority for payments due over the coming three (3) months on a monthly basis, based on the Supplier's predictions of cleared funds required.</p> <p>Give the Authority secure online access to view the balances held in the CSPS bank accounts (which the Authority will use to verify the funding request).</p> <p>If the income bank account's overnight balance is in debit, fund that balance at no cost to the Authority, unless and to the extent that an error by the Authority has caused a debit balance.</p>	The Supplier shall ensure compliance with any statutory requirements and financial regulations.
FM 2.8	Provide accurate forecasts for each income and expenditure account to cover specified time periods as required by HMT and the Authority to meet their respective obligations, as set out below. As a minimum these requirements are	The Supplier shall ensure compliance with any statutory requirements and financial regulations.

Ref	Requirement	Key output(s) / Deliverable(s)
	<p>(with the specific dates being notified by the Authority to the Supplier each year):</p> <ul style="list-style-type: none"> a. pre-budget report (by end August); b. winter supplementary (by early October); c. mid-year review (by end October); d. spring supplementary (by early January); e. financial statement and budget report (by mid-January); f. estimate for the coming financial year (by mid-April); g. monthly forecasts, within HMT tolerances (provided by working day eight (8) for the following month); and h. complete such forecasts on a cash and/or accruals basis, as required from time to time by HMT and/or the Authority. <p>Provide narrative reports, and other supporting documentation with the forecasts, to meet the Authority and HMT's requirements, including setting out the assumptions, rationale, historic data and trend information used to compile the forecasts.</p>	

FM 3 - Information provision Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
FM 3.1	<p>On a monthly basis, complete and provide to the Authority a full reconciliation of membership movements by membership type. This should also include a reconciliation of Active Members to Employer payroll interface records and a reconciliation of Pensioner Members to Pensioner payroll records.</p>	<p>The Supplier shall ensure compliance with any statutory requirements and financial regulations.</p>
FM 3.2	<p>Provide to the Authority on an annual basis all information required by the Authority to prepare the Scheme Annual Accounts, including:</p> <ul style="list-style-type: none"> a. membership statistics, fully reconciled with any adjustments to opening and closing balance; 	<p>The Supplier shall ensure compliance with any statutory requirements and financial regulations.</p>

Ref	Requirement	Key output(s) / Deliverable(s)
	<ul style="list-style-type: none"> b. membership summary & summary of membership movements; c. Benefits paid; d. principle financial assumptions; e. statement of comprehensive net expenditure; f. statement of financial position; g. statement of changes in taxpayers' equity; h. statement of cash flow; i. receivables (being funds received from a range of sources, to be paid to the Authority); j. cash and cash equivalents; k. payables in respect of pensions; l. analysis of Benefits paid; and m. analysis of payments to and on accounts of leavers. 	
FM 3.3	Provide reports based on financial data as directed by the Authority.	The Supplier shall ensure compliance with any statutory requirements and financial regulations.
FM 3.4	Prepare ad-hoc reporting required for the Scheme Annual Accounts, including breakdown of cost items, as requested by the Authority.	The Supplier shall ensure compliance with any statutory requirements and financial regulations.
FM 3.5	Make available members of the Supplier Personnel (including Sub-contractors' staff), to assist the Authority and its Authority Audit Agents in their duties such as tracing and supplying records or other documentation, answering queries, or providing financial or other data, as requested.	The Supplier shall ensure compliance with any statutory requirements and financial regulations.
FM 3.6	Perform three-way reconciliation of contributions received into the Designated Bank Accounts with interface data provided by Employers and detailed Employee/Employer contribution reports provided by Employers and provide a report on a monthly basis to the Authority with any differences reconciled and explained.	The Supplier shall ensure compliance with any statutory requirements and financial regulations.
FM 3.7	Within a mutually agreed timescale between the Supplier and the Authority, provide any requested information to Employers in order to enable	The Supplier shall ensure compliance with any statutory requirements and financial regulations.

Ref	Requirement	Key output(s) / Deliverable(s)
	<p>Employers to complete their resource accounts including any remuneration details.</p> <p>The completion of resource accounts by Employers is a yearly event. The Supplier shall provide support to Employers in order to facilitate them meeting any National Audit Office deadlines and internal Employer targets. This support shall include the Supplier:</p> <ul style="list-style-type: none"> • Providing outlined plans for how the Employers will be supported through the exercise including how deadlines are recorded; • Providing support material for Employers to understand how the resource accounts exercise works and the Employer's role within it including video or live stream sessions; • Creating, implementing and providing Communication products and processes; and • Providing regular updates for the Authority on progress against the Supplier's plans. 	

FM 4 – Facilitation of Audits Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
FM 4.1	Annually by the date specified by the Authority, agree terms of reference with the Authority Audit Agents in respect of the CSPS and ensure resources (including relevant subject matter experts) are available so as to support execution of work by these auditors and work in partnership with them so as to ensure that targets and deliverables are achieved.	The Supplier shall ensure compliance with any statutory requirements and financial regulations.
FM 4.2	Comply with its obligations set out in Schedule 7.5 (<i>Financial Reports and Audit Rights</i>).	The Supplier shall ensure compliance with any statutory requirements and financial regulations.

FM 5 – Debt Management Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
FM 5.1	Have effective procedures to prevent, identify and manage debts, including overpayments, repayments and arrears of contributions. These procedures will include debts arising from the administration of the Schemes by previous administrators.	The Supplier shall ensure compliance with any statutory requirements and financial regulations.
FM 5.2	Undertake debt recovery action on behalf of the Authority, including recovery for debts which arose as a result of the actions of previous administrators. Have in place processes to recover debt from and reimburse previous administrators, as appropriate.	The Supplier shall ensure compliance with any statutory requirements and financial regulations.
FM 5.3	Accurately record and report on all outstanding debts, including any defaults on repayments, in accordance with the Authority's instructions and the processes agreed by the Parties in writing.	The Supplier shall ensure compliance with any statutory requirements and financial regulations.
FM 5.4	Notify the Authority promptly of any errors and/or omissions (including underpayments and overpayments, arrears of contributions) which have occurred in the Supplier's provision of the Services and of any cost implications. Where a debt arises due to the action or inaction of the Supplier, reimburse the Authority within three (3) months of a debt being identified by the Supplier and ensure that any subsequent recovery action from Members does not negatively impact on the Authority or the CSPS.	The Supplier shall ensure compliance with any statutory requirements and financial regulations. The Supplier shall ensure it adheres to Managing Public Money guidance.

4.8 Fraud Prevention Requirements

Brief Introduction

- a) The required outcome is a framework of controls and measures that effectively protects the Services and the CSPS including its Members and Employers against external and internal fraud.
- b) The Supplier shall consider the below Fraud Prevention Requirements in conjunction with:
 - i. all applicable Laws; and
 - ii. Schedule 2.2 (*Performance Levels*) including in particular the Performance Indicators.

FR 1 – Fraud Prevention Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverables
FR 1.1	<p>Maintain efficient and effective controls to prevent and detect internal and external fraud, including, but not limited to:</p> <ul style="list-style-type: none"> a. participating in public sector anti-fraud initiatives as required by the Authority; b. performing regular mortality tracing to validate continued entitlement to pension payments for Members and taking necessary actions to suspend, cease or reinstate pensions, as appropriate; c. ensuring all activities and services are designed and have suitable effective controls to protect Members from identity fraud; d. maintaining a fraud log and provide monthly reporting to the Authority through the appropriate Governance channels; and e. providing the Authority with copies of any requested documentation on fraud controls, training and related information such as the fraud prevention framework including fraud prevention strategy and plan. 	<p>Supplier must adhere to all legal and financial accounting requirements.</p>
FR 1.2	<p>In the event of fraud or attempted fraud being identified or reasonably suspected:</p> <ul style="list-style-type: none"> a. notify the Authority in writing immediately; b. take prompt action to prevent and/or minimise loss to the CSPS and/or any Stakeholders; c. investigate potential fraud cases promptly and refer to the police, as appropriate, where fraud is identified or reasonably suspected; and d. where the fraud has arisen due to the Supplier's act or omission including any non-compliance with this Agreement, 	<p>Supplier must adhere to all legal and financial accounting requirements.</p>

Ref	Requirement	Key output(s) / Deliverables
	reimburse the Cabinet Office: Civil Superannuation Vote and/or the Authority in respect of any losses incurred and ensure that any subsequent recovery action by the Supplier does not negatively impact on the Authority or the CSPS.	
FR 1.3	If fraud or potential fraud has been identified or reasonably suspected, take necessary steps to ensure that similar frauds will not happen again and provide assurances to the Authority that lessons from the fraud or attempted fraud have been learned and applied to the delivery of the Services as part of continuous improvement.	Supplier must adhere to all legal and financial accounting requirements.

4.9 Internal Audit, Risk Management and Benchmarking Requirements

Brief Introduction

- a) The required outcome is:
 - i. to provide assurance over, and ensure compliance with, contractual arrangements throughout the duration of this Agreement;
 - ii. to provide assurance over successful delivery of agreed continuous service improvement activity;
 - iii. to manage risks associated with the Supplier's provision of the administration services;
 - iv. to promote a culture that is Member-centric and quality focussed; and
 - v. to drive quality and continuous service improvement activities throughout the duration of this Agreement to realise our vision for the Scheme.
- b) The Supplier's successful delivery of the Services and performance of this Agreement in accordance with these internal audit control requirements is central to improving the Services that Members and Employers will receive. The Authority will expect the Supplier as a minimum to:
 - i. develop and implement a quality assurance framework incorporating a risk management programme, quality assurance and compliance monitoring activities;
 - ii. develop and implement a risk based internal audit programme that identifies weaknesses/non-compliance as well as opportunities to strengthen controls and mitigate risk; and
 - iii. develop a benchmarking plan and deliver the associated benchmarking activity to identify areas for improvement and drive forward the Authority's vision and aims for the Scheme.
- c) The Supplier shall consider the below Internal Audit, Risk Management and Benchmarking Requirements in conjunction with:
 - i. all applicable Laws; and
 - ii. Schedule 2.2 (*Performance Levels*) including in particular the Performance Indicators.

IA1 Internal Audit Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
IA 1.1	<p>Develop, implement and manage an audit strategy (“AS”) to ensure the latest published version of the Public Sector Internal Audit Standards (March 2017 version, as at the Effective Date) (“PSIAS”) are adhered to at all times. The Supplier shall ensure the requisite assurance over CSPS governance, risk management and control processes is provided to the Authority, its Authority Audit Agents and other government bodies as required.</p> <p>The Supplier shall ensure the AS:</p> <ol style="list-style-type: none"> 1. continues to evolve during this Agreement through continuous improvement (subject to the Authority approving changes to the AS); 2. demonstrates and clearly evidences the independence of the Supplier’s internal audit function from the Supplier’s management team; 3. sets out the principles that will be adopted to influence the Supplier’s management team resolution of audit findings; and 4. reflects changing circumstances, lessons learned and other experience gained by the Supplier. 	<p>The Supplier will submit the documented AS for approval by the Authority within six (6) months of the Effective Date.</p> <p>The Supplier will demonstrate success by maintaining independence in developing and implementing its AS through:</p> <ul style="list-style-type: none"> • Implementation of a three (3) lines of defence model. • A dedicated internal audit team either within the Supplier or other members of the Supplier Group. • The use of an independent audit committee/board within the Supplier Group that the Supplier’s internal auditors’ report to.
IA 1.2	<p>Develop, implement and maintain in accordance with the requirements of Schedule 7.5 (<i>Financial Reports and Audit Rights</i>) a risk based Annual Audit Plan (“AAP”) with the agreement of the Authority and based on the audit universe, to achieve the aims, objectives and benefits of the AS in accordance with a memorandum of understanding. Once agreed by the Authority, the AAP may only be amended with the prior written agreement of the Authority.</p>	<p>The Supplier will produce an AAP for approval by the Authority in accordance with Schedule 7.5 (<i>Financial Reports and Audit Rights</i>).</p>
IA 1.3	<p>Produce a written annual assurance statement (“AAS”) of assurance by the Supplier’s internal</p>	<p>The Supplier will demonstrate audit assurance to the Authority</p>

Ref	Requirement	Key output(s) / Deliverable(s)
	<p>auditors for submission to the Authority at the end of each audit year to provide a succinct overview of audits, performance, progress with actions etc.</p>	<p>through the AAS typically containing:</p> <ul style="list-style-type: none"> ● A statement of assurance including an overall RAG rating. ● Performance of audits against the relevant AAP. ● Status of audit actions. ● Confirmation that the Supplier's internal audit function has complied with the PSIAS.

IA 2 Risk Management Framework Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
IA 2.1	<p>The Supplier shall develop, document and implement a Risk Management Framework (“RMF”) incorporating suitable risk registers to effectively manage Scheme risks; a quality assurance strategy and plan to demonstrate how quality will be assured across all areas of the business and a compliance monitoring strategy and plan to demonstrate and provide assurance of Scheme compliance with relevant Laws and regulations.</p> <p>The Supplier’s implementation of the RMF and reporting shall, as a minimum, inform the Authority on a quarterly basis of the Supplier’s performance in the following areas:</p> <ol style="list-style-type: none"> 1. The handling of Benefit calculations, both in terms of accuracy and the quality and effectiveness of communications to Members; 2. The level of compliance with the Scheme Rules and with applicable Laws; 3. The level of risk associated with planned improvements to the Services; 	<p>The Supplier will submit the documented RMF for approval by the Authority within six (6) months of the Effective Date.</p>

Ref	Requirement	Key output(s) / Deliverable(s)
	<ol style="list-style-type: none"> 4. The application and level of success of actions designed to improve identified areas of weakness, particularly in regard to the service provided to Members; 5. The effectiveness of the Supplier's complaints handling; 6. The number of cases dealt with on a 'right first time' basis and the effectiveness of plans to increase this number throughout the duration of this Agreement; 7. The Supplier's level of success in ensuring that service delivery remains focused on putting the Member first, with no areas of casework becoming overlooked; 8. The success of improvements made to the Services; and 9. Planning for future Service improvements. <p>The Supplier shall have an adequate system to maintain, improve, test and report on the performance of the control processes.</p>	

IA 3 Benchmarking Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
IA 3.1	<p>Develop, document and implement a Benchmarking Strategy and Plan (the "Benchmarking Strategy") to demonstrate how the Supplier will identify, capture and implement industry best practice into the delivery of the Scheme.</p>	<p>The Supplier will submit the documented Benchmarking Plan for approval by the Authority within six (6) months of the Effective Date.</p>

4.10 Security Requirements

Brief Introduction

- a) The Authority requires a Supplier Solution that implements strong, auditable and documented security controls to ensure the Supplier Systems and any other IT systems used in the Supplier Solution and/or to provide the Services cannot be penetrated by unauthorised individuals or bodies. The Authority's data set of Authority Data includes records for more than 1.5 million current and former civil servants, as well as Beneficiary data of former Members. As such, the Authority takes its security responsibilities and obligations extremely seriously, and seeks to minimise the threat of a cyber-attack, as well as data breaches (unintentional or otherwise) including Personal Data Breaches.
- b) The Supplier shall ensure security specialist members of Supplier Personnel cooperate, support and work closely with the Authority's Security Working Group ("**SWG**") to ensure that the security requirements and controls required under this Agreement are fully implemented during the Transition Plan phase and that these are maintained throughout the duration of this Agreement. This will include regular attendance of security specialist members of Supplier Personnel at the SWG and presenting enhancements to the security arrangements throughout the duration of this Agreement. The Supplier must prompt for and allow for input from the SWG when creating Project Plans and implementation timelines.
- c) The requirements below are in addition to and do not supersede the obligations set out or referred to in Schedule 2.4 (*Security Management*) of this Agreement.
- d) The Supplier shall consider the below Security Requirements in conjunction with:
 - i. all applicable Laws; and
 - ii. Schedule 2.2 (*Performance Levels*) including in particular the Performance Indicators.

