

ARIA - ComSuper

Administration & Other Services Agreement

A Service Level Agreement between ARIA and ComSuper for the delivery of administration services in respect of the PSSap, PSS and CSS Schemes

Document Control

Version History

Version	Date	Comments
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V1.1	06/03/2009	Second Draft including changes by Michael Simpson
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A. Definitions and interpretations

For the purposes of the operation of this Service Level Agreement the following definitions are provided to aid in the interpretation of the document and the service standards contained.

Customer	Australian Reward Investment Alliance
Service Provider	ComSuper
Validated benefit application	A validated benefit application is one where all the required documentation and information from the member and/or employer has been received and the exit date has been reached to enable processing of the application.
Business Day	Any reference to a business day in this agreement is a day in which normal banking operations occur and excludes public holidays observed in the Australian Capital Territory
Switch request	A switch request includes an investment switch and investment profile change request from a member
ComSuper Christmas Closedown	The two day period each year between 25 December and 1 January which are not public holidays observed in the Australian Capital Territory on which ComSuper does not perform normal business operations

Table of Abbreviations

AFS	Australian Financial Services
APRA	Australian Prudential Regulation Authority
CSS	Commonwealth Superannuation Scheme
PSS	Public Sector Superannuation Scheme
PSSap	PSS Accumulation Plan
RAC	Reconsideration Advisory Committee
RM	Relationship Manager (ARIA)
SDM	Service Delivery Manager (ComSuper)
SLA	Service Level Agreement
TPD	Total and Permanently Disabled

Purpose of the SLA

A.1 Purpose of the SLA

The purpose of this Service Level Agreement is to:

- Define the services to be delivered to members of the PSSap ,PSS and CSS on behalf of ARIA and also services delivered directly to ARIA by ComSuper;
- Specify the reporting requirements needed by ARIA in relation to those service activities;
- Describe the environment in which the services will be delivered;
- Specify the level of performance that is required to be delivered in relation to each service activity; and
- Describe the governance framework including escalation and incident management.

B. Service Delivery Model

B.1 Relationship

The Australian Reward Investment Alliance (ARIA) recognises that the achievement of its business objectives requires a strong relationship with ComSuper. ARIA and ComSuper seek to promote and achieve a collaborative relationship which will have regard to ComSuper's available resources and the current administration systems used to deliver administration services and will be guided by the following principles for the operation of this Service Level Agreement:

- There is a commitment to achieving superior performance in the services delivered to members by both ARIA and ComSuper;
- A joint culture is promoted which promotes fair, open and honest business dealings;
- ARIA and ComSuper work cooperatively with shared goals and objectives;
- There is a commitment to full transparency in relation to the reporting on service delivery outcomes and the provision of qualitative as well as quantitative information;
- An equitable basis for risk management is achieved based on a clear understanding of roles and responsibilities; and
- Specified roles are identified in both ARIA and ComSuper for the ongoing ownership, governance, management and regular discussion on the operation of this Service Level Agreement

C. Environment

C.1 The Customer (ARIA)

ARIA provides superannuation services and products to Australian Government employees and employers through three Schemes – the Commonwealth Superannuation Scheme (CSS), the Public Sector Superannuation Scheme (PSS) and the PSS Accumulation Plan (PSSap).

ARIA's vision and mission statements are as follows:

Our Vision

To be a world class provider of superannuation for past present and future Australian Government employees

Our Mission

To manage the schemes' assets and administer the Acts in the best interests of contributors and beneficiaries

C.2 The Service Provider (ComSuper)

ComSuper, an Australian Government Business Unit, is responsible for providing day to day administration services to ARIA as trustees of the CSS, PSS, and PSSap superannuation schemes for employees of the Australian Public Service and other participating employers.

