

## Notice of Meeting

# Surrey Local Firefighters' Pension Board



**Date & time**  
Friday, 17 January  
2020 at 10.00 am

**Place**  
Members' Conference  
Room, County Hall,  
Penrhyn Road,  
Kingston upon  
Thames, KT1 2DN

**Contact**  
Amelia Christopher  
Room 122, County Hall  
Tel 020 8213 2838

**Chief Executive**  
Joanna Killian

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**This meeting will be held in public. If you would like to attend and you have any special requirements, please contact Amelia Christopher on 020 8213 2838.**

### **Elected Members**

Mr Nick Harrison (Employer Representative) (Co-Chairman)

### **Independent Representatives:**

Richard Jones (Employee Representative), Glynn Parry-Jones (Employee Representative) and Sally Wilson (Employer Representative) (Co-Chairman)

## **TERMS OF REFERENCE**

The Committee is responsible for the following areas:

The role of the Local Firefighters' PENSION Board as defined in the draft Firefighters' Pension Scheme (Amendment) (Governance) Regulations 2015, is to assist the Fire and Rescue Authority Scheme Manager:

a) to secure compliance with:

- i) the scheme regulations;
- ii) any other legislations relating to the governance and the administration of the Firefighters' Pension Scheme and any other connected scheme;
- iii) any requirements imposed by the Pensions Regulator in relation to the Firefighters' Pension Scheme

b) to ensure the effective and efficient governance and administration of the Firefighters' Pension Scheme

## **PART 1 – IN PUBLIC**

### **1 APOLOGIES FOR ABSENCE AND SUBSTITUTIONS**

To receive any apologies for absence.

### **2 MINUTES FROM THE PREVIOUS MEETING: 14 OCTOBER 2019**

(Pages 5  
- 8)

To agree the minutes as a true record of the meeting.

### **3 DECLARATIONS OF INTEREST**

To receive any declarations of disclosable pecuniary interests from Members in respect of any item to be considered at the meeting.

#### **Notes:**

- In line with the Relevant Authorities (Disclosable Pecuniary Interests) Regulations 2012, declarations may relate to the interest of the member, or the member's spouse or civil partner, or a person with whom the member is living as husband or wife, or a person with whom the member is living as if they were civil partners and the member is aware they have the interest.
- Members need only disclose interests not currently listed on the Register of Disclosable Pecuniary Interests.
- Members must notify the Monitoring Officer of any interests disclosed at the meeting so they may be added to the Register.
- Members are reminded that they must not participate in any item where they have a disclosable pecuniary interest.

### **4 QUESTIONS AND PETITIONS**

To receive any questions or petitions.

#### **Notes:**

1. The deadline for Member's questions is 12.00pm four working days before the meeting (*13 January 2020*).
2. The deadline for public questions is seven days before the meeting (*10 January 2020*).
3. The deadline for petitions was 14 days before the meeting, and no petitions have been received.

### **5 ACTIONS TRACKER**

(Pages 9  
- 12)

The Board is asked to review and note its action tracker.

### **6 ADMINISTRATION UPDATE (1 SEPTEMBER 2019 - 31 DECEMBER 2019)**

(Pages  
13 - 88)

The Board is asked to note the content of this report and make recommendations if any further action is required.

**7 RISK REGISTER** (Pages 89 - 96)

The Board is asked to note the content of this report, including changes to the scoring of current risks and the inclusion of additional risks and approve the Surrey Firefighter's Pension Scheme (FFPS) Risk Register (shown as Annex 1). The Board is further asked to make recommendations of any amendments to the Surrey FFPS Risk Register.

**8 REVISED TERMS OF REFERENCE DELEGATION OF ATTENDANCE TO SUBSTITUTES** (Pages 97 - 114)

The revised Terms of Reference (version 3) to be adopted by the Local Firefighters' Pension Board.

**9 EXCLUSION OF THE PUBLIC**

That under Section 100(A) of the Local Government Act 1972, the public be excluded from the meeting during consideration of the following items of business on the grounds that they involve the likely disclosure of exempt information under the relevant paragraphs of Part 3 of Schedule 12A of the Act.

**PART 2 – IN PRIVATE**

**10 THE PENSIONS REGULATOR PUBLIC SERVICE GOVERNANCE AND ADMINISTRATION SURVEY 2019** (Pages 115 - 130)

The Board is asked to note the Survey.

**Confidential: Not for publication under Paragraph 3**  
Information relating to the financial or business affairs of any particular person (including the authority holding that information)

**11 DATE OF THE NEXT MEETING**

The next meeting of the Surrey Local Firefighters' Pension Board is to be agreed.

**Joanna Killian**  
**Chief Executive**  
Published: Thursday, 9 January 2020

## **MOBILE TECHNOLOGY AND FILMING – ACCEPTABLE USE**

Those attending for the purpose of reporting on the meeting may use social media or mobile devices in silent mode to send electronic messages about the progress of the public parts of the meeting. To support this, County Hall has wifi available for visitors – please ask at reception for details.

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*Thank you for your co-operation*

**MINUTES** of the meeting of the **SURREY LOCAL FIREFIGHTERS' PENSION BOARD** held at 2.00 pm on 14 October 2019 at Conference Room, Surrey Fire and Rescue Service Headquarters, Croydon Road, Reigate, Surrey, RH2 0EJ.

These minutes are subject to confirmation by the Committee at its meeting on Friday, 17 January 2020.

**Elected Members:**

- \* Mr Nick Harrison (Co-Chairman)  
Richard Jones
- \* Glyn Parry-Jones
- \* Sally Wilson (Co-Chairman)

**10/19 APOLOGIES FOR ABSENCE [Item 1]**

Apologies were received from Richard Jones.

**11/19 DECLARATIONS OF INTEREST [Item 2]**

None received.

**12/19 QUESTIONS AND PETITIONS [Item 3]**

None received.

**13/19 ACTION TRACKER [Item 4]**

**Witnesses:**

Andrew Marson, Pensions Lead Manager

**Key points raised during the discussion:**

1. The Pensions Lead Manager provided the Board with an update on A1/19, which was concerned with deferred members' addresses. He explained that the tracing exercise had started and ITM were going to be appointed to assist this process. The service had identified 94 Surrey Fire Scheme members who were marked as "gone aways" and, with the rates that had been negotiated with ITM, they would be paying an estimated cost of £194 for the initial tracing exercise. The Pensions Lead Manager went on to say that there was an option to undertake further tracing if there was not an immediate match and that he would provide an update on progress at the next Board meeting.
2. The Chairman highlighted A2/19 and explained that the Board would be discussing the matter at the meeting.

**Actions/further information to be provided:**

None.

**Resolved:**

The Board reviewed and noted its action tracker.

## **14/19 ADMINISTRATION UPDATE (1 JUNE 2019 - 31 AUGUST 2019) [Item 5]**

### **Witnesses:**

Andrew Marson, Pensions Lead Manager

### **Key points raised during the discussion:**

1. The Pensions Lead Manager introduced the report and explained that actions had been put in place to steady the ship due to issues in the Pensions Administration department relating to resilience and resource. They were steadily growing their resource skills across the team, and overall the Pensions Lead Manager felt the service was in a good position.
2. The Board was informed about fire bulletins that had been released since the last meeting. It heard that Fire Bulletin 21 had sections concerned with age discrimination and transition protection, which was being felt across all public sector pension schemes. The service would keep a close eye on those issues as they were likely to result in a significant amount of work needing to be done. Fire Bulletin 21 also discussed the need to fund a Technical Advisor to support FRAs with their understanding and management of the Firefighters' Pension Schemes, and the Vice-Chairman confirmed that the Chief Fire Officer had received a letter and that it was now a case of confirming payment had been made.
3. Moving on to page 19 of the report and the updated advice on terms of reference, the Vice-Chairman explained that the draft terms of reference produced by the Firefighters' Pensions England Scheme Advisory Board would be used to make any future changes. These would need to go to the Audit and Governance Committee for approval but would first be agreed with Board Members.
4. Responding to a question about the June query log on page 20, the Pensions Lead Manager explained that query logs were used as reference source if administrators had a query that fell outside their sphere of knowledge.
5. Regarding the administration and benchmarking review discussed in Fire Bulletin 23, the Pensions Lead Manager informed the Board that a summary of the service's findings had been produced and would be presented at the next meeting.
6. The Pensions Lead Manager explained that since writing the report the requirement for FRAs to provide the name, address, telephone number and email addresses for pensions managers had been completed by the 30 September 2019 deadline. He also informed the Board that a report was produced on the scoring for the quality of the data using the pensions regulator guidance. That had progressed well and they were hoping to receive the report from Heywoods in the following weeks.
7. The Board heard that the service was in a good place regarding split pensions and that paragraphs 19 through 22 of the report explained what had been found based on membership data.
8. The Pensions Lead Manager spoke about GMP reconciliation and explained that, from the perspective of the service, the progress of the project was in a comfortable place. It was agreed that he would report back on the progress made at the next meeting.

9. The Board turned its attention to Annex 1, which was a full list of tasks that had been undertaken during the reporting period. The Pensions Lead Manager explained that aged items had been found in the backlog and brought to the top of queue.
10. The Chairman questioned why the first actual retirement listed on Annex 1 stated that it took zero days to complete despite the case starting on 8 July 2019 and finishing on 16 July 2019. In response, the Pensions Lead Manager explained that when Pensions Administration officers asked for a piece of information, the clock was effectively stopped. The number of days completed column thus referred to the number of days' worth of effort that were used in completing the task.
11. The Vice-Chairman asked if there was any way that information could be captured on when notifications were received, and for this to be separate from the actual days taken to complete cases.
12. The Chairman made reference to the retirement quote case on page 12 and the time taken to complete it, which was showing as zero actual days but had been completed over three and a half months after the case was started. The Pensions Lead Manager explained that the data included in Annex 1 acted as a flag for his team to ask questions and look into the cases in more detail.
13. The Board discussed cases relating to death letters and the time it had taken for the cases to be completed. The Pensions Lead Manager explained that these were legacy issues that were coming to light as the service worked through the backlog. He went on to say that a column would be added to the performance report that highlighted the number of days' worth of effort that were used as well as the overall elapsed time.
14. Discussing the backlog of cases, the Pensions Lead Manager informed the Board that this formed a key part of the Service Improvement Plan and that the service were looking to outsource work to Shropshire County Council. This was because one of the main difficulties with the backlog within fire pensions was that it was much harder to find people with the skills needed to undertake the required administration tasks. The Pensions Lead Manager went on to explain that a draft contract for the outsourcing of work to Shropshire County Council had been received the previous week and was currently with Legal Services for feedback. It was subsequently agreed that a meeting would be organised for 12 December 2019 for the Board to review the contract and remediation plan.

**Actions/further information to be provided:**

1. The Pensions Lead Manager is to report at the next Board meeting on the progress made regarding GMP reconciliation.
2. The Pensions Lead Manager is to amend the performance report so that the overall elapsed time is highlighted alongside the number of days' worth of effort.
3. The Pensions Lead Manager is to explore the possibility of capturing information on when notifications were received, and for this to be separated from the actual days taken to complete cases in future reporting.
4. A Board meeting is to be organised for 12 December 2019 to review the outsourcing contract and remediation plan.

5. The Pensions Lead Manager is to present at the next meeting of the Board a summary of the service's findings regarding the administration and benchmarking review.

**Resolved:**

The Board noted the content of the report.

**15/19 RISK REGISTER [Item 6]**

**Witnesses:**

Ayaz Malik, Pensions Accountant Advisor

**Key points raised during the discussion:**

1. The Pensions Accountant Advisor explained that the risks discussed at the last Board meeting had been updated and that there was a typo in F9i which would be updated in time for the next meeting. He also informed the Board that a data improvement risk relating to the issue raised in the Administration Update would be added.
2. It was agreed that a red risk would be added relating to the Council's future move from County Hall.
3. Referring to F19, which was concerned with the current valuation of the Firefighters' Pension Scheme potentially having its cost ceiling breached, the Vice-Chairman asked for clarification that the issue had been reported to the Section 151 Officer and was told by the Pensions Accountant Advisor that he would check in time for the next meeting if any update needed to be added to the risk register.

**Actions/further information to be provided:**

1. The Pensions Accountant Advisor is to amend the typo in F9i.
2. The Pensions Accountant Advisor is to add a risk relating to data improvement.
3. The Pensions Accountant Advisor is to add a risk relating to the Council's future move from County Hall.

**Resolved:**

The Board noted the content of the report.

**16/19 DATE OF THE NEXT MEETING [Item 7]**

The next meeting of the Surrey Local Firefighters' Pension Board will be held on 17 January 2020 (not 12 December 2019).

Meeting ended at: 3:14 pm

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**Chairman**

## SURREY LOCAL FIREFIGHTERS' PENSION BOARD ACTIONS AND RECOMMENDATIONS TRACKER

The actions and recommendations tracker allows Board Members to monitor responses, actions and outcomes against their recommendations or requests for further actions. The tracker is updated following each Board. Once an action has been completed, it will be shaded out to indicate that it will be removed from the tracker at the next meeting. The next progress check will highlight to members where actions have not been dealt with.

<b>KEY</b>			
	No Progress Reported	Action In Progress	Action Completed

Date of meeting and reference	Item	Recommendations/ Actions	To	Response	Progress
18 October 2018 <b>A5/18</b>	Administration Update (1 March 2018 – 30 September 2018)	Officers are to provide members' reasons for opting out of the pension scheme.	Pensions Lead Manager  (changed to: Head of Pensions Administration)	The issue is to be looked at during the next phase of reenrolment.	Ongoing
14 October 2019 <b>A14/19</b>	Administration Update (1 June 2019 - 31 August 2019)	The Pensions Lead Manager is to present at the next meeting of the Board a summary of the service's findings regarding the administration and benchmarking review.	Pensions Lead Manager  (changed to: Head of Pensions Administration)	The Board to discuss the matter at the next meeting.	Ongoing
14 October 2019 <b>A16/19</b>	Risk Register	The Pensions Accountant Advisor is to add a risk relating to data improvement.	Pensions Accountant Advisor  (changed to: Pensions Finance Specialist)	The risk is to be added.	Ongoing

Date of meeting and reference	Item	Recommendations/ Actions	To	Response	Progress
17 December 2018  <b>A12/18</b>	Administration Update (1 October – 30 November 2018)	The Pensions Service Delivery Manager is to share the Pensions Scheme calendar with the Board.	Pensions Service Delivery Manager	Provided in the agenda as an Annex.	Complete
1 May 2019  14 October 2019  <b>A1/19</b>	Action Tracker	The Pensions Lead Manager is to produce a paper on deferred members' addresses.	Pensions Lead Manager  (changed to: Head of Pensions Administration)	A statement is to be provided at the Board meeting on 14 October 2019.  A further update on the progress of the tracing exercise is to be discussed at the next Board meeting – an update on Scheme Address Tracing was added to the Administration Update to be discussed at the Board.	Complete
1 May 2019  14 October 2019  17 January 2020  <b>A2/19</b>	Administration Update (1 December 2018 – 31 March 2019)	The Pensions Lead Manager is to provide future Board meetings with statistics on how long it had taken cases to be processed.	Pensions Lead Manager  (changed to: Head of Pensions Administration)	Statistics are to be presented at the Board meeting on 14 October 2019.  Provided in the agenda as an annex.	Complete
14 October 2019  17 January 2020	Administration Update (1 June 2019 - 31 August 2019)	The Pensions Lead Manager is to report at the next Board meeting on the progress made regarding GMP reconciliation.	Pensions Lead Manager	The Board to discuss the matter at the next meeting.  Update on GMP reconciliation added to the Administration	Complete

Date of meeting and reference	Item	Recommendations/ Actions	To	Response	Progress
<b>A10/19</b>			(changed to: Head of Pensions Administration)	Update to be discussed at the Board.	
14 October 2019 <b>A11/19</b>	Administration Update (1 June 2019 - 31 August 2019)	The Pensions Lead Manager is to amend the performance report so that the overall elapsed time is highlighted alongside the number of days' worth of effort.	Pensions Lead Manager  (changed to: Head of Pensions Administration)	Provided within the agenda as an annex.	Complete
14 October 2019 <b>A12/19</b>	Administration Update (1 June 2019 - 31 August 2019)	The Pensions Lead Manager is to explore the possibility of capturing information on when notifications were received, and for this to be separated from the actual days taken to complete cases in future reporting.	Pensions Lead Manager  (changed to: Head of Pensions Administration)	Provided in the agenda as an annex.	Complete
14 October 2019 <b>A13/19</b>	Administration Update (1 June 2019 - 31 August 2019)	A Board meeting is to be organised for 12 December 2019 to review the outsourcing contract and remediation plan.	Democratic Services  (changed to: Head of Pensions Administration)	The Board discussed the action informally.	Complete
14 October 2019 <b>A15/19</b>	Risk Register	The Pensions Accountant Advisor is to amend the typo in F9i.	Pensions Accountant Advisor  (changed to: Pensions Finance Specialist)	Risk has been amended.	Complete

Date of meeting and reference	Item	Recommendations/ Actions	To	Response	Progress
14 October 2019  A17/19	Risk Register	The Pensions Accountant Advisor is to add a risk relating to the Council's future move from County Hall.	Pensions Accountant Advisor  (changed to: Pensions Finance Specialist)	New risk F21 was added to the Risk Register.	Complete



## **Surrey Firefighters Local Pension Board 17 January 2020**

### **Administration Update 1 September 2019 – 31 December 2019**

#### **Recommendations:**

The Board is asked to **note** the content of this report and make recommendations if any further action is required.