SE1 Security Requirements

The Supplier shall:

Ref.	Requirement	Key output(s) / Deliverable(s)
SE 1.1	Detail within the Security Management Plan (SMP) required in Schedule 2.4 (<i>Security Management</i>) of this Agreement where and how Authority Data will be processed (including stored). If the Supplier Solution incorporates a public cloud hosting service, the Supplier must in relation to any processing (including storage) of Authority Data only use a sole, independent tenancy with no shared services across other tenancies, with complete database separation using separate virtual machines.	Signed off SMP by the Authority's SWG within sixty (60) days of the Effective Date.
SE 1.2	Document and implement data obfuscation techniques within technical solutions and platforms (forming part of the Supplier Solution) to restrict visibility of Authority Data for administrative and support staff. The Supplier must implement security access controls in relation to the Supplier Solution and Services which adopt the principle of least privilege access. The Supplier will on request demonstrate to the Authority how it implements and maintains the principle of least privilege access in relation to the Supplier Solution and Services.	Signed off SMP by the Authority's SWG within sixty (60) days of the Effective Date.
SE 1.3	Ensure it has in place specialist security Supplier Personnel dedicated to managing the security of the Services. The Supplier shall ensure that the governance process for security information risk escalation is clearly documented in the SMP.	
SE 1.4	Assess and undertake security information risk assessments throughout the duration of this Agreement, including agreeing with the Authority which risk assessment methodology it will be using. The Supplier shall ensure the formal security information risk assessment is documented in the SMP and managed accordingly.	

Ref.	Requirement	Key output(s) / Deliverable(s)
SE 1.5	Include in the SMP a description of the processes and solutions which will be put in place to undertake robust, proactive, protective monitoring and intrusion detection which will need to be agreed with the Authority. The description must describe what action will be taken when issues are identified or detected.	
SE 1.6	Ensure all elements of the Services and the Supplier Solution (including Supplier Systems and Software), including processing and storage of Authority Data, system support, back-ups and helpdesk function are performed solely within the United Kingdom unless otherwise agreed in writing with the Authority.	Signed off SMP by the Authority's SWG within sixty (60) days of the Effective Date.
SE 1.7	Ensure that it has in place a tested and documented disaster recovery plan (forming part of the Service Continuity Plan as required in accordance with Schedule 8.6 (<i>Service Continuity Plan and Corporate Resolution Planning</i>)).	
SE 1.8	Ensure that all Authority Data is regularly backed up so as to meet the Recovery Point Objectives as set out in Schedule 8.6 (<i>Service Continuity Plan and Corporate Resolution Planning</i>) and shall ensure all back-up data is stored in a encrypted format.	
SE 1.9	Ensure the Supplier Solution is configured to restrict access to a protected set of Member records to ensure they can only be accessed by a definable subset of Security Check ("SC") cleared Supplier Personnel; the department name of these protected Members must not be visible to any Supplier Personnel other than the defined SC cleared subset of Supplier Personnel. It must not be possible to determine which Members originate from the "sensitive" departments (as notified by the Authority).	Signed off SMP by the Authority's SWG within sixty (60) days of the Effective Date.
SE 1.10	Establish and follow a clear and documented process for performing IT Health Check ("ITHC") and security testing of the Services. The Supplier shall undertake ITHC and security testing regularly during this	

Ref.	Requirement	Key output(s) / Deliverable(s)
	Agreement to ensure conformance with Schedule 2.4 (<i>Security Management</i>).	
SE 1.11	Ensure all the security requirements in Schedule 2.4 (<i>Security Management</i>) are met.	Signed off SMP by the Authority's SWG within sixty (60) days of the Effective Date.

4.11 2015 Remedy Requirements

Brief Introduction

- a) In 2015 the government introduced reforms to public service pensions. Most public sector workers were moved into a new pension scheme called 'alpha'.
- b) In 2018, the Court of Appeal found that some of the rules put in place back in 2015 to protect older workers by allowing them to remain in their original scheme, were discriminatory on the basis of age.
- c) As a result, steps are being taken to remedy those 2015 reforms, making the scheme fair to all affected Members. This process is called 'the 2015 Remedy' ("**2015 Remedy**") and affects the period of pensionable service from 1 April 2015 up to 31 March 2022 ("**Remedial Service/ Remedy Period**"). This is comprised of the following parts:
 - i. Part 1: Moving all Active Members into the Alpha Scheme from 1 April 2022 and closing any future service accrual in any 'legacy' schemes (classic, classic plus, premium and nuvos) - Alpha Transition circa 28,500 Members due to conclude May 2022.
 - ii. Part 2: Remove the discrimination by returning all Members to their pre-2015 scheme (classic, classic plus, premium and nuvos) for the period of pensionable service from 1 April 2015 to 31 March 2022 (2015 Remedy Period) - Rollback circa 420,000 Members due to commence from 1 July 2023.
 - iii. Part 3: Enabling Members to make a choice at the point of retirement as to which scheme they wish their pension Benefits to be calculated under - Deferred Choice Underpin ("**DCU**") circa 310,000 Members due to commence from 1 October 2023.
 - iv. Part 4: Provide a remediable service statement to 2015 Remedy Eligible Members (Pensioners or deceased Members) notifying them of the available Benefits in respect of their remediable service, so they have sufficient information in order to make an informed immediate choice - Remediation Service Statements ("**RSS**") circa 110,000 Members due to commence 1 March 2024.

N.B. Members may be included in more than 1 group. The total 2015 Remedy population is circa 420,000.

Eligibility

- d) The 2015 Remedy Programme applies to the 2015 Remedy Eligible Members.
- e) Due to delays in the legislative timetable there may be a need for the Supplier to deliver any remaining work, in relation to completing the 2015 Remedy Programme, not completed by the Incumbent Provider prior to completion of Transition, this is likely to be elements of Parts 3 and/or 4. The Authority is unable, at this stage, to give more accurate volumes and has therefore provided 'worst case' volumetrics if no work is commenced.

- f) The Supplier’s completion of the 2015 Remedy Programme in accordance with these requirements is included in the Charges set out in Schedule 7.1 (Charges and Invoicing) and the Supplier shall not be entitled to any additional charges, costs or expenses for completion of this work save that the Authority will pay as a separate additional Project charge for the Supplier to complete the 2015 Remedy Programme in terms of initial notification of DCU and any outstanding remediation i.e. Parts 1, 2 and 4. Apart from the initial notification of DCU, Part 3 forms part of the Services required under this Agreement and is included within the Charges set out in Schedule 7.1 (Charges and Invoicing). Once the relevant legislation is in place, Members will be entitled to make a deferred choice at retirement as part of ongoing business as usual and this should therefore be built into calculation specifications for Members impacted by 2015 Remedy as part of the Supplier’s Transition Services.
- g) The outcome the Authority requires is for all 2015 Remedy Eligible Members to have their pensionable service for the 2015 Remedy Period to be accrued under their legacy scheme with alternative calculations for the same period made applying the Alpha Scheme regulations. The Authority requires the Supplier to support processes and communications to enable 2015 Remedy Eligible Members to make an informed choice as to which pension scheme they wish their pensionable service accrued during the 2015 Remedy Period to be paid from.
- h) Most importantly, the Supplier shall ensure it pays Benefits right first time, every time and provides Members with the best possible experience during key life events.
- i) The Supplier shall consider the below 2015 Remedy Requirements in conjunction with:
 - i. all applicable Laws; and
 - ii. Schedule 2.2 (Performance Levels) including in particular the Performance Indicators.

REM 1 Overarching 2015 Remedy Requirements

The Supplier shall:

Ref	Requirement
REM 1	Deliver the administrative capability to: <ul style="list-style-type: none"> a) return 2015 Remedy Eligible Members to their pre-2015 scheme (“Rollback”); b) calculate Eligible Member’s Benefits payable under both any legacy scheme and Alpha Scheme for the 2015 Remedy Period, (DCU);

	<p>c) apply an Eligible Member's decision with respect to the Deferred Choice Underpin; and</p> <p>d) provide RSS's to 2015 Remedy Eligible Members.</p> <p>The Supplier shall pay the correct Benefits to Members (including 2015 Remedy Eligible Members) at retirement.</p>
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REM 1.1 Rollback Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
REM 1.1.1	Process any remaining 2015 Remedy Eligible Members that have not had their accounts rectified before responsibility for completion of the 2015 Remedy Programme passes from the Incumbent Provider to the Supplier.	All 2015 Remedy Eligible Members accounts are rectified.
REM 1.1.2	Identify 2015 Remedy Eligible Members who are eligible for Rollback who have not had their accounts rectified.	Correctly identified the pool of 2015 Remedy Eligible Members.
REM 1.1.3	Return 2015 Remedy Eligible Members to their pre 2015 pension scheme (including classic, classic plus, premium or nuvos) and calculate Benefits accrued/payable in the legacy scheme for their remedial service. This shall include resolving any tax implications.	2015 Remedy Eligible Members have their pensionable service for the 2015 Remedy Period in their legacy scheme.
REM 1.1.4	Implement an effective and targeted communications strategy to notify and provide support for 2015 Remedy Eligible Members in relation to the implications for them of 2015 Remedy.	2015 Remedy Eligible Members entitled to Rollback feel fully supported and understand why their pension schemes have been changed.

REM 1.2 Remediation Service Statements RSS Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverables
REM 1.2.1	Identify 2015 Remedy Eligible Members (and/or where applicable, their Beneficiaries) who are eligible for a RSS.	Correctly identified the pool of 2015 Remedy Eligible Members entitled to RSS.
REM 1.2.2	Provide a RSS to 2015 Remedy Eligible Members and notify them and/or their Beneficiaries of the available Benefits in respect of their remediable service, so they have sufficient information in order to make	2015 Remedy Eligible Members entitled to RSS have details of their remediable service.

	either an informed immediate choice or deferred choice election.	
REM 1.2.3	Have an effective and targeted communications strategy to notify and provide support for 2015 Remedy Eligible Members entitled to RSS and/or their Beneficiaries in relation to the implications for them of 2015 Remedy.	2015 Remedy Eligible Members entitled to RSS and/or their Beneficiaries feel fully supported and understand why they have received an RSS and the information it contains and any actions required of them.

REM 1.3 Deferred Choice Underpin DCU Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
REM 1.3.1	Identify 2015 Remedy Eligible Members for the DCU. The Supplier acknowledges that the population of 2015 Remedy Eligible Members for the DCU is not stable. This is due to Member retirements or other status changes occurring prior to the establishment of the DCU, and therefore falling into remediation instead or due to calculations and notifications already provided under the 2015 Remedy Programme.	Correctly identified the pool of 2015 Remedy Eligible Members for the DCU.
REM 1.3.2	Have an effective and targeted communications strategy in place to notify 2015 Remedy Eligible Members for the DCU that they will have a choice(s) to make at retirement/partial retirement, this includes any added pension, effective pension age and enhanced effective pension age purchases made, Lifetime Allowance and any consequences of not responding.	2015 Remedy Eligible Members feel fully supported and understand the choice they have to make and how it will impact their pension. No rise in Customer contact due to communications relating to 2015 Remedy Eligible Members and their options.
REM 1.3.3	Calculate and notify 2015 Remedy Eligible Members for the DCU of their Benefits in both the Principal Civil Service Pension Scheme and Alpha Schemes for the 2015 Remedy Period.	Ensure 2015 Remedy Eligible Members for the DCU understand how their Benefits have been calculated. No rise in Customer contact due to communications relating to 2015 Remedy Eligible Members for the DCU and their options.
REM 1.3.4	Provide 2015 Remedy Eligible Members for the DCU with tools to assist with pension and retirement planning that takes into account their choice.	2015 Remedy Eligible Members for the DCU feel fully supported and confident when making their choice.

Ref	Requirement	Key output(s) / Deliverable(s)
		High user satisfaction scores/ feedback achieved on survey and feedback tools.
REM 1.3.5	Produce a readily retrievable suite of Management Information which provides information on choices and other information which may be of interest to the Authority for 2015 Remedy Eligible Members for the DCU.	Real time information monitoring of DCU choices made by 2015 Remedy Eligible Members for the DCU presented to the Authority. Reporting Requirements should be aligned to the Business System Requirements as set out in this Schedule 2.1 (<i>Services Description</i>).
REM 1.3.6	Implement ongoing processes to identify 2015 Remedy Eligible Members for the DCU and provide effective and targeted ongoing communications with Benefits under both options. Pay Benefits in line with their choice when they are due and in line with the Core Administration Requirements set out in Schedule 2.1 (<i>Services Description</i>) and the relevant Target Performance Levels.	Provide ongoing accurate, effective and targeted communications. Pay the correct Benefits to 2015 Remedy Eligible Members for the DCU at retirement.

