PMI

QUALIFICATIONS

PMI LEVEL 5

Experienced Pensions Professional Certificate (EPPC)

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Qualification Specification

About the Pensions Management Institute (PMI)

The PMI is the UK's leading professional body dedicated to supporting and developing experts who manage UK pension schemes.

We represent over 11,000 members and lead in every aspect of pension management, ensuring the best possible outcomes for scheme members. With 50 years of successful operation, the PMI is at the forefront of the pensions industry, fostering collaboration and driving innovation to enhance retirement outcomes.

We deliver industry-recognised qualifications, flexible learning pathways and high-quality training, supported by accredited partners.

PMI also provides authoritative insight, research and consultation responses, ensuring the voice of the pensions profession informs policy, regulation and industry debate.

Qualification Summary

The PMI Level 5 Experienced Pensions Professional Certificate (EPPC) is an evidence-based qualification designed for experienced pensions administrators with more than 5 years industry experience. It recognises high-level practical skills, technical knowledge, and professional behaviours across a broad range of pension administration activities.

The objective is that the qualification will be recognised across the industry as an indication that the individuals who have achieved it are well-rounded administrators with a range of experience and breadth of technical knowledge. Therefore the content and requirements of the EPPC match that objective and maintain high standards.

Candidates build a portfolio of evidence from their day-to-day role to demonstrate competence against the qualification criteria. There are no examinations or coursework. Assessment is through portfolio submission, internal verification, and final sign-off by Factito, PMI's independent assessment organisation.

Qualification Aim

The EPPC aims to recognise and certify experienced pensions professionals who can demonstrate a wide range of high-level skills and technical knowledge across pension administration. Completion confirms that the holder is a well-rounded, competent administrator capable of working effectively across different scheme types and delivering high standards of service.

Qualification Level

The Experienced Pension Professional Certificate has been formally benchmarked against the Qualification Framework to Level 5.

EPPC Qualification Time Breakdown

COMPONENT	HOURS	NOTES
Guided Learning Hours (GLH)	**0**	Portfolio-based qualification with no formal taught classes or workshops.
Self-Study (SS) (Distance Learning)	**1200**	Includes reviewing scheme documentation, research, reflection, and preparation of portfolio evidence from day-to-day work.
Formative Assessment (F)	**90**	Includes feedback from Mentors, Assessors, and Internal Verifiers during unit submissions, plus use of learning resources and guidance.
Summative Assessment (S)	**20**	Final portfolio review and sign-off process.
Total Assessment Time (TAT)	**110**	Combined formative and summative assessment activity.
Total Qualification Time (TQT)	**1310**	(GLH + SS + TAT) – Reflects the typical time commitment for an experienced administrator to complete the qualification.

SUMMARY

Total Qualification Time (TQT): 1,310 hours

- This is a portfolio-based qualification with no examinations.
- The majority of time is spent on self-study and evidence collection from the candidate's day-to-day role.

Fees

£2695 per learner –

- PMI Student membership
- Factito assessment
- Factito moderation

£1195 per learner –

- PMI Student membership
- Factito moderation

Membership Entitlement

Learners who complete the EPPC will be eligible to become Professional Members of the PMI and use the designatory details ProfPMI.

Support and Recognition

This qualification has been developed with the support of industry bodies that support the Pension sector in the United Kingdom, most notably, Aptia who partnered with PMI on the design and piloting of this qualification.

PMI Qualifications

PMI qualifications are recognised for their depth and standing within the industry. The EPPC provides a rigorous, portfolio-based route for experienced practitioners to demonstrate their expertise and commitment to professional standards.

Regulation

The EPPC is not an Ofqual regulated qualification.

Qualification Structure

The EPPC syllabus is divided into **20 units:**

- **7 Core units** – All mandatory
- **9 Optional units** – Choose 3
- **4 Specialist units** – Choose 1 (most relevant to job role)

Candidates must successfully complete and pass 11 units in total.

Core Units (Mandatory)

C1 – Introduction to UK Pensions

C2 – Pension Administration Calculations

C3 – Support Organisational Compliance

C4 – Support Service Delivery and Performance

C5 – Communications

C6 – Checking and Controls

C7 – Customer Service

Optional Units (Choose 3)

O1 – Operations and Process Improvements

O2 – Managing Operational Risk

O3 – Managing Team Performance and Development

O4 – Understanding Pension Scheme Finances

O5 – Developing and Delivering Presentations

O6 – Analysing Data to Support Decision Making

O7 – GMP

08 – De-risking

O9 – Pensions and Divorce

Specialist Units (Choose 1)

S1 – Member Events

S2 – Scheme Events

S3 – Client Relationship Management

S4 – Managing Work-Based Projects

Unit Type	Unit	Unit Title	Unit Level	Unit Credit	Total Qualification Time (TQT)
Core	C1	Introduction to UK Pensions	3	3	30
Core	C2	Pension Administration Calculations	4	5	40
Core	C3	Support Organisational Compliance	4	5	40
Core	C4	Support Service Delivery and Performance	4	5	40
Core	C5	Communications	4	5	40
Core	C6	Checking and Controls	4	5	40
Core	C7	Customer Service	4	5	40
Optional	O1	Operations and Process Improvements	5	15	75
Optional	O2	Managing Operational Risk	5	15	75
Optional	O3	Managing Team Performance and Development	5	15	75
Optional	O4	Understanding Pension Scheme Finances	5	15	75
Optional	O5	Developing and Delivering Presentations	5	15	75
Optional	O6	Analysing Data to Support Decision Making	5	15	75
Optional	O7	GMPE	5	15	75
Optional	O8	De-risking	5	15	75
Optional	O9	Pensions and Divorce	5	15	75
Specialist	S1	Member Events	5	15	75
Specialist	S2	Scheme Events	5	15	75
Specialist	S3	Client Relationship Management	5	15	75
Specialist	S4	Managing Work-Based Projects	5	15	75

Assessment Method

This is a portfolio-based qualification. Candidates collect evidence from their daily work (primarily Work Product, supplemented by Personal Statements, Observations, Witness Testimonies, Professional Discussions, Training & Assessment, Simulation, or Recognition of Prior Learning) to meet all criteria in each unit.

Evidence is submitted unit-by-unit to an EPPC Assessor, internally verified, and finally reviewed by Factito for external assessment.

Candidates must also maintain a Continuing Professional Development (CPD) log throughout the qualification period.

Terminology Used

CRITERIA

Each unit is broken down into criteria which confirm the detail of the requirements to be demonstrated. The categories of criteria are as follows:

- **Knowledge and Practice:** Criteria covering scheme and organisational knowledge. Expected to be practical examples, largely available from Work Product.
- **Behavioural:** Allowing Candidates to demonstrate what sets them apart from other administrators.
- **Technical:** Covering requirements around legislation, regulation, compliance, etc.
- **Range Criteria:** These criteria determine the breadth of evidence required. For example, the range criteria may indicate that evidence must include both manual and automated calculations or that evidence must come from more than 1 scheme. This ensures the breadth of each unit, and so the whole portfolio, is wide ranging.

Candidates do not need to provide an individual piece of evidence for each criterion. The evidence selected to cover one criterion may apply to other criteria – even criteria in other units. Every criterion in each unit submitted must be covered.

EVIDENCE

This is the term used for the item being submitted to cover certain criterion or criteria. There are various types of evidence:

- **Work Product –** an item gathered naturally from work completed.
- **Personal Statement –** a note prepared and signed by the Candidate.
- **Observation –** a statement from an individual who observed a Candidate.
- **Professional Discussion –** A structured, recorded discussion between the candidate and assessor that enables the candidate to demonstrate their knowledge, understanding and application of skills in relation to specific qualification criteria
- **Witness Testimony –** a statement from an individual witness to a Candidate's skill.
- **Simulation –** from a simulated task, where natural tasks are not available.
- **Training and Assessment –** evidence from training completed.
- **Recognition of Prior Learning –** where criteria are covered by previous qualifications.

Evidence obtained from Work Product can be no earlier than 1 year from the date of Candidate's registration. All evidence must relate to the Candidate's job and not any outside activities.

Recognition of Prior Learning

Where Candidates have completed other PMI qualifications, or qualifications relevant to unit criteria, these may cover some EPPC criteria and provide exemptions. In this case, the Candidate does not need to source evidence for these criteria, but will be required to provide copies of certificates. The RPL qualifications include:

- PMI Award in Pensions Essentials
- PMI Certificate in Pension Calculations
- Retirement Provision Certificate
- Prince 2 Project Management or Agile AMPG Project Management
- Chartered Management Institute (CMI)/ Institute of Leadership Management (ILM)

The application for recognition of prior learning can be found on the EPPC webpage, under useful resources.

Command Verbs

The following command verbs are used throughout the syllabus (higher-order skills suitable for Level 5):

- Demonstrate – Show through practical examples and application in the workplace.
- Evidence – Provide clear supporting work product or testimony.
- Show understanding of – Explain and apply knowledge in context.

Additional notes

'Customers' may refer to members, clients, trustees, third-party companies or teams outside of your own. 'Stakeholders' may refer to any individual or team with an interest in the process undertaken.

Additional Requirements

Continued Professional Development (CPD)

During the period between Candidate registration and their final certification, they must keep a CPD log showing they are continuously ensuring their knowledge and practice is up to date. There may be company technical updates or seminars to attend. They may represent their team or area in a group, committee or business initiative.

Once the qualification is achieved, the Candidate will be certified as ProfPMI and, as long a CPD continues, they will be eligible for continued PMI membership.

Detailed Syllabus
Core units

UNIT C1 – INTRODUCTION TO UK PENSIONS

What is this unit about? The Candidate will be required to demonstrate a high level of general pensions knowledge, including:

- The foundations of pension provisions in the UK.
- The roles and responsibilities of various parties involved in running UK pension schemes.
- Various scheme and benefit types.
- Governing bodies and regulators, etc.

Evidence Requirements You must demonstrate, using a range of examples collected over a period of time, the underpinning knowledge required to cover all the criteria in this unit. Your evidence must show you can apply your understanding in practice through your daily job role.

Permitted Evidence Types WP (Work Product), P (Personal Statement), O (Observation), WT (Witness Testimony), PD (Professional Discussion), T+A (Training and Assessment), S (Simulation), RPL (Recognition of Prior Learning)..

Additional Notes 'Customers' may refer to members, clients, trustees, third party companies or teams outside of your own. 'Stakeholders' may refer to any individual or team with an interest in the process undertaken.

