Master trust authorisation

**Systems and**

**processes questionnaire**

October 2018 

**Introduction**

The Occupational Pension Scheme (Master Trust) Regulations 2018 (the Regulations)[[1]](#footnote-1) set out the matters we must take into account when deciding whether we are satisfied that the systems and processes used in running a master trust scheme are sufficient to ensure that the scheme is run effectively. Our **Code of Practice no.15: Authorisation and supervision of master trusts** (the code)[[2]](#footnote-2) sets out further information on the manner and form of evidence you should submit.

This questionnaire provides a framework for you to use to demonstrate how your master trust meets the requirements outlined in the code. Our **Guide to completing the systems and processes questionnaire** will provide you with further information on the evidence you should provide for each requirement. Please address all parts of the requirements.

Your answers should include a clear narrative with clearly sign-posted, relevant evidence. The evidence you provide will need to demonstrate whether a system, process or governance function:

1. exists
2. how it works, and
3. how it is reviewed and monitored to ensure it is effective over time.

Where we do not require evidence of ongoing monitoring, we have indicated this.

You do not need to provide a full version of every document submitted as supporting evidence against systems and processes requirements, unless it is a mandatory document (for example the chair’s statement) or it is essential to demonstrate how you meet a certain requirement. If you provide a full document, you should clearly identify the relevant part of it (page/paragraph/section) in the ‘evidence’ boxes below.

For certain requirements, we would like to see evidence that independent external assessment has been carried out. Where we expect to see this, we have marked it in the questionnaire as ‘IXA’, against the requirement. For each of these, we have provided a table against each requirement in which you can set out the specific control objective you are submitting as evidence and a text box where you can explain in narrative how that objective supports your scheme’s compliance with the specific requirement.

**Scheme details**

|  |  |
| --- | --- |
| **Scheme name** | (Insert text here) |
| **Pension scheme registration number** | (Insert text here) |

**Functionality and maintenance of IT systems**

1. **Administration system payments**

|  |  |
| --- | --- |
| 1aIXA | The default is for all payments in and out of the master trust to be made electronically and any manual payments are made by exception |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

**We would like to see evidence of independent external assessment against this requirement. Please complete the table below.**

|  |  |
| --- | --- |
| **Which control objective are you citing as evidence against this requirement?** | **In which assurance report can this control objective be found?** |
| (Insert text here) | (Insert name, page, section of report here for each reference) |
| **How the control objective is relevant to the requirement (if not covered in narrative and evidence above)** |
| (Insert text here) |

|  |  |
| --- | --- |
| 1b | The IT system has the capability to accept contributions from a range of sources[[3]](#footnote-3) and caters for different sizes of employers |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

|  |  |
| --- | --- |
| 1cIXA | There is a capability for the transfer of data and monies from and to employers (including third party payroll or other providers acting on behalf of employers), administration systems (whether in-house or third-party), investment managers and investment platform providers |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

1c, IXA continued... **We would like to see evidence of independent external assessment against this requirement. Please complete the table below.**

|  |  |
| --- | --- |
| **Which control objective are you citing as evidence against this requirement?** | **In which assurance report can this control objective be found?** |
| (Insert text here) | (Insert name, page, section of report here for each reference) |
| **How the control objective is relevant to the requirement (if not covered in narrative and evidence above)** |
| (Insert text here) |

1. **Administration system records**[[4]](#footnote-4)

|  |  |
| --- | --- |
| 2aIXA | The IT system has the capability to record members’ benefits correctly, including identifiers5, contributions, investments, payments and transfers |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

2a, IXA continued... **We would like to see evidence of independent external assessment against this requirement. Please complete the table below.**

|  |  |
| --- | --- |
| **Which control objective are you citing as evidence against this requirement?** | **In which assurance report can this control objective be found?** |
| (Insert text here) | (Insert name, page, section of report here for each reference) |
| **How the control objective is relevant to the requirement (if not covered in narrative and evidence above)** |
| (Insert text here) |

|  |  |
| --- | --- |
| 2bIXA | The IT system contains the functionality to record member contributions and generates reporting on historic contributions, including each pay period, the amount, when it was received and invested, how it was invested and unitisation |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