#### **Background**

1. The terms of reference for the Board includes the duty to;  
*“...help ensure that the Firefighters’ Pension Scheme is managed and administered effectively and efficiently and complies with the Code of Practice on the governance and administration of public service pension schemes issued by the Pension Regulator”.*
2. In order to help the Board to measure the effectiveness of the administration of the scheme a set of administrative functions from 1 September 2019 to 31 December 2019, and an update of performance and current issues is set out below and in the attached Annex.

#### **Administration Performance**

3. Details of all cases completed between 1 September and 31 December 2019 can be found at Annex 1.
4. As discussions are still ongoing regarding Service Level Agreements the report provides all information on cases completed, and length of time taken to complete.

5. Details of all current work in progress can be found at Annex 2.
6. This information is being provided so that progress of clearing through overdue cases can be tracked.
7. The 2019 version of the Scheme Calendar can be found at Annex 3. The Systems & Support Team are currently in the process of developing a 2020 version and would look to work on this in conjunction with SFRS.

### **Fire Bulletins**

The Pensions Board has adopted a procedure to ensure that any FPS Bulletins released by LGA are reviewed and any necessary actions are noted, and tracked through to completion.

8. Bulletins 24, 25, 26 and 27 have been published since the last Board meeting.
9. Bulletin 24 provided details of the new contractor for considering medical appeals. From 1 October 2019 the new provider is Duradiamond Health Ltd  
**This is for information only and no action is required by the Board.**
10. Also in Bulletin 24 was an article relating to claims for refunds of National Insurance contributions for FPS 2006 Special Members. **Action for the FRA to make a formal election to vary their pre 2016 contracting out certificate to backdate the start date of the certificate to 6 April 2000. HMRC are to contact FRAs to let them know what action needs to be taken.**
11. There was a reference in Bulletin 24 to the data improvement reports sent by GAD to each Chief Officer and LPB Chair. **This is for information only.**
12. If not already done so, there was an **Action in Bulletin 24 for FRAs to provide the name, address, telephone number, and e-mail address for the pensions manager or senior responsible person to the Bluelight Team for sharing with HMRC.**
13. Bulletin 25 included information on the new GAD factors for Non-Club Transfers In, and confirmed the suspension of any outstanding cases can be lifted. **The Action was for Pension Board Chairs and Scheme Managers to liaise with their pension manager to ensure that the factors had been applied with immediate effect. The Operations Manager can confirm that the factors have been implemented.**

14. There was a reference to the 2020 Valuation in Bulletin 25, and an **Action for FRAs to try and mitigate as many data issues as possible by ensuring that data held is both correct and up to date before year end.**
15. Bulletin 25 also commented on the Common and Scheme Specific Data Scores required for the 2019 Scheme Return.
16. Copies of the Data Reports have previously been shared with SFRS and it is encouraged that a Data Improvement Plan should be developed using the results of the report to inform the plan.
17. Copies of these reports can be found at Annex 4.
18. Bulletin 27 contains information regarding an update on the transitional protections remedy (Sargeant). As the Board are no doubt aware, on 18 December 2019, the Employment Tribunal made an interim order on the Firefighters' transitional protections claims.
19. The order treats claimants as satisfying the age criteria regardless of their actual age as long as they meet the other criteria, which was to have been in the scheme at 31 March 2012 and 31 March 2015.
20. A factsheet has been provided by the Home Office and this has been uploaded to the Surrey Fire internal website. Some suggested text has also been provided and this has been shared with the Pensions Helpdesk to support with any enquiries they receive.
21. **There is an Action for FRA's to identify members with relevant service, whether claimants or non-claimants so that once proposals are finalised they are in a position to act.**

## **Staffing**

22. Andrew Marson (Head of Pensions Admin) is leaving Orbis Pensions with effect from 10 January 2020.
23. The Assistant Director of Orbis is currently sourcing a replacement for Andrew and further information will be provided in due course.
24. In the interim period, Clare Chambers (Operations Manager) and Tom Lewis (Programme Manager) will be the main points of contact for the Pensions Admin team.

## Summary

25. The Board is asked to note the update provided/actions required and to advise if any further reporting will assist the Board in monitoring of administration performance.

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**Report contact:** Andrew Marson, Head of Pensions Admin

**Contact details:** T: 07540 862426 E: Andrew.marson@surreycc.gov.uk

**Sources/background papers:**

Surrey Local Pension Board Terms of Reference

**Annexes**

Annex 1 – September to December 2019 Performance

Annex 2 – Work in Progress Report

Annex 3 – Scheme Calendar 2019

Annex 4 – Common & Scheme Specific Data Reports

Annex 5 – FPS Bulletins 24, 25, 26 and 27

Annex 6 – Update on GMP, Retained Fire Project and Scheme Address Tracing

## Annex 1 - September to December 2019 Performance

Case	NINO	Target Days to Complete	Actual Days To Complete	Days Difference	Case Due Completion	Case Started	Case Completed
PI @ age 55	NB*****B	10	1	9	29/10/19	15/10/19	16/10/19
PI @ age 55	NE*****C	10	2	8	18/12/19	04/12/19	06/12/19
PI @ age 55	NE*****C	10	3	7	20/12/19	06/12/19	11/12/19
PI @ age 55	NE*****C	10	5	5	18/12/19	04/12/19	11/12/19
PI @ age 55	NE*****C	10	12	-2	18/12/19	04/12/19	20/12/19
PI @ age 55	NE*****B	10	12	-2	18/12/19	04/12/19	20/12/19
PI @ age 55	NE*****A	10	12	-2	18/12/19	04/12/19	20/12/19
Divorce Quote	YM*****D	40	12	28	21/10/19	23/08/19	11/09/19
Interfund Out	NZ*****D	20	0	20	19/05/20	31/12/19	31/12/19
Interfund Out	NZ*****D	20	0	20	19/05/20	31/12/19	31/12/19
Age Retirement	NB*****A	9	5	4	21/10/19	08/10/19	15/10/19
Age Retirement	NM*****D	9	2	7	25/09/19	12/09/19	16/09/19
Age Retirement	NS*****B	9	4	5	14/11/19	01/11/19	07/11/19
Change of Address	BE*****C	7	0	7	01/01/20	17/12/19	16/12/19
Change of Address	WB*****A	7	0	7	14/11/19	05/11/19	04/11/19
Change of Address	YL*****D	7	0	7	30/12/19	16/12/19	13/12/19
Annual Allowance	JL*****B	7	0	7	02/12/19	21/11/19	21/11/19
Change of Bank Details	WE*****C	7	0	7	08/11/19	30/10/19	30/10/19
Change of Bank Details	YM*****A	7	13	-6	07/10/19	26/09/19	15/10/19
Change of Bank Details	NS*****B	7	0	7	02/01/20	18/12/19	18/12/19
Change of Bank Details	TN*****M	7	0	7	02/01/20	18/12/19	18/12/19
Genral Correspondence	HX*****C	7	0	7	13/09/19	04/09/19	03/09/19
Genral Correspondence	NA*****C	7	0	7	20/09/19	11/09/19	10/09/19
Genral Correspondence	NA*****C	7	0	7	20/09/19	11/09/19	10/09/19
Genral Correspondence	NB*****B	7	18	-11	30/09/19	19/09/19	15/10/19
Genral Correspondence	WK*****C	7	43	-36	30/09/19	19/09/19	19/11/19
Pension Sharing Order	NW*****B	86	22	64	09/01/20	05/09/19	07/10/19
Pension Sharing Order	NW*****B	86	44	42	06/06/19	31/01/19	07/10/19
Divorce Quote	JC*****C	30	10	20	27/11/19	16/10/19	30/10/19
Divorce Quote	JP*****D	30	36	-6	03/09/19	22/07/19	11/09/19
Divorce Quote	NB*****B	30	30	0	11/09/19	30/07/19	11/09/19
Divorce Quote	NP*****B	30	62	-32	26/07/19	14/06/19	11/09/19
Divorce Quote	NP*****B	30	11	19	20/11/19	09/10/19	30/10/19
Divorce Quote	NY*****B	30	12	18	19/11/19	08/10/19	30/10/19
Divorce Quote	NW*****B	7	0	7	16/10/19	07/10/19	07/10/19
Death Enquiry	NB*****A	7	12	-5	04/10/19	25/09/19	11/10/19
Death Enquiry	YE*****D	7	3	4	19/12/19	10/12/19	20/12/19
Death Enquiry	YH*****A	7	18	-11	19/11/19	08/11/19	04/12/19
Retirement Enquiry	WK*****C	7	2	5	18/12/19	09/12/19	11/12/19
Service Enquiry	NH*****C	7	0	7	09/01/20	30/12/19	31/12/19
Transfer Out Enquiry	NZ*****A	7	39	-32	25/07/19	16/07/19	11/09/19
Survivor Quote	YM*****A	20	72	-52	14/10/19	16/09/19	31/12/19
Death - Overpaid Pension	YM*****A	4	47	-43	15/07/19	09/07/19	13/09/19
Death - Overpaid Pension	AB*****C	4	0	4	29/10/19	23/10/19	23/10/19
Death - Overpaid Pension	HX*****C	4	4	0	09/09/19	03/09/19	09/09/19
Death - Overpaid Pension	YE*****D	4	20	-16	03/10/19	28/09/19	25/10/19
Death - Overpaid Pension	YH*****A	4	0	4	29/10/19	23/10/19	23/10/19
Death - Survivors Pension	AB*****B	4	15	-11	31/10/19	26/10/19	15/11/19
Death	AB*****B	4	6	-2	21/10/19	15/10/19	23/10/19
Death	AB*****C	4	9	-5	16/10/19	10/10/19	23/10/19
Death	BA*****D	4	1	3	13/12/19	09/12/19	10/12/19
Death	BB*****D	4	31	-27	07/10/19	01/10/19	13/11/19
Death	TW*****A	4	3	1	12/11/19	06/11/19	11/11/19
Death	YE*****D	4	2	2	04/10/19	30/09/19	02/10/19
Death	YE*****A	4	1	3	02/01/20	24/12/19	27/12/19
Death	YH*****A	4	16	-12	02/09/19	27/08/19	18/09/19
Death	YH*****A	4	12	-8	11/10/19	07/10/19	23/10/19
Death	YH*****A	4	10	-6	05/11/19	30/10/19	11/12/19
Death	YP*****C	4	2	2	20/09/19	16/09/19	18/09/19
Death	YX*****B	4	1	3	02/01/20	24/12/19	27/12/19

## Annex 1 - September to December 2019 Performance

Death	ZR*****B	4	18	-14	21/11/19	15/11/19	11/12/19
Pensions Adjustment	NB*****A	1	25	-24	06/11/19	01/11/19	06/12/19
Pensions Adjustment	NB*****C	1	25	-24	06/11/19	01/11/19	06/12/19
Pensions Adjustment	NB*****A	1	25	-24	06/11/19	01/11/19	06/12/19
Pensions Adjustment	NE*****B	1	0	1	06/11/19	01/11/19	02/11/19
Pensions Adjustment	NE*****C	1	2	-1	17/09/19	12/09/19	16/09/19
Pensions Adjustment	NE*****C	1	5	-4	17/10/19	10/10/19	17/10/19
Pensions Adjustment	NE*****C	1	5	-4	12/11/19	07/11/19	14/11/19
Pensions Adjustment	NE*****B	1	0	1	06/11/19	01/11/19	02/11/19
Pensions Adjustment	NH*****A	1	25	-24	06/11/19	01/11/19	06/12/19
Pensions Adjustment	NH*****D	1	25	-24	06/11/19	01/11/19	06/12/19
Pensions Adjustment	NH*****C	1	25	-24	06/11/19	01/11/19	06/12/19
Pensions Adjustment	NM*****D	1	8	-7	05/09/19	02/09/19	27/09/19
Pensions Adjustment	NM*****D	1	25	-24	06/11/19	01/11/19	06/12/19
Pensions Adjustment	NM*****A	1	25	-24	06/11/19	01/11/19	06/12/19
Pensions Adjustment	NM*****A	1	25	-24	06/11/19	01/11/19	06/12/19
Pensions Adjustment	NP*****D	1	25	-24	06/11/19	01/11/19	06/12/19
Pensions Adjustment	NR*****C	1	23	-22	06/11/19	01/11/19	04/12/19
Pensions Adjustment	NS*****B	1	3	-2	07/11/19	04/11/19	07/11/19
Pensions Adjustment	WK*****B	1	2	-1	17/09/19	12/09/19	16/09/19
Pensions Adjustment	WK*****B	1	9	-8	17/10/19	10/10/19	23/10/19
Pensions Adjustment	WK*****B	1	5	-4	12/11/19	07/11/19	14/11/19
Pensions Adjustment	WK*****B	1	3	-2	25/11/19	20/11/19	26/11/19
Pensions Adjustment	WK*****B	1	1	0	30/12/19	16/12/19	17/12/19
Death	HX*****C	10	4	6	17/09/19	03/09/19	09/09/19
Death	EA*****C	5	744	-739	04/11/16	28/10/16	15/10/19
Unpaid Leave	NH*****C	20	154	-134	25/06/19	30/01/19	10/09/19
Death - Survivor & Death Grant	NB*****A	4	45	-41	18/07/19	12/07/19	16/09/19
Modification @ SPA	YX*****B	10	50	-40	22/07/19	08/07/19	17/09/19
Age Retirement	NB*****A	10	22	-12	09/12/19	25/11/19	31/12/19
Age Retirement	NE*****A	10	22	-12	09/12/19	25/11/19	31/12/19
Age Retirement	NE*****B	10	35	-25	16/09/19	02/09/19	02/11/19
Age Retirement	NH*****C	10	53	-43	23/09/19	09/09/19	04/12/19
Age Retirement	NP*****D	10	6	4	16/09/19	02/09/19	02/10/19
Deferred Benefit	NM*****B	45	1	44	28/01/20	20/11/19	22/11/19
Death - Survivors Pension	BA*****D	9	1	8	23/12/19	10/12/19	17/12/19
Age Retirement	NB*****C	14	3	11	30/09/19	10/09/19	18/09/19
Age Retirement	NR*****C	14	3	11	17/10/19	27/09/19	02/10/19
Deferred Retirement	WE*****C	14	3	11	28/10/19	08/10/19	18/10/19
Deferred into Pay Estimate	WK*****C	14	51	-37	16/07/19	26/06/19	06/09/19
Deferred into Pay Estimate	WK*****C	14	56	-42	16/07/19	26/06/19	13/09/19
Transfer Out	NM*****B	19	3	16	18/12/19	21/11/19	26/11/19
Interfund out	JR*****D	20	253	-233	06/03/19	12/10/18	16/10/19
Change of Address	NR*****D	7	0	7	19/09/19	10/09/19	10/09/19
Deferred Benefit	NM*****C	22	531	-509	19/10/17	19/09/17	30/10/19
Deferred Benefit	NY*****B	20	339	-319	01/08/18	04/07/18	06/11/19
Nomination Acknowledgement	JS*****A	5	0	5	09/12/19	02/12/19	02/12/19
Pension Adjustment	NM*****D	1	1	0	17/12/19	16/12/19	17/12/19
Pension Adjustment	WK*****B	1	23	-22	06/11/19	01/11/19	04/12/19
Pension Adjustment	YY*****A	1	22	-21	06/11/19	01/11/19	04/12/19
Deferred Benefit	NY*****B	45	171	-126	10/05/19	05/03/19	06/11/19