4.12 Non-Functional Requirements

Brief Introduction

- a) The Authority's required outcome is a service that meets the users' needs, including Members and Employers as end users, while providing value for money for the taxpayer.
- b) The purpose of this document is to detail the non-functional requirements for the Supplier Solution and Services and technology aspects of the Future Services Programme.
- c) Typically, non-functional requirements include security requirements, however, as the programme has detailed security requirements these are set out separately in the Security Requirements and Schedule 2.4 (*Security Management*), and therefore are not included in this document.
- d) The Supplier shall consider the below Non-Functional Requirements in conjunction with:
 - i. all applicable Laws; and
 - ii. Schedule 2.2 (Performance Levels) including in particular the Performance Indicators.

NF 1 - Compliance Requirements

As Scheme Manager for the CSPS, the Authority has a responsibility to Members, Employers and the taxpayer to ensure it complies with applicable Laws. Failing to comply can lead to reputational damage, mistrust in the Services and financial impacts, including costly rework and monetary penalties. The Authority requires the Supplier to take a “right first time” approach to service delivery.

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
NF 1.1	<p>Comply with:</p> <ul style="list-style-type: none"> ● the Scheme Rules; ● wider pensions legislation; ● guidance issued by the Authority; ● regulatory requirements of The Pensions Regulator; ● decisions from the Pensions Ombudsman; ● guidance from delegated authorities, including the Government Actuary’s Department and Government Legal Department; and ● Data Protection Legislation. 	
NF 1.2	Demonstrate to the Authority how the Supplier’s administration of the Scheme and provision of the Services is complying with all applicable Laws.	

NF 2 – Accessibility Requirements

The Scheme provides Benefits for a diverse set of Members and a varied Employer base; the Authority requires the Supplier to provide a wide-reaching service that delivers effective engagement between the Scheme and Members and Employers.

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
NF 2.1	<p>Comply with UK Government digital standards as defined by Central Digital and Data Office:</p> <p><u>CDDO - Accessibility Standards</u></p>	Compliance with digital accessibility standards.
NF 2.2	<p>Offer engagement channels that go beyond digital engagement:</p> <p><u>CDDO - Accessible Formats</u></p>	Demonstrate how the digital services meet the accessibility format.

NF 2.3	<p>Usability</p> <p>Provide continuous feedback to the Authority detailing Member and Employer experience of using products throughout the Services. Using an evidence-based approach, propose improvements to existing products and the development of future products.</p>	<p>Improved Member and Employer feedback and net promoter scores.</p>
NF 2.4	<p>Best practises</p> <p>User facing digital services should adhere to CDDO service standards to ensure a user-centric design and follow best practice in delivering technology: <u>Digital Service Standards</u></p>	<p>Demonstrate how the digital services meet the Digital Service Standards referred to.</p>
NF 2.5	<p>Open Standards</p> <p>Develop in Open Standards when feasible when designing the Supplier Solution (including Supplier Systems and interfaces) for connecting to other government systems (including relevant Employer systems). Security protocols must not be sacrificed and all Open Standards must demonstrate to the Authority how security is integrated within any developments.</p> <p><u>Open Standards in Government</u></p> <p><u>Open Standards Principles</u></p>	<p>Demonstrate how the Supplier Solution meets Open Standards defined by Government.</p>

NF 3 - Development life cycle Requirements

The Supplier shall ensure that systems and process design should be controlled through a recognised and documented software development life cycle. The Supplier will demonstrate its approach to the software development life cycle to the Authority. These requirements complement the specific testing requirements documented in the Business Systems Requirements document - BS3.4.5.

NF 3.1 - Development life cycle Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
NF 3.1.1	<ul style="list-style-type: none"> • Develop and document a robust, secure and scalable software development life cycle (“SDLC”); • Present the SDLC to the Authority; • Maintain the SDLC throughout the lifetime of this Agreement and demonstrate to the Authority how it is being implemented; • Provide the Authority with a copy of the documented approach when requested; and 	<p>Documented SDLC and a copy provided to the Authority within thirty (30) days of the Effective Date.</p>

	<ul style="list-style-type: none"> Demonstrate to the Authority how the SDLC will minimise risk to the Service and outputs from service delivery. 	
NF 3.1.2	<p>Demonstrate to the Authority how end users have been included in the design and testing stages of the lifecycle to ensure that it is fit for purpose.</p> <p>This shall include both internal end users and external, such as Participating Employers and Members when appropriate.</p>	Documented solution design approach provided to the Authority within thirty (30) days of the Effective Date.
NF 3.1.3	<p>Ensure solutions, including letters, workflow configuration, Benefit calculations and digital platforms are tested within defined testing environments before being promoted to the production environment. Testing requirements and procedures are detailed in Schedule 6.2 (<i>Transition Assurance and Project Testing Procedures</i>).</p>	Documented solution design approach provided to the Authority within thirty (30) days of the Effective Date.
NF 3.1.4	<p>Demonstrate how roles within the SDLC will be segregated such that individuals are not taking responsibility for more than one stage in the lifecycle.</p>	Documented resource plan provided to the Authority within thirty (30) days of the Effective Date.
NF 3.1.5	<p>Demonstrate clear sign off protocols within the SDLC including any Authority Groups.</p>	
NF 3.1.6	<p>Demonstrate an approach to Benefits realisation that is clear from the outset with measurable outcomes.</p>	
NF 3.1.7	<p>Demonstrate how the Supplier will ensure the Supplier Solution is kept up to date with the latest software releases. This shall include in-house developments, but also third party products, such as Microsoft, Amazon and Google products where relevant.</p>	

NF 3.2 - Design improvement and innovation Requirements

To ensure that the Supplier Solution aligns with wider Government and Authority strategies, the Authority seeks to utilise the experience and insight from technology specialists within the Authority through a joint design authority.

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
NF 3.2	<p>Establish a design authority jointly with the Authority, providing an agenda and capturing minutes. The Authority will capture insights and direction from the Authority's technology experts during the transition and future continuous improvements and developments of the Scheme.</p>	Documented SDLC provided to the Authority within thirty (30) days of the Effective Date.

	Note: it is anticipated that individual Projects will have their own governance and design authority arrangements throughout the life of this Agreement.	
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NF 4 - Service availability Requirements

The Scheme recognises that Members and Employers do not have a consistent working pattern, and the Services should accommodate their needs.

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
NF 4.1	Ensure that its Help Desk's enquiry service is available for all Stakeholders. The Supplier shall operate its Help Desk enquiry service on Working Days between 8:00am and 6:00pm.	
NF 4.2	Monitor the effectiveness of the Help Desk service availability throughout the duration of this Agreement and adjust availability according to demand.	
NF 4.3	Provide the Authority with Management Information relating to the Help Desk service availability and call metrics.	
NF 4.4	Agree with the Authority a process for downtime of Supplier Systems for maintenance, including telephony and digital platforms, to minimise the impact on Members and Employers using the Services.	

NF 5 - Incident Management Requirements

In addition to providing Business Continuity Services and Disaster Recovery Services in accordance with Schedule 8.6 (*Service Continuity Plan and Corporate Resolution Planning*), the Supplier shall ensure an effective Incident Management Process is in place. Incidents include Supplier System down time, data breaches or faults with a particular workflow, calculation or letter that requires a manual workaround until it can be remedied.

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
NF 5.1	Establish a recognised incident management framework (in accordance with ITILv4 or latest published version) for handling incidents and problems within the Supplier Solution and/or Services.	Documented incident management framework provided to the Authority within thirty (30) days of the Effective Date.

NF 6 - System and service access Requirements

As the Scheme involves receiving and processing Authority Personal Data that is considered by the Authority to be particularly sensitive, the Supplier must protect the Authority Data and in particular the Authority Personal Data from internal as well as external security related risks and threats.

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
NF 6.1	Establish a process for updating internal Supplier System user privileges that is auditable and demonstrable to the Authority.	Demonstration of process provided to the Authority within thirty (30) days of the Effective Date.
NF 6.2	Implement a Supplier System user access policy of "least privilege" across all business systems. BS12.1.7 requires that such a principle must apply to all Databases and must span all Supplier Systems. The principle ensures user access privileges are granted to those required to perform their role and carry out their responsibilities, but does not grant higher or additional levels of access.	Documented user access policy provided to the Authority within thirty (30) days of the Effective Date.

NF 7 - Data retention Requirements

Administering the Scheme and its various Databases involves processing and storing Authority Data received from many sources. The largest dataset is the Member data, however, the Databases also contain Authority Data that relates to Employers, process data, letters and statements, as well as audit histories and data that relates to the administration of the Scheme, including Scheme valuations and Scheme configuration.

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
NF 7.1	Document the purpose and usage of all Authority Data sources required to administer the Scheme as part of the Data Management Strategy document in accordance with the Data Requirements document. The Supplier shall ensure the Data Management Strategy is maintained throughout the duration of this Agreement and clearly articulates the document owner an review cycle.	Documented Data Management Strategy provided to the Authority within thirty (30) days of the Effective Date. Note: the development and implementation of the Data Management Strategy is a requirement of the Data Requirements document.
NF 7.2	Provide a clear and comprehensive data retention policy that is agreed with the Authority	Documented data retention policy provided to the

Ref	Requirement	Key output(s) / Deliverable(s)
	and the Authority's Data Protection Officer. The policy must align and comply with Data Protection Legislation as amended from time to time.	Authority within thirty (30) days of the Effective Date.

NF 8 - Service monitoring Requirements

Throughout the Scheme calendar, there will be peaks and troughs of activity that require greater and lesser degrees of Supplier System processing capacity. The Supplier shall ensure that peaks of activity do not significantly impact the smooth running of the Services. Activities include the issuing of Annual Benefit Statements, pension increases and issuing pension saving statements. These activities must comfortably sit alongside time critical services, such as processing payroll interfaces and issuing retirement quotes.

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
NF 8.1	Ensure the Supplier System technology infrastructure and wider eco-system is continually monitored to provide effective capacity management during peak times, and demonstrate how the capacity of Supplier Systems will be scaled back during less busy times.	Documented infrastructure monitoring solution provided to the Authority within thirty (30) days of the Effective Date.
NF 8.2	Demonstrate that the Supplier Systems service provision is highly available across multiple availability zones or data centres.	Documented infrastructure monitoring solution provided to the Authority within thirty (30) days of the Effective Date.

NF 9 - Configuration Management Requirements

The complexity of the Scheme means that the Civil Service Pension Scheme contains bespoke elements that are not commonly found within other pension schemes. This means that there are fewer opportunities for using generic processes and configuration. Additional configuration will be required in workflow maps, Benefit statements, Quotes, letters and Benefit calculations. This will be compounded by the complexity of the 2015 Remedy Programme and therefore, it is essential that the configuration within the Supplier System platforms is tightly controlled by the Supplier.

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
NF 9.1	Create and maintain a Configuration Management Database including documenting the configuration management	Signed off and maintained Configuration Management Database document

Ref	Requirement	Key output(s) / Deliverable(s)
	layer of the Supplier System, including sign off protocols and owners of each area of configuration. This should include a review date for each section of configuration. The management approach must show how each configuration point is used within the Supplier System.	provided to the Authority within thirty (30) days of the Effective Date.

NF 10 - Testing Requirements

The Authority requires the Supplier to thoroughly test all business systems and infrastructure changes to Supplier Systems and/or the Supplier Solution. The Authority's testing requirements are set out in the Schedule 6.2 (*Transition Assurance and Project Testing Procedures*).

NF 11 - Interoperability and interconnectivity Requirements

The Supplier shall design and develop in Open Standards when feasible when designing the Supplier System and interfaces for connecting to other government systems (e.g. Employer systems).

<https://www.gov.uk/government/collections/open-standards-for-government-data-and-technology>

<https://www.gov.uk/guidance/make-use-of-open-standards>

4.13 Social Value Requirements

Brief Introduction

- a) The Authority wishes to become an exemplar in tackling workforce and economic inequalities as well as fighting climate change as set out in the Public Services (Social Value) Act and accompanying Procurement Policy Notes (PPN) 6/20 & 6/21.
- b) The Authority is tackling workforce and economic inequalities and improving health and wellbeing through a variety of Government initiatives such as the levelling up agenda and the establishment of the Department for Levelling Up, Housing and Communities (“DLUHC”). The Authority’s aim is to drive and encourage the right behaviours amongst suppliers in order to build an inclusive culture and help make the Authority a great place to work. The Authority is looking to unlock greater career opportunities for all and have more parity across the UK for career pathways with opportunities at all levels spread evenly across the country. The Authority aims to deliver a cultural environment where its people, located across the UK, have the right skills and capability. The Authority wishes to empower its people to deliver the finest public services and better represent the communities they serve.
- c) The Authority, along with all other Government departments, is working hard to continue delivering the Greening Government Commitments (“GGCs”). The Authority is committed to continually improving its environmental performance for the scope of its ISO 14001:2015 certification, in order to prevent pollution and negative impact to the environment, while ensuring compliance, as a minimum, with all applicable Laws and other obligations.
- d) The Authority requires the Supplier to support the above aims and values. For more information it may be helpful to read the Social Value Model (available at https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/940826/Social-Value-Model-Edn-1.1-3-Dec-20.pdf).
- e) The Supplier shall consider the below Social Value Requirements in conjunction with:
 - i. all applicable Laws; and
 - ii. with Schedule 2.2 (Performance Levels) including in particular the Performance Indicators.