2b, IXA continued... **We would like to see evidence of independent external assessment against this requirement. Please complete the table below.**

|  |  |
| --- | --- |
| **Which control objective are you citing as evidence against this requirement?** | **In which assurance report can this control objective be found?** |
| (Insert text here) | (Insert name, page, section of report here for each reference) |
| **How the control objective is relevant to the requirement (if not covered in narrative and evidence above)** |
| (Insert text here) |

1. **Administration system transactions**6

|  |  |
| --- | --- |
| 3aIXA | The IT system has a capability to process core transactions7 automatically and securely, and calculating accurate investments and disinvestments. This needs to be the case where there is a member instruction or a default is used |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

6 Paragraph 1 of Schedule 4 to the Regulations

7 Paragraph 1(a) of Schedule 4 to the Regulations

3a, IXA continued... **We would like to see evidence of independent external assessment against this requirement. Please complete the table below.**

|  |  |
| --- | --- |
| **Which control objective are you citing as evidence against this requirement?** | **In which assurance report can this control objective be found?** |
| (Insert text here) | (Insert name, page, section of report here for each reference) |
| **How the control objective is relevant to the requirement (if not covered in narrative and evidence above)** |
| (Insert text here) |

|  |  |
| --- | --- |
| 3bIXA | The system has the capability to carry out reconciliations of data against transactions and investments held and there is capacity for the reconciliation to be carried out against all members and multiple cycles |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

3b, IXA continued... **We would like to see evidence of independent external assessment against this requirement. Please complete the table below.**

|  |  |
| --- | --- |
| **Which control objective are you citing as evidence against this requirement?** | **In which assurance report can this control objective be found?** |
| (Insert text here) | (Insert name, page, section of report here for each reference) |
| **How the control objective is relevant to the requirement (if not covered in narrative and evidence above)** |
| (Insert text here) |

|  |  |
| --- | --- |
| 3cIXA | There is a process for rectifying any errors identified |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

3c, IXA continued... **We would like to see evidence of independent external assessment against this requirement. Please complete the table below.**

|  |  |
| --- | --- |
| **Which control objective are you citing as evidence against this requirement?** | **In which assurance report can this control objective be found?** |
| (Insert text here) | (Insert name, page, section of report here for each reference) |
| **How the control objective is relevant to the requirement (if not covered in narrative and evidence above)** |
| (Insert text here) |

|  |  |
| --- | --- |
| 3d | There is segregation of duties in the administration system to encompass a more junior level of clearance to input data and request payments or investment changes, and a more senior level to authorise changes and transactions |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

|  |  |
| --- | --- |
| 3e | There are authorisation levels in the administration system to prevent payments of certain sizes exceeding those allowed by the trustee mandate |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

1. **Planning for change**8

|  |  |
| --- | --- |
| 4a | Evidence is provided of how known changes to the system are planned and executed, and this is reflected in the business plan |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

|  |  |
| --- | --- |
| 4bIXA | Evidence is provided to show that the system is able to be updated. There is evidence of a robust methodology for releasing changes to systems, along with a portfolio of ongoing change to systems for the period of the business plan |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

8 Paragraph 3 of Schedule 4 to the Regulations

4b, IXA continued... **We would like to see evidence of independent external assessment against this requirement. Please complete the table below.**

|  |  |
| --- | --- |
| **Which control objective are you citing as evidence against this requirement?** | **In which assurance report can this control objective be found?** |
| (Insert text here) | (Insert name, page, section of report here for each reference) |
| **How the control objective is relevant to the requirement (if not covered in narrative and evidence above)** |
| (Insert text here) |

|  |  |
| --- | --- |
| 4cIXA | There is an IT process for making scheduled and known changes, including annual updates and changes in tax thresholds |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

4c, IXA continued... **We would like to see evidence of independent external assessment against this requirement. Please complete the table below.**

|  |  |
| --- | --- |
| **Which control objective are you citing as evidence against this requirement?** | **In which assurance report can this control objective be found?** |
| (Insert text here) | (Insert name, page, section of report here for each reference) |
| **How the control objective is relevant to the requirement (if not covered in narrative and evidence above)** |
| (Insert text here) |

|  |  |
| --- | --- |
| 4dIXA | There are adequate and sufficient resources, with appropriate skills and resources, to carry out the work |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

