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STATUTORY INSTRUMENTS

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**2013 No. 2734**

The Occupational and Personal Pension Schemes  
(Disclosure of Information) Regulations 2013

PART 9

Giving information and documents

**Giving information and documents**

**26.**—(1) Except where these Regulations otherwise provide, the methods for giving information or documents that these Regulations require to be given include the methods set out in paragraph (2).

(2) The information may be given by—

- (a) sending it to the person's last known postal address, or
- (b) subject to paragraphs (3) to (5), using either or both of the following methods—
  - (i) sending it to the person's last known electronic address, or
  - (ii) making it available on a website (see regulation 27).

(3) Where a member or beneficiary of the scheme has requested in writing that—

- (a) any of the information, or
- (b) all of the information,

is not given in accordance with paragraph (2)(b), that information may not be given in accordance with paragraph (2)(b).

(4) Information may only be given by an electronic communication where the trustees or managers of the scheme are satisfied that the electronic communications have been designed—

- (a) so that the person will be able to—
  - (i) get access to, and
  - (ii) store or print,the information, and
- (b) taking into account the requirements of disabled persons.

(5) Where—

- (a) a member or beneficiary of the scheme was a member or beneficiary of the scheme on 1st December 2010, and
- (b) information was not given by the trustees or managers of the scheme before that date by the methods described in paragraph (2)(b),

information may not be given to that member or beneficiary of the scheme in accordance with paragraph (2)(b) unless the trustees or managers of the scheme have given them the written notice referred to in paragraph (6).

(6) The written notice mentioned in paragraph (5) must state that—

- (a) the trustees or managers of the scheme propose to give information to the member or beneficiary of the scheme by means of an electronic communication, and
  - (b) the member or beneficiary of the scheme may request in writing that information is not given by means of an electronic communication.
- (7) The written notice mentioned in paragraph (5) must not be given by the methods mentioned in paragraph (2)(b).

**Provision of information on a website**

**27.**—(1) Where a website is used for the first time to make available the information or document, a notification must be given to the recipient.

- (2) The notification referred to in paragraph (1) must include—
- (a) a statement that the information or document is available on the website,
  - (b) the website address,
  - (c) details of the place on the website where the information or document may be read, and
  - (d) an explanation of how the recipient may read the information or document on the website.

(3) Subject to regulation 28, each time a website is used at a subsequent time to make available information or documents, a notification must be given to the recipient.

(4) The notification referred to in paragraph (3) must state that the information or document is available on the website.

(5) The notifications mentioned in paragraphs (1) and (3) must not be given by making them available on a website.

**Provision of information on a website: supplemental**

**28.**—(1) The notification mentioned in regulation 27(3) need not be given where paragraphs (2) to (4) are satisfied.

- (2) This paragraph is satisfied where—
- (a) the trustees or managers of the scheme have given the recipient at least two documents by either of the following methods—
    - (i) given by hand, or
    - (ii) sent to the recipient’s last known postal address, and
  - (b) each of those documents—
    - (i) asks the recipient to give their electronic address to the trustees or managers of the scheme except where the trustees or managers of the scheme do not have the facility for sending information or documents to that address, and
    - (ii) states that the recipient may request in writing that information or documents are not given by means of an electronic communication.

- (3) This paragraph is satisfied where—
- (a) paragraph (2) is satisfied, and
  - (b) the trustees or managers of the scheme have given the recipient, by either of the methods mentioned in paragraph (2)(a), a further document that—
    - (i) meets the requirements of paragraph (2)(b), and
    - (ii) states that further information and documents will be available to read on the website and that no further notifications will be sent to the recipient.

- (4) This paragraph is satisfied where—
- (a) paragraphs (2) and (3) are satisfied, and
  - (b) the trustees or managers of the scheme—
    - (i) do not know the recipient’s electronic address or do not have the facility for sending information or documents to that address, and
    - (ii) have not received a written request that information or documents are not given to the recipient by means of an electronic communication.

(5) Where the information to be made available is that required by paragraph (1) of regulation 17, the notification mentioned in regulation 27(3) need only be given as required by paragraph (7) of regulation 17.

### **Giving information and documents in certain cases**

**29.**—(1) Information or documents to be given in accordance with this regulation are to be given as follows.

(2) Where the person or recognised trade union makes a request for the information in hard copy form, the trustees or managers of the scheme must, subject to paragraph (3) give the information in that form and if a charge is levied for giving the information in that form, it must not exceed the cost of producing and giving it.

(3) Where the information in hard copy form is publicly available, the trustees or managers of the scheme may give details of where it is publicly available instead of giving it under paragraph (2).

(4) Where the person or recognised trade union makes a request for the information other than in hard copy form, it may be made available free of charge—

- (a) for inspection at a place that is reasonable having regard to who made the request, or
- (b) on a website.

(5) For the purposes of paragraph (4)(b), the provisions of regulations 27 and 28 do not apply, except that the trustees or managers of the scheme must give the notification described in regulation 27(2) to the person or recognised trade union who requested the information.

(6) Information is in “hard copy form” if it is given in a paper copy or similar form capable of being read.

### **Responsibility for giving information and documents**

**30.** The trustees or managers of a scheme are responsible for ensuring that information or documents are given in accordance with these Regulations whether they give the information or documents—

- (a) directly, or
- (b) indirectly, through a third party.