## Annex 2 - Work in Progress Report

NINO	Task Description	Case Description	Due For Action	Case Due Completion	Task Status
ZH*****C	Check BACS recall sP10-30	BACS recall on SAP SP10-30	22/04/2015	14/09/2015	Outstanding
ZM*****D	Suspend Pension + Await reponse from NOK	Pension Suspended-Possible Death SP11-02	21/03/2016	12/08/2016	Outstanding
NY*****D	*L* Book in Deferred on leaving SP09-27	Deferred Ben on leaving employ. SP09-27	22/05/2017	22/06/2017	Outstanding
PE*****C	Review payment of childs pension SP10-01	Child Pension Payment Review SP10-01	21/02/2018	20/11/2017	Reply Due
NP*****D	*L* Book in Deferred on leaving SP09-27	Deferred Ben on leaving employ. SP09-27	15/12/2017	18/01/2018	Outstanding
JK*****B	*L* Book in Deferred on leaving SP09-27	Deferred Ben on leaving employ. SP09-27	23/01/2018	20/02/2018	Outstanding
YS*****C	COMPLAINT REC'D FROM MEMBER	COMPLAINT REC'D FROM MEMBER EASY	18/10/2018	22/02/2018	Reply Received
YT*****D	Check Reply to general corres. SP05-43	General Corres Reply - see SP05-43	11/04/2018	23/04/2018	Outstanding
YS*****A	Check Reply to general corres. SP05-43	General Corres Reply - see SP05-43	11/04/2018	23/04/2018	Outstanding
YT*****B	Check Reply to general corres. SP05-43	General Corres Reply - see SP05-43	11/04/2018	23/04/2018	Outstanding
JM*****A	*L* Book in Deferred on leaving SP09-27	Deferred Ben on leaving employ. SP09-27	04/07/2018	01/08/2018	Outstanding
WP*****D	*L* Book in Deferred on leaving SP09-27	Deferred Ben on leaving employ. SP09-27	04/07/2018	01/08/2018	Outstanding
NZ*****A	*L* Book in Deferred on leaving SP09-27	Deferred Ben on leaving employ. SP09-27	09/07/2018	06/08/2018	Outstanding
NR*****A	*L* Book in Deferred on leaving SP09-27	Deferred Ben on leaving employ. SP09-27	13/09/2018	11/10/2018	Outstanding
JJ*****D	*L* Book in Deferred on leaving SP09-27	Deferred Ben on leaving employ. SP09-27	15/12/2018	18/01/2019	Outstanding
NS*****C	*L* Book in Deferred on leaving SP09-27	Deferred Ben on leaving employ. SP09-27	15/01/2019	12/02/2019	Outstanding
JN*****A	*L* Book in Deferred on leaving SP09-27	Deferred Ben on leaving employ. SP09-27	15/01/2019	12/02/2019	Outstanding
NP*****C	*L* Book in Deferred on leaving SP09-27	Deferred Ben on leaving employ. SP09-27	17/01/2019	14/02/2019	Outstanding
JP*****A	*L* Book in Deferred on leaving SP09-27	Deferred Ben on leaving employ. SP09-27	08/02/2019	08/03/2019	Outstanding
JH*****A	*L* Book in Deferred on leaving SP09-27	Deferred Ben on leaving employ. SP09-27	15/02/2019	15/03/2019	Outstanding
JG*****B	*L* Book in Deferred on leaving SP09-27	Deferred Ben on leaving employ. SP09-27	08/03/2019	05/04/2019	Outstanding
NZ*****A	Print Dataviews File and letter SP09-27	Send LG Service Details SP09-27	05/12/2018	03/05/2019	Outstanding
PC*****D	Death Grant-Acknowledge Wishes SP05-55	Acknowledge Death Grant Wishes SP05-55	26/04/2019	03/05/2019	Outstanding
JK*****B	Death Grant-Acknowledge Wishes SP05-55	Acknowledge Death Grant Wishes SP05-55	26/04/2019	03/05/2019	Outstanding
JM*****A	Death Grant-Acknowledge Wishes SP05-55	Acknowledge Death Grant Wishes SP05-55	26/04/2019	03/05/2019	Outstanding
JT*****C	Death Grant-Acknowledge Wishes SP05-55	Acknowledge Death Grant Wishes SP05-55	26/04/2019	03/05/2019	Outstanding
PW*****C	*K* Interfund LIFIQxxx Letter SP0927	Interfund Service SP09-27 DO NOT USE	09/04/2019	09/05/2019	Outstanding
PA*****D	*L* Book in Deferred on leaving SP09-27	Deferred Ben on leaving employ. SP09-27	06/03/2019	13/05/2019	Outstanding
JH*****C	*L* Book in Deferred on leaving SP09-27	Deferred Ben on leaving employ. SP09-27	22/03/2019	30/05/2019	Outstanding
NE*****A	*K* Request+Wait for IF-IN Quote SP13-17	Interfund In SP13-17	30/01/2019	25/06/2019	Outstanding
NE*****A	Send Fire Service to new FRA SP09-27	Fire Service Transfer to New FRA SP09-27	30/01/2019	25/06/2019	Outstanding
NR*****B	*L* Run CETV quote + Print Letter SP0927	TV-OUT CETV Quotation SP09-27	30/05/2019	26/06/2019	Outstanding
KM*****D	Full Reply to general corres. SP05-43	General Corres Reply - see SP05-43	18/07/2019	29/07/2019	Outstanding
JL*****B	Print Dataviews File and letter SP09-27	Send LG Service Details SP09-27	23/07/2019	19/08/2019	Outstanding
JL*****B	Print Dataviews File and letter SP09-27	Send LG Service Details SP09-27	04/09/2019	19/08/2019	Reply Received
NR*****B	*L* Check Deferred Ben on leaving SP0927	Deferred Ben on leaving employ. SP09-27	19/06/2019	21/08/2019	Outstanding
JR*****C	*L* Run CETV quote + Print Letter SP0927	TV-OUT CETV Quotation SP09-27	29/07/2019	23/08/2019	Outstanding
JT*****C	*L* Run CETV quote + Print Letter SP0927	TV-OUT CETV Quotation SP09-27	31/12/2019	23/08/2019	Reply Received
JP*****C	*K* Request+Wait for IF-IN Quote SP13-17	Interfund In SP13-17	04/10/2019	28/08/2019	Reply Received
JH*****C	*K* Request & Wait for TVIN Quote SP1033	Transfer Value In SP10-34	08/04/2019	02/09/2019	Outstanding
JH*****C	*K* Request & Wait for TVIN Quote SP1033	Transfer Value In SP10-34	08/04/2019	02/09/2019	Outstanding
JN*****B	*K* Request & Wait for TVIN Quote SP1033	Transfer Value In SP10-34	08/04/2019	02/09/2019	Outstanding
JW*****A	*K* Request & Wait for TVIN Quote SP1033	Transfer Value In SP10-34	09/08/2019	02/09/2019	Reply Received
JZ*****A	*K* Request & Wait for TVIN Quote SP1033	Transfer Value In SP10-34	24/10/2019	02/09/2019	Reply Received

## Annex 2 - Work in Progress Report

JW*****A	*K* Request & Wait for TVIN Quote SP1033	Transfer Value In	SP10-34	20/11/2019	02/09/2019	Reply Received
JL*****B	Full Reply to general corres. SP05-43	General Corres Reply - see SP05-43		28/08/2019	06/09/2019	Outstanding
JK*****B	*K* Request & Wait for TVIN Quote SP1033	Transfer Value In	SP10-34	26/04/2019	18/09/2019	Outstanding
NP*****A	*K* Request & Wait for TVIN Quote SP1033	Transfer Value In	SP10-34	26/04/2019	18/09/2019	Outstanding
JJ*****C	*K* Request & Wait for TVIN Quote SP1033	Transfer Value In	SP10-34	26/04/2019	18/09/2019	Outstanding
JT*****C	*K* Request & Wait for TVIN Quote SP1033	Transfer Value In	SP10-34	26/04/2019	18/09/2019	Outstanding
JM*****A	*K* Request & Wait for TVIN Quote SP1033	Transfer Value In	SP10-34	26/04/2019	18/09/2019	Outstanding
JS*****D	*K* Request & Wait for TVIN Quote SP1033	Transfer Value In	SP10-34	26/04/2019	18/09/2019	Outstanding
JR*****B	*K* Request & Wait for TVIN Quote SP1033	Transfer Value In	SP10-34	26/04/2019	18/09/2019	Outstanding
JE*****D	*K* Request & Wait for TVIN Quote SP1033	Transfer Value In	SP10-34	26/04/2019	18/09/2019	Outstanding
JK*****A	*K* Request & Wait for TVIN Quote SP1033	Transfer Value In	SP10-34	26/04/2019	18/09/2019	Outstanding
JS*****D	*K* Request & Wait for TVIN Quote SP1033	Transfer Value In	SP10-34	29/04/2019	19/09/2019	Outstanding
JS*****D	*K* Request & Wait for TVIN Quote SP1033	Transfer Value In	SP10-34	29/04/2019	19/09/2019	Outstanding
JS*****D	*K* Request & Wait for TVIN Quote SP1033	Transfer Value In	SP10-34	29/04/2019	19/09/2019	Outstanding
JS*****D	*K* Request & Wait for TVIN Quote SP1033	Transfer Value In	SP10-34	29/04/2019	19/09/2019	Outstanding
WM*****C	Full Reply to general corres. SP05-43	General Corres Reply - see SP05-43		13/09/2019	24/09/2019	Outstanding
JH*****D	Print TV-IN Quotation Letter SP09-27	TV-IN Quotation		29/08/2019	25/09/2019	Outstanding
NW*****D	*L* Book in Deferred on leaving SP09-27	Deferred Ben on leaving employ. SP09-27		26/07/2019	30/09/2019	Outstanding
JA*****A	Frozen Refund Calc, LGS1 & letter	Frozen Refund Calculation		18/09/2019	02/10/2019	Outstanding
JJ*****C	*K* Request+Wait for IF-IN Quote SP13-17	Interfund In	SP13-17	14/05/2019	03/10/2019	Outstanding
JZ*****A	*K* Book in Deferred on leaving SP09-27	Deferred Ben on leaving employ. SP09-27		13/08/2019	16/10/2019	Outstanding
JP*****B	*K* Book in Deferred on leaving SP09-27	Deferred Ben on leaving employ. SP09-27		13/08/2019	16/10/2019	Outstanding
JA*****A	*L* Run CETV quote + Print Letter SP0927	TV-OUT CETV Quotation	SP09-27	19/09/2019	16/10/2019	Outstanding
JA*****A	*L* Run CETV quote + Print Letter SP0927	TV-OUT CETV Quotation	SP09-27	19/09/2019	16/10/2019	Outstanding
NM*****A	*K* Book in Deferred on leaving SP09-27	Deferred Ben on leaving employ. SP09-27		21/08/2019	24/10/2019	Outstanding
NP*****D	Print TV-IN Quotation Letter SP09-27	TV-IN Quotation		25/01/2020	24/10/2019	Reply Due
WK*****C	*L* Set up Deferred Pension	Set up def. into payment on SAP	SP10-01	12/12/2019	25/10/2019	Reply Due
JK*****B	*K* Request & Wait for TVIN Quote SP1033	Transfer Value In	SP10-34	17/06/2019	05/11/2019	Outstanding
JW*****C	*K* Request & Wait for TVIN Quote SP1033	Transfer Value In	SP10-34	14/08/2019	05/11/2019	Reply Received
JM*****B	*L* Run CETV quote + Print Letter SP0927	TV-OUT CETV Quotation	SP09-27	10/10/2019	06/11/2019	Outstanding
WK*****A	Check SAP Pension Adjustment SP10-01	SAP Pension Adjustment	SP10-01	04/11/2019	07/11/2019	Outstanding
PB*****D	*K* Request & Wait for TVIN Quote SP1033	Transfer Value In	SP10-34	19/07/2019	19/11/2019	Reply Received
PB*****D	*K* Request & Wait for TVIN Quote SP1033	Transfer Value In	SP10-34	27/08/2019	19/11/2019	Reply Received
JX*****C	Amalgamation of FPS-NFPS SP09-27	Fire Service Amalgamation	SP09-27	02/07/2019	20/11/2019	Outstanding
JB*****D	Amalgamation of FPS-NFPS SP09-27	Fire Service Amalgamation	SP09-27	02/07/2019	20/11/2019	Outstanding
JP*****A	Amalgamation of FPS-NFPS SP09-27	Fire Service Amalgamation	SP09-27	02/07/2019	20/11/2019	Outstanding
NP*****B	Amalgamation of FPS-NFPS SP09-27	Fire Service Amalgamation	SP09-27	02/07/2019	20/11/2019	Outstanding
JM*****C	Amalgamation of FPS-NFPS SP09-27	Fire Service Amalgamation	SP09-27	02/07/2019	20/11/2019	Outstanding
NA*****A	Amalgamation of FPS-NFPS SP09-27	Fire Service Amalgamation	SP09-27	02/07/2019	20/11/2019	Outstanding
JH*****A	Amalgamation of FPS-NFPS SP09-27	Fire Service Amalgamation	SP09-27	02/07/2019	20/11/2019	Outstanding
JM*****B	Amalgamation of FPS-NFPS SP09-27	Fire Service Amalgamation	SP09-27	02/07/2019	20/11/2019	Outstanding
JZ*****C	*K* Request & Wait for TVIN Quote SP1033	Transfer Value In	SP10-34	02/08/2019	03/12/2019	Reply Received
NP*****A	*K* Request & Wait for TVIN Quote SP1033	Transfer Value In	SP10-34	08/08/2019	03/12/2019	Reply Received
PC*****D	*K* Request+Wait for IF-IN Quote SP13-17	Interfund In	SP13-17	17/07/2019	05/12/2019	Outstanding
JE*****C	*K* Request+Wait for IF-IN Quote SP13-17	Interfund In	SP13-17	03/09/2019	27/01/2020	Outstanding
JP*****B	ABS Active Statements Query (SP18-092)	ABS ACTIVE STATEMENT QUERY		04/09/2019	28/01/2020	Outstanding
JW*****A	*K* Request & Wait for TVIN Quote SP1033	Transfer Value In	SP10-34	07/11/2019	01/04/2020	Outstanding
NY*****B	General Task	FIRE - One Task General PROCEDURE		02/07/2019	09/05/2023	Outstanding
CK*****C	Calc Death Overpaid pension Quote			02/08/2019		Reply Received