4d, IXA continued... **We would like to see evidence of independent external assessment against this requirement. Please complete the table below.**

|  |  |
| --- | --- |
| **Which control objective are you citing as evidence against this requirement?** | **In which assurance report can this control objective be found?** |
| (Insert text here) | (Insert name, page, section of report here for each reference) |
| **How the control objective is relevant to the requirement (if not covered in narrative and evidence above)** |
| (Insert text here) |

|  |  |
| --- | --- |
| 4eIXA | There is evidence that the IT system can meet the physical system requirements anticipated in the business plan and that it has the funds to meet those requirements |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

4e, IXA continued... **We would like to see evidence of independent external assessment against this requirement. Please complete the table below.**

|  |  |
| --- | --- |
| **Which control objective are you citing as evidence against this requirement?** | **In which assurance report can this control objective be found?** |
| (Insert text here) | (Insert name, page, section of report here for each reference) |
| **How the control objective is relevant to the requirement (if not covered in narrative and evidence above)** |
| (Insert text here) |

|  |  |
| --- | --- |
| 4f | The business plan accounts for how planned and potential future upgrades can be managed within the administration system and the strategist and trustee are satisfied that the system can be upgraded to meet the needs of the master trust |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

|  |  |
| --- | --- |
| 4g | There is a policy in place for maintaining, upgrading, and replacing hardware and software and this is accounted for in the business plan |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

1. **Protecting data**9

|  |  |
| --- | --- |
| 5a | There are cyber defence strategies in place, including firewalls and intrusion detection systems |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

9 Paragraphs 2 and 8 of Schedule 4 to the Regulations

|  |  |
| --- | --- |
| 5b | There are procedures and protocols in place for governance, the identification of risks and breaches, and responding to cyber incidents |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

|  |  |
| --- | --- |
| 5c | There are roles assigned to manage these protocols and procedures |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

|  |  |
| --- | --- |
| 5d | Scheme and member data should be backed up at least daily, with back-up servers at an external location and an offline backup |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

|  |  |
| --- | --- |
| 5eIXA | There is a disaster recovery process in place with roles assigned and it is tested every six months, or over a longer period if appropriate for the scheme being managed |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

5e, IXA continued... **We would like to see evidence of independent external assessment against this requirement. Please complete the table below.**

|  |  |
| --- | --- |
| **Which control objective are you citing as evidence against this requirement?** | **In which assurance report can this control objective be found?** |
| (Insert text here) | (Insert name, page, section of report here for each reference) |
| **How the control objective is relevant to the requirement (if not covered in narrative and evidence above)** |
| (Insert text here) |

## Processes and how they are governed

1. **Reconciliations**

|  |  |
| --- | --- |
| 6aIXA | The process demonstrates how reconciliations will be completed and by whom |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

**We would like to see evidence of independent external assessment against this requirement. Please complete the table below.**

|  |  |
| --- | --- |
| **Which control objective are you citing as evidence against this requirement?** | **In which assurance report can this control objective be found?** |
| (Insert text here) | (Insert name, page, section of report here for each reference) |
| **How the control objective is relevant to the requirement (if not covered in narrative and evidence above)** |
| (Insert text here) |

|  |  |
| --- | --- |
| 6bIXA | Reconciliations are completed at least once a month |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

**We would like to see evidence of independent external assessment against this requirement. Please complete the table below.**

|  |  |
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| **Which control objective are you citing as evidence against this requirement?** | **In which assurance report can this control objective be found?** |
| (Insert text here) | (Insert name, page, section of report here for each reference) |
| **How the control objective is relevant to the requirement (if not covered in narrative and evidence above)** |
| (Insert text here) |

|  |  |
| --- | --- |
| 6c | The process sets out the action that will be taken to put members in the correct position if errors or inconsistencies are found and how under/over allocations of units will be treated and funded |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

1. **Record-keeping**10

|  |  |
| --- | --- |
| 7aIXA | The process directs how records are kept up-to-date and that exception reporting is in place to ensure that errors and gaps, once identified, are reported to the relevant governance function |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

**We would like to see evidence of independent external assessment against this requirement. Please complete the table below.**