C.3 Service Delivery Context

As the provider of administration services to ARIA for the PSSap, PSS and CSS schemes ComSuper will:

- Have in place the administration systems and controls necessary for the accurate maintenance of scheme membership records;
- Have and maintain appropriately skilled and trained staff who deliver the administration services to members including appropriate numbers of staff who meet the requirements of authorized representatives;
- Have in place and maintain the appropriate accounting systems for the recording of remittances received and benefits paid in respect of scheme members ;
- Have appropriate and audited disaster recovery and business continuity plans in relation to the ongoing administration of the schemes which are regularly tested;
- Protect the privacy of member information in accordance with the Privacy legislation;
- Acknowledge its compliance obligations underpinning ARIA's Australian Financial Services (AFS) and Australian Prudential Regulation Authority (APRA) licenses; and
- Act in good faith to support the successful application of this Agreement

ARIA will:

- Provide clear and concise details of its expectations in relation to the delivery of administration services;
- Provide clear and concise policy and compliance expectations;
- Provide as much notice as possible and consult fully in relation to any new policy proposals;
- Provide comprehensive documentation on any new initiatives; and
- Act in good faith to support the successful application of this Agreement

C.4 Compliance Framework

ComSuper acknowledges that in delivering administration services to ARIA as Trustee of the PSSap, PSS and CSS schemes it is responsible for ensuring that those services are delivered within the compliance framework on which ARIA's APRA and AFS licenses rely. In this regard ComSuper will ensure that there are appropriate controls in place to deliver on the range of compliance obligations for which it has responsibility.

C.5 Services to be provided

ComSuper agrees to provide the administration services to the standards as specified and described in Schedules A, B and C where:

- Schedule A details the services that will be provided for members of the PSSap on behalf of ARIA as Trustee of the PSSap;
- Schedule B details the services that will be provided for members of the PSS and CSS on behalf of ARIA as Trustee of the PSS and CSS; and
- Schedule C details the Service that will be provided to ARIA;

C.6 New policy initiatives – changed administration arrangements

ComSuper also acknowledges that during the life of the Service Level Agreement there may be changes in policy or other legislative change which will require ComSuper to make material changes to their systems, processes or procedures to implement new policy initiatives. Should this occur, ARIA commits to provide as much notice as possible on the new policy and a period of full consultation and discussion on the implementation issues. ARIA and ComSuper also commit to produce jointly full scoping and project documentation and will formally agree on and document any funding issues that may be required.

The documentation to be delivered will be as follows:

- ARIA advice to ComSuper on the details of the policy initiative;
- ComSuper to provide scoping paper providing full details of the implementation issues;
- ComSuper to provide project documentation providing full details of the deliverables, required resources and timetable; and

- Joint document on the agreed funding issues for the delivery of the project.

C.7 Resourcing

Comsuper is responsible for arranging the resources it needs to support the provision of its prescribed superannuation administration services. Where changes in government policy will affect the service level provided for ARIA, Comsuper should engage with ARIA in developing the budget strategy, costings, and implementation plan for the new initiatives (as described in section C6).

C.7.1 Cost recovery for specified services

ARIA and ComSuper acknowledge that there may be specific services provided by ComSuper at ARIA's request that are outside the scope of the administration services for which ComSuper receives Government and employer funding and ARIA may negotiate for ComSuper to provide the additional services to be invoiced to ARIA on a cost recovery basis. All arrangements of this nature must be agreed in advance and documented at the Senior Executive level of both organisations. Cost recovery may be relevant (but not limited to) the following items:

C.7.1.1 Revenue Collection

ComSuper may recover from ARIA costs relating to the collection of administration levy from employers.

C.7.1.2 Publications –

ComSuper may recover costs from ARIA for publication and printing services subject to the submission of appropriate quotes for the work to be undertaken and documented prior approval at a senior level of both organisations. Invoices for publications work to be provided to ARIA within 30 days of completion of the service. Web and graphic design services set out in C1.1 and C1.2 are not to be invoiced.

