

CAPITA HARTSHEAD

TARGET	WORK TASK	ACTION DATES/REQUIREMENTS	Total to be processed	Actual performance	Percentage achieved against standard SLAs	Number of Cases Processed for Year
GENERAL TASKS						
A	Pension Sharing on Divorce information dispatched	Within 10 working days from receipt of request for information	NIL	NIL	N/A	NIL
B	All Death Grant Expression of Wish creation/amendments to be recorded	Within 5 working days of written authority from Scheme member	11	11	100.00	31
C	Inform the Contracting Body and/or the employer of any payments which are unauthorised payments under HMRC tax rules	Within 15 working days of payment being made or sooner if statute requires	NIL	NIL	N/A	NIL
D	Assistance in the administration of new employers to the fund - Creation of employer record, employer identification number, distribution of Employer Guidance, file admission agreement and/or other relevant information relating to the employer	Within 5 working days from receipt of documentation from the Contracting Body	NIL	NIL	N/A	NIL
E	Notification of complaints received by the Provider	Notified to the Contracting Body same day - Response to complainant within 5 working days - Where complaint requires correction of records and/or payments: within 5 working days - The Provider will inform the Contracting Body of its remedial action to ensure that any error does not happen in the future	NIL	NIL	N/A	NIL
F	To provide employers or their auditors with any statistical Scheme information	5 working days	NIL	NIL	N/A	NIL
G	To provide full membership data required by the actuary for the triennial fund valuation	Latest 3 months following valuation date	NIL	NIL	N/A	NIL
H	All correspondence to be replied to (If Provider is unable to fully answer the correspondence , a holding letter to be sent)	Within 5 working days of receipt	130	126	96.92	316
I	Data matching exercise between the Provider's system and the Payroll (including pensions payroll) and HR systems	To take place quarterly	NIL	NIL	N/A	NIL
J	Provision of a Service Improvement Plan (SIP)	Proposals for Service Improvement Plan to be provided with the Providers tender - To become active from contract commencement date - Inclusion of proposals from the Joint Review meetings at least six monthly or as and when the service improvement is identified	NIL	NIL	N/A	NIL

NEW ADMISSIONS TO THE SCHEME (Some members may have multiple contracts of employments. The following tasks apply to all relevant employments)						
A	Create an electronic member record for all relevant information	Within 10 working days from the receipt of the starter information	43	43	100.00	79
B	An electronic (or paper if the employee does not have access to a computer) statutory notification of Scheme admission to be issued to new Scheme members	Within 10 working days of receipt of relevant starter information including a payroll interface	43	43	100.00	51
C	Issue Personal Identification Number (PIN) and other login details in order that the member can access their online pension record	Within 10 working days of receipt of relevant starter information including a payroll interface	NIL	NIL	N/A	NIL
D	Request transfer value quotation from the member's previous provider	Within 10 working days from receipt of written request from member	8	8	100.00	21
E	Issue quotation of transfer value credit and all other relevant documentation/information to member	Within 10 working days of receipt of information from the previous provider	4	4	100.00	9
F	Request payment and final service credit from the previous scheme administrator	Within 10 working days of receipt of member's authority to proceed with the transfer	NIL	NIL	N/A	2
G	Update the member's pension record and issue a statutory notification with the relevant details	Within 10 working days from receipt of payment	1	1	100.00	1
CURRENT (CONTRIBUTING) MEMBERS						
A	Where the employer or, where permissible, Scheme member authorises any change to the member's personal details all of these amendments will be made to the member's pension record (including payroll interface file)	Within 10 working days of request	57	55	96.49	78
B	Scheme member estimates that include but may not be limited to benefit, additional contributions and 'what if' scenarios	Within 5 working days from request from Scheme member	39	35	89.74	112
C	Allocation of a Personal Identification Number (PIN) in response to a request from a Scheme member to have access to their online pension record	PIN and other relevant login details issued within 10 working days of request	NIL	NIL	N/A	NIL
D	Estimates requested by employers	Within 3 working days of request	25	21	84.00	35
E	Bulk estimates for more than nine Scheme members to be provided to employer	Within 10 working days of request	NIL	NIL	N/A	NIL
F	Scheme member request for information relating to the Contracting Body's AVC scheme	Within 5 working days from request from Scheme member	1	1	100.00	2
G	Notify payroll of the applicable deductions for Additional Regular Contributions, AVC's or other additional contributions permitted under the Scheme	Within 5 working days from request from Scheme member	8	8	100.00	8
H	Advise the relevant payroll provider and, where applicable the AVC provider of a change in the members additional contribution arrangements	Within 5 working days of receipt of authorisation	NIL	NIL	N/A	NIL