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| **Which control objective are you citing as evidence against this requirement?** | **In which assurance report can this control objective be found?** |
| (Insert text here) | (Insert name, page, section of report here for each reference) |
| **How the control objective is relevant to the requirement (if not covered in narrative and evidence above)** |
| (Insert text here) |

10 Paragraphs 4 and 10 of Schedule 4 to the Regulations

|  |  |
| --- | --- |
| 7bIXA | There is a plan to rectify data errors, and the business plan and continuity strategy reflect the impact of the data quality within the scheme |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

**We would like to see evidence of independent external assessment against this requirement. Please complete the table below.**

|  |  |
| --- | --- |
| **Which control objective are you citing as evidence against this requirement?** | **In which assurance report can this control objective be found?** |
| (Insert text here) | (Insert name, page, section of report here for each reference) |
| **How the control objective is relevant to the requirement (if not covered in narrative and evidence above)** |
| (Insert text here) |

|  |  |
| --- | --- |
| 7cIXA | Evidence of service provider agreements that include provisions, roles, responsibilities and source of funds for resolving errors that impact members |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

**We would like to see evidence of independent external assessment against this requirement. Please complete the table below.**

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| --- | --- |
| **Which control objective are you citing as evidence against this requirement?** | **In which assurance report can this control objective be found?** |
| (Insert text here) | (Insert name, page, section of report here for each reference) |
| **How the control objective is relevant to the requirement (if not covered in narrative and evidence above)** |
| (Insert text here) |

1. **Maintaining contributions**11

|  |  |
| --- | --- |
| 8a | There is a process for ensuring the master trust can accept contributions from new employers |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

|  |  |
| --- | --- |
| 8b | The scheme is able to quickly identify missing contributions and there is an effective process in place to chase them |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

11 Paragraphs 1 and 4 of Schedule 4 to the Regulations

|  |  |
| --- | --- |
| 8c | In the event of an employer insolvency or claim on the redundancy payment service, there is a process for reclaiming the contributions from the employer assets |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

|  |  |
| --- | --- |
| 8d | There is a process for rectifying the missing contributions, ensuring minimal financial detriment to the member |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

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| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

|  |  |
| --- | --- |
| 8e | There is a log of missed contributions, which includes actions taken in response to the missed contributions and any member detriment noted and acted upon |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

1. **Trustee recruitment and standards**12

|  |  |
| --- | --- |
| 9a | It is clear who is responsible for the recruitment and selection process and the input that is required from other parties |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

12 Paragraph 5 of Schedule 4 to the Regulations

|  |  |
| --- | --- |
| 9b | It is understood which skills and competencies need further development on the trustee board as a whole, and how this is monitored over time |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

|  |  |
| --- | --- |
| 9c | There is a succession plan in place to maintain the skills and competencies needed by the board |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

|  |  |
| --- | --- |
| 9d | The principles for determining trustee remuneration are assessed and agreed |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

|  |  |
| --- | --- |
| 9e | Fitness and propriety is assessed on an ongoing basis, along with any potential conflicts of interest and how these are managed or resolved |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

|  |  |
| --- | --- |
| 9f | A resignation and removal policy is in place which provides clarity on who can remove a trustee, under what circumstances and the steps for doing so |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

1. **Trustee governance**13

|  |  |
| --- | --- |
| 10a | The frequency of trustee meetings and under what circumstances this may change |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

13 Paragraphs 5 and 9 of Schedule 4 to the Regulations

|  |  |
| --- | --- |
| 10b | The circumstances where extraordinary meetings may be called and how |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

|  |  |
| --- | --- |
| 10c | Expectations of trustees in preparing for meetings and actions needed in between them |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

|  |  |
| --- | --- |
| 10d | Who has the responsibility for setting the agenda and frequency of trustee meetings and who else is consulted in the development of an agenda (for example trustees, strategist, funder, advisers) |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

|  |  |
| --- | --- |
| 10e | Standing agenda items |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

|  |  |
| --- | --- |
| 10f | The number of trustees required to be present for the trustees to be considered quorate |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

|  |  |
| --- | --- |
| 10g | The extent to which the trustees can influence or direct scheme strategist and funder in making decisions which may have material consequences for the business |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

|  |  |
| --- | --- |
| 10h | It is clear who is able to make a decision in a scenario where the interests of the strategist and funder may be in conflict with the interests of scheme members. In this scenario, there should be a clear process for trustees to make known and record their views and decisions |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

|  |  |
| --- | --- |
| 10i | There is a process for trustees to be notified of breaches and a corresponding process for monitoring breaches of the law and determining whether they are reportable to TPR14 |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