SV 1 - Social Value Requirements

The Supplier shall:

Ref	Requirement	Key output(s) / Deliverable(s)
SV 1.1	<p>Tackle economic inequality by:</p> <ul style="list-style-type: none"> • demonstrating actions to identify and tackle inequality in employment, skills, and pay in its workforce; • creating employment and training opportunities particularly for those who face barriers to employment and/or who are located in deprived areas, and for people in industries with known skills shortages or in high growth sectors; • supporting educational attainment relevant to this Agreement, including training schemes that address skills gaps and result in recognised qualifications; • supporting innovation and disruptive technologies throughout the supply chain to deliver lower cost and/or higher quality goods and services; • demonstrating collaboration throughout the supply chain, and a fair and responsible approach to working with supply chain partners in delivery of this Agreement; • working with the supply chain to develop cyber security capabilities and manage cyber security risks in the delivery of this Agreement; • demonstrating and implementing policies that improve opportunities for all, including underrepresented groups e.g. people from lower socio economic, ethnic minority and disability backgrounds e.g. how is your workforce in line with economically active population for the underrepresented groups e.g. 14% of the UK population come from an ethnic minority background; • demonstrating and implementing policies that reduce disparity between different groups - for example closing inclusion gaps for the underrepresented groups mentioned previously; 	<p>Proposed biannual reporting metrics:</p> <ul style="list-style-type: none"> • number of apprenticeship opportunities (Level 2, 3, and 4+) created or retained under this Agreement, by gender, ethnicity and UK region; • number of training opportunities (Level 2, 3, and 4+) created or retained under this Agreement, other than apprentices, by gender, ethnicity and UK region; • number of people-hours of learning interventions delivered under this Agreement, by gender, ethnicity and UK region; • number/percentage of Staff under this Agreement with relevant professionally recognised qualification, by gender, ethnicity and UK region; • for each of the following categories (i) start-ups; (ii) SMEs; (iii) VCSEs; and (iv) mutuals: <ul style="list-style-type: none"> ○ the number of contract opportunities awarded under this Agreement; ○ the value of contract opportunities awarded under this Agreement in £; and ○ total spend under this Agreement, as a percentage of the overall contract spend, • where relevant, the percentage of all companies in the supply chain under this Agreement with a current Cyber Essentials certification; and • where relevant, the number of companies in the supply chain under this Agreement to have adopted the National Cyber Security Centre's 10 steps.

Ref	Requirement	Key output(s) / Deliverable(s)
	<ul style="list-style-type: none"> ● demonstrating and implementing policies that reduce pay gaps, gender and ethnicity pay gaps, reducing regional inequalities and create more local opportunities; and ● creating and implementing policies that increase gender pensions gap transparency. 	
SV 1.2	<p>Fight climate change by:</p> <ul style="list-style-type: none"> ● influencing the Supplier’s existing and new Sub-contractors and other suppliers to be openly committed to their own journey towards Net Zero 2050 (available at https://www.gov.uk/government/publications/net-zero-strategy) (“Net Zero”) ● actively promoting a carbon reduction, nature recovery and climate adaptation strategy; ● publishing its Green House Gas (“GHG”) emissions (scope 1, 2 & 3) and Carbon Reduction Plan (“CRP”) (available at https://www.gov.uk/government/publications/procurement-policy-note-0621-taking-account-of-carbon-reduction-plans-in-the-procurement-of-major-government-contracts); ● promoting and defining further fund investments in line with the government's commitment to a Circular Economy (available at: https://www.gov.uk/government/publications/circular-economy-package-policy-statement/circular-economy-package-policy-statement); ● demonstrating waste management policies including for example avoid, reuse, recycle and reduce waste; ● providing evidence of carbon literacy and staff climate awareness training; ● creating hybrid working opportunities to reduce business travel; ● detailing its commitment to achieving Net Zero through the completion of a CRP; 	<p>Completed of Carbon Reduction Plan template outlined in PPN 06/21.</p> <p>Proposed reporting metrics:</p> <ul style="list-style-type: none"> ● number of people-hours spent protecting and improving the environment under this Agreement, by UK region; ● number of people trained in carbon literacy and climate awareness by UK region; ● annual reporting of: <ul style="list-style-type: none"> ○ Reduction in emissions of greenhouse gases arising from the performance of this Agreement, measured in metric tonnes carbon dioxide equivalents (MTCDE); ○ reduction in water use arising from the performance of this Agreement, measured in litres; and ○ reduction in waste to landfill arising from the performance of this Agreement, measured in metric tonnes.

Ref	Requirement	Key output(s) / Deliverable(s)
	<ul style="list-style-type: none"> ● providing effective stewardship of the environment and sustainability by encouraging environmental protection and improvement to risk management; ● fulfilling its obligations set out in Paragraph 3 of the Annex to Schedule 2.3 (<i>Standards</i>); and ● reducing the environmental impact of the delivery of the Services including the reduction of the Supplier’s carbon footprint and waste, improving sustainability, creating more opportunities for participation in environmental improvement activity, raising awareness, and improving behaviours (of the organisation, workforce, Stakeholders, supply chain etc.). 	
SV 1.3	<p>Improve equal opportunity by:</p> <ul style="list-style-type: none"> ● improving employment opportunities particularly for those who face barriers to employment and/or who are located in deprived areas; ● creating a highly skilled professionalised workforce and create local and regional opportunities; ● demonstrating action to increase the representation of disabled people in this Agreement workforce; ● supporting disabled people in developing new skills relevant to this Agreement, including through training schemes that result in recognised qualifications; ● supporting in-work progression to help people, including those from disadvantaged or minority groups, to move into higher paid work by developing new skills relevant to this Agreement; ● demonstrating action to identify and manage the risks of Modern Slavery; ● implementing recruitment practices and employment conditions, such as the five foundational principles of quality work set out in the Good Work Plan (available at https://www.gov.uk/government/publications/good-work-plan/good-work-plan) (e.g. fair pay, participation and 	<p>Proposed biannual reporting metrics:</p> <ul style="list-style-type: none"> ● total percentage of full-time equivalent (“FTE”) disabled people employed under this Agreement, as a proportion of the total FTE contract workforce, by UK region; ● number of FTE disabled people employed under this Agreement, by UK region; ● total percentage of disabled people on apprenticeship schemes (Level 2, 3, and 4+) under this Agreement, as a proportion of the total people on apprenticeship schemes (Level 2, 3, and 4+) within this Agreement workforce, by UK region; ● number of disabled people on apprenticeship schemes (Level 2, 3, and 4+) under this Agreement, by UK region; ● total percentage of disabled people on other training schemes (Level 2, 3, and 4+) under this Agreement, as a proportion of the total people on other training schemes (Level 2, 3, and 4+) within this Agreement’s workforce, by UK region;

Ref	Requirement	Key output(s) / Deliverable(s)
	<p>progression, voice and autonomy), in relation to this Agreement that will attract good candidates from underrepresented backgrounds, minimise turnover of staff, and improve productivity; and</p> <ul style="list-style-type: none"> • supporting staff by providing career advice, and in-work progression career development into known skills shortages or high growth areas (especially for underrepresented groups). 	<ul style="list-style-type: none"> • number of disabled people on other training schemes (Level 2, 3, and 4+) under this Agreement, by UK region; • total percentage of FTE people from groups under-represented in the workforce employed under this Agreement, as a proportion of the total FTE contract workforce, by UK region; • number of FTE people from groups under-represented in the workforce employed under this Agreement, by UK region; • total percentage of people from groups under-represented in the workforce on apprenticeship schemes (Level 2, 3, and 4+) under this Agreement, as a proportion of the all people on apprenticeship schemes (Level 2, 3, and 4+) within this Agreement's workforce, by UK region; • number of people from groups under-represented in the workforce on apprenticeship schemes (Level 2, 3, and 4+) under this Agreement, by UK region; • total percentage of people from groups underrepresented in the workforce on other training schemes (Level 2, 3, and 4+) under this Agreement, as a proportion of the all people on other training schemes (Level 2, 3, and 4+) within this Agreement's workforce, by UK region; • number of people from groups under-represented in the workforce on other training schemes (Level 2, 3, and 4+) under this Agreement, by UK region; • Percentage of all companies in the supply chain under this Agreement to have committed to the five foundational principles of good work (see Good Work Plan); • number of companies in the supply chain under this Agreement to have committed to the five foundational principles of good work; and • percentage of the supply chain, for which supply chain mapping has been completed, to the appropriate tier or to

Ref	Requirement	Key output(s) / Deliverable(s)
		source in order to reduce the risks of Modern Slavery.
SV 1.4	<p>Encourage wellbeing by:</p> <ul style="list-style-type: none"> • demonstrating and implementing policies that evidence an understanding of issues relating to health and wellbeing; • demonstrating action to support the health and wellbeing, including physical and mental health of its workforce; • demonstrating methods to measure staff physical and mental health and wellbeing engagement over time and adapt to any changes in the results; • committing to and engaging with Mental Health at Work (available at https://www.mentalhealthatwork.org.uk/commitment/) and Thriving at Work (available at https://www.mentalhealthatwork.org.uk/resource/thriving-at-work-the-stevenson-farmer-review-of-mental-health-and-employers/) standards; and • committing to report publicly on the health and wellbeing of staff comprising this Agreement's workforce (including the supply chain), following the recommendations in the Voluntary Reporting Framework, with clear processes for acting on issues identified. 	<p>The delivery of annual engagement plans to engage this Agreement's workforce in deciding the most important issues to address.</p> <p>The delivery of annual Performance/progress reports against Mental Health at Work and Thriving at Work commitments.</p> <p>Proposed biannual reporting metrics:</p> <ul style="list-style-type: none"> • number/percentage of companies in the supply chain under this Agreement to have implemented the six (6) standards in the Mental Health at Work commitment; • number/percentage of companies in the supply chain under this Agreement to have implemented the mental health enhanced standards, for companies with more than five hundred (500) employees, in Thriving at Work; • reporting by the Supplier and its supply chain on the health and wellbeing of staff comprising this Agreement workforce, following the recommendations in the Voluntary Reporting Framework (available at https://www.gov.uk/government/publications/voluntary-reporting-on-disability-mental-health-and-wellbeing/voluntary-reporting-on-disability-mental-health-and-wellbeing-a-framework-to-support-employers-to-voluntarily-report-on-disability-mental-health-an); • hours of wellbeing and mental health support provided to workforce; and • hours engaged in wellbeing and mental health betterment by workforce.

4.14 PROJECT AND CONTRACT CHANGE REQUIREMENTS

4.14.1 The requirements for any Project Services or Contract Change related services will be agreed and set out in the relevant Project SOW or CAN.

4.15 TESTING

4.15.1 The Supplier shall perform Testing required under this Agreement in accordance with Schedule 6.2 (*Transition Testing Assurance Procedures and Project Testing Procedures*).

4.16 EXIT MANAGEMENT AND TERMINATION SERVICES

4.16.1 The Supplier shall, as part of the Services, perform Exit Management and Termination Services in accordance with Schedule 8.5 (*Exit Management*).

4.17 BUSINESS CONTINUITY AND DISASTER RECOVERY

4.17.1 The Supplier shall, as part of the Services, perform its obligations set out in Schedule 8.6 (*Service Continuity Plan and Corporate Resolution Planning*).

ANNEX A – Categorisation of Operational Services

	Scheme Specific Services	Employer Specific Services	Member Paid Services	Employer Optional Services
Contracting party for the Services:	Authority	Employer	Member	Employer
Applicable contract terms:	This Agreement	Employer SOW	Supplier's 'Terms of Business'	Employer SOW
Relevant schemes within the overall CSPS:	a) Alpha Scheme; b) Principal Civil Service Pension Scheme; c) Civil Service Supplementary Pension Scheme; d) Civil Service Additional Voluntary Contribution Scheme; e) Partnership Pension Account Ill-Health Benefits Scheme (as replaced by Schedule 3 of the Public Service (Civil Servants and Others) Pensions Regulations 2014); f) Partnership Pension Account Death Benefits Scheme (as replaced by Schedule 4 of the Public Service (Civil Servants and Others) Pensions Regulations 2014); a) Unregistered Death Benefits Scheme; and	a) Civil Service Compensation Scheme; b) Civil Service Injury Benefits Scheme;	As per 'Scheme Specific Services' –but as relevant to Member Paid Services	Any services as reasonably related to 'Scheme Specific Services' and 'Employer Specific Services' as requested by the relevant Employer

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	b) any Legacy Scheme.			
Applicable Requirements:	All Operational Requirements	All Operational Requirements (where applicable)	All Operational Requirements (where applicable)	All Operational Requirements (where applicable)

ANNEX B - OPERATING INSTRUCTIONS AS AT THE EFFECTIVE DATE

In providing the Operational Services in accordance with the Scheme Rules, the Supplier shall:

- in relation to the exercise of certain discretions and related matters under the Scheme Rules (which the Authority has instructed the Supplier to exercise on its behalf), comply with the current Operating Instructions as may be supplemented and/or amended by the Authority from time to time in accordance with this Annex B (*Operating Instructions as at the Effective Date*);
- identify and record in a document (the “**Operating Instructions Document**”) all decisions under the Scheme Rules subject to the Authority’s discretion and shall ensure that the Authority’s instructions in respect of such discretions (i.e. the Operating Instructions) are recorded and kept up to date at all times. As at the Effective Date the Operating Instructions shall include the instructions set out in the tables in this Annex B (*Operating Instructions as at the Effective Date*);
- ensure the Operating Instructions Document is updated promptly to reflect any amendment to the Authority’s instructions as may be notified by the Authority to the Supplier from time to time;
- maintain the Operating Instructions Document as a Controlled Document in accordance with the Document Change Control Procedure in Schedule 8.2 (*Change Control Procedure*);
- where the Supplier identifies a need for Authority instructions (in relation to how it should make a decision under the Scheme Rules, which is subject to the Authority’s discretion) and the current version of the Operating Instructions Document does not provide the Authority’s instructions, the Supplier shall:
 - notify the Authority, via the Policy and Technical Working Group, and shall in such notice propose suitable draft instructions for the Authority to approve or amend; and
 - once such amended and/or supplemented Operating Instructions are approved in writing by the Policy and Technical Working Group the Supplier shall update the Operating Instructions Document promptly to reflect the Authority’s approved instructions and shall immediately and automatically comply with such supplemented and/or amended Operating Instructions; and
- keep records of decisions and processes implemented around the Operating Instructions (including approvals) in automated workflows similar to other decisions and processes under this Agreement. The Supplier shall ensure these records are

auditable in accordance with the requirements of this Agreement and shall report on these records as required by the Authority from time to time.