**Purpose: To specify and detail timings of standard processes and reporting produced for Surrey Fire & Rescue Service.**

**Any ad-hoc requests not included in the schedule will require the completion of an ad-hoc request form. The request can then be discussed between both parties and weighed up against resource availability, priority, timescales and potential impact of meeting the request within the requested timescale**

**Date produced: June 2019**

**Contact: Tom Lewis - Support and Development Manager**



January

TASK	Reporting Frequency	DEADLINE	RISK FACTOR
HMRC Tax Event Reporting	Quarterly	45 works days from end of last quarter	High
FRS/IAS Reports - Fire			

February

TASK	Reporting Frequency	DEADLINE	RISK FACTOR
Agree PI letters - Fire			
Surrey Firefighter Committee			

March

TASK	Reporting Frequency	DEADLINE	RISK FACTOR
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April

TASK	Reporting Frequency	DEADLINE	RISK FACTOR
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May

TASK	Reporting Frequency	DEADLINE	RISK FACTOR
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June

TASK	Reporting Frequency	DEADLINE	RISK FACTOR
Firefighters Deferred ABS has been dispatched 14/06/2019. Andrew Wakefield			
Fire England TVins/ Revised Fire England Factors NON-club Transfer-Ins (26/06/2019)			

July

TASK	Reporting Frequency	DEADLINE	RISK FACTOR
Post Firefighters CPD			

August

TASK	Reporting Frequency	DEADLINE	RISK FACTOR
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September

TASK	Reporting Frequency	DEADLINE	RISK FACTOR
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October

TASK	Reporting Frequency	DEADLINE	RISK FACTOR
Surrey Firefighters Committee			

**November**

<b>TASK</b>	<b>Reporting Frequency</b>	<b>DEADLINE</b>	<b>RISK FACTOR</b>
Surrey Police & Firefighters IAS 19 Data Capture (Needs membership data from Admin)			

**December**

<b>TASK</b>	<b>Reporting Frequency</b>	<b>DEADLINE</b>	<b>RISK FACTOR</b>
Surrey Police & Firefighters IAS 19 Data Capture (Needs membership data from Admin)			

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Aquila Heywood

Firefighters' Pension Scheme  
Common Data Quality Statistics  
ORBIS  
Surrey Fire and Rescue Authority



October 2019

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# 1 Executive Summary

## 1.1 Introduction

In 2015, the Pensions Regulator (TPR) assumed responsibility for Public Sector Pension Schemes. Prior to this, in June 2010, TPR issued guidance on the approach that they consider to be good practice for measuring the presence of member data. Specific targets were set for data TPR deemed as 'common' and Aquila Heywood has assisted customers in the collection and qualification of this data.

To assist customers in undertaking a practical assessment of their common data, Aquila Heywood offers a Data Quality service.

## 1.2 Data Quality Service

Working with ORBIS, Aquila Heywood has completed a review of the Surrey Fire and Rescue Authority's common pension data in line with the guidance notes set down by TPR. Aquila Heywood's understanding of the Firefighters' Pension Scheme data, benefit calculations, interfaces and processes, has assisted in the agreement of which items to test. The tests to satisfy each condition have been run and the results quantified to provide guidance on any corrective action required.

The service incorporates data items tested against the data conditions agreed with ORBIS. To provide focus on the key areas of common data to be addressed, each data category is measured against an agreed benchmark.

## 1.3 Benchmark

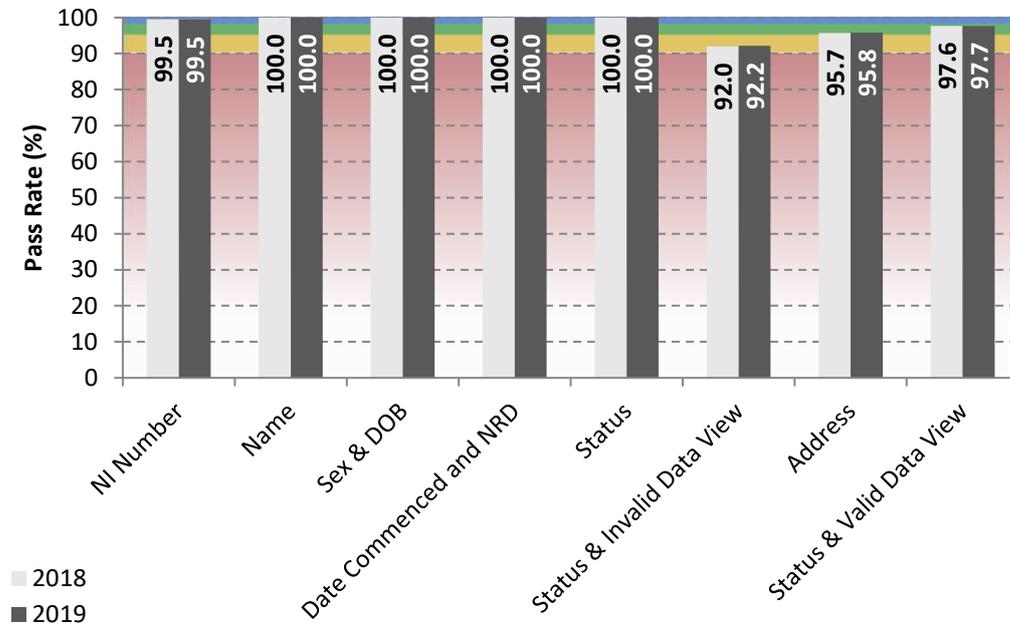
The benchmarks applied to the results presented in this report were agreed between the ORBIS and Aquila Heywood. The categories and thresholds are as follows:

Category	Pass Threshold
Blue	Pass rate $\geq$ 98%
Green	95% $\leq$ Pass rate $<$ 98%
Amber	90% $\leq$ Pass rate $<$ 95%
Red	Pass rate $<$ 90%

These benchmarks are illustrated in the background of the results graph. TPR have set targets of 100% accuracy for data created after June 2010 and 95% accuracy for data created beforehand. The Aquila Heywood data quality service measures data as a whole as updates for many members are continuous and alter the last updated date on the system.

## 1.4 Summary of Common Data Results

The graph below indicates the Surrey Fire and Rescue Authority performance for each data category against the agreed scheme benchmarks. The results presented herein are generated from data extracted from ORBIS's Live Altair service on 2<sup>nd</sup> September 2011 for all tests. The overall rating for Surrey's common data is 98.1%. The percentage of member records that did not have a single common data failure was **85.8%** and this is the figure to be reported to TPR on the scheme return. This represents an increase of 0.2% on the 2018 score of 85.6%.



## 2 Common Data Results

Condition	Qualifying Members			Areas for Review
	Tested (change)	Passed (change)	Pass Rate (change)	
<b>NI Number</b>	3163	3146	99.5%	Fail A: 0
<u>Eligible for Testing:</u>	(+94)	(+92)	(-0.05%)	Fail B: 17
All members				Fail C: 0
<b>Name</b>	3163	3163	100%	Fail A: 0
<u>Eligible for Testing:</u>	(+94)	(+94)	(0%)	Fail B: 0
All members				Fail C: 0
<b>Sex and Date of Birth</b>	3163	3162	100%	Fail A: 0
<u>Eligible for Testing:</u>	(+94)	(+94)	(+0%)	Fail B: 0
All members (Leavers and deaths excluded from test D)				Fail C: 0
				Fail D: 1
<b>Date commenced and NRD</b>	3163	3162	100%	Fail A: 1
<u>Eligible for Testing:</u>	(+94)	(+94)	(+0%)	Fail B: 0
All members				
<b>Status</b>	3163	3162	100%	Fail A: 0
<u>Eligible for Testing:</u>	(+94)	(+94)	(+0%)	Fail B: 0
All members				Fail C: 1
<b>Status and invalid data view</b>	3163	2916	92.2%	Fail A: 4
<u>Eligible for Testing:</u>	(+94)	(+94)	(+0.24%)	Fail B: 236
All members				Fail C: 5
				Fail D: 3
<b>Address</b>	3163	3030	95.8%	Fail A: 7
<u>Eligible for Testing:</u>	(+94)	(+93)	(+0.1%)	Fail B: 2
All members except leavers and deaths (status 3 and 7)				Fail C: 108
				Fail D: 15
				Fail E: 3
<b>Status and valid data view</b>	3163	3090	97.7%	Fail A: 0
<u>Eligible for Testing:</u>	(+94)	(+94)	(+0.07%)	Fail B: 0
Members with deferred benefits or benefits in payment (Status 4, 5, 6, 7, and 9)				Fail C: 0
				Fail D: 0
				Fail E: 21
				Fail F: 52







Aquila Heywood

# Firefighters' Pension Scheme Scheme-specific Data Quality Statistics

## ORBIS

### Surrey Fire and Rescue Authority



October 2019

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# 1 Executive Summary

## 1.1 Introduction

In 2015, the Pensions Regulator (TPR) assumed responsibility for Public Sector Pension Schemes. Prior to this, in June 2010, TPR issued guidance on the approach that they consider to be good practice for measuring the presence of member data. Specific targets were set for data TPR deemed as 'common' and Aquila Heywood has assisted customers in the collection and qualification of this data. TPR also outlined 'Scheme-specific' (Conditional) data but did not set prescriptive targets as the data is deemed to be scheme-specific. The guidance did target Pension Scheme Trustees to ensure that 'reasonable endeavours' were undertaken to provide evidence of assessment and measurement, together with an action plan to meet the scheme specific targets.

To assist customers in undertaking a practical assessment of their Scheme-specific data, Aquila Heywood offers a Data Quality service.

## 1.2 Data Quality Service

Working with ORBIS, Aquila Heywood has completed a review of the Surrey Fire and Rescue Authority's Scheme-specific pension data in line with the guidance notes set down by TPR detailed in appendix A. Aquila Heywood's understanding of the Firefighters' Pension Scheme data, benefit calculations, interfaces and processes, has assisted in the agreement of which items to test. The tests to satisfy each condition have been run and the results quantified to provide guidance on any corrective action required.

The following terms should be understood to aid understanding of the conditions used and the results obtained:

- **Data condition** – identified TPR condition, for example check that an active member does not have a date of leaving
- **Data category** – grouping of relevant data conditions, for example **Member Benefits** (see section 1.4 below)
- **Data item** – item of data which forms part of a data condition for example 'date of leaving'

The service incorporates in the order of 100 individual tests against the data conditions agreed with ORBIS. To provide focus on the key areas of Scheme-specific data to be addressed, each data category is measured against an agreed benchmark.

### 1.3 Benchmark

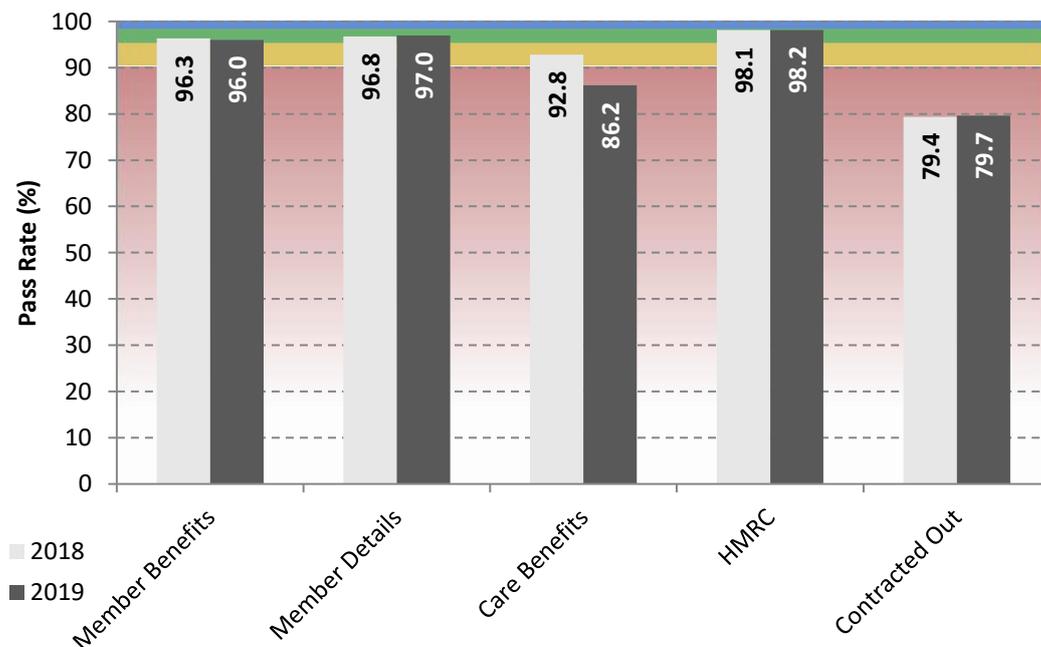
The benchmarks applied to the results presented in this report were agreed between ORBIS and Aquila Heywood. The categories and thresholds are as follows:

Category	Pass Threshold
Blue	Pass rate $\geq$ 98%
Green	95% $\leq$ Pass rate $<$ 98%
Amber	90% $\leq$ Pass rate $<$ 95%
Red	Pass rate $<$ 90%

These benchmark ranges are illustrated in the background of subsequent results graphs.

### 1.4 Summary of Scheme-specific Data Results

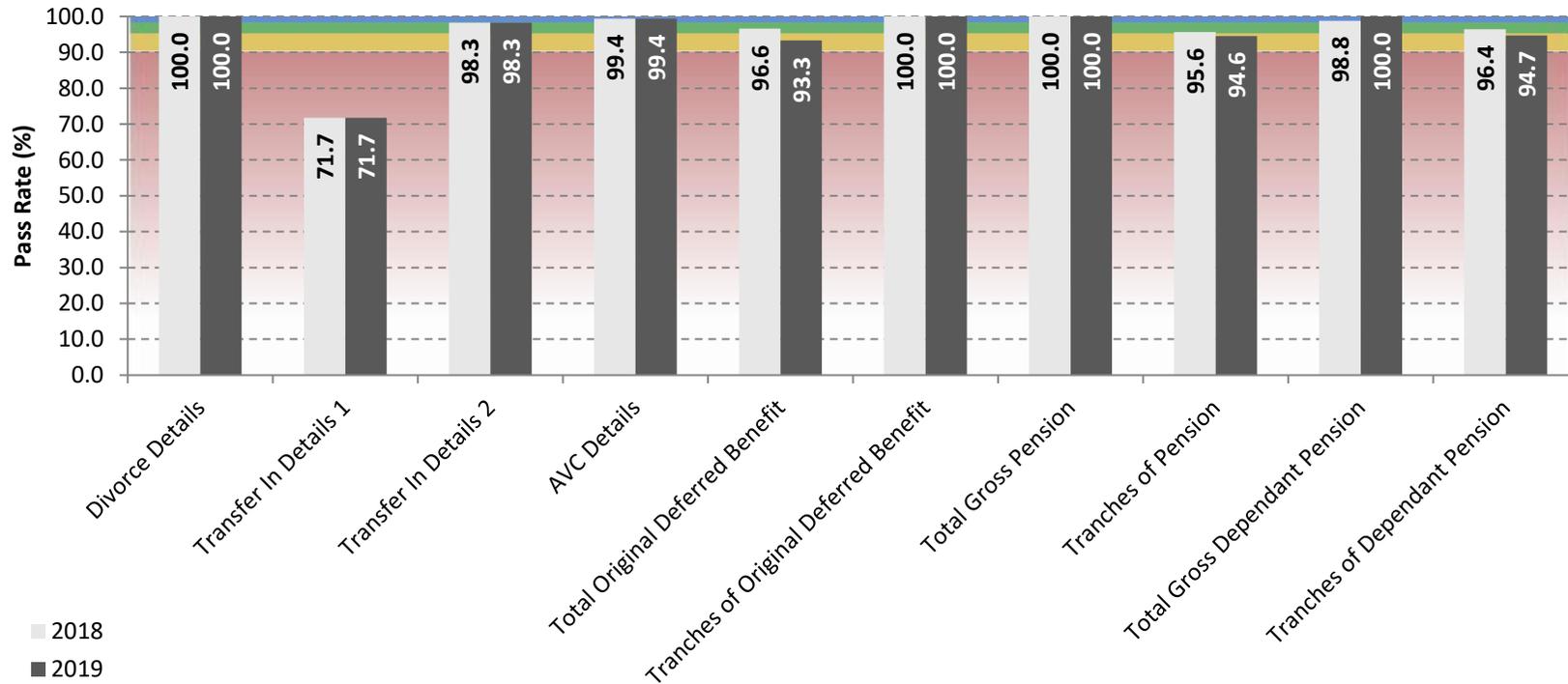
The graph below indicates the Surrey performance for each data category against the agreed scheme benchmarks. Also, below is an explanation as to the data conditions relevant to each data category. The results presented herein are generated from data extracted from ORBIS's Live Altair service on 2<sup>nd</sup> September 2019 for all tests. The overall rating for Surrey's Scheme-specific data is 93.2%. The percentage of member records without a single scheme-specific data failure is **72.1%** and this is the figure that TPR will be requesting on the scheme return. This represents a decrease of 1.7% over the 2018 score of 73.8%.