14 Section 70, Pensions Act 2004. Also see Code of Practice no: 1

1. **Managing service providers**15

|  |  |
| --- | --- |
| 11a | Service providers are assessed in advance of appointment, including access to due diligence carried out as part of the appointment process |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

|  |  |
| --- | --- |
| 11b | Performance indicators were agreed on appointment and there is accountability within the service provider for ensuring these are met, with escalation points. This should include a process for managing investment advisers and recording decisions taken. |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

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| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

15 Paragraph 6 of Schedule 4 to the Regulations

|  |  |
| --- | --- |
| 11c | These performance indicators are considered regularly by an appropriate person, outcomes are recorded and all actions are allocated and tracked |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

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| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

|  |  |
| --- | --- |
| 11d | Service providers and advisers are kept under review, including detailed criteria for assessment (and key performance indicators (KPIs) and service level agreements (SLAs) if they apply) |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

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| --- | --- |
| 11e | Trustees can demonstrate how they establish that their service providers are fit and proper and the criteria and methodology for doing so. This may include evidence of the checks carried out by service providers on new staff and how tender processes are operated. |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

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| --- | --- |
| 11f | The role of the trustee board, strategist and funder is clear if a decision is needed to replace any service provider |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

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| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

|  |  |
| --- | --- |
| 11g | There is a clear process for enduring information relating to the performance, evaluation and ongoing fitness and propriety of service providers, including any issues or concerns, is brought to the attention of the trustees in a timely manner |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

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| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

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| --- | --- |
| 11h | Trustees can demonstrate they understand and are familiar with the contracts/agreements (and any impacts on service/ability to act) in place with all service providers to the master trust. There should also be a written process documenting how these can be updated and agreed. |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

1. **Risk management**16

|  |  |
| --- | --- |
| 12a | There is an ongoing process for the identification, measurement, monitoring and resolution of risks, including investment risks |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

|  |  |
| --- | --- |
| 12b | The scheme strategist has considered and documented actual and perceived risks to the delivery of the business plan and has documented mitigations or processes for monitoring and management of each of these risks |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

16 Paragraph 7 of Schedule 4 to the Regulations

|  |  |
| --- | --- |
| 12c | There are appropriately skilled individuals taking responsibility for the management of risk monitoring against the business plan and those individuals have access to the necessary management information and intelligence to properly carry out this task |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

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| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

|  |  |
| --- | --- |
| 12d | Information and relevant data is regularly (at least quarterly) received from the responsible parties (funder, strategist, administrator, investment manager etc) to enable the risk register to be properly updated |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

|  |  |
| --- | --- |
| 12e | The trustees have documented how issues identified through risk management will be managed to resolution, including processes for allocation of owners and a responsible party for monitoring the resolution of issues in between trustee meetings, particularly if the resolution is the responsibility of the scheme administrator, strategist or funder |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

1. **Risk register**

|  |  |
| --- | --- |
| 13a | There is a risk register to support the ongoing monitoring of risks and it has been considered and agreed by the scheme strategist, funder and by the trustee board |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

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| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

|  |  |
| --- | --- |
| 13b | The risk register is regularly reviewed in detail by trustees, with considerations and decisions being documented and ownership and actions attributed, along with timelines for delivery |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

|  |  |
| --- | --- |
| 13c | An annual review is conducted to ensure that there have been no additional risks arising which should be included on the risk register |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

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| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

1. **Planning resources effectively**17

|  |  |
| --- | --- |
| 14a | All key administration tasks, including the timely sending of notifications and documents to us, are fully documented, with detailed end-to-end processes |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

|  |  |
| --- | --- |
| 14b | These process documents and maps are subject to regular review, particularly after system or process change to ensure human resources allocated remain sufficient |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