1972 Section (classic)

Rule	Description of Authority discretion and, where the Supplier is responsible, the associated Operating Instruction	Party responsible	To Report to the Authority?
1.15	To require a Pensioner to provide evidence of their identity.	Supplier	No
1.19	To convert some or all of a lump sum into pension in order to comply with s.160(5) of the Finance Act 2004.	Supplier	No
1.20	To adjust benefits payable in respect of a Member who dies after reaching the age of 75, where the beneficiary does not qualify for a 'dependents' Scheme pension' under s.167 of the Finance Act 2004.	Supplier	No
3.3b(v)	For an option exercised under 3.3b (partial retirement), there is discretion to prescribe the form by which such an option must be made.	Supplier with Authority sign off	Yes
3.8(ii)(d)	To determine the form in which a death benefit nomination must be made.	Supplier with Authority sign off	Yes
3.8(iii)	To determine the form in which the revocation of a death benefit nomination must be made.	Supplier with Authority sign off	Yes
3.10a(ii)	A Member may not take their pension early on actuarial reduction if the reduced pension is unlikely to be sufficient to meet the Guaranteed Minimum Pension liability. The discretion is in determining whether this 'Guaranteed Minimum Pension test' is met.	Supplier	No

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3.14a	Where a Member leaves with benefits under the CSCS and subsequently applies for early payment of their preserved award on medical grounds, there is discretion to reduce the amount of that pension up until pension age to take account of the CSCS benefits already received.	Supplier	No
3.25b(ii)	For re-employed Pensioners whose earlier service ends on or before 31/3/07, abatement is based on a different 'salary of reference' to those whose earlier service ended after that date. However, they may opt to have the post-31/3/07 abatement rules applied to them. The discretion is to prescribe the form by which such an option must be made.	Supplier with Authority sign off	Yes
3.50(v)	Members in service after 30/9/07 may opt to exchange some of their pension for additional lump sum. The discretion is to prescribe the form by which such an option must be exercised.	Supplier with Authority sign off	Yes
3.51(ii)	To determine the form in which a Member may apply to buy out the actuarial reduction when applying for early payment of their pension.	Supplier with Authority sign off	Yes
4.5	Where a widow's pension has been stopped or reduced on remarriage, civil partnership or cohabitation, the Supplier can decide to restore the full rate of widow's pension if the marriage, civil partnership or cohabitation comes to an end, or on compassionate grounds by reference to the notes of best practice issued by the Authority from time to time	Supplier	Yes
4.19(xiii)	Certain single men who began to receive their pension before pension age are due a refund of widow(er) contributions when they reach pension age. From 1 April 2006, part of that refund is normally paid as an additional pension. However, affected men may opt to take the whole refund as a lump sum (accepting whatever tax deduction applies at that time). The discretion is to prescribe the form by which such an option must be exercised.	Supplier with Authority sign off	Yes
4.21b	Where a widower's pension has been stopped or reduced on remarriage, civil partnership or cohabitation, the Supplier can decide to restore the full rate of widower's pension if the marriage, civil partnership or cohabitation comes to an	Supplier	Yes

	end, or on compassionate grounds by reference to the notes of best practice issued by the Authority from time to time.		
4.23d(xiii)	Certain single women who began to receive their pension before pension age are due a refund of widow(er) contributions when they reach pension age. From 1 April 2006, part of that refund is normally paid as an additional pension. However, affected women may opt to take the whole refund as a lump sum (accepting whatever tax deduction applies at that time). The discretion is to prescribe the form by which such an option must be exercised.	Supplier with Authority sign off	Yes
4.26	To allow a pension to continue in payment for life if the Beneficiary is permanently unable to engage in gainful employment due to physical or mental impairment; and	Supplier	Yes
4.26	to overlook a break in education where this falls within the circumstances directed by the Authority and communicated to the Supplier from time to time.	Supplier	Yes
4.32	A children's pension is normally paid to the Member's widow or widower, if the child is in their care or to the guardian if they are not. There is discretion to pay to another person where this falls within the circumstances directed by the Authority and communicated to the Supplier from time to time.	Supplier	No
4.63	To allow extensions to option time limit in respect of any option under section 4 (survivor benefits).	Supplier	No
4.79	Where a civil partner's pension has been stopped or reduced on marriage, civil partnership or cohabitation, the Supplier can decide to restore the full rate of civil partner's pension if the marriage, civil partnership or cohabitation comes to an end, or on compassionate grounds, by reference to the notes of best practice issued by the Authority from time to time.	Supplier	Yes
5.15	To determine the form in which a Member may make, or revoke, an allocation.	Supplier with Authority sign off	Yes

6.3(iv)	To choose the 'guarantee date' for an outgoing cash equivalent transfer value quote.	Supplier	No
7.8e(i)	Where a Member who is buying added years by periodical contributions has a period of unpaid absence, they may opt to pay the arrears of contributions on their return to work. There is discretion to determine the period of time over which those arrears are to be paid.	Supplier	No
7.8g	Where a Member who is buying added years by periodical contributions has a period of unpaid absence for the purposes of service in the reserve forces (and are not pensionable under the Armed Forces Pension Scheme for that service), they may opt to pay the arrears of contributions on their return to work. There is discretion to determine the period of time over which those arrears are to be paid.	Supplier	No
12.2a(v)	Certain pension credit Members have the option to exchange some of their pension for additional lump sum. The discretion is in determining the form in which this option must be exercised.	Supplier with Authority sign off	Yes
12.6(v)(a)	A pension credit Member may make a nomination for receipt of a death benefit lump sum. This nomination must normally be made within sixty (60) days of the valuation date. However, there is discretion to allow it to be made outside this time limit.	Supplier	No
14.4(2)	Where a Member who is paying additional periodical contributions for added pension opts to cancel that option, there is discretion to determine the first appropriate pay period from which payment of contributions should cease.	Supplier	No
14.4(3)	Where a Member is paying additional periodical contributions for added pension, there is discretion to cancel that option if it appears that the limit in rule 14.7 will be exceeded if the Member continues to make those contributions.	Supplier	No
14.18B(2)(b)	To determine the form in which a Member may opt as to when they wish to take their added pension.	Supplier with Authority sign off	Yes

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14.21(9)	Where a widow's, widower's or civil partner's pension element of a Member's added pension has been stopped or reduced on (re)marriage, civil partnership or cohabitation, the Supplier can decide to restore the full rate of that pension if the marriage, civil partnership or cohabitation comes to an end, or on compassionate grounds, by reference to the notes of best practice issued by the Authority from time to time.	Supplier	Yes
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2002 Section (premium, classic plus)

Rule	Description of Authority discretion and, where the Supplier is responsible, the associated Operating Instruction	Party responsible	To Report to the Authority?
A.4(1)(c)(ii)	A Member's "final pensionable earnings" is defined as the better of three separate calculations. The third calculation is their average pensionable earnings in any three consecutive Scheme years over the last 13 years of the Member's service. There is discretion to use a period of less than 13 years if the earnings for the whole of the 13 year period cannot be determined.	Supplier	No
C.5(2)	Where a Member opts to stop buying added years by periodical contributions, there is discretion to determine the first appropriate pay period after that option is exercised from which contributions cease to be paid.	Supplier	No
C.9(3)(i)	Where a Member who is buying added years by periodical contributions has a period of unpaid absence, they may opt to pay the arrears of contributions on their return to work. There is discretion to determine the period of time over which those arrears are to be paid.	Supplier	No
C.9(5)	Where a Member who is buying added years by periodical contributions has a period of unpaid absence for the purposes of service in the reserve forces (and are not pensionable under the Armed Forces Pension Scheme for that service), they may opt to pay the arrears of contributions on their return to work. There is discretion to determine the period of time over which those arrears are to be paid.	Supplier	No
C1.3(2)	Where a Member who is paying additional periodical contributions for added pension opts to cancel that option, there is discretion to determine the first appropriate pay period from which payment of contributions should cease.	Supplier	No
C1.3(3)	Where a Member is paying additional periodical contributions for added pension, there is discretion to cancel that option if it appears that the limit in rule C1.6 will be exceeded if the Member continues to make those contributions.	Supplier	No
C.1,15B(2)(b)	To determine the form in which a Member may opt as to when they wish to take their added pension.	Supplier with Authority sign off	Yes

D.1A(4)(b)	For an option exercised under D.1A (partial retirement), there is discretion to prescribe the form by which such an option must be made.	Supplier with Authority sign off	Yes
D.3(6)	To determine the form in which a Member may apply for early payment of their pension on an actuarially reduced basis.	Supplier with Authority sign off	Yes
D.3A(2)	To determine the form in which a Member may opt as to when they wish to take their added pension.	Supplier with Authority sign off	Yes
D.5(2)	Where a former Member who has left on medical retirement is in receipt of an upper tier top up pension, their eligibility for that top up is normally reviewed by the Scheme Medical Adviser every 5 years. However, there is discretion for a review to be carried out after a shorter period.	Supplier	Yes
D.7(6)	To determine the form in which a Member may apply for early payment of their pension.	Supplier with Authority sign off	Yes
D.8(10)	A Member of premium may opt to exchange some of their pension for a lump sum. The discretion is in determining the form in which this option must be exercised.	Supplier with Authority sign off	Yes
D.9(6)	A Member of premium who has been certified by the Scheme Medical Adviser as having a life-expectancy of less than twelve 12 months, may opt to exchange the whole of their pension for a lump sum. The discretion is in determining the form in which this option must be exercised.	Supplier with Authority sign off	Yes
D.11(1)	To determine that regulation 7(5) of the Pension Sharing (Pensions Credit Benefits) Regulations 2000 is met. This relates to the conversion of a pension credit into a pension credit award.	Supplier	No
D.13(3)	A Member may, subject to certain conditions, allocate some of their pension to another person. The discretion is to determine the form in which an allocation (or revocation of an allocation) must be made.	Supplier with Authority sign off	Yes
D.13(5)(c)	To determine whether the proposed beneficiary of an allocation is financially wholly or mainly dependent on the Member, or that the beneficiary and Member are financially interdependent.	Supplier	No

D.14(1)(b)	Following consultation with the Scheme Actuary, to determine the amount of the allocation pension to be paid to the beneficiary on the death of the Member.	Supplier	No
E.2(1)	To award a surviving adult dependant's pension (partner's pension) where a Member dies without leaving a surviving spouse or civil partner in accordance with the process laid down by the Authority and communicated to the Supplier from time to time.	Supplier	Yes
E.2(3)(b)	In relation to an adult dependant's pension (partner's pension), to determine that, at the time of the Member's death, the Member and beneficiary met the relevant criteria for payment of that pension.	Supplier	Yes
E.14(1)	To pay a lump sum death benefit on the death of a Member to:	Supplier	Yes
	the person or persons nominated by the Member; and/or	Supplier	Yes
	the Member's personal representatives.	Supplier	Yes
E.14(1A)	To convert a death benefit lump sum into a pension to a dependant if the Member became a Pensioner on or after 6 April 2006 and dies after reaching the age of 75.	Supplier	Yes
E.20(3)	To determine the form in which a Member must make a death benefit nomination.	Supplier with Authority sign off	Yes
E.20(4)	To determine the form in which a Member must revoke a death benefit nomination they have made.	Supplier with Authority sign off	Yes
E.23(1)	To recover any death benefit lump sum paid to a person or persons nominated by the Member, if that nomination is subsequently found to be invalid.	Supplier	No
E.24(2)	Where a children's pension has been awarded to one or more children and, subsequent to that award:	Supplier	Yes
	one or more of the beneficiaries are found to be ineligible for receipt of the pension; and/or	Supplier	Yes
	one or more further eligible children are identified,	Supplier	Yes

	there is discretion to make adjustment to the amount of children's pension payable in respect of the children in question.	Supplier	Yes
E.25(3)	Payment of a child's pension to someone other than the parent or guardian in accordance with the process laid down by the Authority and communicated to the Supplier from time to time.	Supplier	Yes
E.29(2)	To make adjustments to a pension payable on the death of a Member over age 75 so that it qualifies as a dependant's pension for the purposes of s.167 (and paragraphs 16 to 16C of Schedule 28) of the Finance Act 2004.	Supplier	No
F.2(2)(b)	To choose the 'guarantee date' in respect of a transfer out quote.	Supplier	No
F.2(3)(b)	The 'guarantee date' for a transfer out quote must normally be within three (3) months of that date the Member applies for the quote. However, there is discretion for it to be outside this period if, for reasons beyond the Supplier's control, the relevant information needed to calculate the quote cannot be obtained.	Supplier	No
F.3(5)	To determine the conditions that must be met for applying for a transfer out in accordance with the process laid down by the Authority and communicated to the Supplier from time to time.	Supplier with Authority sign off	Yes
F.3(8)	To allow for any time limit applying to an application for a transfer out to be extended.	Supplier	No
J.7(1)	To require a Pensioner to provide evidence of their identity.	Supplier	No
J.7(2)	To withhold payment of benefits to any Pensioner who fails to provide evidence of their identity.	Supplier	No
L.19(2C)	Certain single Members of classic plus who began to receive their pension before pension age are due a refund of widow/widower pension scheme contributions paid before 1 October 2002 when they reach pension age. From 1 April 2006, part of that refund is normally paid as an additional pension. However, affected Members may opt to take the whole refund as a lump sum (accepting whatever tax deduction applies at that time). The discretion is to prescribe the form by which such an option must be exercised.	Supplier with Authority sign off	Yes

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L.28(2)(b)	Where a widow's, widower's or civil partner's pension payable in respect of service before 1 October 2002 has been stopped or reduced on (re)marriage, civil partnership or cohabitation, the Supplier can decide to restore the full rate of that pension if the marriage, civil partnership or cohabitation comes to an end or on compassionate grounds by reference to the notes of best practice issued by the Authority from time to time.	Supplier	Yes
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2007 Section (nuvos)

Rule	Description of Authority discretion and, where the Supplier is responsible, the associated Operating Instruction	Party responsible	To Report to the Authority?
A.8(1)(b)(ii)	A Member's "final pay" is defined as the better of three separate calculations. The second calculation is their pensionable earnings in any one complete Scheme year over the last 10 years of the Member's service. There is discretion to use a period of less than 10 years if the earnings for the whole of the 10 year period cannot be determined.	Supplier	No
A.9(1)(c)(ii)	A Member's "final pensionable earnings" is defined as the better of three separate calculations. The third calculation is their average pensionable earnings in any three consecutive Scheme years over the last 13 years of the Member's service. There is discretion to use a period of less than 13 years if the earnings for the whole of the 13 year period cannot be determined.	Supplier	No
C.8(2)	To determine, after consultation with the Scheme Actuary, the amount by which any pension payable to a Member must be reduced where a pension sharing order is made against the Member.	Supplier	No
C.8(3)	To apply C.8(2) with such modifications as considered necessary by the Supplier.	Supplier	No
D.6(3)	Where a Member is paying additional periodical contributions for added pension, there is discretion to cancel that option if it appears that the limit in rule D.4(7) will be exceeded if the Member continues to make those contributions.	Supplier	No
E.1(5)	To determine the form in which a Member must claim their pension.	Supplier with Authority sign off	Yes
E.4(2)	For an option exercised under E.4(1) (partial retirement), there is discretion to prescribe the form by which such an option must be made.	Supplier with Authority sign off	Yes
E.7(1)(c)	To agree to the early payment of a Member's pension on the grounds of ill-health, provided the Scheme Medical Adviser has advised that the Member has suffered a permanent breakdown in health involving incapacity for employment.	Supplier	Yes