ANNUAL AND END OF YEAR TASKS						
A	Employee and employer pension contributions to be reconciled to the main accounts of the Contracting Bodies	Within 14 working days from receipt of employers end of year file	NIL	NIL	N/A	NIL
B	Year end contributions files received from employers to be checked and loaded on to member records	Within 28 working days following receipt of employer file	NIL	NIL	N/A	NIL
C	All exceptions, warnings and rejected records to be reported to employers	Within 28 working days following receipt of employer file	NIL	NIL	N/A	NIL
D	All required action taken to correct end of year rejections/queries	Update computer systems with relevant information: 5 working days	NIL	NIL	N/A	NIL
E	First batch of annual benefit statements for active members to be dispatched	By 31 August each year	NIL	NIL	N/A	NIL
F	Production and despatch of further and final annual benefit statements for active member, to include members who did not receive their statement by 31 August	By 30 November each year	NIL	NIL	N/A	NIL
G	AVC annual benefit statements distributed	Within 28 days of receipt of benefit statements	NIL	NIL	N/A	NIL
H	Provision of FRS17 data to the fund actuary of the Contracting Body	Within 10 working days of the relevant employer's accounting year end	NIL	NIL	N/A	NIL
I	Provision of SF3 data to the Contracting Body	By 31 May each year	NIL	NIL	N/A	NIL
J	Report of all retirements in the year ended 31 March to the Contracting Body, showing the retirement type and pension fund costs for each retirement	By 31 May each year	NIL	NIL	N/A	NIL
K	Annual Fund Report showing performance statistics and membership numbers by category and employer to be provided to the Contracting Bodies	By 31 May each year	NIL	NIL	N/A	NIL
L	A list of all Transfer values payable in year ended 31 March, but not yet actually paid, showing amounts and member/new scheme details	By 30 April each year	NIL	NIL	N/A	NIL
M	A list of all Transfer values receivable in year ended 31 March, but not yet actually paid, showing amounts and member/new scheme details	By 30 April each year	NIL	NIL	N/A	NIL
N	The Provider shall provide such information as required by the Contracting Bodies in order to conduct the annual review of pricing	Within 10 working days of request	NIL	NIL	N/A	NIL

LEAVERS, RETIREMENTS AND REDUNDANCIES						
A	Notify the relevant payroll provider of the cessation of pension Scheme membership, including, where permissible, a refund of contributions	Within 10 working days of receipt of written notification from the member	NIL	NIL	N/A	NIL
B	The Provider will calculate and despatch to the member a statement of their deferred benefits	Within 15 working days of receipt of written notification from the employee's option to leave the Scheme or the employer's written confirmation of the termination of employment	32	29	90.63	92
C	All deferred benefits annual benefit statements to be despatched	Within 28 days of the effective date of the Pensions Increase Order	NIL	NIL	N/A	NIL
D	Requests for early payment of deferred benefits including cases that require the agreement of the Contracting Body or where the Scheme member has requested that the payment is released on the grounds of ill health	Notified to the Contracting Body / employer within 2 working days of written request from member: Where the application is refused the Provider to notify the applicant within 10 working days of confirmation from the Contracting Body	NIL	NIL	N/A	NIL
E	Contacting deferred beneficiaries in advance of their retirement date: The Provider shall despatch correspondence, providing the member with benefit calculations (including any reductions to the benefits), all forms and other documentation. Age criteria may vary in accordance with amendments to the regulations.	No later than 6 months before the member's 60 th birthday or 65 th birthday.	5	5	100.00	16
F	Transfer Values to a new pension scheme	Supply of quote and up to date calculation of deferred benefits to member: 5 working days	NIL	NIL	N/A	NIL
G	Transfer Values to a new pension scheme	Payment of transfer value: within 5 working days of request for payment	1	1	100.00	1
H	Redundancy and Severance Payments (where the Provider is providing this service)	within 3 working days of receipt of relevant information including the redundancy declaration form.	1	1	100.00	2
I	Process of Gratuity and Injury Allowance payments	within 3 working days of receipt of relevant information.	NIL	NIL	N/A	NIL
J	Process Retirement Benefits: Despatch of the retirement grant and either: Creation of the pensioner record (where the Provider is providing this service) or Notification to the relevant payroll department in order that the first pension payment is made. As prescribed in the preamble of this SLA	within 3 working days of receipt of relevant information	7	4	57.14	22
K	Scheme members approaching age 75	Removed from the Scheme no later than their 75 th birthday. The Provider shall ensure that the pension and lump sum are paid in compliance with HMRC regulations so that there are no tax penalties/additional tax deductions.	NIL	NIL	N/A	NIL