C.7.1.3 Annual Member Statements –

For the avoidance of doubt, ComSuper agrees that they will be responsible to meet the costs for the following components of the member statements (Schedule B 5) process;

- Field changes and all other IT related work including data extraction, testing etc.
- Member statements, transaction summaries, envelopes and cover letter design (if ARIA has agreed at the start of the project).
- Member statements and transaction summary printing.
- Member statements pack envelopes, printing (and design if required) .
- Collation and postage of member statement packs including:
 - cover letter
 - member statement and transaction summary
 - member statement guide
 - maximum of two insertions
 - postage of annual reports to those members that request one.

As set out in the principles above, new or additional member statements requirements must be raised with ARIA as soon as identified and agreement reached on the level and source of funds needed to provide for the expanded requirement.

C.8 Fund Banking Arrangements

ComSuper acknowledges that ARIA as trustee of the CSS, PSS and PSSap schemes is responsible for establishing the fund banking arrangements. Any changes to banking arrangements cannot be made without appropriate Trustee approval.

C.9 Administration Services Hours of Operation

ComSuper will be open for business and provide administration services from 8.30 am to 5.00 pm on all business days except, ACT Public Holidays and the ComSuper Christmas closedown period.

ARIA acknowledges that between Christmas and New Year limited services will be delivered with full service delivery resuming on 2 January, however, ARIA requires the following key services to be delivered –

- PSSap unit pricing process; and
- Member Investment switches

C.10 Period of Operation

This agreement will operate and have application from the date the document is signed by authorized representatives of ARIA and ComSuper and will continue until a successor agreement is put in place by mutual agreement.

C.11 Variations to this Agreement

This agreement and the related schedules may be varied at any time by consent of both parties to the agreement.

D. Governance

ARIA and ComSuper agree to establish and maintain effective working relationships on the operation of this Agreement.

To support the delivery of this agreement the governance framework includes the following:

- Governance structure, including roles and responsibilities;
- Key Personnel in Key Positions
- Meeting Topics, Frequency, Forum and Agenda;
- Reporting; and
- Escalation and Issues Management Procedures.

D.1 Governance Structure & Roles and Responsibilities

ARIA and ComSuper under the terms of this agreement recognise that for the Service Level Agreement to operate optimally an appropriate governance structure must be established to review and discuss service outcomes and issues. To that end ARIA and ComSuper will identify specific roles in each organisation that will be responsible for the ongoing ownership, management, regular dialogue and discussion and any required negotiation on future adjustments in relation to the operation of the agreement during the life of the agreement.

D.1.1 Key Personnel

ARIA and ComSuper will identify key personnel who will be responsible for the ongoing governance and management of the SLA and who will also be the primary point of contact on the operation of the SLA. From time to time alternates will be identified to carry out the primary point of contact role in the absence of the key personnel.

D.1.2 ComSuper – Service Delivery Manager (SDM)

ComSuper will designate a service delivery manager to act as the principal point of contact for ComSuper and to whom the entire communications relating to the Services or this agreement should be addressed unless this agreement states otherwise

Responsibilities

ComSuper must ensure that the SDM:

- cooperates with ARIA to ensure the services under this agreement are delivered within time frames specified in this agreement or within reasonable time frames where this agreement does not specify a time for delivery;
- is fully aware of ARIA's priorities; and
- communicates those priorities to all relevant ComSuper personnel.

D.1.3 ARIA - Relationship Manager (RM)

ARIA will designate a relationship manager to act as the principal point of contact for ARIA and to whom all of ComSuper's communications relating to the services or this agreement should be directed unless this agreement provides otherwise.

Responsibilities

ARIA commits to ensure that the Relationship Manager will cooperate with ComSuper to deliver inputs required from ARIA under this agreement within time frames specified in this agreement or within reasonable time frames where this agreement does not specify a time for delivery. The RM (or his/her designee) as the principal point of contact for all aspects of the relationship is responsible for, amongst other things, obtaining and providing to the ComSuper any decisions required from ARIA in relation to approvals (or similar), and other reasonably

requested information, to facilitate ComSuper’s performance of its obligations under this agreement.

D.2 Meetings

The following table outlines the meeting topics to be discussed, the frequency of the discussion, the forum for the discussion and the agenda items to be addressed.