UNIT CRITERIA

CATEGORY	REF	LEARNING OUTCOMES
Focus on Benefit Types	C1.01	Demonstrate an understanding of different Occupational Pension Scheme benefit types, including Defined Benefit, Defined Contribution, Career Average Revalued Earnings (CARE), Hybrid, Master Trust, Collective Defined Contribution (CDC), and Local Government Pension Scheme.
Focus on Benefit Types	C1.02	Demonstrate an understanding of types of personal pension schemes: Personal Pensions, Group Personal Pension, Small Self-Administered Scheme (SSAS), Self-Invested Personal Pension (SIPP).
Focus on Benefit Type	C1.03	Demonstrate an understanding of key elements of the State Pension.
Focus on Roles and responsibilities	C1.04	Demonstrate an understanding of the roles of regulating parties: HMRC, The Pensions Regulator (TPR), PASA, FCA, TPAS, IFOA, PPF.
Focus on Roles and Responsibilities	C1.05	Demonstrate an understanding of the roles of key stakeholders in an occupational pension scheme: client, trustees, fund managers, asset managers, actuaries, accountants, auditors, payroll, group life providers, administrators, consultants, discontinuance specialists, lawyers.
Focus on Roles and Responsibilities	C1.06	Key dates in the scheme calendar, including disclosure requirements.
Focus on Member Journey – Active	C1.07	ACTIVE: Demonstrate understanding of auto-enrolment, auto re-enrolment and member eligibility requirements.
Focus on Member Journey – Active	C1.08	ACTIVE: Demonstrate understanding of DB and DC contribution requirements and investment (including Salary Sacrifice).
Focus on Member Journey – Active	C1.09	ACTIVE: Demonstrate understanding of basic Group Life and underwriting requirements.
Focus on Member Journey – Active	C1.10	ACTIVE: Demonstrate understanding of annual Data Renewal and Benefit Statement requirements.
Focus on Member Journey – Active	C1.11	ACTIVE: Evidence understanding of Additional Voluntary Contributions (AVCs), including member options, investment and settlement.
Focus on Member Journey – Active	C1.12	ACTIVE: Evidence understanding of Transfers In, including additional service credit.
Focus on Member Journey – Preserved	C1.13	PRESERVED: Evidence an understanding of how DB benefits revalue.
Focus on Member Journey – Preserved	C1.14	PRESERVED: Evidence an understanding of how DC benefits are affected by unit price.
Focus on Member Journey – In Payment	C1.15	IN PAYMENT: Evidence understanding of Pension Increases.
Focus on Member Journey – In Payment	C1.16	IN PAYMENT: Demonstrate understanding of eligibility for Children's pensions.

CATEGORY	REF	LEARNING OUTCOMES
Focus on Member Journey – In Payment	C1.17	IN PAYMENT: Understanding of Pension Increase Exchange.
Settling Benefits	C1.18	Demonstrate an understanding of different retirement settlement types: retirement, option to take a lump sum (OMO), annuity, Pension Freedoms, Pension Commencement Lump Sum (PCLS).
Settling Benefits	C1.19	Demonstrate an understanding of different death settlement types: Death In Service (DIS) Group Life Assurance (GLA), Spouse's pension from DIS, Death In Deferment (DID), Death After Retirement (DAR), Young Spouse, Children's Pension, 5-year guarantee lump sum.
Settling Benefits	C1.20	Demonstrate an understanding of different other settlement types: short service refund, transfers out, Pension Sharing Order and Earmarking.
Focus on Benefit Type	C1.03	Demonstrate an understanding of key elements of the State Pension.
Focus on Benefit Type	C1.03	Demonstrate an understanding of key elements of the State Pension.

UNDERPINNING BEHAVIOURS

REF	LEARNING OUTCOMES
C1B.1	Demonstrate knowledge and appropriate use of common acronyms and terminology.

TECHNICAL REQUIREMENTS

REF	LEARNING OUTCOMES
C1T.1	Demonstrate an understanding of the foundations of Guaranteed Minimum Pension (GMP) and GMP Equalisation.
C1T.2	Demonstrate an understanding of De-risking, including Buy-Ins and Buy-Outs.

RANGE CRITERIA

These criteria are covered by the Knowledge and Practice criteria above.

UNIT C2 – PENSIONS ADMINISTRATION CALCULATIONS

What is this unit about? The candidate will be required to evidence calculation of various benefits, understanding of checking requirements and adhering to company protocols and procedures.

Evidence Requirements: You must demonstrate, using a range of examples collected over a period of time, the underpinning knowledge required to cover all the criteria in this unit. Your evidence must show you can apply your understanding in practice through your daily job role.

Permitted Evidence: Types: WP (Work Product), P (Personal Statement), O (Observation), WT (Witness Testimony) PD (Professional Discussion), T +A (Training and Assessment), S (Simulation), RPL (Recognition of Prior Learning).

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UNIT CRITERIA

CATEGORY	REF	LEARNING OUTCOMES
Preparation	C2.01	Understand the key elements/parameters of a calculation.
Preparation	C2.02	Refer to governing documentation to confirm the calculation basis.
Process Calculation	C2.03	Demonstrate self-checking of your calculation before it is passed for checking.
Process Calculation	C2.04	Populate a letter or statement with calculation results.
Process Calculation	C2.05	Follow mandatory procedures.
Check/Review Calculation	C2.06	Perform doer-doer check.
Check/Review Calculation	C2.07	Review a calculation and share feedback.
Check/Review Calculation	C2.08	Collect and save audit trail evidence.
Rectification	C2.09	Recalculate a benefit that has been identified as incorrect.
Rectification	C2.10	Perform a review to understand how the error occurred and take appropriate action.
Rectification	C2.11	Follow company's error logging protocol.
Navigating Records	C2.12	Understand how records are created and maintained and where to find the information you require.

CATEGORY	REF	LEARNING OUTCOMES
Navigating Records	C2.13	Read and interpret a settled member record.
Navigating Records	C2.14	Respond to a Preserved member query, based on information in the member record.
Navigating Records	C2.15	Extract data and prepare for Management Information (MI) or bulk calculation.
Managing Member Data	C2.16	Update a member record to show status change and the other affected fields.
Managing Member Data	C2.17	Update member record following advice from a member.
Managing Member Data	C2.18	Review of bulk member data and take action.
Cash Payment System	C2.19	Navigate the Cash Payment system.
Cash Payment System	C2.20	Read a bank balance.
Cash Payment System	C2.21	Analyse a receipt.
Cash Payment System	C2.22	Make a payment.

UNDERPINNING BEHAVIOURS

REF	LEARNING OUTCOMES
C2B.1	Demonstrate understanding of why calculations are required and their implications.
C2B.2	Demonstrate understanding of consequences of calculation errors.

TECHNICAL REQUIREMENTS

REF	LEARNING OUTCOMES
C2T.1	Understand the governing documents that dictate benefit calculation basis.
C2T.2	Understand where to obtain all information required to undertake benefit calculations.

RANGE CRITERIA

REF	LEARNING OUTCOMES
C2R.1	Evidence of both manual and automated calculations.
C2R.2	Evidence of both DB and DC calculations.
C2R.3	Evidence of both single and bulk calculations.

UNIT C3 – SUPPORT ORGANISATIONAL COMPLIANCE

What is this unit about? The candidate will be required to demonstrate a high level of general knowledge of compliance requirements across pension schemes. This unit is designed to cover requirements made against Occupational schemes only.

Evidence Requirements: You must demonstrate, using a range of examples collected over a period of time, the underpinning knowledge required to cover all the criteria in this unit. Your evidence must show you can apply your understanding in practice through your daily job role.

Permitted Evidence: Types: WP (Work Product), P (Personal Statement), O (Observation), WT (Witness Testimony) PD (Professional Discussion), T+A (Training and Assessment), S (Simulation), RPL (Recognition of Prior Learning).

Additional Notes: 'Customers' may refer to members, clients, trustees, third party companies or teams outside of your own. 'Stakeholders' may refer to any individual or team with an interest in the process undertaken.

UNIT CRITERIA

CATEGORY	REF	LEARNING OUTCOMES
Data Reporting Standards	C3.01	Understand the PASA Common and Conditional data requirements.
Data Reporting Standards	C3.02	Understanding the requirements of the TPR Scheme Return.
Data Reporting Standards	C3.03	Evidence compliance to ISO Audit requirements.
HMRC	C3.04	Understand the requirements of the Scheme Event Report.
HMRC	C3.05	Understand the requirements of the Accounting for Tax submission.
HMRC	C3.06	Demonstrate understanding of HMRC Rules, including Benefit Crystallisation Events (BCE), Protections.
HMRC	C3.07	Demonstrate knowledge around tax allowances, including Annual Allowance (AA), Money Purchase Annual Allowance (MPAA), etc.

CATEGORY	REF	LEARNING OUTCOMES
Standard Industry Mandatory Assessments	C3.08	Understand anti-bribery and anti-money laundering measures.
Standard Industry Mandatory Assessments	C3.09	Understand data privacy and data security measures.
Standard Industry Mandatory Assessments	C3.10	Understand financial crime requirements, including sanctions.
Standard Industry Mandatory Assessments	C3.11	Understand whistleblowing rules.
Standard Industry Mandatory Assessments	C3.12	Understand conflicts of interest and fraud measures.
Treasury Overview	C3.13	Understand the principles of DB Cashflow forecasts.
Treasury Overview	C3.14	Understand the principles of a DC unit reconciliation.
Treasury Overview	C3.15	Understand the principles of bank account reconciliations.
Pensions Dashboard	C3.16	Understand options available to members, through data available to members on the dashboard, including; Administrative Data, Signpost Data, or Value Data
Pensions Dashboard	C3.17	Understand data requirements of pension administrators, including deadlines of data refreshes and responses to Find Requests

UNDERPINNING BEHAVIOURS

REF	LEARNING OUTCOMES
C3B.1	Prioritise adherence to industry standards and requirements.

TECHNICAL REQUIREMENTS

These criteria are covered by the Knowledge and Practice criteria above.

RANGE CRITERIA

REF	LEARNING OUTCOMES
C3R.1	Work Product must be included.

UNIT C4 – SUPPORT SERVICE DELIVERY AND PERFORMANCE

What is this unit about? The candidate will be required to evidence their grasp on company workflow systems and reporting, including receipt of communications and the required checking steps. The candidate will be required to demonstrate their own work management skills, including overcoming unexpected incidents and assisting with team demands. The candidate will need to demonstrate their accuracy of tasks assigned to them and how they contribute to maintaining high levels of accuracy in the team and across the business.

Evidence Requirements: You must demonstrate, using a range of examples collected over a period of time, the underpinning knowledge required to cover all the criteria in this unit. Your evidence must show you can apply your understanding in practice through your daily job role.

Permitted Evidence Types: WP (Work Product), P (Personal Statement), O (Observation), WT (Witness Testimony), PD (Professional Discussion), T+A (Training and Assessment), S (Simulation), RPL (Recognition of Prior Learning).

Additional Notes: 'Customers' may refer to members, clients, trustees, third party companies or teams outside of your own. 'Stakeholders' may refer to any individual or team with an interest in the process undertaken.

UNIT CRITERIA

CATEGORY	REF	LEARNING OUTCOMES
Managing Your Own Workload	C4.01	Evidence work prioritisation of own workload.
Managing Your Own Workload	C4.02	Evidence consistent SLA delivery.
Managing Your Own Workload	C4.03	Evidence high level of accuracy.
Managing Your Own Workload	C4.04	Overcome obstacles or risks to delivery.
Contributing to Team Performance	C4.05	Evidence of team work prioritisation.
Contributing to Team Performance	C4.06	Checking work for others, with feedback.
Contributing to Team Performance	C4.07	Train other team members.
Contributing to Team Performance	C4.08	Share team workload to achieve team delivery goals.
Contributing to Team Performance	C4.09	Share MI in respect of team performance.