17 Paragraphs 1, 4, 9 and 10 of Schedule 4 to the Regulations

|  |  |
| --- | --- |
| 14c | Key resources, with the necessary skills and experience to deliver the objectives in the business plan, have been identified and there is a plan in place to ensure continuity of service |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

|  |  |
| --- | --- |
| 14d | There is awareness of the timeframes required to bring new human resource onboard and what contingency is in place to mitigate any under-resource due to increase in work volumes or the loss of staff |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

1. **Communicating with members**18

|  |  |
| --- | --- |
| 15a | There is a communications plan in place dealing with how to improve or maintain member engagement with the master trust |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
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| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

|  |  |
| --- | --- |
| 15b | The communication plan covers the methods that will be used to improve/maintain member engagement. This should include the standards and timing of regular and scheduled communications with members. There is a process to ensure members receive timely investment information. |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

18 Paragraph 11 of Schedule 4 to the Regulations

|  |  |
| --- | --- |
| 15c | There is a process for members’ views to be heard by the trustees at board level |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

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| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

|  |  |
| --- | --- |
| 15d | Trustees and the strategist respond to member feedback, and take appropriate action |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

|  |  |
| --- | --- |
| 15e | The communication plan includes provision for regular reviews for effectiveness, including updates to cover changes to the scheme and/or membership profile |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

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| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

|  |  |
| --- | --- |
| 15f | There are processes in place to identify issues and gather feedback from members |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

|  |  |
| --- | --- |
| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

|  |  |
| --- | --- |
| 15g | There are processes in place for escalation of issues or complaints to the relevant decision-maker and to resolve the root cause of the issue |

1. Confirm that the system functionality exists

(Insert narrative here – there is no word limit)

1. Explain how the IT system’s functionality or process works

(Insert narrative here – there is no word limit)

1. Explain how it is reviewed and monitored to ensure it is effective over time

(Insert narrative here – there is no word limit)

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| **Evidence** | **Document name (must be prefixed with scheme name) and page/section/paragraph reference** |
| (Insert text here) |

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| **Form completed by:** |  |
| **Role at the scheme:** |  |
| **Date completed:** |  |

**Next steps**

Please upload your completed questionnaire and supporting evidence to the online master trust portal.

Please be aware that we may use any information you provide in your completed questionnaire as part of our wider regulatory activity.

**Changes from the last version**

We have updated this questionnaire. You now only need to answer questions (a) and (b) for the following requirements: 8c, 9a-d, 9F, 10a-h, 11f, 11h and 15b. If you started work on the previous version you can continue and submit as part of your application. However, you can ignore question (c) against all of the requirements listed above. Date of amendment: 9 November 2018.

**Data protection statement**

The Pensions Regulator (TPR) is a data controller for the purposes of the General Data Protection Regulation (GDPR) and the Data Protection Act 2018. We process personal data held by us for the purpose of the exercise of any of our statutory functions and objectives. We may also process personal data under other legislation such as the Fraud Act. This includes, for the avoidance of doubt, taking regulatory or enforcement action for breaches of any of this legislation.

We will only store your personal data for as long as our retention schedule allows. During this time, you may be able to exercise certain rights in relation to your personal data such as the right to access, objection and data portability. If you feel that we have handled your personal data in a manner inconsistent with your rights, you may lodge a complaint with the Information Commissioner’s Office (ICO).

If you have any questions about how we handle your personal data please contact our Data Protection Officer (DPO) by email at dpa@tpr.gov.uk or write to us at Napier House, Trafalgar Place, Brighton, BN1 4DW. Further information on how your personal data is used, kept secure and your rights can be found by reading our [privacy notice](http://www.thepensionsregulator.gov.uk/help).

Any information, including any third party data, supplied to TPR may be used (including further disclosure) in connection with any of our statutory functions. TPR may check information it receives about you with what it already holds on its records. This includes information that you have provided as well as that given by others, such as government departments. We will not give information to anyone outside TPR unless the law allows us to do so.

1. Schedule 4 [↑](#footnote-ref-1)
2. Paragraph 401 [↑](#footnote-ref-2)
3. This should include multiple employers, payroll systems and individuals where applicable [↑](#footnote-ref-3)
4. Regulation 10 and paragraph 1 of Schedule 4 to the Regulations
5 This may include names, addresses, reference numbers, date of birth and membership dates [↑](#footnote-ref-4)