Meeting Topics	Frequency , Forum & Attendees	Agenda Items
Strategic		
Review of Service Level Agreement	<ul style="list-style-type: none"> • Annually • SLA Review Committee • Chief Operating Officers from ARIA and ComSuper, SDM, RM and other Managers as required. 	<p>Discuss any changes required to the service level agreement.</p> <p>The following items to be discussed may include:</p> <ul style="list-style-type: none"> • Services provided during the review period; • Major incidents during the review period; • Outstanding issues; • Future events/issues that will affect the service; • Review any potential changes required to the SLA; • Review schedules for services provided; and • Agree items for submission to the executive decision makers
Operational		
Service Delivery Outcomes	<ul style="list-style-type: none"> ▪ Monthly ▪ SLA Operations Meeting ▪ Attended by SDM, RM, others as required 	<p>Discuss the following;</p> <ul style="list-style-type: none"> • Service Performance; • Incidents/Issues/Problems; • Significant trends; and • Ad hoc requests
Ad-hoc	<ul style="list-style-type: none"> ▪ As requested ▪ Ad-hoc operational ▪ Attended by SDM, RM, others as required 	<p>Operational meeting to discuss significant issues or incidents around a particular service.</p>

D.3 Reporting

ARIA and ComSuper agree that reporting on service delivery outcomes must be fully transparent and must accurately reflect what members are actually experiencing in relation to the particular services they are accessing. It is also acknowledged that more frequent reporting will be required for the key service delivery areas identified by ARIA to facilitate that transparency.

ComSuper also acknowledges that the timely provision of qualitative information to ARIA is also an essential and integral part of its reporting obligations. It is important for ComSuper to provide immediate notification of issues identified that may affect future performance or service delivery outcomes and provide appropriate commentary in addition to the regular qualitative information reporting on performance outcomes or changes to workloads.

The following table outlines the reporting framework that governs the effective communication and service delivery management between the ARIA and ComSuper. Schedules A to C provide the specific reporting requirements and frequency for each area of service delivery.

Reporting Mechanism	Frequency	Service Provider Responsibility
Annual Effectiveness Review	Annually	Report on the overall achievement against the service standards and other services as specified Report for Trustees to be prepared by ARIA
Weekly Key Priority Services Outcomes	Weekly	Report on service delivery outcomes for specified key service areas
Scheme Statistics	Monthly	Reporting on a range of scheme based statistics as specified in Schedule C, Section 13 – Scheme Information & Statistical Reporting
Administrators Report	Monthly	To provide management reports to assist in issue management and continuous service improvement.
Quarterly Compliance Report	Quarterly	To provide the quarterly compliance report consistent with ARIA Compliance Policy
Incident Reports/Compliance Breaches	As required	To report on incidents, service failures and compliance breaches in accordance with ARIA's breach policy.
Ad-hoc	As requested	From time to time ARIA may request additional one off reports or information to assist in policy considerations and/or facilitate member communication and education issues.

All reports unless specified elsewhere will be forwarded to the ARIA Relationship Manager from the ComSuper Service Delivery Manager in an agreed electronic format. In relation to incident reports and compliance breaches such reporting must be made to ARIA's Compliance Officer in accordance with Section 6 of Schedule C.

All documents sent between the ARIA and ComSuper will be appropriately identified with meaningful file names.

D.4 Issues Management

Should a significant issue arise in relation to the administration of the schemes such as material systemic problems or material human errors the ARIA Relationship Manager will be notified immediately and as soon as possible after this notification ComSuper will also provide advice on how the issue is to be managed, proposed remediation or resolution.

D.5 Escalation

Where issues cannot be resolved between the Service Delivery Manager and Relationship Manager they will be escalated to the Chief Operating Officers of the respective organisations for discussion and resolution.

D.6 Media Enquiries Protocol

Where ComSuper receives or becomes aware of any media enquiries, these enquiries will be handled in accordance with ARIA's media policy and protocols and ComSuper will ensure that ARIA is immediately alerted to the details of the enquiry.