

## SCHEDULE 4

### SYSTEMS AND PROCESSES REQUIREMENTS

#### *Contracts and service providers*

6. Whether there are systems and processes—
  - (a) for ensuring that trustees and the scheme strategist are properly informed about service providers, and appropriately involved in decisions about them;
  - (b) for establishing and recording that service providers are, and remain, fit and proper;
  - (c) for informing the trustees about the appointment, removal, roles and responsibilities of service providers;
  - (d) for informing the trustees of—
    - (i) any failure by service providers to deliver services;
    - (ii) any actions or omissions by service providers which may prejudice—
      - (aa) the effective running of the scheme, or
      - (bb) the ability to meet the objectives set out in the scheme’s business plan;
  - (e) for recording, maintaining and managing all documents relating to service providers in an accessible, intelligible and durable medium.