## 2 Scheme-specific Data Results

### 2.1 Member Benefits Data Category

#### 2.1.1 Results



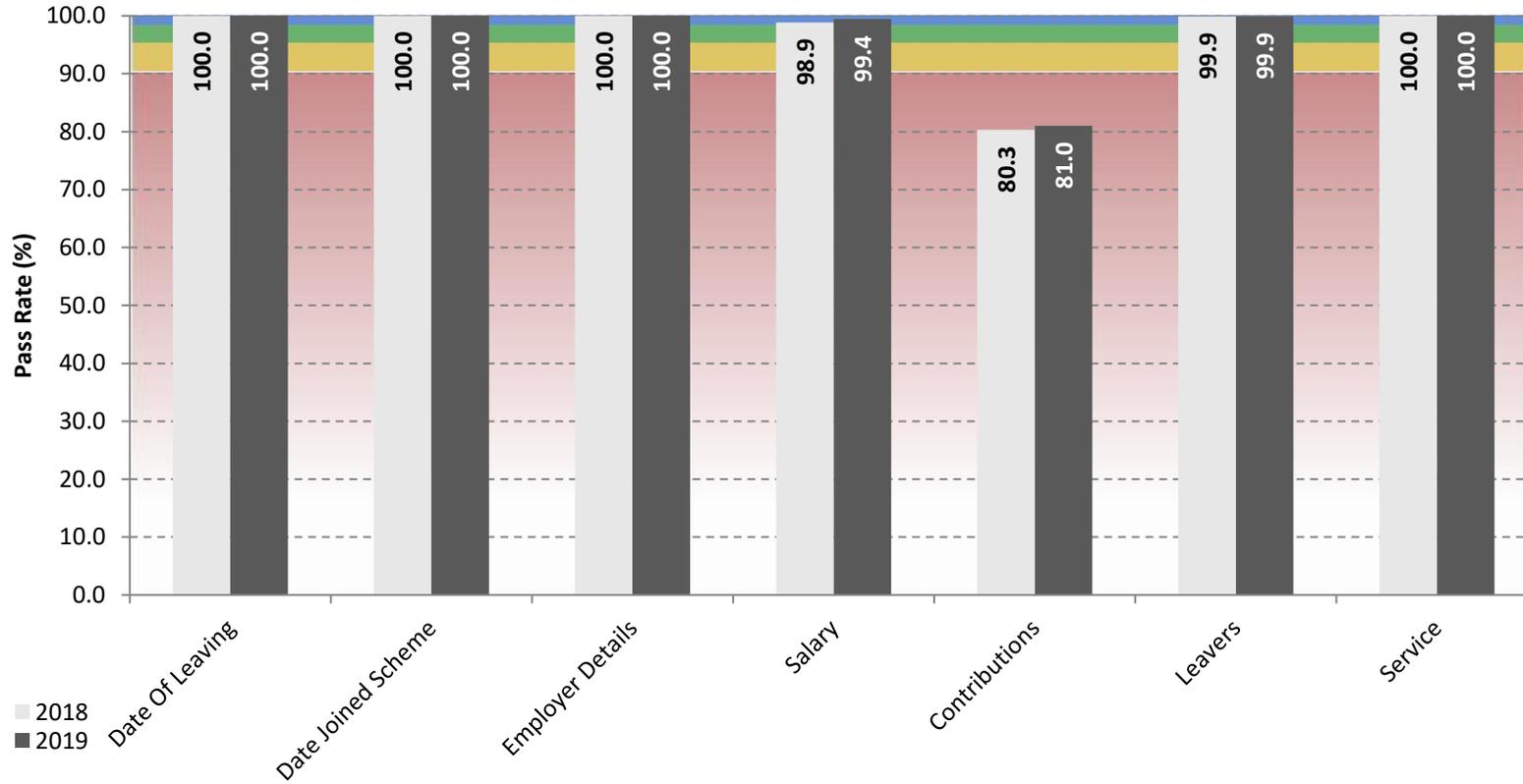
## 2.1.2 Results Statistics

Condition	Qualifying Members			Areas for Review
	Tested (change)	Passed (change)	Pass Rate (change)	
<b>Divorce Details</b>  <u>Eligible for Testing:</u> Status 1, 2, 4, 5 & T where Calculation Date (DVC-CALDTE) has a value	26  (+3)	26  (+3)	100%  (0%)	Fail A: 0 Fail B: 0 Fail C: 0 Fail D: 0 Fail E: 0 Fail F: 0
<b>Transfer In Details 1</b>  <u>Eligible for Testing:</u> Status 1, 2, 4, 5 & A where Transfer In details exist	230  (0)	165  (0)	71.7%  (0%)	Fail A: 7 Fail B: 0 Fail C: 1 Fail D: 23 Fail E: 39 Fail F: 7
<b>Transfer In Details 2</b>  <u>Eligible for Testing:</u> Status 1, 2, 4, 5 & A where Transfer In details exist	230  (0)	226  (0)	98.3%  (0%)	Fail A: 4
<b>AVC Details</b>  <u>Eligible for Testing:</u> Status 1, 2, 4, 5 & A where AVC details or PT Overtime exist	649  (+14)	645  (+14)	99.4%  (+0.01%)	Fail A: 0 Fail B: 0 Fail C: 4 Fail D: 2
<b>Total Original Deferred Benefit</b>  <u>Eligible for Testing:</u> Status 4	164  (+18)	153  (+12)	93.3%  (-3.28%)	Fail A: 0 Fail B: 0 Fail C: 0 Fail D: 0 Fail E: 0 Fail F: 11
<b>Tranches of Original Deferred Benefit</b>  <u>Eligible for Testing:</u> Status 4	164  (+18)	164  (+18)	100%  (0%)	Fail A: 0 Fail B: 0 Fail C: 0 Fail D: 0 Fail E: 0 Fail F: 0
<b>Total Gross Pension</b>  <u>Eligible for Testing:</u> Status 5	771  (+18)	771  (+18)	100%  (0%)	Fail A: 0 Fail B: 0 Fail C: 0 Fail D: 0 Fail E: 0

Condition	Qualifying Members			Areas for Review
	Tested (change)	Passed (change)	Pass Rate (change)	
<b>Tranches of Pension</b>  <u>Eligible for Testing:</u> Status 5	771  (+18)	729  (+9)	94.6%  (-1.07%)	Fail A: 0 Fail B: 24 Fail C: 22 Fail D: 0 Fail E: 0 Fail F:
<b>Total Gross Dependant Pension</b>  <u>Eligible for Testing:</u> Status 6	171  (+4)	171  (+6)	100%  (+1.2%)	Fail A: 0 Fail B: 0 Fail C: 0 Fail D: 0 Fail E: 0
<b>Tranches of Dependant Pension</b>  <u>Eligible for Testing:</u> Status 6	171  (+4)	162  (+1)	94.7%  (-1.67%)	Fail A: 0 Fail B: 9

## 2.2 Other Member Data Category

### 2.2.1 Results



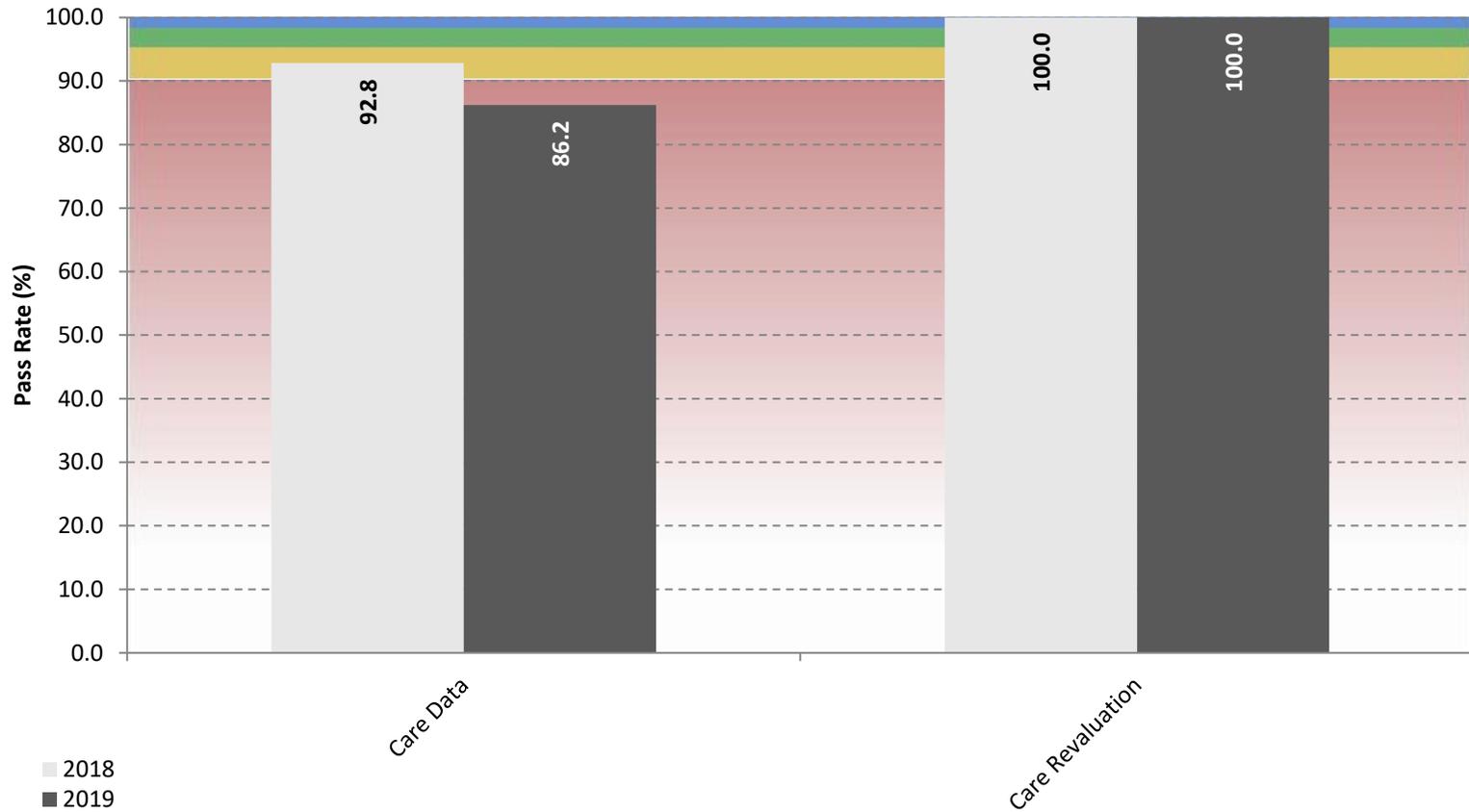
## 2.2.2 Results Statistics

Pension Credit members are excluded from tests in this category.

Condition	Qualifying Members			Areas for Review
	Tested (change)	Passed (change)	Pass Rate (change)	
<b>Date of Leaving</b>  <u>Eligible for Testing:</u> Status 1, 2, 4, 5, 9 & A	2001  (+56)	2001  (+56)	100%  (0%)	Fail A: 0 Fail B: 0 Fail C: 0 Fail D: 0
<b>Date Joined Scheme</b>  <u>Eligible for Testing:</u> Status 1, 2, 4, 5, 9 & A	2001  (+56)	2001  (+56)	100%  (0%)	Fail A: 0 Fail B: 0
<b>Employer Details</b>  <u>Eligible for Testing:</u> Status 1, 2, 4, 5, 9 & A	2001  (+56)	2001  (+56)	100%  (0%)	Fail A: 0 Fail B: 0 Fail C: 0 Fail D: 0
<b>Salary (Final Salary members)</b>  <u>Eligible for Testing:</u> Status 1, 2, 4, 5, 9 & A	1998  (+55)	1987  (+66)	99.4%  (+0.58%)	Fail A: 8 Fail B: 0 Fail C: 0 Fail D: 0 Fail E: 3 Fail F: 0
<b>Contributions</b>  <u>Eligible for Testing:</u> Status 1, 2, 4, 5, 9 & A	2001  (+56)	1621  (+59)	81%  (+0.7%)	Fail A: 378 Fail B: 2
<b>Leavers</b>  <u>Eligible for Testing:</u> Status 4, 5, & 9	908  (+33)	907  (+33)	99.9%  (+0%)	Fail A: 1 Fail B: 0 Fail C: 0
<b>Service</b>  <u>Eligible for Testing:</u> Status 1, 2, 4, 5, 9 & A	2001  (+56)	2001  (+56)	100%  (0%)	Fail A: 0