E.10(2)(a)	Where a former Member who has left on medical retirement is in receipt of an upper tier top up pension, their eligibility for that top up is normally reviewed by the Scheme Medical Adviser every 5 years. However, there is discretion for a review to be carried out after a shorter period.	Supplier	Yes
E.13C(3)(a)	To determine the form in which a Member may opt to take their added pension.	Supplier with Authority sign off	Yes
E.14(2)(b)	If a Member brings a Club transfer in from a Scheme whose pension age is lower than 65, the Club service credit is higher to take account of the later pension age. If such a Member subsequently leaves early on medical or approved early retirement, there is discretion to adjust the Club service credit to reflect that fact that the Member did not, in fact, have to wait to age 65 to gain access to that pension.	Supplier	No
E.15(2)(b)	If a Member links a period of previous service covered by the 1972 or 2002 Sections of the Scheme, the linked service credit is higher to take account of the later pension age. If such a Member subsequently leaves early on medical or approved early retirement, there is discretion to adjust the linked service credit to reflect that fact that the Member did not, in fact, have to wait to age 65 to gain access to that pension.	Supplier	No
E15B(2)(b)	To determine the form in which a Member may opt as to when they wish to take their added pension.	Supplier with Authority sign off	Yes
E.16(6)	A Member of nuvos may opt to exchange some of their pension for a lump sum. The discretion is in determining the form in which this option must be exercised.	Supplier with Authority sign off	Yes
E.17(5)	A Member of nuvos who has been certified by the Scheme Medical Adviser as having a life-expectancy of less than twelve (12) months, may opt to exchange the whole of their pension for a lump sum. The discretion is in determining the form in which this option must be exercised.	Supplier	Yes
E.21(3)	A Member may, subject to certain conditions, allocate some of their pension to another person. The discretion is to determine the form in which an allocation (or revocation of an allocation) must be made.	Supplier with Authority sign off	Yes

E.21(5)(c)	To determine whether the proposed beneficiary of an allocation is financially wholly or mainly dependent on the Member, or that the beneficiary and Member are financially interdependent.	Supplier	No
E.22(1)(b)	To determine, after consultation with the Scheme Actuary, the amount of the allocation pension to be paid to the beneficiary on the death of the Member.	Supplier	No
E.23(2)	To make adjustments to an allocated pension payable on the death of a Member over age 75 so that it qualifies as a dependant's pension for the purposes of s.167 (and paragraphs 16 to 16C of Schedule 28) of the Finance Act 2004.	Supplier	No
F.2(1)	To award a surviving adult dependant's pension (partner's pension) where a Member dies without leaving a surviving spouse or civil partner in accordance with the process laid down by the Authority and communicated to the Supplier from time to time.	Supplier	Yes
F.2(6)(b)	In relation to an adult dependant's pension (partner's pension), to determine that, at the time of the Member's death, the Member and beneficiary met the relevant criteria for payment of that pension.	Supplier	Yes
F.11(1)	To pay a lump sum death benefit on the death of a Member to:	Supplier	Yes
	the person or persons nominated by the Member; and/or	Supplier	Yes
	the Member's personal representatives.	Supplier	Yes
F.15(2)	Where a Member dies after starting to draw their pension and after reaching the age of 75, there is discretion to convert any death benefit lump sum into a pension to the death benefit nominee and/or to the personal representative.	Supplier	No
F.15(3)	Where there is more than one nominee to receive the death benefit lump sum, and the discretion under F.15(2) is exercised to pay this as a pension, there is discretion to determine the proportion of pension payable to each nominee in accordance with the nomination instructions provided by the Member. Where no instruction has been received from the Member, the Supplier will seek guidance from the Authority on the proportion of pension payable to each nominee.	Supplier	Yes
F.15(4)	Where the discretion under F.15(2) is exercised to pay the death benefit lump sum as a pension to both the nominee(s) and the personal representative, there is discretion to determine the proportion of pension payable to each recipient.	Supplier	Yes

F.17(3)	To determine the form in which a Member must make a death benefit nomination.	Supplier with Authority sign off	Yes
F.17(4)	To determine the form in which a Member must revoke a death benefit nomination they have made.	Supplier with Authority sign off	Yes
F.19(1)	To recover any death benefit lump sum (or pension paid in lieu of a death benefit lump sum) paid to a person or persons nominated by the Member, if that nomination is subsequently found to be invalid.	Supplier	Yes
F.20(2)	Where a children's pension has been awarded to one or more children and, subsequent to that award:	Supplier	Yes
	one or more of the beneficiaries are found to be ineligible for receipt of the pension; and/or		
	one or more further eligible children are identified,		
	there is discretion to make adjustment to the amount of children's pension payable in respect of the children in question.		
F.21(3)	A children's pension is normally paid to the Member's widow or widower, if the child is in their care or to the guardian if they are not. There is discretion to pay to another person in accordance with the process laid down by the Authority and communicated to the Supplier from time to time .	Supplier	Yes
F.24(2)	To make adjustments to a pension payable on the death of a Member over age 75 so that it qualifies as a dependant's pension for the purposes of s.167 (and paragraphs 16 to 16C of Schedule 28) of the Finance Act 2004.	Supplier	No
G.2(2)(b)	To choose the 'guarantee date' in respect of a transfer out quote.	Supplier	No
G.2(3)(b)	The 'guarantee date' for a transfer out quote must normally be within three (3) months of that date the Member applies for the quote. However, there is discretion for it to be outside this period if, for reasons beyond the Supplier's control, the relevant information needed to calculate the quote cannot be obtained.	Supplier	No

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G.3(8)	To allow for any time limit applying to an application for a transfer out to be extended.	Supplier	No
K.7(1)	To require a Pensioner to provide evidence of their identity	Supplier	No
K.7(2)	To withhold payment of benefits to any Pensioner who fails to provide evidence of their identity	Supplier	No

Unregistered Death Benefit Scheme

Rule	Description of Authority discretion and, where the Supplier is responsible, the associated Operating Instruction	Party responsible	To Report to the Authority?
C.1(1)	There is discretion to pay a lump sum death benefit on the death of a Member to:	Supplier	Yes
	the person or persons nominated by the Member; and/or	Supplier	Yes
	the Member's personal representatives. or to pay the death benefit lump sum as a pension.	Supplier	Yes
C.1(2)	Where there is more than one nominee to receive the death benefit lump sum, and the discretion is exercised to pay this as a pension, there is discretion to determine the proportion of pension payable to each nominee in accordance with the nomination instructions provided by the Member. Where no instruction has been received from the Member, the Supplier will seek guidance from the Authority on the proportion of pension payable to each nominee.	Supplier	Yes
C.2(3)	To determine the form in which a death benefit nomination must be made.	Supplier with Authority sign off	Yes
C.2(4)	To determine the form in which the revocation of a death benefit nomination must be made.	Supplier with Authority sign off	Yes

CSAVCS

The Declaration			
Rule	Description of Authority discretion and, where the Supplier is responsible, the associated Operating Instruction	Party responsible	To Report to the Authority?
2(a)	To determine the form to apply contributions.	Supplier with Authority sign off	Yes
4.5	To allow benefits to be taken as a lump sum in serious ill health cases following the receipt of advice from the Scheme Medical Adviser.	Supplier	Yes
9.1(d)	To make payment to qualifying pension share arrangement where consent from ex-spouse is provided.	Supplier	No
9.3(b)	To prescribe the form of the ex-spouse death benefit nomination form.	Supplier with Authority sign off	Yes
9.3(C)	To pay 25% of pension credit to the nominee as a lump sum in accordance with the process laid down by the Authority and communicated to the Supplier from time to time	Supplier	Yes
9.3(d)	To pay 25% of pension credit to the Member's personal representatives as a lump sum in accordance with the process laid down by the Authority and communicated to the Supplier from time to time	Supplier	Yes

CSIBS

Rule	Description of Authority discretion and, where the Supplier is responsible, the associated Operating Instruction	Party responsible	To Report to the Authority?
1(ii)	To award a discretionary injury benefit award following advice from the Scheme Medical Adviser and in accordance with the process laid down by the Authority and communicated to the Supplier from time to time	Supplier	No
1.9(a)	To apply the apportionment level advised by the Scheme Medical Adviser where the Member has pre-existing health conditions.	Supplier	No
1.18(a)(i)	To apply the apportionment level advised by the Scheme Medical Adviser where the Member had pre-existing health conditions which led to the Member's death.	Supplier	No
1.19	To account for any damages received by a Member in receipt of a CSIB award in accordance with the process laid down by the Authority and communicated to the Supplier from time to time.	Supplier	No

Partnership IH Benefits Arrangements (CSOPS, Schedule 3)			
Paragraph	Description of Authority discretion and, where the Supplier is responsible, the associated Operating Instruction	Party responsible	To Report to the Authority?
13	To withhold benefits if the member made a false health declaration	Supplier	Yes

Partnership Death Benefit Arrangements (CSOPS, Schedule 4)			
Paragraph	Description of discretion and, where the Supplier is responsible, the associated Operating Instruction	Party responsible	To Report to the Authority?
8(1)	To pay death in service benefit on the death of a Member.	Supplier	Yes
8(2)	To pay death in service benefit where there is more than 1 nominee to the person or persons nominated by the Member.	Supplier	Yes
8(3)	To pay a proportion of the death in service benefit to the Member's personal representatives.	Supplier	Yes

CSCS

Rule	Description of Authority discretion and, where the Supplier is responsible, the associated Operating Instruction	Party responsible	To Report to the Authority?
6A.2.1B	To determine what form a notice in writing to opt for the abatement arrangements in rule 6A.2.1C should take.	Supplier with Authority sign off Obsolete	Yes N/A

Public Service (Civil Servants and Others) Pensions Regulations 2014

Regulation	Text of regulation	Description of Authority discretion and, where the Supplier is responsible, the associated Operating Instruction	Party responsible	Comments
2C (1)	Partnership Pension Account (1) In these Regulations, “partnership pension account” , in relation to a person in scheme employment, means a pension scheme that has been approved by the scheme manager for the purposes of this regulation.	Discretion to approve pension schemes to count, for the purposes of the regulations, as a Partnership Pension Account.	Authority	This allows schemes to be approved as defined contribution schemes that employees can opt for employers to pay contributions to as an alternative to CSOPS.
3 (2)	A scheme is established for the payment of pensions and other benefits to or in respect of— (b) persons to whom this scheme may potentially relate by virtue of paragraph	Discretion to allow specified non-Civil Service employers to participate in the Scheme	Authority	This covers the admission of employers in circumstances analogous to the admission of employers into Schedule 1 of the

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	(2) and in respect of whom the Minister makes a determination under section 25(5) of the Act.			Superannuation Act 1972, as well as the admission of New Fair Deal employers.
16 (4) (b)	if the scheme manager has agreed that a person (P) may carry out functions or services in another description of employment specified in the published list, those other functions or services must be treated as if they were the transferred services; and	Discretion to agree to a change in specified functions carried out by New Fair Deal Members.	Authority	
20 (3)	The option under this regulation may only be exercised by notice to the scheme manager in a form required by the scheme manager (“opt-in notice”).	Discretion to determine the form in which a Member may opt in to the Scheme.	Supplier (but cleared by Authority)	
21 (1) & (2)	<p>(1) If P opts into this scheme in relation to service in a scheme employment for which P has a Partnership Pension Account—</p> <p>(a) P becomes an active member of this scheme in relation to that service on the first day of the first pay period—</p> <p>(i) after the period of two (2) months beginning with the date on which the option is exercised; or</p> <p>(ii) after any shorter period the scheme manager considers appropriate;</p> <p>(b) immediately before that date, P's Partnership Pension Account is closed.</p> <p>(2) If P opts into this scheme in relation to service for which P does not have a Partnership Pension Account, P</p>	Discretion to allow an option to opt-in to Alpha (other than a switch from Partnership) at any time deemed appropriate.	Authority	

	<p>becomes an active member of this scheme in relation to that service—</p> <p>(a) at the beginning of the first pay period beginning on or after the date on which the option is exercised; or</p> <p>(b) if the scheme manager considers that pay period inappropriate, at any other time the scheme manager considers appropriate.</p>			
23 (2)	<p>P may only exercise the option under paragraph (1)(a) by notice to the scheme manager in a form required by the scheme manager (“opt-out notice”).</p>	<p>Discretion to determine the form in which a Member may opt out of the Scheme.</p>	<p>Supplier (but cleared by Authority)</p>	
24 (1) (a) & (b)	<p>(1) This regulation applies if a person (P) opts out of this scheme in relation to a continuous period of service in scheme employment—</p> <p>(a) before the end of one (1) month after P’s first day of a continuous period of service in scheme employment (or within any longer period the scheme manager considers appropriate); or</p> <p>(b) before the end of one (1) month after the automatic re-enrolment date (or within any longer period the scheme manager considers appropriate).</p>	<p>Where a Member opts out within one (1) month of joining the Scheme, the Member is treated as never having been in pensionable service. There is discretion to treat people in the same way if they opt out after a longer period.</p>	<p>Authority</p>	
25 (2) & (3)	<p>(2) If P exercises the option under paragraph (1)(a) or (b), unless paragraph (3) applies P ceases to be in pensionable service under this scheme in relation to that continuous period of service in scheme employment—</p>	<p>Where a Member opts out, the exercise of that option is deemed to take effect from the beginning of the Member’s next pay period. There is discretion to instead treat the option as taking effect from the beginning of a later pay period.</p>	<p>Supplier</p>	