CATEGORY	REF	LEARNING OUTCOMES
MI Requirements	C4.10	Share MI in respect of scheme/client performance.
MI Requirements	C4.11	Keep all stakeholders informed.
Workflow Overall	C4.12	Understand how work is logged and allocated.
Workflow Overall	C4.13	Understand how work goes through checking stages before distribution.
Workflow Overall	C4.14	How to get in progress and completed work reports.
Workflow Overall	C4.15	Understand when it is appropriate to put cases on hold (pending).
Performance Overall	C4.16	Suggest an improvement to a system or process that would reduce risk and/or time taken.
Performance Overall	C4.17	Contribute to business development/update.

UNDERPINNING BEHAVIOURS

REF	LEARNING OUTCOMES
C4B.1	Demonstrate resiliency and agility.
C4B.2	Demonstrate ownership and accountability.
C4B.3	Demonstrate continued timeliness.
C4B.4	Demonstrate the ability to be both a Team leader and team player.

TECHNICAL REQUIREMENTS

REF	LEARNING OUTCOMES
C4T.1	Evidence understanding of disclosure requirements and penalties for failing to meet requirements

RANGE CRITERIA

REF	LEARNING OUTCOMES
C4R.1	Your own workload and team level.

UNIT C5 – COMMUNICATIONS

What is this unit about? The candidate will be required to demonstrate a high level of professional communication skills, with appropriate tones for different stakeholders. They must evidence communication across different platforms and with different levels of stakeholder.

Evidence Requirements: You must demonstrate, using a range of examples collected over a period of time, the underpinning knowledge required to cover all the criteria in this unit. Your evidence must show you can apply your understanding in practice through your daily job role.

Oral Assignment: This is the only EPPC unit with a requirement for an oral submission (criterion 5.16). Details of the Professional Discussion requirements are provided within a separate document.

Permitted Evidence Types: WP (Work Product), P (Personal Statement), O (Observation), WT (Witness Testimony), PD (Professional Discussion), T+A (Training and Assessment), S (Simulation), RPL (Recognition of Prior Learning).

Additional Notes: 'Customers' may refer to members, clients, trustees, third party companies or teams outside of your own. 'Stakeholders' may refer to any individual or team with an interest in the process undertaken.

UNIT CRITERIA

CATEGORY	REF	LEARNING OUTCOMES
Interpretation	C5.01	Understand the content/requirements of a member or client communication and validate.
Interpretation	C5.02	Reply to a member or client communication, covering all requirements.
Follow Procedure	C5.03	Follow correct procedures to produce and issue a member letter.
Follow Procedure	C5.04	Follow correct procedures to produce and issue a client communication.
Follow Procedure	C5.05	Save documentation to central place in accordance with correct process.
Prepare Written Communication	C5.06	Draft a communication (without template).
Prepare Written Communication	C5.07	Show use of templates is important and how they are maintained.
Monitoring	C5.08	Check and share feedback on a communication.
Monitoring	C5.09	Add an explanatory note to a case or project.

CATEGORY	REF	LEARNING OUTCOMES
Ownership	C5.10	Chasing and deadline setting.
Ownership	C5.11	Keep key stakeholders updated.
Security	C5.12	Demonstrate practical use of Encryption and Information Security.
Security	C5.13	Demonstrate GDPR in practice.
Meetings	C5.14	Lead a meeting.
Meetings	C5.15	Write up meeting notes and actions.
Oral	C5.16	Professional discussion. Hold a discussion around a process or scheme you are familiar with. **Assessment Method:** Criterion C5.16 must be assessed by means of a recorded Professional Discussion (PD) between the candidate and assessor. The discussion must be planned, recorded, mapped to the assessment criteria, and retained as assessment evidence.

UNDERPINNING BEHAVIOURS

REF	LEARNING OUTCOMES
C5B.1	Demonstrate use of appropriate tones with different stakeholders.
C5B.2	Demonstrate appropriate use of communication options (letter, email, IM, phone call, meeting, etc.).

TECHNICAL REQUIREMENTS

REF	LEARNING OUTCOMES
C5T.1	Evidence understanding of GDPR requirements
C5T.2	Understanding of disclosure requirements

RANGE CRITERIA

REF	LEARNING OUTCOMES
C5R.1	Individual and bulk communication.
C5R.2	All methods: email, phone, posted, IMs, meeting.
C5R.3	Use of templates and candidate drafted wording.

UNIT C6 – CHECKING AND CONTROLS

What is this unit about? The candidate will be required to demonstrate and evidence a high level of accuracy and accountability. That they recognise the importance of thorough checking and consequences of missed errors.

Evidence Requirements: You must demonstrate, using a range of examples collected over a period of time, the underpinning knowledge required to cover all the criteria in this unit. Your evidence must show you can apply your understanding in practice through your daily job role.

Permitted Evidence Types: WP (Work Product), P (Personal Statement), O (Observation), WT (Witness Testimony), PD (Professional Discussion), T+A (Training and Assessment), S (Simulation), RPL (Recognition of Prior Learning).

Additional Notes: 'Customers' may refer to members, clients, trustees, third party companies or teams outside of your own. 'Stakeholders' may refer to any individual or team with an interest in the process undertaken.

UNIT CRITERIA

CATEGORY	REF	LEARNING OUTCOMES
Self-Checks and Error Prevention	C6.01	Provides an example of a completed Self-Check log on a high-risk task, highlighting multiple steps taken to verify data accuracy before final submission.
Self-Checks and Error Prevention	C6.02	Submits an extract from a Process Manual, Scheme specific document or Trust Deed & Rules relating to task.
Self-Checks and Error Prevention	C6.03	Demonstrate reasonability checks carried out on calculation/ data.
Identify and Accurately Document Errors	C6.04	Demonstrate feedback given to a processor in relation to a data or other error found in a work item.
Identify and Accurately Document Errors	C6.05	Provides a before-and-after calculation sheet (or system screenshot) demonstrating the successful identification and correction of an error in a member's benefit projection or contribution record.
Mandatory checklists and Process Manuals	C6.06	Provides evidence that relevant authority and review limits were followed for a task.
Mandatory Checklists and Process Manuals	C6.07	Submits a completed and signed-off process checklist for a complex task including a peer review/four eyes check.
Mandatory Checklists and Process Manuals	C6.08	Cites the relevant section/page number of the Process Manual that mandates the use of a specific control for an outlined task.

CATEGORY	REF	LEARNING OUTCOMES
Standard Audit Requirements	C6.09	Identifies and provides a reference to the Internal Policy that meets the ISO 9001 requirement for document control related to checking procedures.
Standard Audit Requirements	C6.10	Provides a documented example of responding to auditor queries.
Financial Reconciliation and System Integrity	C6.11	Provides an example of a successfully reconciled cash or unit work item, highlighting the control step that identifies discrepancies.
Financial Reconciliation and System Integrity	C6.12	Provide an example of escalating a data query to a relevant party and followed to resolution.
Audit Trail Standards	C6.13	Provides a log or extract of a transaction's Audit Trail, highlighting the fields that record the date, time, and identity of the individual who performed the final check or approval.
Audit Trail Standards	C6.14	Evidence that all required back up documentation is being held in the relevant place.
Data Security and Access Controls	C6.15	Identifies the procedure used to request and verify access to restricted member data based on the principle of least privilege.
Data Security and Access Controls	C6.16	Evidence steps taken to prevent a potential data breach.

UNDERPINNING BEHAVIOURS

REF	LEARNING OUTCOMES
C6B.1	Submits a log of three instances where a potential error or anomaly was escalated to a supervisor or peer before processing, demonstrating that an issue was identified beyond basic system checks.
C6B.2	Provides two recent examples of work where a supervisor confirmed that all mandatory sign-offs and control steps were executed in the correct sequence and without shortcutting the documented process.
C6B.3	Presents an email proposing a process improvement to an existing checking procedure or control, along with evidence that the proposal was formally reviewed or implemented.
C6B.4	Submits an instance from the error log where the individual was responsible for a mistake, showing the completed Root Cause Analysis and the documented steps taken to prevent recurrence.

TECHNICAL REQUIREMENTS

REF	LEARNING OUTCOMES
C6T.1	Demonstrate knowledge of PASA standards for a particular task or process
C6T.2	Demonstrate knowledge of tPR disclosure requirements for a particular task or process

RANGE CRITERIA

REF	LEARNING OUTCOMES
C6R.1	Multiple schemes.
C6R.2	Multiple team members.

UNIT C7 – CUSTOMER SERVICE

What is this unit about? The candidate will be required to evidence their commitment to prioritising good customer service.

Evidence Requirements: You must demonstrate, using a range of examples collected over a period of time, the underpinning knowledge required to cover all the criteria in this unit. Your evidence must show you can apply your understanding in practice through your daily job role.

Permitted Evidence Types: WP (Work Product), P (Personal Statement), O (Observation), WT (Witness Testimony), PD (Professional Discussion), T+A (Training and Assessment), S (Simulation), RPL (Recognition of Prior Learning).

Additional Notes: 'Customers' may refer to members, clients, trustees, third party companies or teams outside of your own. 'Stakeholders' may refer to any individual or team with an interest in the process undertaken.

UNIT CRITERIA

CATEGORY	REF	LEARNING OUTCOMES
Client Focus	C7.01	Demonstrate the successful adaptation of language and process steps for different stakeholders.
Vulnerable Customers	C7.02	Demonstrate the successful adaptation of language and process steps for an identified vulnerable customer.
Vulnerable Customers	C7.03	How to identify a Vulnerable customer.
Vulnerable Customers	C7.04	Provides an extract from the Vulnerable Customer Policy and identifies the mandated procedure for escalating a case where a customer's vulnerability impacts their ability to make a sound financial decision.

CATEGORY	REF	LEARNING OUTCOMES
Service Metrics	C7.05	Defines the Net Promoter Score (NPS) and correctly identifies the difference between a Promoter, Passive, and Detractor in the context of pension administration service.
Service Metrics	C7.06	Provides Service Level Agreement (SLA) target for two key tasks and evidence two instances of meeting or exceeding these targets.
Service Metrics	C7.07	Evidence negative Customer Satisfaction (CSAT) or NPS feedback being formally reviewed and actioned.
Confidentiality and Data Protection	C7.08	Demonstrate Confidentiality/Data Protection Policy procedure for verifying a customer's identity before releasing sensitive pension data over the phone or via email.
Confidentiality and Data Protection	C7.09	Demonstrate appropriate use of data redaction or anonymisation techniques when sharing data.
Confidentiality and Data Protection	C7.10	Demonstrate reporting procedure to follow if sensitive data accidentally transmitted through an unsecure channel.
Timeliness, Follow-Through and Case Ownership	C7.11	Submits a case tracking log demonstrating full ownership of a complex query showing that the case was followed through to resolution without being abandoned or inappropriately reassigned or put on hold.
Timeliness, Follow-Through and Case Ownership	C7.12	Provides a communication that successfully sets and manages a customer's expectations regarding the timeliness of a complex process that exceeds the standard SLA.
Timeliness, Follow-Through and Case Ownership	C7.13	Evidence proactively providing a status update to a customer on a long-running query before the customer initiates contact for an update.
Written, Verbal and Digital Communication Standards	C7.14	Submits a redacted, professional written response to a formal customer complaint, adhering to the required tone, structure and mandated legal disclaimers.
Written, Verbal and Digital Communication Standards	C7.15	Evidence use of mandatory opening and closing statements for a verbal customer interaction, including required regulatory disclosures.
Written, Verbal and Digital Communication Standards	C7.16	Evidence accurately and concisely logging all key information and actions from a customer interaction.
Understand Pension-Specific Service Requirements	C7.17	Provides evidence of correctly explaining a key pension technical term to a customer using clear, non-technical language and where appropriate testing understanding.