## 2.3 CARE Benefits

### 2.3.1 Results

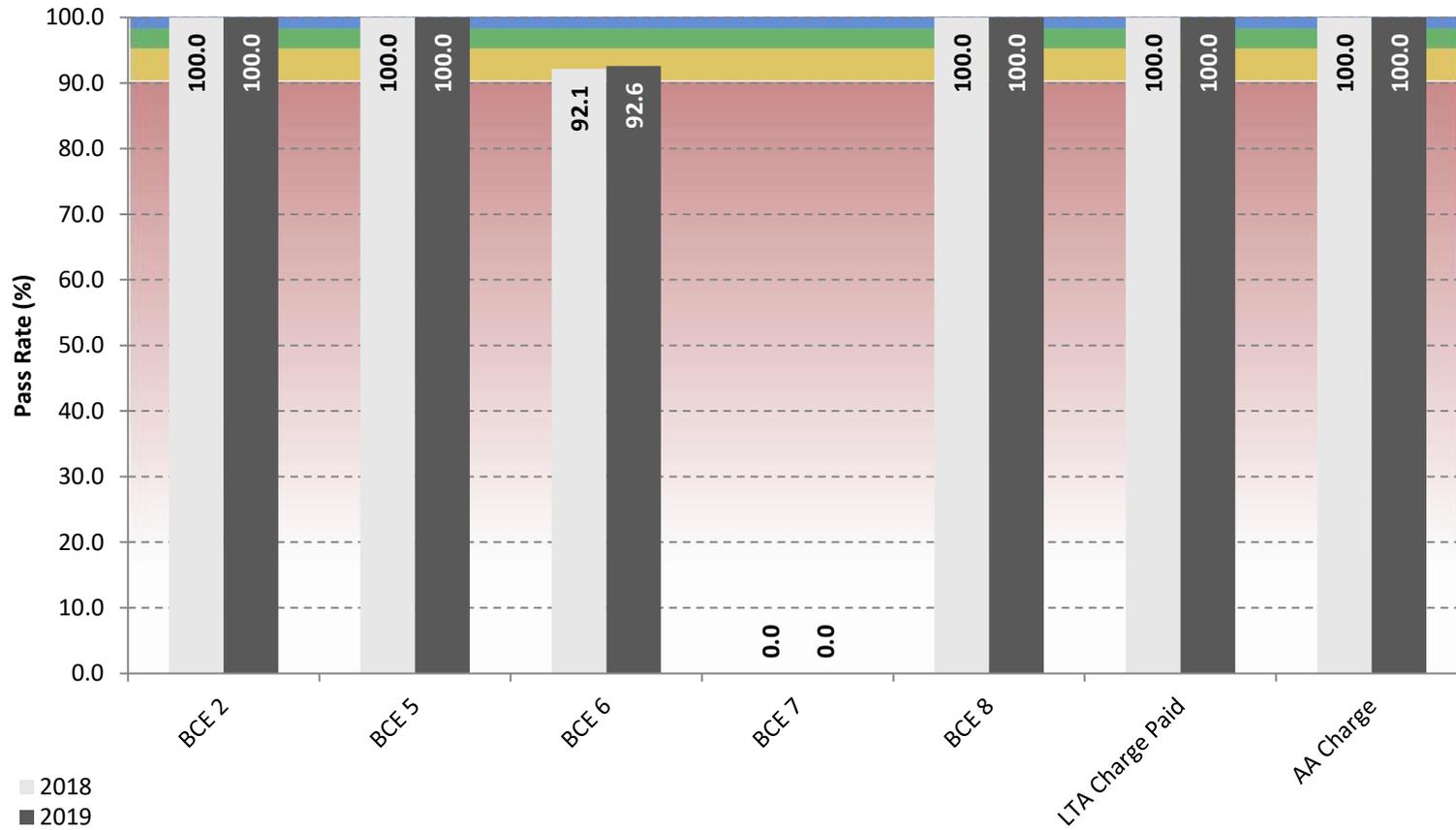


### 2.3.2 Results Statistics

Condition	Qualifying Members			Areas for Review
	Tested (change)	Passed (change)	Pass Rate (change)	
<b>CARE data</b>  <u>Eligible for Testing:</u> Status 1, 2, 4, 5, 9 & A	1246  (-91)	1074  (-167)	86.2%  (-6.62%)	Fail A: 0 Fail B: 9 Fail C: 17 Fail D: 92 Fail E: 71
<b>CARE Revaluation</b>  <u>Eligible for Testing:</u> Revaluation Factor Table	1	1	100%	

## 2.4 HMRC

### 2.4.1 Results

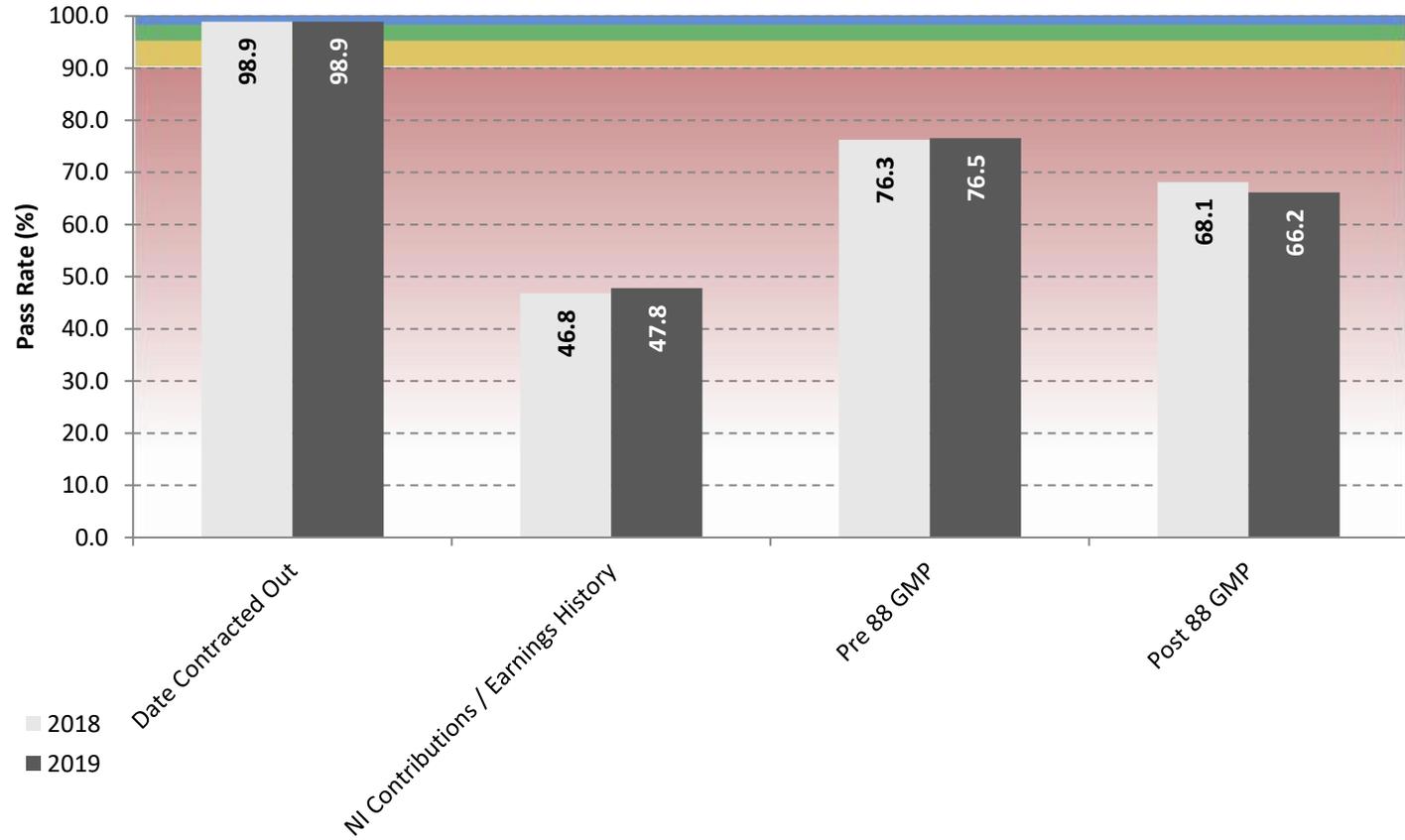


## 2.4.2 Results Statistics

Condition	Qualifying Members			Areas for Review
	Tested (change)	Passed (change)	Pass Rate (change)	
<b>BCE 2</b>  <u>Eligible for Testing:</u> Status 5 where Date Retired > 6/4/2006	314  (+29)	314  (+29)	100%  (0%)	Fail A: 0 Fail B: 0 Fail C: 0
<b>BCE 5</b>  <u>Eligible for Testing:</u> Status 4	164  (+18)	164  (+18)	100%  (0%)	Fail A: 0
<b>BCE 6</b>  <u>Eligible for Testing:</u> Status 5 members where Date Retired > 6/4/2006 and Age at Date Retired < 75	310  (+30)	287  (+29)	92.6%  (+0.44%)	Fail A: 0 Fail B: 23 Fail C: 0
<b>BCE 7</b>  <u>Eligible for Testing:</u> Status 7 members where Date of Death (from Exit Details) is after 6/4/2006 and within 5 years of Date Retired	6  (0)	0  (0)	0%  (0%)	Fail A: 6 Fail B: 0
<b>BCE 8</b>  <u>Eligible for Testing:</u> Status 3 members where Date Left is > 6/4/2006 and there is a value in QROPS Transfer Date	0  (0)	0  (0)	100%  (0%)	Fail A: 0 Fail B: 0 Fail C: 0 Fail D: 0
<b>Lifetime Allowance Charge Paid</b>  <u>Eligible for Testing:</u> Status 5 where Date Retired is after 6/4/2006  (ignoring members where Date, Amount & Indicator) are ticked in either Enhanced Protection or Payment of PCLS Reportable Events (Reportable Events 1 & 2 on Crystallisation screen)	215  (+7)	215  (+7)	100%  (0%)	Fail A: 0
<b>Annual Allowance</b>  <u>Eligible for Testing:</u> Status 1 members	567  (+5)	567  (+5)	100%  (0%)	Fail A: 0 Fail B: 0

## 2.5 Contracting Out

### 2.5.1 Results



## 2.5.2 Results Statistics

Condition	Qualifying Members			Areas for Review
	Tested (change)	Passed (change)	Pass Rate (change)	
<b>Date Contracted Out</b>  <u>Eligible for Testing:</u> Status 1, 2, 4, 5 & A members	2028  (+58)	2006  (+58)	98.9%  (+0.03%)	Fail A: 22 Fail B: 0 Fail C: 0
<b>NI Contributions / Earnings History</b>  <u>Eligible for Testing:</u> Status 1, 2, 4, 5 & A members where NI-Table is not E and date contracted out is on or after 6/4/1978 AND before 6/4/1997	887  (-14)	424  (+2)	47.8%  (+0.96%)	Fail A: 1 Fail B: 263 Fail C: 0 Fail D: 0 Fail E: 237
<b>Pre 88 GMP</b>  <u>Eligible for Testing:</u> Status 4 & 5 members where Contract Out SSPA75 is before 6/4/1988	631  (-9)	483  (-5)	76.5%  (+0.3%)	Fail A: 148 Fail B: 0 Fail C: 0
<b>Post 88 GMP</b>  <u>Eligible for Testing:</u> Status 4 & 5 members where Contract Out SSPA75 is before 6/4/1997 and Date Left is after 6/5/1988	653  (+22)	432  (+2)	66.2%  (-1.99%)	Fail A: 217 Fail B: 221 Fail C: 0





## FPS Bulletin 24 – September 2019

Welcome to issue 24 of the Firefighters' Pensions Schemes bulletin.

If you are looking for information on a certain topic, issue and content indexes are held on the main [bulletin](#) page of the website and are updated following each new issue.

If you have any comments on the contents of this bulletin or suggested items for future issues, please contact [Claire Hey](#).

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## Calendar of events

Please see below a calendar of upcoming events relevant to the Firefighters' Pension Schemes. Only those events which are hyperlinked are currently available to book. If you have any events you would like to be included in a future bulletin, please contact [Claire Hey](#).

SAB	3 October 2019
North East regional group	4 October 2019
<a href="#">Fire Finance Network conference</a> : Arden - Warwick Conferences	9-10 October 2019
Fire Communications Working Group	16 October 2019
SAB Administration & Benchmarking/ Cost-effectiveness committee	24 October 2019
South East regional group	28 October 2019
Pensions tax seminar	12 November 2019
SAB LPB effectiveness committee	14 November 2019
SAB	12 December 2019
Firefighters' Pensions AGM – save the date!	22-23 September 2020

## FPS

### [Firefighters' Pensions: Board of Medical Referees - appointment of new contractor](#)

The contract for providing the Board of Medical Referees (BMR) to consider medical appeals under the Firefighters' Pension Schemes (in England) is currently held by Health Management Limited and will expire on 30 September 2019.

Following the completion of a formal tendering process, the Home Office can now confirm that it has appointed the successful applicant, Duradiamond Health Ltd, to provide the BMR from 1 October 2019 onwards.

Further information on the company can be accessed at: <https://www.duradiamondhealth.com/>.

It has been agreed that any new medical appeal cases referred to the BMR on or after 14 September 2019 will be considered by Duradiamond Health Ltd. In order to facilitate a seamless transition to the new contractor, FRAs are asked to hold off referring any new appeal cases to the BMR during the period 14 to 30 September 2019 - these cases can then be referred to Duradiamond Healthcare from the 1 October onwards. Any cases referred to the BMR before 14 September will be seen through to conclusion by Health Management Ltd.

While it is not expected that the appointment of Duradiamond Healthcare Ltd as the new contractor will change the current medical appeals arrangements, the Home Office will provide further detail in due course on hearing fees, hearing venues and the address that new appeal claims should be sent to, etc.

Contact details for Duradiamond Healthcare Ltd are as follows:

Email: [pfmab@duradiamondhealth.com](mailto:pfmab@duradiamondhealth.com)

Phone: 01273 963729

Postal Address: Duradiamond Healthcare  
Tribune House  
Bell Lane  
Bellbrook Industrial Estate  
Uckfield  
East Sussex TN22 1QL

Please contact [philip.perry@homeoffice.gov.uk](mailto:philip.perry@homeoffice.gov.uk) if you would like to discuss any of the above.

### Claims for refunds of NICs - FPS 2006 special members

HMRC has received claims for refunds of National Insurance Contributions (NICs) in relation to retained firefighters who have taken up backdated membership of their employer's pension scheme as special members of FPS 2006. A refund will be due for the difference between the amount already paid and the amount due at the lower contracted-out rate for the period of contracted-out employment.

However, for the employment to be treated as contracted-out employment a valid contracting-out certificate will need to be in place. Each of the affected FRAs will need to make a formal election to vary their pre 2016 contracting-out certificate, to backdate the start date of the certificate to 6 April 2000.

HMRC will contact you shortly to let you know what action you need to take. Once your backdated contracted-out certificate is issued, HMRC will be able to process your refund claims.

### GAD data improvement reports for FRAs now issued

As detailed in [FPS Bulletin 23 – August 2019](#), the individual data improvement reports from GAD have now been sent to the Chief Officer and Local Pension Board chair at each FRA.

If you are not aware that your authority has received this information and would like to have sight of the document, please contact [bluelight.pensions@local.gov.uk](mailto:bluelight.pensions@local.gov.uk).

### TPR data measuring review

We have recently been informed that some authorities may have received an email entitled 'Our records show you don't measure your data' from the Pension Regulator (TPR). We have sought reassurance that this is not a scam email, and can confirm this is a genuine request from TPR as the first stage of one of their regulatory initiatives, based on information supplied in the scheme return last year.

This year's scheme return invitations are imminent, so FRAs have an opportunity to rectify the information TPR hold. The Exchange system is open all year for updates to scheme information and

TPR encourage schemes to maintain the information held throughout the year, not just in response to a scheme return request.

### [FPS contacts for HMRC – a gentle reminder](#)

Also in the [August bulletin](#), we requested contact details of the Pensions Manager or senior person responsible for pensions administration within each FRA to provide to HMRC to help get their records as up to date as possible.

So far, we have received 19 of an expected 44 responses for England. Please consider this a gentle reminder of the following action.

**ACTION: FRAs to provide the name, address, telephone number, and email address for the pensions manager or senior responsible person.**

Please email [bluelight.pensions@local.gov.uk](mailto:bluelight.pensions@local.gov.uk) by 15 October 2019 using the subject line “FPS contacts for HMRC”.

### [SAB Administration & Benchmarking committee vacancy](#)

A vacancy has arisen on the [Administration & Benchmarking committee](#) for an FRA Local Pension Board representative. The main objectives of the committee are to provide guidance to the SAB to understand the value and cost of administration, and consider how administrators can best be supported by identifying best practice. The committee are currently involved in considering the recommendations made by Aon in the [administration and benchmarking review](#) and how these can be progressed.

The required commitment is attendance at three to four meetings per year, generally held in London. Attendance can be made by conference call if necessary. If you are interested in sitting on the committee, please email [clair.alcock@local.gov.uk](mailto:clair.alcock@local.gov.uk) for further information.

### [New factsheet – FPS Management and Governance](#)

We have recently produced a factsheet on the management and governance of the England Firefighters’ Pension Schemes (FPS) in order to highlight the roles of stakeholders and the guidance that is available to ensure good governance and management of the scheme.

While the factsheet will be interesting to all stakeholders, it will be particularly beneficial to those new to the FPS family, to give an overview of the relationship between stakeholder groups and the support networks available.

The factsheet has been published on the [factsheets](#) tab of the FPS Regulations and Guidance website and is also attached as [Appendix 1](#).

### [September query log](#)

The current [log of queries and responses](#) is available on the FPS Regulations and Guidance website. The queries have been anonymised and divided into topics. The log will be updated on a monthly basis in line with the bulletin release dates.