	<p>(a) on the first day of the first pay period beginning on or after the date on which the option is exercised; or</p> <p>(b) if the scheme manager considers that day inappropriate, on the first day of any later pay period the scheme manager considers appropriate.</p> <p>(3) If P opts to join a Partnership Pension Account, P ceases to be in pensionable service under this scheme in relation to that employment on the last day of the first pay period—</p> <p>(a) after the period of two (2) months beginning on the date on which the option is exercised; or</p> <p>(b) after any shorter period the scheme manager considers appropriate.</p>	<p>Where a Member opts to join Partnership, they cease to be a member of Alpha on the last day of the first pay period after two (2) months from when option is exercised. There is discretion to instead treat the end of Alpha service before that.</p>		
<p>26 (4)</p>	<p>(1) For the purpose of calculating a member's pension or other benefits under this scheme</p> <p>....</p> <p>“permanent pensionable earnings” , in respect of any period, means—</p> <p>....</p> <p>(4)</p> <p>(b) any allowance granted on a permanent basis that the scheme manager determines to be permanent pensionable earnings in respect of that period; and</p> <p>(c) the money value of any benefit in kind that the scheme manager</p>	<p>Discretion to determine what counts as permanent pensionable earnings and fluctuating pensionable earnings.</p>	<p>Authority (Supplier applies in benefit calculations)</p>	<p>Certain types of earnings only count as pensionable if the Authority so determines.</p>

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	<p>determines to be permanent pensionable earnings in respect of that period;</p> <p>“fluctuating pensionable earnings” , in respect of any period, means any of the following that the scheme manager determines to be fluctuating pensionable earnings in respect of that period—</p>			
27 (2)	<p>(1) For the purpose of these Regulations, an active member of this scheme (P) receives assumed pay in respect of any period in which the circumstances in paragraph (3) apply (“period of assumed pay”).</p> <p>(2) For the purpose of paragraph (1), “assumed pay” means the sum of—</p> <p>....</p> <p>(b) any increase the scheme manager considers appropriate.</p>	Discretion to determine exactly how assumed pay is calculated.	Authority (Supplier applies in benefit calculations)	
33 (3)	<p>(3) At the beginning of the scheme year, for each description of pension, the scheme manager having regard to actuarial guidance must determine the age addition to be awarded for that scheme year by reference to the opening balance of that description of pension for the previous scheme year.</p>	Discretion to determine age addition rates, having regard to actuarial guidance.	Authority (Supplier applies in benefit calculations)	
32 (2)	<p>(2) For each description of accrued pension specified in the account, the scheme manager having regard to</p>	Discretion to determine assumed age addition rates, having regard to actuarial guidance.	Authority (Supplier applies in benefit calculations)	

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	actuarial guidance must determine the assumed age addition to be awarded.			
37 (2)	(2) A pension account— (a) may be kept in any form the scheme manager considers appropriate; and (b) must specify the details required by these Regulations.	Discretion to determine the form that a pension account is kept in.	Supplier (but cleared by Authority)	
38 (3)	(3) An account that is not closed because of paragraph (2) must be adjusted as the scheme manager considers appropriate to reflect the extinguishment of rights under this scheme.	Discretion to determine adjustment of accounts that are not closed and includes amounts to which the transfer payment or the refund does not relate or is not attributable.	Authority (Supplier applies in benefit calculations)	
56 (4)	(4) On the establishment of the pension credit member's account, the accounts established under this Part for the pension debit member must be reduced by the relevant amount. "relevant amount" is the amount that the scheme manager, after consultation with the scheme actuary, considers appropriate	Discretion to determine reduction to pension debit member's accounts.	Authority (Supplier applies in benefit calculations)	
59 (1) (aa)	Qualifying service (1) In these Regulations, "qualifying service" means the total of— (aa) the member's service in another occupational pension scheme that the Minister has determined should be	Discretion to determine that other service should count as qualifying service.	Authority	

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	counted for the purposes of this regulation;			
60 (4)	The claim for payment of a full retirement pension may only be made by notice to the scheme manager in a form required by the scheme manager.	Discretion to determine the form in which a Member may claim their full retirement pension.	Supplier (but cleared by Authority)	
65 (1)	A partial retirement option may only be exercised— (a) by notice to the scheme manager in a form required by the scheme manager (“option notice”);	Discretion to determine the form in which a Member may claim their partial retirement pension.	Supplier (but cleared by Authority)	
75 (3)	(3) If the scheme manager agrees to the recommendation— (a) the scheme manager must determine if P meets the lower tier payment threshold or the upper tier payment threshold; and	Discretion on whether to agree with recommendation from scheme medical adviser that award should be provisional and then to determine whether lower tier or upper tier payment thresholds are met.	Authority	Discretion retained by Authority as provision is rarely used.
77 (3) (a)	A review must be carried out— (a) at any time the scheme manager directs	Discretion to direct that a review of entitlement to an upper tier top up ill-health pension should be carried out.	Authority	
78	(1) This regulation applies in relation to a member of this scheme— (a) who is entitled to an ill-health pension; and (b) whose active member's account as at the end of the last day of pensionable service specifies an amount of accrued earned pension attributable in whole or in part to a transfer payment received by this	Discretion to defer pension on ill-health retirement that is attributable to a transfer payment received in the last twenty four 24 months.	Authority	

	<p>scheme in relation to the member in the twenty four 24 months before that last day.</p> <p>(2) If the scheme manager so directs, the member becomes a deferred member of this scheme in respect of that amount of accrued earned pension...</p>			
81 (1)	<p>A member may exercise an option under this Chapter by notice to the scheme manager in any form the scheme manager requires.</p>	<p>Discretion to determine the form in which a member may exercise a payment option.</p>	<p>Supplier (but cleared by Authority)</p>	
82 (5)	<p>Any special payment by the employer must be made—</p> <p>(a) in accordance with the compensation scheme; or</p> <p>(b) with the consent of the Minister.</p>	<p>Discretion to agree that an employer may buy out the early payment reduction for a Member who is drawing their pension before Normal Pension Age.</p>	<p>Authority</p>	
82A (2), (5) and (7)	<p>(2) The member may, with the consent of the Minister, opt under this regulation to buy out a proportion of the early payment reduction that would otherwise apply to the calculation of the annual rate of retirement pension.</p> <p>....</p> <p>(5) Any special payment by the employer must be made—</p> <p>(a) in accordance with the compensation scheme; or</p> <p>(b) with the consent of the Minister .</p> <p>....</p>	<p>Discretion to allow members to opt to partially buy out early payment reduction, to allow employers to make special payments to meet the cost and to determine, after consulting the scheme actuary, the reduction that would apply after partial buyout.</p>	<p>Authority</p>	

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	(7) The scheme manager, after consulting the scheme actuary, must determine the actuarial reduction that would apply if a member exercises the option under this regulation.			
83 (4)	The member is entitled to payment of the full retirement added pension of that description when the member gives notice to the scheme manager, in any form the scheme manager requires, that the member wishes to take that full retirement added pension.	Discretion to determine the form in which a member may opt to take their added pension, having previously deferred payment on retirement below Normal Pension Age.	Supplier (but cleared by Authority)	
87 (3)	If at the time an allocation election is made it would result in the restriction in paragraph (1) not being met, the scheme manager may treat the election (or each of the elections) as allocating a smaller amount that would result in the election (or the elections taken together) complying.	Discretion to restrict an allocation option to an amount that would, together with any spouse/partner pension payable, be equal to the remaining pension that would be payable to the Member.	Supplier	In practice, Supplier would exercise this discretion in all cases where it applies.
88 (2) & (4)	(2) An allocation election may only be made— (a) by notice to the scheme manager in a form required by the scheme manager; (4) Before the election closing date, the member may, by notice to the scheme manager in a form required by the scheme manager— (a) revoke the election; or	Discretion to determine the form in which a Member may make, amend or revoke an allocation option	Supplier (but cleared by Authority)	

	(b) amend the election by altering the amount of retirement pension to be allocated.			
89 (2)	The scheme manager may withhold payment from the beneficiary if— (a) the member dies before the end of the period of 2 years beginning with the date on which the election takes effect; and (b) the scheme manager is satisfied that the member made a false declaration about the member’s state of health when making the election.	Discretion to withhold payment of an allocated pension if the Member dies within 2 years of making the allocation having made a false health declaration.	Authority (with advice from the Scheme Medical Adviser)	
89 (3) (a)	An allocation election in relation to a retirement pension has no effect if it would result in an allocated pension being paid— (a) on the member becoming entitled to the retirement pension, to a person who is not— (i) the member’s spouse or civil partner; (ii) financially wholly or mainly dependent on P; or (iii) financially interdependent with P;	Discretion to determine whether the proposed beneficiary of an allocation is financially wholly or mainly dependent on the Member, or the beneficiary and the Member are financially interdependent.	Supplier	
90	The amount of allocated pension payable to the beneficiary of an allocation election may be adjusted in a manner determined by the scheme manager if—	Discretion to adjust the amount of allocated pension payable to the beneficiary if the Member dies after reaching age 75 and the amount of the allocated pension does not qualify as a dependants’ scheme pension under s. 167 of the Finance Act 2004.	Authority	

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	<p>(a) the member who made the allocation dies after reaching the age of 75; and</p> <p>(b) on the death of the member, the amount of allocated pension payable to the beneficiary does not qualify as a dependants' scheme pension under section 167 (the pension death benefit rules) of FA 2004(a).</p>			
92 (2)	P may claim early payment of a pension credit member's pension by notice to the scheme manager in a form required by the scheme manager.	Discretion to determine the form in which a Pension Credit Member may claim their pension early.	Supplier (but cleared by Authority)	
94 (2)	The option may only be exercised by notice to the scheme manager in a form required by the scheme manager.	Discretion to determine the form in which a Pension Credit Member may buy out the early payment reduction to the pension if they take it early.	Supplier (but cleared by Authority)	
97 (2)	The option under this regulation may only be exercised— (a) by notice to the scheme manager in a form required by the scheme manager	Discretion to determine the form in which a Pension Credit Member may opt to exchange some of their pension for a lump sum.	Supplier (but cleared by Authority)	
98 (3)	The option under this regulation ("this option") may only be exercised— (a) by notice to the scheme manager in a form required by the scheme manager;	Discretion to determine the form in which a Pension Credit Member may opt to exchange all of their pension for a lump sum on serious ill-health.		
101	P satisfies the scheme manager that immediately before the member's death—	Discretion to agree that a nominated partner met the eligibility criteria for receipt of a partner's pension.	Supplier	Decision based on guidance provided by Authority

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	<p>(i) P and the member were cohabiting as partners in an exclusive, committed long-term relationship;</p> <p>(ii) P and the member were not prevented from entering into a marriage or a civil partnership; and</p> <p>(iii) either P was financially dependent on the member, or P and the member were financially interdependent.</p>			
101 (2)	<p>The member or P may revoke a declaration under paragraph (1)(b) at any time by signed notice to the scheme manager in any form the scheme manager requires or is willing to accept.</p>	<p>Discretion to determine the form in which a Member may revoke a partner declaration.</p>	<p>Supplier (but cleared by Authority)</p>	
107 (4)	<p>The scheme manager may withhold a surviving adult's pension where—</p> <p>(a) for a pension that would otherwise be payable to the surviving spouse, the member and the surviving spouse were married less than six (6) months before the member's death;</p> <p>(b) for a pension that would otherwise be payable to a surviving civil partner, the civil partnership was formed less than six (6) months before the member's death.</p>	<p>Discretion to withhold payment of a surviving adult's pension to a widow, widower, surviving civil partner of a Member where the marriage/civil partnership took place less than six (6) months before the Member's death</p>	<p>Authority</p>	

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113 (1)	<p>(1) In these Regulations, “eligible child” , in relation to a deceased member of this scheme, means—</p> <p>....</p> <p>(c) any other child or young person who—</p> <p>(i) meets any of conditions A to C; and</p> <p>(ii) in the opinion of the scheme manager, was financially dependent on the member as at the date of the member's death.</p>	Discretion to determine whether child is financially dependent on member.	Supplier	Decision based on guidance from the Authority
113 (4)	<p>Condition C is that in the opinion of the scheme manager the person is unable to engage in gainful employment because of physical or mental impairment and either—</p> <p>(a) the person is under the age of 23; or</p> <p>(b) that impairment is in the opinion of the scheme medical adviser likely to be permanent and the person is dependent on the member as at the date of the member's death because of physical or mental impairment.</p>	Discretion to determine whether child is unable to engage in gainful employment.	Supplier	Decision based on advice from Scheme Medical Adviser
116 (2)	<p>Unless the scheme manager directs otherwise, an eligible child’s pension payable in respect of an eligible child aged under 18 must be paid—</p> <p>(a) if the child is in the care of the member’s surviving adult, to the surviving adult; and</p>	<p>Discretion to direct that an eligible child’s pension should be paid to someone other than:</p> <ul style="list-style-type: none"> • if the child is in the care of the Member’s surviving adult, to the surviving adult; or • in any other case, to the child’s guardian. 	Supplier	

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	(b) in any other case, to the child's guardian.			
117 (2)	The scheme manager may— (a) cease paying the pension; and (b) recover any payment made under the award.	Discretion to cease paying a dependant's pension and recover payments where the beneficiary made a false declaration or deliberately suppressed a material fact in connection with the award.	Authority	
118 (2)	The scheme manager may adjust the amount of pension payable in respect of each eligible child to take account of the matters referred to in paragraph 1(c), as applicable.	Discretion to adjust the amount of child's pension payable if the beneficiary is later found not to be an eligible child; a further eligible child is subsequently identified; or a child who meets the eligibility criteria is born subsequent to the Member's death.	Supplier	Discretion exercised on the basis of guidance provided by Authority.
119 (2)	The benefit payable to the person may be adjusted in any way as determined by the scheme manager so that it qualifies as a dependants' scheme pension for the purposes of section 167 of FA 2004.	Discretion to adjust the amount of pension payable to a dependant in order that it qualifies as a dependant's scheme pension for the purposes of s. 167 of the Finance Act 2004.	Supplier	
121 (4)	The scheme manager may decide not to pay a lump sum death benefit if it is impracticable to pay it.	Discretion to withhold the payment of a death benefit lump sum if it is not practicable to do so.	Supplier	
122 (4) & (5)	(4) A nomination may only be made by signed notice to the scheme manager in a form the scheme manager requires or is willing to accept. (5) A member may revoke or alter a nomination by a further signed notice to the scheme manager in a form the scheme manager requires or is willing to accept.	Discretion to determine the form in which a Member may make, alter or revoke a death benefit nomination.	Supplier (but cleared by Authority)	