UNDERPINNING BEHAVIOURS

REF	LEARNING OUTCOMES
C7B.1	PROACTIVE OWNERSHIP: Demonstrates a minimum of three instances where they took the initiative to contact another department or external party on behalf of the customer, without being prompted, to ensure query resolution.
C7B.2	CONSISTENT EMPATHY: Provides feedback from a supervisor or peer that confirms the Candidate consistently maintains a professional, empathetic, and patient tone across diverse and challenging customer interactions.
C7B.3	SERVICE RECOVERY: Provides documented example of a successful service recovery, where an error was admitted, rectified, and followed up on.
C7B.4	CONTINUOUS IMPROVEMENT: Evidence proposing an enhancement to the unit's customer-facing documentation or FAQ resource, aiming to reduce common customer confusion or queries.

TECHNICAL REQUIREMENTS

REF	LEARNING OUTCOMES
C7T.1	Understand GDPR: Demonstrate compliance with GDPR process
C7T.2	Show understanding of requirements for vulnerable customers

RANGE CRITERIA

REF	LEARNING OUTCOMES
C7R.1	Multiple clients.
C7R.2	Include Vulnerable and complaints.

Detailed Syllabus
Optional units

O1 – OPERATIONS AND PROCESS IMPROVEMENTS

What is this unit about? The candidate will be required to demonstrate a high level of knowledge around process improvement and change management. The candidate must provide practical examples of at least two improvement initiatives. Evidence should cover multiple schemes and include both Defined Benefit and Defined Contribution tasks.

Evidence Requirements: You must demonstrate, using a range of examples collected over a period of time, the underpinning knowledge required to cover all the criteria in this unit. Your evidence must show you can apply your understanding in practice through your daily job role.

Permitted Evidence Types: WP (Work Product), P (Personal Statement), O (Observation), WT (Witness Testimony), PD (Professional Discussion), T+A (Training and Assessment), S (Simulation), RPL (Recognition of Prior Learning)..

UNIT CRITERIA

CATEGORY	REF	LEARNING OUTCOMES
Demonstrate Understanding and Identify Potential Improvements	O1.01	Demonstrate how to identify where improvement may be required by reviewing member complaints, NPS feedback, errors and omissions, staff feedback, audit findings, and commonly missed deadlines.
Demonstrate Understanding and Identify Potential Improvements	O1.02	Demonstrate understanding of company structure including roles and responsibilities.
Demonstrate Understanding and Identify Potential Improvements	O1.03	Demonstrate understanding of when a self-managed change is appropriate versus when a formal business case is required.
Demonstrate Understanding and Identify Potential Improvements	O1.04	Demonstrate understanding of what modifications or updates may affect processes.
Demonstrate Understanding and Identify Potential Improvements	O1.05	Demonstrate how regular objective process reviews could capture potential issues.
Process Design	O1.06	Demonstrate understanding of what Management Information (MI) might be used to identify potential areas for improvement.
Process Design	O1.07	Design and map a process from end to end, or demonstrate experience in reading and following a process flow.
Process Design	O1.08	Demonstrate understanding of the fundamental process requirements (what the process is trying to achieve and what output is needed).
Process Design	O1.09	Demonstrate understanding of identifying what inputs are needed for the process to create the desired outputs.
Process Design	O1.10	Identify skills needed to undertake the process, who will perform the tasks, and resolve any gaps through re-design or training.
Process Design	O1.11	Identify potential risks and failures (what could go wrong).
Process Design	O1.12	Create a risk log to map risks, plan mitigations, and determine what controls are or should be in place.
Process Design	O1.13	Introduce controls to cover gaps and ensure post-mitigation risk is manageable.

CATEGORY	REF	LEARNING OUTCOMES
Standardisation	O1.14	Identify where processes are performed differently across teams or schemes.
Standardisation	O1.15	Demonstrate understanding of when deviation from standard process might be acceptable and how to control it.
Change Management	O1.16	Demonstrate communication of implemented change to those affected.
Change Management	O1.17	Demonstrate training and guidance at rollout of change or for a new process.
Change Management	O1.18	Demonstrate how change is embedded by obtaining staff buy-in and introducing a period of process audit and feedback.
Change Management	O1.19	Demonstrate how continued regular audit ensures the standard process remains in place.
Change Management	O1.20	Demonstrate understanding of what MI might be used to identify whether change is embedded.
Process improvement in practice	O1.21	Demonstrate how to implement and embed a process improvement or change
Process improvement in practice	O1.22	Monitor and evaluate the success of a process improvement or change initiative

UNDERPINNING BEHAVIOURS

REF	LEARNING OUTCOMES
O1B.1	Demonstrate a Continuous Improvement mindset.
O1B.2	Demonstrate understanding of teams and processes outside the process you are reviewing.
O1B.3	Demonstrate understanding of the importance of collaboration.

TECHNICAL REQUIREMENTS

REF	LEARNING OUTCOMES
O1T.1	Demonstrate understanding of the principles of Continuous Improvement.
O1T.2	Demonstrate understanding of the stages of process improvement, from identification to embedding.

RANGE CRITERIA

REF	LEARNING OUTCOMES
O1R.1	Local self-managed and business-wide initiatives.
O1R.2	DB and DC examples.
O1R.3	Various processes/task types.
O1R.4	Self-managed change and contribution to larger initiatives.

O2 – MANAGING OPERATIONAL RISK IN OCCUPATIONAL PENSION SCHEMES

What is this unit about? The candidate will be required to demonstrate a high level of technical knowledge and practical examples of how risk is managed in occupational pension schemes. Candidates must demonstrate a risk-aware mindset with several examples from their role.

Evidence Requirements: You must demonstrate, using a range of examples collected over a period of time, the underpinning knowledge required to cover all the criteria in this unit. Your evidence must show you can apply your understanding in practice through your daily job role.

Permitted Evidence Types: WP (Work Product), P (Personal Statement), O (Observation), WT (Witness Testimony), PD (Professional Discussion), T+A (Training and Assessment), S (Simulation), RPL (Recognition of Prior Learning).

UNIT CRITERIA

CATEGORY	REF	LEARNING OUTCOMES
General	O2.01	Demonstrate how the following roles are responsible for managing risk in a pension scheme and identify some key risks: Client, Trustee, Actuary, Lawyer, Administrator.
General	O2.02	Demonstrate understanding of the role of regulators in managing risk: The Pensions Regulator, HMRC, PASA.
Documentation and Reporting	O2.03	Demonstrate understanding of the governing documentation required for an occupational pension scheme.
Documentation and Reporting	O2.04	Demonstrate understanding of how Annual Report & Accounts requirements mitigate risk.
Documentation and Reporting	O2.05	Demonstrate understanding of how Scheme Returns add controls to reduce pension scheme risk.
Documentation and Reporting	O2.06	Demonstrate understanding of how Scheme Event Reports add controls to reduce pension scheme risk.

CATEGORY	REF	LEARNING OUTCOMES
Defined Benefit	O2.07	Demonstrate how Defined Benefit Actuarial Valuations act as a control to reduce risk and what correspondence members should receive.
Defined Benefit	O2.08	Demonstrate the effect of errors in administration or data quality on benefit calculations.
Defined Benefit	O2.09	Describe the key risks for DB processes.
Defined Contribution	O2.10	Demonstrate how the Statement of Investment Principles (SIP) acts as a control in Defined Contribution schemes.
Defined Contribution	O2.11	Demonstrate understanding of how Lifestyle or Target Date switches are high risk and what controls are in place.
Defined Contribution	O2.12	Describe the key risks for DC processes.
Managing Known Risks	O2.13	Demonstrate controls in place to reduce risk on processes you work on.
Managing Known Risks	O2.14	Demonstrate understanding of what changes may create opportunity for risk.
Managing Known Risks	O2.15	Maintain an issues log.
Identifying Risk	O2.16	Demonstrate ability to identify risks, how to mitigate them, and who should be informed.
Identifying Risk	O2.17	Demonstrate understanding of how identified risk may affect other teams or processes.
Identifying Risk	O2.18	Create a risk log for a task you are working on.
Other	O2.19	Demonstrate how segregation of duties is applied in daily pension scheme management.
Other	O2.20	Demonstrate an example of how the risk of collusion is mitigated.
Other	O2.21	Demonstrate understanding of how a conflict of interest poses a risk to running a pension scheme.
Other	O2.22	Demonstrate understanding of how to identify suspicious activity or behaviour for possible fraud.

CATEGORY	REF	LEARNING OUTCOMES
Administration Considerations	O2.23	Show how poor staff training can increase risk.
Administration Considerations	O2.24	Show how risk controls are in place on company systems, including access and authority levels.
Administration Considerations	O2.25	Demonstrate understanding of the member data requirements set out by PASA.
Errors and Omissions	O2.26	Demonstrate understanding of the company Errors & Omissions process.
Errors and Omissions	O2.27	Perform a root cause analysis to determine how an error occurred.
Errors and Omissions	O2.28	Take action to mitigate future risks in an area where an issue has occurred.

UNDERPINNING BEHAVIOURS

REF	LEARNING OUTCOMES
O2B.1	Demonstrate a risk-aware mindset.
O2B.2	Demonstrate accountability and transparency.

TECHNICAL REQUIREMENTS

REF	LEARNING OUTCOMES
O2T.1	Show you are up to date on all company mandatory trainings and CPD.
O2T.2	Demonstrate understanding of the company Risk Taxonomy – what is included and what is it for?

RANGE CRITERIA

REF	LEARNING OUTCOMES
O2R.1	Demonstrate at least one example of referral to a subject matter expert.
O2R.2	Demonstrate consideration of risk outside your own team.

O3 – MANAGING TEAM PERFORMANCE AND DEVELOPMENT

What is this unit about? The candidate will be required to demonstrate a high level of practical skill and experience of team management and acting in a supervisory capacity.

Evidence Requirements: You must demonstrate, using a range of examples collected over a period of time, the underpinning knowledge required to cover all the criteria in this unit. Your evidence must show you can apply your understanding in practice through your daily job role.