Queries from earlier months have been grey-shaded to differentiate from new items added in August.

[Click here to return to Contents](#)

## Other News and Updates

### ICO changes to GDPR

While GDPR has now been in force for some time, it is important for data controllers and processors to keep up to date with changes made by the Information Commissioner's Office (ICO).

Recent updates include a change in position on calculating the time limit for responding to requests in relation to individual rights, and additional guidance around "manifestly unfounded and excessive" requests.

All the latest news is available from the following link <https://ico.org.uk/for-organisations/guide-to-data-protection/whats-new/>

### TPR publish LGPS engagement report

On 19 September, TPR published a [report](#) on the findings from its engagement with 10 Local Government Pension Scheme (LGPS) funds. The engagement took place between October 2018 and July 2019.

The report summarises the key findings against the Regulator's Code of Practice 14 both in terms of exceeding and falling short of required standards.

TPR have confirmed that they are planning future supervisory and engagement work with a number of FRAs.

### Up-rating of UK State Pension recipients living in the EU after Brexit

The government has committed to up-rating the UK State Pension paid to those living in the EU each year until March 2023, in the event that the UK leaves the EU without a deal on 31 October 2019.

During this three year period the Government plans to negotiate a new arrangement with the EU to ensure that up-rating continues.

## HMRC

### Contracting-out reconciliation update

The following bulletin, containing important guidance and information about the end of contracting out and the scheme reconciliation process, was published by HMRC on 30 August 2019.

#### [Countdown bulletin 48](#)

Updates include:

- Final Data Cuts for Ceased Schemes
- Approach for producing Final Data Cuts
- Guaranteed Minimum Pension (GMP) Conversion

## Training and Events

### FPS AGM – event summary

In keeping with tradition, our annual fire pensions conference two day event opened with a meeting of the regional chairs of each fire pensions officer group, followed by the technical community. You can find out more about the work of each of these forums, along with the various other stakeholder groups involved with FPS administration, governance, and management in our new [factsheet](#).

We were delighted to welcome over 60 delegates to the first full conference session, aimed at scheme managers and Local Pension Boards, along with other parties with an interest in FPS governance. Following the Chair's welcome, the audience heard from Gavin Chambers, ACO and chair of Bedfordshire FRS LBP, on his experiences before participating in a lively debate on the efficiency of boards and challenges of assisting the scheme manager.



TPR then took to the stage to present the headline results from the [2018 Governance and Administration survey](#), including everyone's favourite slide – “the spider diagram of doom”.



We ended the day with a networking drinks reception and although the weather was not quite as accommodating as last year, this didn't seem to dampen the animated conversation between colleagues and friends.

The day 1 presentations are available [here](#).

The full technical/ administration AGM took place on day 2 with a record attendance of around 120 delegates in our Bevin Hall conference room at 18 Smith Square.

Malcolm Eastwood, chair of the FPS (England) SAB, once again opened proceedings, outlining some of the complexities in managing the Firefighters' Pension Schemes. We were then delighted to welcome Amar Pannu, Head of Police and Firefighters' Pensions at the Home Office, to provide a view from central government including updates on the transitional protections case and the 2020 scheme valuation.

Twelve months after launching the FPS [administration and benchmarking review](#), Craig Payne from Aon, was back on stage at the AGM to present a summary of the review outcomes and recommendations. Read the full and final report [here](#).



Following a short break, attendees were given the option to join one of three technical workshops: [National performance monitoring](#); [Abatement](#); and [Transitional pension calculations refresher](#). All workshops were well attended and received positive feedback. Thank you to our facilitators and those who participated.

Lunch followed the short workshop feedback session, and delegates had chance to network with colleagues and visit exhibition stands hosted by the following organisations: Barnett Waddingham, Eversheds Sutherland, ITM, and Income for the Third Age.

We make a special apology here to Laura of Pen-gage <https://www.pengage.co.uk/> and Mark from Income for the Third Age <https://i3aguidance.co.uk/>, as we somehow managed to lose a box of promotional leaflets which had been delivered in advance to the office.

In the tough first afternoon slot, Alec Bennett from Eversheds Sutherland provided the ever-popular case law update, taking the audience on a whistle stop tour of recent court and Pensions Ombudsman decisions. And the final session of the day was delivered by the Bluelight lead Clair Alcock, who gave an update on the work of the team and future plans.



Malcolm Eastwood closed the conference for 2019 with a fond farewell, as he retires as chair of the SAB in March 2020.

We would like to thank all for their participation and support, particularly our speakers and exhibitors for contributing to the success of the event, and to all delegates who took time out of their busy schedules to attend. We look forward to seeing you again next year – save the date 22-23 September 2020!

The day 2 presentations are available [here](#). To view the full conference in pictures, visit our [@LGAWorkforce](#) twitter feed, #LGAfirepensions

### Training survey research report

Between 31 May and 31 July 2019, FPS stakeholders were invited to take part in a web-based survey on the current and future training provision offered by the LGA Bluelight team, to ensure that the LGA training offer remains relevant and that the statutory levy provides value for money.

During that time a total of 51 responses were received from across a wide range of FPS stakeholders in England, Wales, and Scotland.

Having collated and analysed the responses, we are pleased to present the final [research report](#), which will be used to inform our training plan for 2020.

The LGA would like to thank all those that were able to submit a response for their participation in the survey, and for continuing to support the work of the Bluelight team.

### Useful links

- [The Firefighters' Pensions \(England\) Scheme Advisory Board](#)
- [FPS Regulations and Guidance](#)
- [Khub Firefighters Pensions Discussion Forum](#)
- [FPS1992 guidance and commentary](#)
- [The Pensions Regulator Public Service Schemes](#)
- [The Pensions Ombudsman](#)
- [HMRC Pensions Tax Manual](#)
- [LGA pensions website](#)

## Contact details

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## FPS Bulletin 25 – October 2019

Welcome to issue 25 of the Firefighters' Pensions Schemes bulletin.

If you are looking for information on a certain topic, issue and content indexes are held on the main [bulletin](#) page of the website and are updated following each new issue.

If you have any comments on the contents of this bulletin or suggested items for future issues, please contact [Claire Hey](#).

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## Calendar of events

Please see below a calendar of upcoming events relevant to the Firefighters' Pension Schemes. Only those events which are hyperlinked are currently available to book. If you have any events you would like to be included in a future bulletin, please contact [Claire Hey](#).

<a href="#">Pensions tax seminar</a>	12 November 2019
SAB LPB effectiveness committee	14 November 2019
Midlands regional FPOG	19 November 2019
SAB	12 December 2019 - TBC
North East regional FPOG	4 March 2020
<a href="#">LGA annual Fire conference and exhibition</a>	10-11 March 2020
SAB	19 March 2020
SAB	11 June 2020
SAB	17 September 2020
Firefighters' Pensions AGM – save the date!	22-23 September 2020
SAB	10 December 2020

## FPS

### TPR – six key processes

The Pensions Regulator (TPR), who has a statutory duty for regulatory oversight under the [Public Service Pensions Act 2013](#) monitors six key processes as part of their annual governance and administration survey. TPR use these key processes as indicators of public service pension scheme performance.

The six processes are:

- i. Documented policy to manage board members conflicts of interest
- ii. Access to knowledge, understanding and skills needed to properly run the scheme
- iii. Documented procedures for assessing and managing risks
- iv. Process to monitor records for accuracy / completeness
- v. Process for resolving contribution payment issues
- vi. Procedures to identify, assess and report breaches of the law

In 2018, only 63% of Firefighters' Pension Scheme (FPS) across the UK reported having all six processes in place<sup>1</sup>.

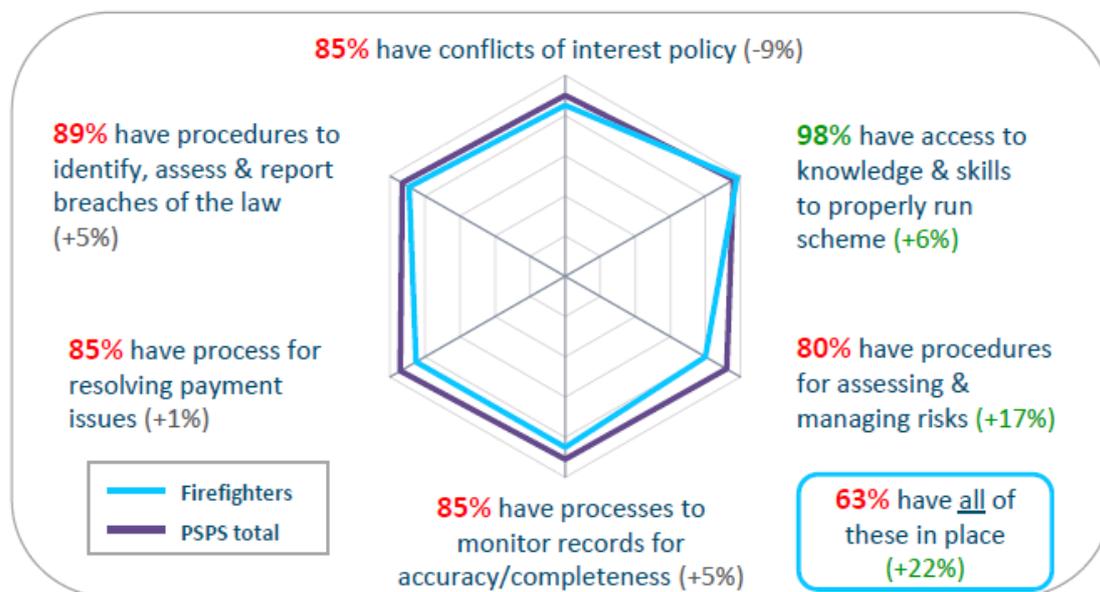


Figure 1 Spider-diagram of doom

Following feedback from FRAs, a [factsheet](#)<sup>2</sup> has been prepared to give further guidance on the six key processes in order to achieve a higher rate of understanding and compliance ahead of the 2019 survey.

### Fire Finance Network – a message from the Chair

The Fire Finance Network (FFN) is an informal network of finance professionals from across the Fire Sector and is a great way to engage with colleagues from other Fire and Rescue Services.

The FFN meets quarterly and holds an annual conference, where attendees receive updates on strategic and technical issues; recent speakers included the Home Office Fire Funding team and CIPFA Police and Fire advisor. Key members of the FFN also sit on the National Fire Chief's Council Finance Co-ordination Committee and so are ideally placed to influence nationally.

We are particularly keen to hear from colleagues who work with county and devolved Fire Services to ensure their voices are heard. Membership is free and the best way to get involved is via our Workplace page as information and events are shared regularly – if you would like to join please contact the FFN Chair, Amy Webb, via email at [awebb@dsfire.gov.uk](mailto:awebb@dsfire.gov.uk).

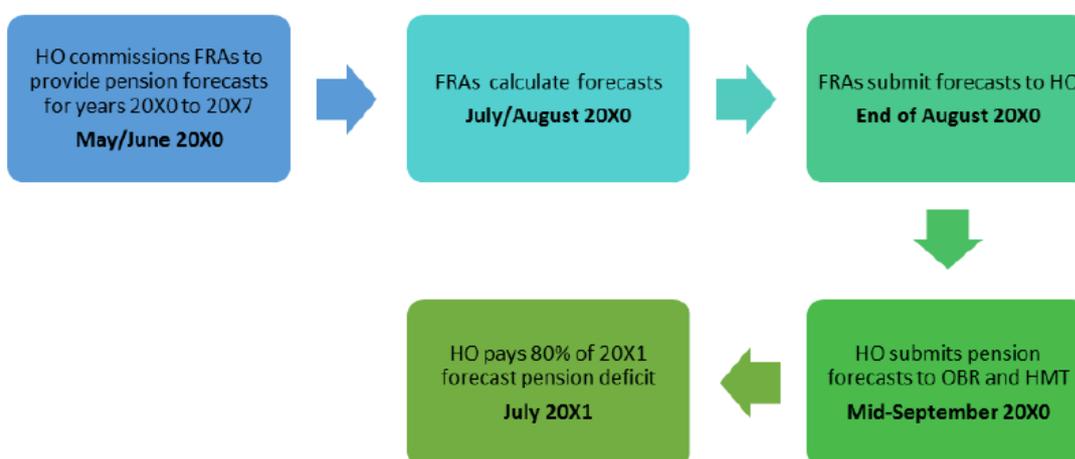
<sup>1</sup> Slide 6 – LGA Fire Pensions Conference Day One 24 September 2019  
<https://www.local.gov.uk/sites/default/files/documents/TPR%20Update.pdf>

<sup>2</sup> <http://fpsregs.org/images/admin/TPR-6-key-processes.v1.pdf>

## FPS forecasting guidance

Following the workshop on [Forecasting Public Service Pensions](#) held at the 2018 annual conference, the Home Office facilitated a working group to produce guidance for FRAs when calculating pension forecasts for the FPS top-up grant.

While this should already have been circulated to relevant stakeholders in line with the forecasting timetable, we are pleased to now include the guidance as [Appendix 1](#) to the bulletin.



## Revised Fire (England) factors: Non-Club Transfer-In

Further to the letter issued by the Home Office on 31 October 2018 regarding the [review of scheme factors](#) due to the change to the SCAPE discount rate, GAD has provided replacement factor tables for FPS 2006 special member non-club transfer-in cases [table reference x-218 to x-219].

The suspension of any outstanding cases can be lifted and these factors can be used with immediate effect.

The updated table is available at <http://fpsregs.org/index.php/gad-guidance/transfers-in>. GAD has informed us that they will update the guidance and example calculations to reflect these revised factors at a later date.

**ACTION: Pension Board Chairs and Scheme Managers, please ensure you liaise with your pension manager to ensure that the factors are applied with immediate effect.**

The table of consolidated factors at [Appendix 2](#), which includes implementation dates for all changes, has been updated to reflect the addition of the special member TV-in factors.

## Valuation data

As valuation year 2020 fast approaches, we wish to encourage FRAs to try and mitigate as many data issues as possible by ensuring that the data you hold is both correct and up-to-date before the year-end.

In particular we recommend that you ensure the following information is accurate:

- Contribution details
- Joiners and leavers
- Changes to the members details, including addresses,
- Any payments that qualify for [Additional Pension Benefits](#)

## Eligibility factsheet updated

Minor amendments have been made to the factsheet on 'Eligibility to join FPS' to correct a referencing error. [Clean](#)<sup>3</sup> and [tracked](#)<sup>4</sup> versions are available.

We have also taken the opportunity to produce a version for FPS Wales. The factsheet on [eligibility to join FPS Wales](#)<sup>5</sup> has been added to the [factsheets](#) tab of the FPS Regulations and Guidance website.

In brief, the factsheet confirms that in order for a person to be eligible for the scheme they have to be employed as a 'firefighter'. The regulations provide an interpretation of a 'firefighter', and it is for each FRA to satisfy themselves that those in the scheme are employed within this definition.

## TPR data requirements – 2019 scheme return

For the first time in 2018, TPR asked schemes to measure the common and scheme specific data they hold about their members and report this on the annual scheme return.

The LGA Bluelight team agreed that in order to achieve consistency and allow for benchmarking and best practice, a standard list of scheme-specific items for FPS should be developed, and issued informal guidance on data scoring including which data items might be considered.

Rather than produce a definitive list of data elements, we provided a range of suggested items, split into categories for active, deferred, pensioner, and dependant members. This was based on the GAD Universal Data Extract and TPR guidelines, subject to feedback from software suppliers and our knowledge of the Firefighters' Pension Schemes.

This guidance has now been updated for the 2019 return, with some new items added based on feedback from administrators and an expanded section on testing data for accuracy as well as presence. We are pleased to include a matrix of weighting criteria to allow schemes to assess the likely accuracy of their data and adjust the score accordingly.