123 (3)	The scheme manager may determine that the nomination of an individual is invalid if the individual is convicted of manslaughter of the member or any other offence (apart from murder) of which the unlawful killing or wounding of the member is an element.	Discretion to determine that a death benefit nomination is invalid if the nominee is convicted of the unlawful killing of the Member.	Supplier	In practice, as any such case is likely to be novel or contentious, we would expect Supplier to discuss with Authority before making any such determination.
124 (1)	The scheme manager may pay a lump sum death benefit to— (a) the person or persons nominated by the member under regulation 122 (“the nominees”); (b) the member’s personal representatives; or (c) both the nominees and the member’s personal representatives.	Discretion to pay the lump sum death benefit to: <ul style="list-style-type: none"> • the person or persons nominated by the Member; and/or • the Member’s personal representative 	Supplier	
124 (2)	If the scheme manager decides to pay all or part of the lump sum death benefit to the nominees and more than one individual has been nominated, the payment is to be made to them— (a) in the proportions specified by the member in the nomination; or (b) if the member has not specified proportions, in the proportions the scheme manager considers appropriate.	Where there is more than one nominee to receive the death benefit lump sum and the Member has not specified the proportion of the benefit each nominee should receive, there is discretion to determine those proportions.	Supplier	
124 (3)	If the scheme manager decides to pay the lump sum death benefit to both the nominees and the personal representatives, the payment is to be	Where the discretion has been exercised to pay the lump sum death benefit to both the nominees and the personal representatives, there is further	Supplier	

	made to them in the proportions the scheme manager considers appropriate.	discretion to determine the proportions each beneficiary shall receive.		
126 (1)	The scheme manager may recover a lump sum death benefit paid to any person if the person's nomination is subsequently found to be invalid.	To recover any death benefit lump sum paid where the nomination is subsequently found to be invalid.	Supplier	In practice, as any such case is likely to be novel or contentious, we would expect Supplier to discuss with Authority before making any such determination.
127 (2)	The scheme manager may pay the pension to— (a) the person or persons nominated by the member under regulation 122 ("the nominees"); (b) the member's personal representatives; or (c) both the nominees and the member's personal representatives	Where the Member dies after reaching age 75 and before the fifth anniversary of the date on which the pension became payable to the Member, there is discretion to pay the death benefit lump sum as a pension to: <ul style="list-style-type: none"> • the person or persons nominated by the Member; and/or • the Member's personal representative. 	Supplier	
134	(2) The member contributions rate which applies to a member's pensionable earnings is the rate which applies when the member's pensionable earnings are paid. (3) For the purposes of paragraph (2), (ii) payment of the money value of any benefit in kind which forms part of a member's pensionable earnings is treated as having been made at a time	Discretion to apportion money value of benefit in kind across a period of time.	Supplier	Discretion based on guidance from the Authority

	or apportioned across a period of time as determined by the scheme manager.			
136 (2)	A member's employer— (a) may make contributions on the member's behalf in circumstances determined by the scheme manager;	Discretion to agree to an employer making contributions on behalf of the Member.	Authority	
137 (1)	Each employer of an active member of this scheme must pay contributions to this scheme in respect of the member at the rate and at the intervals the scheme manager may for the time being determine after consultation with the scheme actuary ("employers' contributions").	Discretion to determine the amount of employer contributions payable to the Scheme	Authority (on advice from the Scheme Actuary)	
143 (2) & (3)	(2) Before requesting the transfer payment, P must apply for a statement of entitlement by notice to the scheme manager. (3) P may withdraw the application by notice to the scheme manager at any time before the statement is provided	Discretion to determine the form in which a Member may make, and withdraw, an application for a statement of entitlement for a transfer out.	Supplier (but cleared by Authority)	
144 (4)	The scheme manager may specify in the statement of entitlement a guarantee date that falls within the six (6) months beginning with the date of the member's application for the statement of entitlement if, for reasons beyond the control of the scheme manager, the information needed to calculate the amount of the	Discretion to provide a guarantee date greater than three (3) months but no more than six (6) months from the date the Member applies for a statement of entitlement if, for reasons beyond the control of the Scheme manager, the information needed to calculate the amount of the cash equivalent or club	Supplier	In practice, Supplier likely to refer such cases to Authority as they will probably be novel or contentious.

	cash equivalent or club transfer value cannot be obtained before the end of the three (3) month period.	transfer value cannot be obtained before the end of the three (3) month period.		
150 (4)	The scheme manager may direct that a transfer payment request is to be treated as having been made earlier than it was if the scheme manager considers it reasonable to do so in the circumstances.	Discretion to allow a transfer in to take place outside the normal time limits if there are exceptional circumstances to justify this (e.g. the Member was not correctly advised of the relevant time limits).	Supplier	
150 (6)	The scheme manager may not accept a transfer value payment if— (a) it would be applied in whole or in part in respect of— (i) the member’s entitlement to a guaranteed minimum pension; or (ii) the entitlement of the member’s spouse to a guaranteed minimum pension; and (b) it is less than the amount required for that purpose, as calculated in accordance with guidance and tables determined by the Minister for the purposes of this paragraph, after consultation with the scheme actuary.	Discretion to refuse transfer in if its value is less than the value of the GMP.	Supplier (based on guidance and factors provided by the Scheme Actuary)	
155 (5)	If a Minister of the Crown gives an undertaking concerning the pension rights of the transferring employees or the transferred members, this Part has effect with any modifications the scheme manager considers necessary to reflect the terms of the undertaking.	Discretion to agree modifications to transfer payments made in respect of individuals compulsorily transferred out of the Scheme.	Authority (on advice from the Scheme Actuary)	

156 (4)	If a Minister of the Crown gives an undertaking concerning the pension rights of the transferred employees or the transferred members, this scheme has effect with any modifications the scheme manager considers necessary to reflect the terms of the undertaking.	Discretion to agree modifications to the application of the Scheme regulations in respect of individuals compulsorily transferred in to the Scheme.	Authority	
165(1)	If a member is convicted of a relevant offence, the scheme manager may to the extent the scheme manager considers appropriate withhold benefits payable under this scheme to or in respect of the member.	Discretion to forfeit some or all of a Member's benefits if they are convicted of certain specified crimes relating to their employment covered by the Scheme	The Minister (on the recommendation of Authority)	
166(1)	If the beneficiary of a deceased member of this scheme (D) is convicted of a relevant criminal offence, the scheme manager may withhold benefits payable to the beneficiary in respect of D.	Discretion to forfeit some or all of the benefits payable to a dependant of the Scheme Member if they have been convicted of: (a) the murder of the Member; (b) the manslaughter of the Member; or (c) any other offence of which the unlawful killing of the Member is an element.	The Minister (on the recommendation of Authority)	
167(1)	If a member (P) owes a relevant monetary obligation or has caused a relevant monetary loss, the scheme manager may withhold benefits payable to P under this scheme.	Discretion to forfeit some or all of the Member's benefits in respect of a monetary obligation (or a monetary loss caused by the Member).	The Minister (on the recommendation of Authority)	
168(1)	The scheme manager may set off a relevant monetary obligation against a member's entitlement to benefits under this scheme.	Discretion to offset a monetary debt to the employer against the Member's Scheme benefits.	Authority	

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177	Except as otherwise provided by these Regulations, any question arising under this scheme is to be determined by the scheme manager, whose decision on it is final.	Discretion to determine questions.	Authority	
178(2)	If the person does not provide the required evidence, the scheme manager may withhold the whole or any part of any benefits payable under this scheme in respect of the person.	Discretion to withhold benefits from a person if that person fails to provide evidence to establish— (a) the person’s identity; and (b) the person’s continuing entitlement to payment of any amount.	Supplier	In practice, we would expect Supplier to seek Authority guidance on any case as it will inevitably be novel or contentious.
180 (1)	An employer of a member of this scheme must, by such date as the scheme manager may specify, provide the scheme manager with such information as the scheme manager may request— (a) in connection with the scheme manager’s or scheme administrator’s functions in relation to this scheme; or (b) to enable the scheme manager or Minister to fulfil any obligations on the scheme manager or Minister set out in or under legislation.	Discretion to determine information required from employers to fulfil functions/obligations.	Authority (Supplier, with guidance from the Authority, on information relating to scheme administrator’s functions)	
Sch.1, 5(2)	If a member has opted to make periodical payments for added pension under this scheme, the scheme manager may by notice to the member cancel the added pension option if it appears to the scheme manager that the overall limit of extra pension will be exceeded if the	Discretion to cancel a Member’s added pension contract if it appears that the overall added pension limit will be exceeded if the contract continues.	Supplier	

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	member continues to make the periodical payments.			
Sch.1, 7(2)	A member may exercise the added pension option by notice to the scheme manager in a form required by the scheme manager (“the option notice”).	Discretion to determine the form in which a Member may exercise an added pension option.	Supplier (but cleared by Authority)	
Sch.1, 8(1)	A third party or the employer of an active member of this scheme may, if the scheme manager approves, opt to make a lump sum payment for added pension to increase— (a) the member’s retirement benefits for a period of service; or (b) both the member’s retirement benefits and death benefits payable in respect of the member for a period of service.	Discretion to allow an employer or a third party buy added pension for a Scheme Member.	Authority	
Sch.1, 10(3)	The amount of the periodical payment must not be less than any minimum amount determined by the scheme manager.	Discretion to determine minimum periodical payment for added pension.	Supplier (but cleared by Authority)	
Sch.1, 11(1)	The member may, by notice to the scheme manager, cancel the option at any time during the periodical payment period.	Discretion to determine the form in which a Member may cancel an added pension option.	Supplier (but cleared by Authority)	
Sch.1, 12(2)	(2) The periodical payment period— (a) begins with— (i) if the member exercises the option within three (3) months after joining this scheme, the first appropriate pay period	Discretion to determine the first appropriate pay period that periodical added pension contributions should be deducted from.	Supplier	

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	<p>beginning on or after the date on which the scheme manager receives the option notice; or</p> <p>(ii) in any other case, the first appropriate pay period of the scheme year beginning on or after the date on which the scheme manager receives the option notice; and</p> <p>(b) ends on the earlier of—</p> <p>(i) the date on which the member ceases to be an active member of this scheme; and</p> <p>(ii) the date specified in the option notice.</p>			
Sch.1, 12(5)	<p>If a member stops the periodical payments during a period of assumed pay, the member may, by notice to the scheme manager in a form required by the scheme manager, resume the periodical payments in the next pay period after the period of assumed pay ends.</p>	<p>Discretion to determine the form by which a Member may elect to resume payment of added pension contributions after they had been suspended during a period of assumed pay.</p>	<p>Supplier (but cleared by Authority)</p>	
Sch.1, 26(1)	<p>A member may exercise an effective pension age option by notice to the scheme manager in any form the scheme manager may require (“the option notice”).</p>	<p>Discretion to determine the form in which a Member may exercise an effective pension age option.</p>	<p>Supplier (but cleared by Authority)</p>	
Sch.1, 29(1)	<p>A member may, by notice to the scheme manager, cancel an effective pension age option at any time during the periodical payment period.</p>	<p>Discretion to determine the form in which a Member may cancel an effective pension age option.</p>	<p>Supplier (but cleared by Authority)</p>	

<p>Sch.1, 31 (2) & (3)</p>	<p>(2) The amount of the periodical payments is an amount— (a) determined by the scheme manager (3) The scheme manager must determine the amount by reference to published actuarial tables (4) Before the start of every scheme year, the scheme manager must— (a) review the amount of the periodical payments; and (b) if the scheme manager re-determines the amount, send the member notice of the amount payable from the start of the next scheme year.</p>	<p>Discretion to determine and review effective pension age periodical payments, and send notice to member.</p>	<p>Supplier (following agreement by Authority of actuarial tables and guidance provided by Scheme Actuary)</p>	
<p>Sch.1, 33(3)</p>	<p>If a member stops the periodical payments during a period of assumed pay, the member may, by notice to the scheme manager in a form required by the scheme manager, resume the periodical payments in the next pay period after the period of assumed pay ends.</p>	<p>Discretion to determine the form by which a Member may elect to resume payment of effective pension age contributions after they had been suspended during a period of assumed pay.</p>	<p>Supplier (but cleared by Authority)</p>	
<p>Sch.1, 34(1)</p>	<p>The scheme manager must publish a list of scheme employments in respect of which an enhanced effective pension age option may be exercised (“eligible employments”) and, in relation to each employment, the date by which persons in that employment or the dates by</p>	<p>Discretion to determine which employments are eligible for an enhanced effective pension age option.</p>	<p>Authority</p>	<p>The list of eligible employments will be published by Authority</p>

	which specified persons within that employment must exercise the option.			
Sch.1, 37(1)	An enhanced effective pension age option may only be exercised— (a) by notice to the scheme manager in a form required by the scheme manager (“the option notice”); and (b) with the approval of the Minister.	Discretion to determine the form in which a Member may exercise an enhanced effective pension age option.	Supplier (but cleared by Authority)	
Sch.1, 39(5)	If the member re-enters pensionable service in that employment after a gap in pensionable service of more than 5 years, the member may not resume periodical payments in relation to that option without the approval of the Minister.	Discretion to allow a Member to resume an enhanced effective pension age option on returning to eligible employment after a break of more than 5 years.	Authority	
Sch.1, 40(1)	A member may, by notice to the scheme manager, cancel an enhanced effective pension age option at any time during the periodical payment period.	Discretion to determine the form in which a Member may cancel an enhanced effective pension age option.	Supplier (but cleared by Authority)	
Sch.1, 40(4)	A member who has cancelled an enhanced effective pension age option may not resume periodical payments in relation to that option without the approval of the Minister.	Discretion to allow a Member to resume an enhanced effective pension age option following its cancellation by the Member.	Authority	
Sch.1, 44(4)	If a member stops the periodical payments during a period of assumed pay, the member may, with the approval of the Minister, resume the periodical payments at the beginning of the next pay period after the period of assumed pay ends.	Discretion to allow a Member to resume payment of enhanced effective pension age contributions after they had been suspended during a period of assumed pay.	Authority	

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Sch 2, 1	“existing public body pension scheme” means a public body pension scheme specified on a list published by the Minister for the purpose of this schedule;	Discretion to specify a pension scheme as an ‘existing public body pension scheme’ for the purposes of determining whether an individual is eligible for transitional protection.	Authority	The list of all designated ‘existing public body pension schemes’ will be published on the Civil Service Pensions website.
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