Permitted Evidence Types: WP (Work Product), P (Personal Statement), O (Observation), WT (Witness Testimony), PD (Professional Discussion), T+A (Training and Assessment), S (Simulation), RPL (Recognition of Prior Learning).

UNIT CRITERIA

CATEGORY	REF	LEARNING OUTCOMES
People Management	O3.01	Conduct regular one-to-one meetings with team members to review performance, goals, and concerns.
People Management	O3.02	Provide coaching, mentoring, and career development support.
People Management	O3.03	Manage team workload and allocate tasks fairly.
People Management	O3.04	Handle conflict resolution and promote positive team culture.
People Management	O3.05	Recognise and reward achievements.
Performance and Goal Setting	O3.06	Set clear objectives aligned with organisational goals.
Performance and Goal Setting	O3.07	Monitor KPIs and performance metrics.
Performance and Goal Setting	O3.08	Conduct performance reviews and provide constructive feedback.
Performance and Goal Setting	O3.09	Identify underperformance and implement improvement plans.

CATEGORY	REF	LEARNING OUTCOMES
Operational Management	O3.10	Plan and prioritise team activities to meet deadlines.
Operational Management	O3.11	Ensure compliance with company policies and procedures.
Operational Management	O3.12	Manage resources (time, budget, tools) effectively.
Operational Management	O3.13	Oversee process adherence and quality standards.
Communication and Collaboration	O3.14	Facilitate regular team meetings and updates.
Communication and Collaboration	O3.15	Act as liaison between team and senior management.
Communication and Collaboration	O3.16	Promote cross-functional collaboration.
Communication and Collaboration	O3.17	Communicate organisational changes clearly to the team.
Change and Continuous Improvement	O3.18	Identify areas for process improvement.
Change and Continuous Improvement	O3.19	Lead change initiatives and manage transition.
Change and Continuous Improvement	O3.20	Gather feedback post-change and embed improvements.
Change and Continuous Improvement	O3.21	Encourage innovation and new ideas from team members.
Risk and Issue Management	O3.22	Identify potential risks affecting team delivery.
Risk and Issue Management	O3.23	Maintain issue log and track resolutions.
Risk and Issue Management	O3.24	Escalate critical risks to senior management.

UNDERPINNING BEHAVIOURS

REF	LEARNING OUTCOMES
O3B.1	Demonstrate empathy and emotional intelligence.
O3B.2	Show resilience under pressure.
O3B.3	Encourage collaboration and inclusivity.
O3B.4	Uphold integrity and fairness.

TECHNICAL REQUIREMENTS

REF	LEARNING OUTCOMES
O3T.1	Demonstrate understanding of leadership principles and management frameworks.
O3T.2	Demonstrate understanding of performance management systems and HR policies.
O3T.3	Demonstrate ability to use reporting tools, dashboards and MI for decision making.
O3T.4	Demonstrate understanding of the project management steps (planning, execution, monitoring, closure).

RANGE CRITERIA

REF	LEARNING OUTCOMES
O3R.1	Manage both local team-level initiatives and contribute to wider organisational projects.
O3R.2	Demonstrate a people management approach (e.g., performance coaching or improvement example).
O3R.3	Demonstrate cross-functional collaboration.
O3R.4	Lead self-managed initiatives while also contributing to organisational change.

O4 – UNDERSTANDING PENSION SCHEME FINANCES

What is this unit about? The candidate will be required to demonstrate a high level of technical knowledge and practical examples of how finances are managed in occupational pension schemes. Evidence should cover multiple schemes and include both DB and DC tasks.

Evidence Requirements: You must demonstrate, using a range of examples collected over a period of time, the underpinning knowledge required to cover all the criteria in this unit. Your evidence must show you can apply your understanding in practice through your daily job role.

Permitted Evidence Types: WP (Work Product), P (Personal Statement), O (Observation), WT (Witness Testimony), PD (Professional Discussion), T+A (Training and Assessment), S (Simulation), RPL (Recognition of Prior Learning).

UNIT CRITERIA

CATEGORY	REF	LEARNING OUTCOMES
General	O4.01	Demonstrate understanding of the difference between DB Asset Managers and DC Investment Managers.
General	O4.02	Demonstrate understanding of the roles of the client, trustee and scheme actuary.
General	O4.03	Demonstrate understanding why segregation of duties is an important control.
General	O4.04	Run a cashbook and demonstrate understanding of the detail.
General	O4.05	Investigate a receipt or payment using banking applications.
Cash Payment System	O4.06	Demonstrate the receipting process and controls in place.
Cash Payment System	O4.07	Demonstrate payment authorisation and controls in place.
Cash Payment System	O4.08	Demonstrate receipt of contributions and the steps that follow.

CATEGORY	REF	LEARNING OUTCOMES
Defined Benefit	O4.09	Demonstrate implementation of a cashflow forecast.
Defined Benefit	O4.10	Demonstrate external AVC disinvestment receipting, reporting, and understanding of ongoing settlement activity.
Defined Benefit	O4.11	Show how scheme Valuations are part of the management of pension scheme finances.
Defined Benefit	O4.12	Demonstrate and explain invoice processing and payment.
Defined Benefit	O4.13	Prepare or amend a Cashflow policy document.
Defined Contribution	O4.14	Demonstrate implementation of a Unit Reconciliation, including resolution of queries.
Defined Contribution	O4.15	Demonstrate implementation of a Contribution Allocation, from receipt to confirmation of investment.
Defined Contribution	O4.16	Demonstrate implementation of Lifestyle switch, Rebalancing switch or Target Dated Fund switch.
Defined Contribution	O4.17	Demonstrate implementation of a member requested switch event.
Defined Contribution	O4.18	Demonstrate implementation of Bank Reconciliation, including resolution of queries.
Defined Contribution	O4.19	Show how a member's age and attitude to risk may affect their benefits.
Defined Contribution	O4.20	Perform rectification and historical review.
Other	O4.21	Overseas payment processing including the returns process.
Other	O4.22	Processing different payment types – Faster Payments, CHAPS, Swift, BACS and cheques.
Other	O4.23	Accounting for Tax payment processing.

UNDERPINNING BEHAVIOURS

REF	LEARNING OUTCOMES
O4B.1	Demonstrate why strong controls are required at various key stages.
O4B.2	Demonstrate how accuracy is prioritised at all times.

TECHNICAL REQUIREMENTS

REF	LEARNING OUTCOMES
O4T.1	Show how pension scheme finances are affected by government sanctions.
O4T.2	Demonstrate understanding of Disclosure requirements as they apply to pension scheme finances.

RANGE CRITERIA

REF	LEARNING OUTCOMES
O4R.1	Evidence should cover DB and DC schemes.
O4R.2	Evidence should demonstrate doer and checker roles.

O5 – DEVELOPING AND DELIVERING PRESENTATIONS

What is this unit about? The candidate will be required to demonstrate the ability to develop and deliver effective presentations, from audience analysis and content structuring through to confident delivery and post-presentation evaluation.

Evidence Requirements: You must demonstrate, using a range of examples collected over a period of time, the underpinning knowledge required to cover all the criteria in this unit. Your evidence must show you can apply your understanding in practice through your daily job role.

Permitted Evidence Types: WP (Work Product), P (Personal Statement), O (Observation), WT (Witness Testimony), PD (Professional Discussion), T+A (Training and Assessment), S (Simulation), RPL (Recognition of Prior Learning).

UNIT CRITERIA

CATEGORY	REF	LEARNING OUTCOMES
Data Collation	O5.01	Audience Profiling: Research and define the target audience's existing knowledge level, expectations, and potential biases.
Data Collation	O5.02	Objective Setting: Establish clear, measurable goals for the presentation.
Data Collation	O5.03	Logical Structuring: Organise content into a coherent narrative flow. Including a 'hook', key themes and a call to action
Data Collation	O5.04	Visual Design Principles: Apply design standards such as 'rule of thirds', appropriate colour contrast and font legibility.
Data Collation	O5.05	Data Visualisation: Simplify complex data into easily digestible charts or infographics.
Preparation	O5.06	Software Proficiency: Demonstrate advanced use of presentation tools.
Preparation	O5.07	Handout Development: Create supplementary materials.
Preparation	O5.08	Time Allocation: Script and time the presentation.
Preparation	O5.09	Platform Adaptation: Tailor delivery for different environments.
Preparation	O5.10	Signposting: Use verbal and visual transitions to guide the audience through different sections of the presentation
Delivery	O5.11	Audience Engagement: Use interactive elements.
Delivery	O5.12	Q&A Facilitation: Manage question-and-answer sessions effectively, including handling "curveball" questions with poise.
Delivery	O5.13	Active Listening: Interpret audience body language and verbal cues to adjust the delivery style in real-time.
Delivery	O5.14	Cultural Sensitivity: Use inclusive language, and examples appropriate for a diverse professional audience
Delivery	O5.15	Non-Verbal Communication: Use open body language, purposeful movement and eye contact.
Post Analysis	O5.16	Self-Reflection & Feedback: Evaluate success using audience feedback and personal reflection

UNDERPINNING BEHAVIOURS

REF	LEARNING OUTCOMES
O5B.1	Delivery Confidence: Demonstrate techniques to maintain composure and a professional presence under pressure.
O5B.2	Vocal Variety: Modulate pitch, pace, and volume.

TECHNICAL REQUIREMENTS

REF	LEARNING OUTCOMES
O5T.1	Technical Troubleshooting: Conduct a tech check.
O5T.2	Accessibility Compliance: Ensure materials are accessible.

RANGE CRITERIA

REF	LEARNING OUTCOMES
O5R.1	Demonstrate more than one presentation type and audience.
O5R.2	Demonstrate experience of using different media relevant to the task.

O6 – ANALYSING DATA TO SUPPORT DECISION MAKING

What is this unit about? The candidate will be required to demonstrate the ability to transform organisational data into actionable insights that drive informed decision-making across the full data lifecycle.

Evidence Requirements: You must demonstrate, using a range of examples collected over a period of time, the underpinning knowledge required to cover all the criteria in this unit. Your evidence must show you can apply your understanding in practice through your daily job role.

Permitted Evidence Types: WP (Work Product), P (Personal Statement), O (Observation), WT (Witness Testimony), PD (Professional Discussion), T+A (Training and Assessment), S (Simulation), RPL (Recognition of Prior Learning).