PENSIONERS						
A	Pensions Increase payable on deferred retirement grants and death grants	within 15 working days of implementation of effective date of pension increase order	NIL	NIL	N/A	NIL
B	Age 55 Pensions Increase: Calculate the relevant increase to the pension and inform the payroll provider	within 10 working days before the close of the pension payroll for the relevant month	NIL	NIL	N/A	NIL
C	Calculation of Modification of pension: Calculate the relevant deduction to the pension and notify the payroll provider	within 10 working days before the close of the pension payroll for the relevant month in which the modification is to apply	NIL	NIL	N/A	NIL
D	Request details of the pensioner's Guaranteed Minimum Pension if unavailable	within two months prior to the pensioner's state retirement date or other date if specified under legislation	34	34	100.00	63
E	Calculation and notification to pension payroll of the pensioners Guaranteed Minimum Pension	within 10 working days before the close of the pension payroll for the relevant month in which the GMP is to apply	NIL	NIL	N/A	NIL
F	Issue of Life and Re-Employment Certificates to specified pensioners.	July Annually	NIL	NIL	N/A	NIL
G	Participation in the National Fraud Initiative: Letter sent to relevant organisation where re employment indicated, Investigation into continued payment of pension where NFI indicates that the pensioner is deceased, Notify results to the Contracting Body	In all cases 10 working days of receipt of relevant information	NIL	NIL	N/A	NIL
H	Abatement of pension	to be despatched to the relevant payroll provider within 10 working days before the close down of the pension payroll in the month in which the abatement is to apply from/cease.	1	1	100.00	2
I	Cessation of pension (other than death)	10 working days before the close down of the pension payroll in the month in which the pension is to cease.	NIL	NIL	N/A	NIL
DEATH						
A	If the informant directly contacts the Provider it will notify the employer's/Contracting Bodies payroll/pension payroll of the need to stop the members pay/pension & The Provider shall forward a condolence letter and request all relevant certificates/documents forward all relevant application forms to the relevant parties.	Same day & within 3 working days of notification of death	12	12	100.00	33
B	Dependents benefits shall be calculated, notified to the beneficiaries (or their parent/guardian) and submission to the pensions payroll	within 3 working days of receipt of the relevant information	NIL	NIL	N/A	3
C	Where the Provider is made aware of potential disputes or uncertainty regarding the payment of the death grant it will prepare a report to be sent to the the Contracting Body. The notification will include any information that may assist decision makers	within 3 working days of the issue coming to the Provider's attention	NIL	NIL	N/A	NIL
D	Payment of death grant following confirmation of correct recipients. Confirmation may include but may not be limited to: 1. A recent or valid Expression of Wish Form 2. Grant of probate of the will 3. Letters of Administration 4. Authorisation from the Contracting Body	within 3 working days of confirmation	NIL	NIL	N/A	NIL