UNIT CRITERIA

CATEGORY	REF	LEARNING OUTCOMES
Data Collation	O6.01	Data Sourcing: Identify and extract relevant data from internal systems and external sources.
Data Collation	O6.02	Data Quality: Perform data validation and rectify errors, duplicates, or missing values to align quality to tPR common scheme specific requirements
Data Collation	O6.03	Data Cleansing: Demonstrate relevance of Data Improvement plans.
Data Collation	O6.04	Statistical Application: Apply descriptive statistics to summarise data sets.
Data Collation	O6.05	Trend Analysis: Identify patterns and historical trends.
Preparation	O6.06	Tool Proficiency: Demonstrate advanced use of spreadsheet or BI tools, or other analysis tools
Data Visualisation	O6.07	Create appropriate charts, graphs, reports or dashboards that represent complex information
Data Visualisation	O6.08	KPI Benchmarking: Compare performance against indicators or standards.
Data Visualisation	O6.09	Root Cause Analysis: Use data-driven techniques to identify cause of an issue
Data Visualisation	O6.10	Data Integration: Combine data from multiple sources to provide a holistic view of a business problem
Reporting Results	O6.11	Reporting Frameworks: Structure formal reports with methodology, findings, and recommendations.
Reporting Results	O6.12	Critical Thinking: Challenge assumptions and identify biases.
Reporting Results	O6.13	Stakeholder Collaboration: Define questions the analysis needs to answer.
Reporting Results	O6.14	Client Commercial Awareness: Link insights to strategic goals.
Reporting Results	O6.15	Adaptability: Learn new analytical software or pivot when new data becomes available.
Reporting Results	O6.16	Proactive Problem Solving: Identify potential issues through a data maintenance plan, before they become critical.
Reporting Results	O6.17	Business Commercial Awareness: Link data insights to organisational goals.
Data Rectification	O6.18	Clarification/Correction: Demonstrate timely and accurate rectification of data.
Proactive Quality	O6.19	Tracing and Mortality: Demonstrate understanding and importance of regular screening.

UNDERPINNING BEHAVIOURS

REF	LEARNING OUTCOMES
O6B.1	Ethical Integrity: Maintain objectivity when interpreting data.
O6B.2	Attention to Detail: Maintain precision and ensure data security and confidentiality.

TECHNICAL REQUIREMENTS

REF	LEARNING OUTCOMES
O6T.1	Regulatory Compliance: Demonstrate compliance with TPR data accuracy requirements.
O6T.2	Communication of Complexity: Translate technical findings into plain English.

RANGE CRITERIA

REF	LEARNING OUTCOMES
O6R.1	Demonstrate over multiple schemes, including both common and scheme-specific data.
O6R.2	Demonstrate experience of preparing, checking data, and providing feedback for different audiences.

O7 – GMP

What is this unit about? The candidate will be required to demonstrate a high level of knowledge of Guaranteed Minimum Pension (GMP) benefits and the approaches required to equalise these benefits . Candidates must show a practical understanding of how GMP Equalisation impacts different categories of member, the activities required by trustees, and the changes needed to member calculations and administrative processes. Evidence should cover multiple schemes and approaches.

Evidence Requirements: You must demonstrate, using a range of examples collected over a period of time, the underpinning knowledge required to cover all the criteria in this unit. Your evidence must show you can apply your understanding in practice through your daily job role.

Permitted Evidence Types: WP (Work Product), P (Personal Statement), O (Observation), WT (Witness Testimony), T+A (Training and Assessment), S (Simulation), RPL (Recognition of Prior Learning).

UNIT CRITERIA

CATEGORY	REF	LEARNING OUTCOMES
What is Guaranteed Minimum Pension?	O7.01	Demonstrate an understanding of SERPS and contracting-out in the context of UK defined benefit pension schemes
What is Guaranteed Minimum Pension?	O7.02	Demonstrate understanding of the specific gender-based differences inherent in GMP benefits including retirement ages
What is Guaranteed Minimum Pension?	O7.03	Demonstrate understanding of the member benefits provided by GMP e.g. revaluation and in payment increases, and the administration implications
Key legal cases and framework	O7.04	Show understanding of the key legal cases and key dates, including Barber and Lloyds Banking Group cases
Key legal cases and framework	O7.05	Demonstrate an understanding of the practical implications of the Legal cases e.g. categories of impacted members and actions required by trustees
Key legal cases and framework	O7.06	Show understanding of HMRC guidance and developments related to GMP. This could reference anti-franking regulations, the Deferred Member Carves Out, the split of Pre/Post 88 GMP, etc.
GMP reconciliation and rectification	O7.07	Understanding of scheme requirements to reconcile GMP records, HMRC services and the practical steps required by trustees e.g. dealing with discrepancies
GMP reconciliation and rectification	O7.08	Understanding of GMP rectification i.e. benefit adjustments as a pre-requisite to or in combination with GMP equalisation including interest and arrears
GMP equalisation methodologies	O7.09	Demonstrate understanding of the key equalisation methodologies (A, B, C, D) and their differences
GMP equalisation methodologies	O7.10	Demonstrate understanding of dual records approach including opposite sex comparator record keeping and processes
GMP equalisation methodologies	O7.11	Demonstrate understanding of conversion approach and requirements for actuarial calculations and certification
GMP equalisation methodologies	O7.12	Demonstrate understanding of key responsibilities in selecting an appropriate methodology and implementing the solution, including trustees, the sponsoring employer, the administrator and other advisers
Member benefit adjustment	O7.13	Demonstrate understanding of member communication and settlement approaches for different categories of member, including bulk and or ongoing at retirement.
Member benefit adjustment	O7.14	Understanding of the interest and arrears required to be settled.
Member benefit adjustment	O7.15	Demonstrate an understanding of the different categories, options and practical challenges for equalising 'no further liability' members
Other administration and practical implications	O7.16	Demonstrate understanding of updates required to administration systems for each methodology and category of member.
Other administration and practical implications	O7.17	Demonstrate an understanding of the impact of GMP equalisation on scheme pro-formas, models and automated member processes.
Other administration and practical implications	O7.18	Demonstrate an understanding of how GMPE affects various member scenarios and calculation routines.

UNDERPINNING BEHAVIOURS

CATEGORY	REF	LEARNING OUTCOMES
Underpinning Behaviours	O7B.1	Proactive learning of what is required for the task to be performed and how your schemes are affected
Underpinning Behaviours	O7B.2	Attention to detail and prioritising accuracy in all calculations

TECHNICAL REQUIREMENTS

CATEGORY	REF	LEARNING OUTCOMES
Technical Requirements	O7T.1	Demonstrate an awareness of LTA considerations. LTA awareness would refer to uplifts created as part of a project and that there could be taxation requirements.
Technical Requirements	O7T.2	Demonstrate an awareness of Annual Allowance considerations. AA awareness applies to conversion of deferred members in bulk (during a project) or as part of a conversion at retirement project, could invalidate the DMCO and would thus require an AA check.

RANGE CRITERIA

CATEGORY	REF	LEARNING OUTCOMES
Range Criteria	O7R.1	Evidence to include calculation examples of pensioner/ retirement events and either active or deferred (e.g. transfer out)
Range Criteria	O7R.2	Evidence to include examples of bulk and individual calculations or queries.

O8 – DE-RISKING IN OCCUPATIONAL PENSION SCHEMES

What is this unit about? The candidate will be required to demonstrate a high level of technical knowledge and practical examples of how trustees look to reduce risk and cost in the management of occupational pension schemes. The candidate must demonstrate various options that are open to trustees and include at least one implementation. Evidence should cover multiple schemes and include both DB and DC scheme types.

Note: Movements from final-salary DB benefits to CARE or other salary-linked benefit structures are not regarded as de-risking for the purposes of this unit.

Evidence Requirements: You must demonstrate, using a range of examples collected over a period of time, the underpinning knowledge required to cover all the criteria in this unit. Your evidence must show you can apply your understanding in practice through your daily job role.

Permitted Evidence Types: WP (Work Product), P (Personal Statement), O (Observation), WT (Witness Testimony), PD (Professional Discussion), T+A (Training and Assessment), S (Simulation), RPL (Recognition of Prior Learning).

UNIT CRITERIA

CATEGORY	REF	LEARNING OUTCOMES
General	O8.01	Demonstrate knowledge of what projects are included in the term De-Risking (Liability projects; wind up, trivial commutation, WULS; Annuity Purchases; BPA, Buy In, Buy Out).
General	O8.02	Demonstrate an understanding of common De-Risking terminology: Buy-In vs Buy Out, Pre Transaction vs Post Transaction, Premium Adjustment, Materiality Clauses.
General	O8.03	Demonstrate understanding of Disclosure requirements for deadlines on Privacy Notice, Wind-Up Notice, Section 74 letters and Government Gazette adverts.
General	O8.04	Show understanding of the terms and conditions of a Bulk Purchase Annuity contract.
Defined Contribution	O8.05	Demonstrate understanding of DC wind-up requirements.
Defined Contribution	O8.06	Demonstrate understanding of DC scheme transfer to Master Trust (or CDC).
Defined Contribution	O8.07	Demonstrate how to check data quality and scheme readiness for De-Risking.
Defined Benefit	O8.08	Demonstrate understanding of the key steps in a Buy-In.
Defined Benefit	O8.09	Demonstrate understanding of the key steps in a Buy-Out.
Defined Benefit	O8.10	Demonstrate understanding of the key steps in a Pension Increase Exchange.

CATEGORY	REF	LEARNING OUTCOMES
Defined Benefit	O8.11	Demonstrate understanding of the key steps in an Enhanced Transfer Out project.
Defined Benefit	O8.12	Demonstrate understanding of the key steps in a Wind-up, including WULS.
Defined Benefit	O8.13	Demonstrate understanding of the key steps in a Trivial Commutation project.
Member Considerations	O8.14	Demonstrate options available to members who are included in Liability only De-Risking projects.
Member Considerations	O8.15	What member situations may hold up completion of a Buy-In or Buy-Out project?
Member Considerations	O8.16	What correspondence/notification must be issued to members, when and by whom?
Calculations	O8.17	Demonstrate understanding of what data should be held on member records for different statuses.
Calculations	O8.18	Show you can read and understand scheme Benefit Specifications for scheme calculations.
Calculations	O8.19	Demonstrate a member data extract based on requirements from a third party.
Calculations	O8.20	Demonstrate understanding of how IR Max or Anti-Franking may affect calculations.
Calculations	O8.21	Perform De-Risking calculations for multiple members.
Calculations	O8.22	Review and feedback on De-Risking calculations for multiple members.
Trustee Considerations	O8.23	Demonstrate how trustees formally notify HMRC of a scheme wind up.
Trustee Considerations	O8.24	Demonstrate action to take when a scheme's Benefit Specification document does not match actual practice.
Trustee Considerations	O8.25	Demonstrate how data cannot be shared with a third party without trustee consent.
Trustee Considerations	O8.26	Demonstrate another area where trustee approval or discretion is required.
Post-Project Considerations	O8.27	Demonstrate changes to daily process after a Buy-In is implemented.
Post-Project Considerations	O8.28	Demonstrate changes to daily process after a Pension Increase Exchange is implemented.

UNDERPINNING BEHAVIOURS

REF	LEARNING OUTCOMES
O8B.1	Demonstrate a methodical and analytical mindset.
O8B.2	Demonstrate an understanding of why tasks are performed, not just how to do them.

TECHNICAL REQUIREMENTS

REF	LEARNING OUTCOMES
O8T.1	Show understanding of the Barber Judgement.
O8T.2	Show understanding of how GMP Equalisation affects De-Risking projects.

RANGE CRITERIA

REF	LEARNING OUTCOMES
O8R.1	Demonstrate both individual and bulk manual calculations.
O8R.2	Demonstrate experience of processing projects and member calculations.

O9 – PENSIONS AND DIVORCE

What is this unit about? The candidate will be required to demonstrate a high level of technical knowledge and practical examples of how divorce affects pension benefits. Evidence should cover multiple schemes and member statuses.

Evidence Requirements: You must demonstrate, using a range of examples collected over a period of time, the underpinning knowledge required to cover all the criteria in this unit. Your evidence must show you can apply your understanding in practice through your daily job role.

Permitted Evidence Types: WP (Work Product), P (Personal Statement), O (Observation), WT (Witness Testimony), PD (Professional Discussion), T+A (Training and Assessment), S (Simulation), RPL (Recognition of Prior Learning).

UNIT CRITERIA

CATEGORY	REF	LEARNING OUTCOMES
General	O9.01	Demonstrate understanding of various terminology, including Disqualifying Pension Credit, Non-Disqualifying Pension Debit, Pension Sharing Order, etc. Effective Date, Valuation Date
General	O9.02	Demonstrate understanding of the difference between Decree Nisi/Conditional Order and Decree Absolute/Final Order.
General	O9.03	Demonstrate understanding of the difference between English/Welsh, Scottish and Northern Irish requirements, both at initial CETV and implementation
General	O9.04	Demonstrate understanding of what Scheme decisions are required to determine Divorce Policy and potential Scheme Rules Restrictions.
Divorce CETV Quotations	O9.05	Demonstrate how to identify provision of information for disclosure, the relevant deadlines and consequences for breaching the requirements.
Divorce CETV Quotations	O9.06	Demonstrate understanding of what data is required, whether it can be provided free of charge and to whom it can be issued.
Divorce CETV Quotations	O9.07	Demonstrate understanding of how to share information if a member has more than one benefit in the scheme.
Receipt of Earmarking Order	O9.08	Demonstrate understanding of what benefits can be earmarked, what paperwork is required and how to check validity and interpretation.
Receipt of Earmarking Order	O9.09	Demonstrate understanding of Disclosure requirements including deadlines, recording on database and correspondence.
Receipt of Earmarking Order	O9.10	Demonstrate understanding of how an Earmarking Order affects BAU tasks.
Earmarking in Benefit Settlements	O9.11	Demonstrate how an Earmarking Order affects various settlement types.
Earmarking in Benefit Settlements	O9.12	Demonstrate when Earmarking may cease to apply.
Earmarking in Benefit Settlements	O9.13	Demonstrate when it is appropriate and how to correspond with the ex-spouse.
Receipt of Pension Sharing Order	O9.14	Demonstrate understanding of what Court paperwork is required and how to check validity.
Receipt of Pension Sharing Order	O9.15	Demonstrate understanding of disclosure requirements including deadlines, recording and correspondence.
Receipt of Pension Sharing Order	O9.16	Demonstrate understanding of when the parties can be charged for pension sharing.
Receipt of Pension Sharing Order	O9.17	Demonstrate understanding of when the implementation period can be postponed.
Receipt of Pension Sharing Order	O9.18	Demonstrate understanding of when ex-spouse might be awarded membership in the scheme.
Receipt of Pension Sharing Order	O9.19	Demonstrate understanding of the Final Valuation required for implementation.
Receipt of Pension Sharing Order	O9.20	Demonstrate Implementation of a Pension Sharing Order including pension credit transfer, pension debit and record updates.
Receipt of Pension Sharing Order	O9.21	Demonstrate understanding of when and how charges can be deducted from the CETV
Receipt of Pension Sharing Order	O9.22	Demonstrate how the Pension Debit calculation may be affected by Lifestyle switching or Scheme Pays.
PSO in Benefit Settlements	O9.23	Ongoing maintenance including Pensions Debit revaluation and future quotation/statements figures
PSO in Benefit Settlements	O9.24	Demonstrate understanding of the consequence of late payment and Disclosure breach and the conditions where an extension might be granted
PSO in Benefit Settlements	O9.25	Demonstrate how Pension Debit is revalued
Ongoing Maintenance	O9.26	Demonstrate how Pension Debit is considered in a member's retirement quotation

UNDERPINNING BEHAVIOURS

REF	LEARNING OUTCOMES
O9B.1	Attention to detail, including thorough checking that paperwork is valid.
O9B.2	Taking ownership to ensure all Disclosure targets are met.

TECHNICAL REQUIREMENTS

REF	LEARNING OUTCOMES
O9T.1	Disclosure requirements for deadlines and content of correspondence.
O9T.2	When Vulnerable Customer considerations apply.
O9T.3	Data Protection regarding who information can be shared with.

RANGE CRITERIA

REF	LEARNING OUTCOMES
O9R.1	Evidence across multiple member statuses.
O9R.2	Evidence across multiple scheme types (DB + DC).
O9R.3	Scottish and non-Scottish examples.

Detailed Syllabus
Specialist units

S1 – MEMBER EVENTS

What is this unit about? The candidate will be required to demonstrate a high level of practical skill and knowledge around regular member and third-party requests and benefit settlements. The candidate must demonstrate practical examples of every process type.

Evidence Requirements: You must demonstrate, using a range of examples collected over a period of time, the underpinning knowledge required to cover all the criteria in this unit. Your evidence must show you can apply your understanding in practice through your daily job role.

Permitted Evidence Types: WP (Work Product), P (Personal Statement), O (Observation), WT (Witness Testimony), PD (Professional Discussion), T+A (Training and Assessment), S (Simulation), RPL (Recognition of Prior Learning).

UNIT CRITERIA

CATEGORY	REF	LEARNING OUTCOMES
General Enquiry	S1.01	Perform or check a personal data change following a member request.
General Enquiry	S1.02	Correctly identify and respond to a member or third-party query.
New Joiners	S1.03	Create a member record for a new scheme member.
New Joiners	S1.04	Demonstrate understanding of Auto-Enrolment and Auto-Re-enrolment.
New Joiners	S1.05	Demonstrate understanding of what it means to be a Life Assurance Only member.
Leavers	S1.06	Perform or check a DB leaver case.
Leavers	S1.07	Perform or check a DC leaver case.
Leavers	S1.08	Demonstrate understanding of the options available to a short service leaver.
Special Circumstances	S1.09	Demonstrate understanding of how Pension Sharing Orders and Earmarking Orders affect members' benefits.
Special Circumstances	S1.10	Demonstrate understanding of how Scheme Pays is accrued and how it affects members' benefits.
Special Circumstances	S1.11	Demonstrate understanding of how Transfers In buy benefits in a scheme and how member benefits are affected.

CATEGORY	REF	LEARNING OUTCOMES
Defined Contribution	S1.12	Demonstrate understanding of how a member becomes subject to the MPAA and the effect on their contribution allowance.
Defined Contribution	S1.13	Demonstrate understanding of the DC contribution allocation and investment process.
Defined Contribution	S1.14	Demonstrate understanding of the types of fund choices available to members (e.g., Lifestyle, Target Dated Funds, free selection) and how TDF affects DC benefits.
Defined Benefit	S1.15	Demonstrate understanding of how revaluation and scheme factors are used in DB calculations.
Defined Benefit	S1.16	Demonstrate understanding of how GMP Equalisation can affect member calculations.
Defined Benefit	S1.17	Provide evidence of standard accrual, CARE and Salary-linked DB calculations, including Final Pensionable Salary calculations.
Cross Process Tasks	S1.18	Demonstrate understanding of governing scheme documentation, including scheme booklets, Trust Deed & Rules, benefit specifications, etc.
Cross Process Tasks	S1.19	Demonstrate understanding of data shared with members via Pensions Dashboard.
Cross Process Tasks	S1.20	Demonstrate understanding of AVCs (administered internally and externally) and FSAVCs.
RANGE CRITERIA SR1.3 AND SR1.4 APPLY TO THE FOLLOWING CRITERIA		
Quotations	S1.21	Perform two different types of retirement quotation (e.g., early, normal, late, ill health, UFPLS).
Quotations	S1.22	Perform a transfer out calculation.
Quotations	S1.23	Perform a death benefits quotation.
Quotations	S1.24	Perform a leaver update calculation.
Settlements	S1.25	Perform or check a retirement settlement in line with your organisation's procedures.
Settlements	S1.26	Perform or check a transfer out settlement in line with your organisation's procedures.
Settlements	S1.27	Perform or check a death settlement.

UNDERPINNING BEHAVIOURS

REF	LEARNING OUTCOMES
S1B.1	Demonstrate attention to detail.
S1B.2	Complete a Quality Audit on a full case, from quotation to settlement, and assess against your organisation's correct procedure.

TECHNICAL REQUIREMENTS

REF	LEARNING OUTCOMES
S1T.1	Demonstrate an understanding of Crystallisation and unauthorised payments.
S1T.2	Demonstrate understanding of disclosure requirements for member event case types.

RANGE CRITERIA

REF	LEARNING OUTCOMES
S1R.1	Evidence to include examples of DB and DC (including CARE and Salary-linked).
S1R.2	Evidence to include examples of both automated and manual calculations.
THE FOLLOWING RANGE CRITERIA APPLY TO K&P CRITERIA S1.21-S1.27	
S1R.3	Evidence must include quotations and settlements from a range of schemes (DB and DC)
S1R.4	Evidence must include examples of Part time members, partial settlements, restricted GMP and children's pensions

S2 – SCHEME EVENTS

What is this unit about? The candidate will be required to demonstrate a high level of practical skill and knowledge around regular scheme-wide projects, process improvement and change management. The candidate must demonstrate practical examples of every process type.

Evidence Requirements: You must demonstrate, using a range of examples collected over a period of time, the underpinning knowledge required to cover all the criteria in this unit. Your evidence must show you can apply your understanding in practice through your daily job role.

Permitted Evidence Types: WP (Work Product), P (Personal Statement), O (Observation), WT (Witness Testimony), PD (Professional Discussion), T+A (Training and Assessment), S (Simulation), RPL (Recognition of Prior Learning).

UNIT CRITERIA

CATEGORY	REF	LEARNING OUTCOMES
Renewal	S2.01	Understand the Scheme Renewal process, including what data is required and the process for uploading.
Renewal	S2.02	Demonstrate understanding of the purpose of renewal data interrogation and reconciliation.
Benefit Statement Production	S2.03	Demonstrate understanding of how Pension Sharing Orders, Scheme Pays, part-time hours/service breaks, and Transfers In affect member benefits.
Benefit Statement Production	S2.04	Produce calculation results for Benefit Statements, run calculation tests and comparisons, and identify and resolve issues found.
Benefit Statement Production	S2.05	Understand circumstances under which statements may not be issued to DB or DC members.
Dashboard	S2.06	Demonstrate understanding of requirements for accrued and projected pension figures.
Dashboard	S2.07	Demonstrate understanding of compliance requirements for displaying member data.
Pension Increase	S2.08	Demonstrate understanding of statutory, scheme and discretionary pension increase rates and how they apply to different types of members' pensions.
Pension Increase	S2.09	Demonstrate pre-increase checks and data reconciliations.
Pension Increase	S2.10	Demonstrate how Children's pensions, bridging pensions, GMP and State Pension age changes, and GMPE dual records affect pension increase projects.
Pension Increase	S2.11	Understand the need to create a test pack of members representing a cross-section of the membership, including new pensioners with pro-rated increases, and the process of checking test results and resolving errors.
Pension Increase	S2.12	Demonstrate understanding of how overall results are checked, including contingent spouse's pensions, how final calculation issues are resolved, system updates, advice to Payroll, and the purpose and content of a payroll reconciliation.
Annual Allowance	S2.13	Understand how to calculate DB PIA or DC PIP for multiple members.
Annual Allowance	S2.14	Demonstrate identification of members with MPAA, understanding of Scheme Pays and tax requirements, and Unused Annual Allowance carry forward.
Annual Allowance	S2.15	Determine members who have exceeded AA or MPAA.
Annual Allowance	S2.16	Demonstrate understanding of compliance requirements for issuing Pension Savings Statements, including declaration on the HMRC Scheme Event Report.
Report and Accounts	S2.17	Understand the role Scheme Events teams have in the annual Report & Accounts process.
Report and Accounts	S2.18	Demonstrate understanding of how to extract member data in the format required by the Scheme Accountant.
DB Valuation Data Provision	S2.19	Demonstrate understanding of how to extract member data in the format required by the Scheme Actuary.
Cross Process Tasks	S2.20	Demonstrate how to initiate a bulk mailing, including reviewing the content of the communication and checks required.
Cross Process Tasks	S2.21	Demonstrate how to perform membership reconciliations on DB and DC schemes.

UNDERPINNING BEHAVIOURS

REF	LEARNING OUTCOMES
S2B.1	Performing and checking/signing-off tasks.
S2B.2	Demonstrate attention to detail throughout a project.

TECHNICAL REQUIREMENTS

REF	LEARNING OUTCOMES
S2T.1	Demonstrate understanding of Disclosure requirements on SMPI statement deadlines.
S2T.2	Demonstrate understanding of Compliance requirements for benefit statement content and delivery.
S2T.3	Demonstrate understanding of Compliance requirements for dashboard uploads.

RANGE CRITERIA

REF	LEARNING OUTCOMES
S2R.1	DB and DC, including CARE and Salary-Linked.
S2R.2	Active and deferred members.
S2R.3	Automated and manual calculations.
S2R.4	Anniversary and Annual pension increases.
S2R.5	Individual and bulk calculations.

S3 – CLIENT RELATIONSHIP MANAGEMENT

What is this unit about? The candidate will be required to demonstrate a high level of practical skill and knowledge around client management, financial discipline and governance standards.

Evidence Requirements: You must demonstrate, using a range of examples collected over a period of time, the underpinning knowledge required to cover all the criteria in this unit. Your evidence must show you can apply your understanding in practice through your daily job role.

Permitted Evidence Types: WP (Work Product), P (Personal Statement), O (Observation), WT (Witness Testimony), PD (Professional Discussion), T+A (Training and Assessment), S (Simulation), RPL (Recognition of Prior Learning).

UNIT CRITERIA

CATEGORY	REF	LEARNING OUTCOMES
Stakeholder Liaison	S3.01	Completing all internal reporting as appropriate (e.g., financial targets, client KPIs, client issues and remedial plans).
Stakeholder Liaison	S3.02	Evidence that all internal databases and documentation are maintained in accordance with internal procedures.
Stakeholder Liaison	S3.03	Demonstrate that you maintain regular contact with scheme stakeholders, internal and external.
Stakeholder Liaison	S3.04	Demonstrate understanding of the role and responsibilities of a pension scheme Trustee and the different types of trustee.
Stakeholder Liaison	S3.05	Demonstrate understanding of the role and responsibilities of the wider client (e.g., pensions manager, HR representative, member nominated trustee, day-to-day contacts, scheme secretarial).
Governance	S3.06	Demonstrate active involvement in preparing for client meetings (reviewing minutes, action logs, governance packs, agendas).
Governance	S3.07	Demonstrate active involvement in client governance meetings (sharing updates, responding to queries) and providing information as required by the agenda. Actions to be captured, documented and shared after the meeting
Governance	S3.08	Provide evidence that client meetings have been minuted and action logs updated. Ensure that minutes are saved centrally and shared with all relevant stakeholders, as required. All actions are allocated and progressed accordingly.
Governance	S3.09	Demonstrate awareness of the appropriate governance framework for your scheme(s).
Governance	S3.10	Demonstrate proactive and collaborative planning with all stakeholders.

CATEGORY	REF	LEARNING OUTCOMES
Financials	S3.11	Complete all fee-based tasks (invoicing, annual fee reviews, project tracking, utilisation reviews, client reporting, debt management), billing, transaction turnover and profitability
Financials	S3.12	Provide evidence that you have prepared a project costing for additional services, including peer review.
Financials	S3.13	Demonstrate understanding of financial targets and evidence of expanding revenue whilst ensuring profitability.
Continuous Improvement	S3.14	Identify opportunities to improve client service (via complaints, E&O reviews, NPS feedback, client feedback etc.).
Legal Aspects	S3.15	Understand and meet contractual obligations (KPIs, SLAs, service penalties/credits, service schedule).
Legal Aspects	S3.16	Demonstrate that all documentation is in place for contractual changes.
New Client Take On	S3.17	Demonstrate understanding of the appropriate steps required to take on a new client, which maybe an internal change of client management or a new client to your organisation
New Client Take On	S3.18	Demonstrate understanding of the documentation required and the minimum level of knowledge needed.
New Client Take On	S3.19	Demonstrate understanding of the steps required to plan reporting requirements and annual activities.
Client Communication	S3.20	Provide examples of proposals you have prepared for client consideration.
Client Communication	S3.21	Provide examples of proposals that you have peer reviewed for a colleague, including feedback or amendments that you have suggested

UNDERPINNING BEHAVIOURS

REF	LEARNING OUTCOMES
S3B.1	Demonstrate where you have used different methods to communicate with clients and stakeholders to build relationships.
S3B.2	Demonstrate how you conduct yourself professionally to different audiences using a range of appropriate messaging and tone.

TECHNICAL REQUIREMENTS

REF	LEARNING OUTCOMES
S3T.1	Demonstrate how you stay ahead of pensions change including processes, legislative change and future proposals.
S3T.2	Provide evidence of how you have actively reacted to pensions-related legislative or Good Industry Practice changes.
S3T.3	Demonstrate understanding of the regulatory framework (TPR, FCA, PO, FO, PASA).
S3T.4	Demonstrate understanding of regulatory reportable events.
S3T.5	Demonstrate understanding of your organisation's process when a scheme is lost, goes into buyout or winds up. Include legal documentation, financials, system extracts and database updated, governance approach and regulatory requirements

RANGE CRITERIA

REF	LEARNING OUTCOMES
S3R.1	Internal and external stakeholder requirements.
S3R.2	Pre-populated organisational templates and documents you have created outside of a template.
S3R.3	Range of external client types (e.g., trustee, HR representative, pensions manager, relationship manager).

S4 – MANAGING WORK-BASED PROJECTS

What is this unit about? The candidate will be required to demonstrate a high level of technical knowledge and practical examples of how to effectively project manage in a work-based setting. Candidates must demonstrate disciplined application of tools, processes and interpersonal skills to deliver specific objectives within defined constraints.

Evidence Requirements: You must demonstrate, using a range of examples collected over a period of time, the underpinning knowledge required to cover all the criteria in this unit. Your evidence must show you can apply your understanding in practice through your daily job role.

Permitted Evidence Types: WP (Work Product), P (Personal Statement), O (Observation), WT (Witness Testimony), PD (Professional Discussion), T+A (Training and Assessment), S (Simulation), RPL (Recognition of Prior Learning).

UNIT CRITERIA

CATEGORY	REF	LEARNING OUTCOMES
Project Scoping	S4.01	Define clear, SMART objectives and project deliverables.
Stakeholder Identification	S4.02	Create a stakeholder map or matrix to identify everyone influenced by or influential to the project.
Work Breakdown Structure	S4.03	Deconstruct the project into manageable tasks and sub-tasks.
Resource Planning	S4.04	Identify and secure the necessary human, financial, and physical resources required for delivery.
Resource Planning	S4.05	Escalate any resource or time pinch points.
Risk Management	S4.06	Create a risk register identifying potential threats and outlining specific mitigation strategies.
Budgetary Oversight	S4.07	Establish a project budget and demonstrate understanding of how costs are monitored and controlled against initial forecast
Communication Planning	S4.08	Develop a plan detailing how, when, and to whom project updates will be delivered.
Quality Assurance	S4.09	Define the standards and success criteria that deliverables must meet.
Change Control	S4.10	Demonstrate a formal process for handling requests for changes to the project scope, timeline, or budget.
Monitoring & Reporting	S4.11	Use project tracking tools to provide regular status updates.
Project Closure	S4.12	Conduct a formal post-mortem or lessons-learned session.
Conflict Resolution	S4.13	Identify and manage disagreements between stakeholders or team members, regarding project priorities
Negotiation Skills	S4.14	Negotiate effectively for resources, deadlines, or budget adjustments.
Personal Accountability	S4.15	Take ownership of project outcomes, including admitting to and correcting mistakes.
Effective Influence	S4.16	Use tailored communication styles to gain buy-in from different stakeholder groups.
Collaborative Working	S4.17	Foster a team environment that encourages the sharing of ideas and collective problem-solving.
Time Management	S4.18	Demonstrate the ability to balance project management responsibilities alongside regular day-to-day duties.

UNDERPINNING BEHAVIOURS

REF	LEARNING OUTCOMES
S4B.1	Leading without Authority: Demonstrate the ability to motivate and direct team members who may not report to you directly.
S4B.2	Resilience & Adaptability: Maintain focus on the end goal when faced with unexpected setbacks or shifting organisational priorities

TECHNICAL REQUIREMENTS

REF	LEARNING OUTCOMES
S4T.1	Project Charter: Provide evidence of signed charter agreed by stakeholders.
S4T.2	Project Scheduling: Develop a detailed timeline (e.g., using a Gantt chart) showing task dependencies and key milestones.

RANGE CRITERIA

REF	LEARNING OUTCOMES
S4R.1	Demonstrate more than one type of project.
S4R.2	Demonstrate experience of change of scope or deadline.

Appeals

Accredited Training Partners approved by PMI maintain their own Appeals and Complaints Procedures, which should be followed in the first instance. Please contact your Accredited Training Partner lead for guidance on how to access these procedures.

Any appeals that cannot be resolved by the Accredited Training Partner should be referred to PMI. All PMI policies and procedures are available here:

www.pensions-pmi.org.uk/learning-and-development/policies-and-procedures

Contact Details

The Pensions Management Institute

6th Floor 9 Appold Street London EC2A 2AP

www.pensions-pmi.org.uk

PMIQualifications@pmi-pensions.org.uk

+44 (0) 20 7247 1452

Registered Office:
6th Floor
9 Appold Street
London EC2A 2AP

T: +44 (0) 20 7247 1452

E: pmiqualifications@pensions-pmi.org.uk