Please see the updated guidance at [Appendix 3](#) and spreadsheet at [Appendix 4](#).

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<sup>3</sup> <http://fpsregs.org/images/admin/Eligibilityv3clean.pdf>

<sup>4</sup> <http://fpsregs.org/images/admin/Eligibilityv3tracked.pdf>

<sup>5</sup> <http://fpsregs.org/images/admin/EligibilityWalesv1.pdf>

Information about measuring data is available on the TPR website:

<https://www.thepensionsregulator.gov.uk/en/trustees/managing-db-benefits/governance-and-administration/record-keeping/review-your-scheme-data>

To assist with completion of the scheme return, TPR have provided the following checklist and example return:

<https://www.thepensionsregulator.gov.uk/-/media/thepensionsregulator/files/import/pdf/db-scheme-return-checklist.ashx>

<https://www.thepensionsregulator.gov.uk/-/media/thepensionsregulator/files/import/pdf/db-scheme-return-example-form.ashx>

## GAD Fire pension accounting disclosures

GAD currently provide annual pensions accounting disclosures for more than half of all Fire and Police authorities in England and Wales and are looking to expand their portfolio.

If you are interested in speaking to GAD about the possibilities surrounding your 2019-20 disclosures more information can be found in the attached flier ([Appendix 5](#)) along with contact details.

## October query log

The current [log of queries and responses](#) is available on the FPS Regulations and Guidance website. The queries have been anonymised and divided into topics. The log will be updated on a monthly basis in line with the bulletin release dates.

Queries from earlier months have been grey-shaded to differentiate from new items added in September.

## Other News and Updates

### The Queen's Speech

The Queen's Speech to Parliament on 14 October confirmed the introduction of a new Pensions Schemes Bill, which was published on 16 October.

The main elements of the Bill, as stated in the background briefing notes<sup>6</sup> to the speech, will provide a framework for Collective Defined Contribution (CDC) schemes, strengthen TPR's powers and existing sanctions, provide a framework to support pensions dashboards, and create new regulations to set out member rights to a transfer.

The latest news on the progress of the Bill can be followed on the parliament.uk website <https://services.parliament.uk/Bills/2019-20/pensionschemes.html>

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[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/839370/Queen\\_s\\_Speech\\_Lobby\\_Pack\\_2019\\_.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/839370/Queen_s_Speech_Lobby_Pack_2019_.pdf)

Eversheds Sutherland have produced a [Speedbrief](#)<sup>7</sup> which outlines the provisions of the bill in more detail.

### GAD PSPS newsletter

The Government Actuary's Department (GAD) has issued the [September edition](#) of its Public Service Pension Schemes newsletter. This is intended to be an informal note to provide regular updates on what is happening within the PSPS area of GAD and to highlight some current hot topics that schemes and other department contacts might be interested in.

### TPO corporate plan 2019 – 2022

The Pensions Ombudsman (TPO) published their corporate plan on 2 October, outlining their priorities and strategic aims for 2019 – 2022.

TPO state that the focus of the plan is to ensure that “every dispute can be resolved at the earliest point, with no loss of quality”. This will include a redesign of the casework function and expansion of digital solutions, supported by a strengthened governance structure as recommended by the DWP Tailored Review<sup>8</sup>.

The full corporate plan can be read at [Appendix 6](#).

## HMRC

### Contracting-out reconciliation update

The following bulletin, containing important information about the services and support HMRC will provide now that Scheme Reconciliation Service (SRS) has ended, was published on 4 October 2019.

#### [Countdown bulletin 49](#)

Updates include:

- final SRS outputs
- Scheme Contracted-Out Numbers (SCONs)
- incorrect GMP
- Contribution Equivalent Premiums (CEP)
- raising queries with HMRC

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<sup>7</sup> <https://www.eversheds-sutherland.com/global/en/what/articles/index.page?ArticleID=en/Pensions/Speedbrief-The-Pension-Schemes-Bill-was-it-worth-the-wait>

<sup>8</sup> <https://www.gov.uk/government/publications/the-pensions-ombudsman-tailored-review/tailored-review-of-the-pensions-ombudsman>

## Training and Events

### Pensions tax – London – 12 November 2019

We are pleased to invite readers to a pensions tax seminar being held at the LGA offices at 18 Smith Square, London on **Tuesday 12 November 2019**, from 10:30 to 15:30.

This conference will allow delegates to hear from various stakeholders on pensions tax for the Firefighters' and Police Pension Schemes.

The purpose of the day is to build up a picture of public sector pensions tax and how it is applied. The morning will cover the technical side of tax i.e. what it is, how is it calculated, what challenges arise, and then the second part of the day covers how can we move on, help better educate the sector and improve. The final session of the day will be a question and answer panel session with all of our speakers.

The event is aimed at FPS practitioners, Fire and Rescue senior management responsible for managing the pension scheme, LPB chairs and members, along with other professionals with an interest in the Firefighters' or Police Pension Scheme

A draft agenda is available via the booking link, however, please note that the programme is subject to change.

[Click here to book your place.](#)

## Useful links

- [The Firefighters' Pensions \(England\) Scheme Advisory Board](#)
- [FPS Regulations and Guidance](#)
- [Khub Firefighters Pensions Discussion Forum](#)
- [FPS1992 guidance and commentary](#)
- [The Pensions Regulator Public Service Schemes](#)
- [The Pensions Ombudsman](#)
- [HMRC Pensions Tax Manual](#)
- [LGA pensions website](#)

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[Click here to return to Contents](#)

## FPS Bulletin 26 – November 2019

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## Calendar of events

Please see below a calendar of upcoming events relevant to the Firefighters' Pension Schemes. Only those events which are hyperlinked are currently available to book. If you have any events you would like to be included in a future bulletin, please contact [Claire Hey](#).

Eastern FPOG	10 December 2019
SAB	9 January 2020 - amended
North East regional FPOG	12 February 2020 – amended
<a href="#">LGA annual Fire conference and exhibition</a>	10-11 March 2020
SAB	19 March 2020
SAB	11 June 2020
SAB	17 September 2020
Firefighters' Pensions AGM – save the date!	22-23 September 2020
SAB	10 December 2020

## FPS

### Fire and Rescue workforce and pensions statistics published

The Home Office published workforce and pensions statistics for Fire and Rescue Services (England) on 31 October<sup>1</sup>. The pension scheme statistics, covering April 2018 to March 2019, reflect data returns on income, expenditure and membership submitted by all 45 FRAs in England.

Some key results:

- Firefighters' Pension Scheme expenditure in 2018/19 was around £856 million.
- In 2018/19, 81% of expenditure was "recurring outgoing payments" and 18% was "commutation payments".
- Firefighters' Pension Scheme income in 2018/19 was around £257 million.
- In 2018/19, 53% of income was "employer contributions", 44% was "employee contributions" and the remaining 4% comprised transfers, miscellaneous income and ill-health charges.
- The Firefighters' Pension Scheme deficit in 2018/19 was around £599 million.
- As at 31 March 2019, the total number of pensioner members was 43,665. Of these, 95% were members of FPS 1992.

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1

[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/843566/fire-rescue-workforce-pensions-1819-hosb2619.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/843566/fire-rescue-workforce-pensions-1819-hosb2619.pdf)

## ABS 2019 survey – action required

A little later than anticipated, we are pleased to launch this year's survey of the ABS process, developed in collaboration with the SAB Local Pension Board effectiveness committee.

The survey was extended last year to invite administrators to submit responses, and while the 2018 web-based version gave more flexibility to response options, there were issues around the clarity and wording of the questions, particularly for measuring internal controls, and issuing the same question set to both FRAs and administrators skewed the results in some areas. The 2018 [research report](#)<sup>2</sup> was published in April 2019.

Taking into account feedback and learning from previous years, we have revised the question sets and have developed separate surveys for the FRA and administrator to complete. We welcome one reply from each FRA, and for administrators with multiple FRA clients, a completed survey per authority.

To ease the burden on those administrators, a third, shorter version of the survey has been provided, with the intention that they will complete a full survey for the first FRA and the reduced version for each subsequent submission.

FRA (employer) survey [https://www.surveymonkey.co.uk/r/ABS\\_2019\\_SURVEY\\_FRA](https://www.surveymonkey.co.uk/r/ABS_2019_SURVEY_FRA)

Administrator survey for single, or first of multiple FRAs

[https://www.surveymonkey.co.uk/r/ABS\\_2019\\_SURVEY\\_ADMIN](https://www.surveymonkey.co.uk/r/ABS_2019_SURVEY_ADMIN)

Administrator survey for subsequent multiple FRAs

[https://www.surveymonkey.co.uk/r/ABS\\_2019\\_SURVEY\\_ADMIN\\_PLUS](https://www.surveymonkey.co.uk/r/ABS_2019_SURVEY_ADMIN_PLUS)

We would be grateful for your responses by **10 January 2020**. If you require any further information or clarification on the surveys, please contact [claire.hey@local.gov.uk](mailto:claire.hey@local.gov.uk).

## FPS England - 2020 valuation draft data specifications

The Government Actuary's Department (GAD) has issued the draft 2020 valuation data specifications for FPS England. This has been circulated by email to software suppliers and administrators.

The data specifications are mostly the same as they were for the 2016 valuation, with the one major addition being the inclusion of extra data requirements for salary and contribution information between 2015 and 2020 following the McCloud judgement.

As these specifications are in draft GAD welcome any comments from administrators regarding the contents or structure of the document. Please submit any comments to [bluelight.pensions@local.gov.uk](mailto:bluelight.pensions@local.gov.uk).

GAD will follow up in the near future with the required data collection spreadsheet and instructions.

A new page has been created in the member-restricted area of [www.fpsregs.org](http://www.fpsregs.org) to hold confidential or draft documentation relating to the valuation process <http://fpsregs.org/index.php/member-area/scheme-valuations-restricted>. If you require log-in details for the member area, please contact us on the email address above.

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<sup>2</sup> <http://www.fpsboard.org/images/PDF/Surveys/ABS2018.pdf>

## Accounting disclosures: Police and Firefighters Pension Schemes 2019/20

Have you started thinking about your 31 March 2020 pension accounting disclosures? If not, now is the time!

Click on the attached flier ([Appendix 1](#)) to find out how Hymans Robertson can help you.

## November query log

The current [log of queries and responses](#) is available on the FPS Regulations and Guidance website. The queries have been anonymised and divided into topics. The log will be updated on a monthly basis in line with the bulletin release dates.

Queries from earlier months have been grey-shaded to differentiate from new items added in October.

## Other News and Updates

### TPR governance and administration survey 2019

Invitations for the Pension Regulator's annual Governance and Administration survey were sent out 6 November 2019 with a deadline of 29 November 2019. An email was sent to Local Pension Board chairs to remind them to liaise with their scheme manager to ensure completion within the deadline.

Before completing the survey, FRAs should ensure they are familiar with the recent guidance published on the [six key processes](#)<sup>3</sup> used by TPR to measure public sector performance under and our guidance on [data scoring to measure accuracy](#)<sup>4</sup>. The TPR reports from previous surveys can be found on our dedicated webpage <http://www.fpsregs.org/index.php/legal-landscape/the-pensions-regulator>.

### Pension Schemes Bill – second reading delayed

In [FPS Bulletin 25 – October 2019](#), we reported on the Queen's Speech confirming that a new Pension Schemes Bill would be introduced to strengthen TPR's powers, provide a framework to support pensions dashboards and introduce regulations covering the right to a pension transfer.

The first reading of the Bill took place on 15 October 2019 and the second reading of the Bill was scheduled to take place on 30 October 2019. However, this was delayed with no replacement date set, as the UK moves towards a general election on 12 December 2019.

### LGA Pensions Adviser vacancy

The LGA is [recruiting](#) for a pensions adviser to lead on the development and implementation of an extended service to LGPS Scotland. It is a full-time role that can be either office (London) or home based. The salary scale ranges from £41,675 to £47,736 (plus London weighting where appropriate).

The closing date for applications is 3 January 2020; interviews will be held on 13/14 January 2020. For more information or to discuss this opportunity please contact Jeff Houston (07786 681 936) or Lorraine Bennett (07766 252847).

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<sup>3</sup> <http://fpsregs.org/images/admin/TPR-6-key-processes.v1.pdf>

<sup>4</sup> <http://fpsregs.org/images/admin/TPR-data-scoring-2019-clean.pdf>

## HMRC

### HMRC newsletters/bulletins

HMRC have published pension schemes newsletters 114 and 115 containing important updates and guidance on pension schemes. The following issues are covered:-

- [Pension schemes newsletter 114 – 30 October 2019](#): Registration statistics | Pension flexibility statistics | Pension scheme administration - moving pension recipients from one payroll to another | Relief at source | Guaranteed Minimum Pension Equalisation | Annual allowance scheme pays GOV.UK guidance |
- [Pension schemes newsletter 115 – 26 November 2019](#): Lifetime allowance and the 2019 to 2020 event report | Managing Pensions Schemes service - giving access to Government Gateway administrators and assistants | Managing Pension Schemes service - pension practitioner IDs | Relief at source - notification of residency status report for 2020 to 2021 | Annual allowance - members declaring their annual allowance charge on their Self Assessment tax return |

HMRC have published a new guide about paying the AA tax charge for pension scheme members. The guide entitled '[who must pay the pensions annual allowance tax charge](#)' has information about 'mandatory' and 'voluntary' scheme pays and provides links for members on declaring their AA charge on their self-assessment return.

Authorities are asked to remind those members who have exceeded their annual allowance for 2018/19 and who do not have sufficient unused annual allowance to carry forward to cover the excess, that they must declare this on their Self-Assessment tax return, even if the FRA is paying the tax charge.

## Training and Events

### Pensions tax – event summary

It was another full house at Smith Square on 12 November for the LGA Bluelight team's final event of the year: pensions tax in the Firefighters' and Police schemes.

In an unfortunate turn of events, Malcolm Eastwood was unable to chair the day due to ill-health and was ably substituted by Andy Hopkinson, DCFO at Bedfordshire FRS. We would like to take this opportunity to pass on the good wishes of the FPS community to Malcolm for a full and speedy recovery.

Andy remained at the lectern to deliver the first session of the day; an update on the work of the Public Service Pensions Alliance, which brings together pension experts from across the public sector, and is currently investigating options to help members better manage their tax consequences by improving freedom and flexibilities, and what evidence might be needed to build a robust business case.

Andy was followed by the ever-popular Annemarie Allen from Barnett Waddingham, with a look at the ins and outs of the annual and lifetime allowance.



Following a short break, the LGA's very own Clair Alcock delivered back to back sessions on unauthorised payments, including the how and why, and scheme pays, including the who and when.

In an afternoon dedicated to next steps, and in the tricky after-lunch slot, Laura Bowler of Pen-gage kept delegates entertained with a fascinating look at engagement and communication in relation to pensions tax: the good, the bad, and the ugly...



Craig Moran of First Actuarial then picked up the theme from Andy's earlier session with a look at the landscape across public service schemes, the work of the Scheme Advisory Board around the cost-cap breach, and what evidence is needed to build a case for change.

The final session of the day allowed the audience to direct their burning questions (no pun intended) to our panel of experts. And that's a wrap for 2019. See you all again in 2020!

The complete presentation slide decks from the event are available [here](#)<sup>5</sup>. Please note that Annemarie's slides are available to delegates of the session only.

To view the full conference in pictures, visit our [@LGAWorkforce](#) twitter feed, #LGAfirepensions

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<sup>5</sup> <http://www.fpsboard.org/images/PDF/Events/Pensions-Tax/Pensions-tax-slide-deck-121119.pdf>

## Legislation

<b>NISR</b>	<b>Reference Title</b>
<a href="#">2019/206</a>	The Local Government Pension Scheme (Amendment) Regulations (Northern Ireland) 2019
<b>SI</b>	<b>Reference Title</b>
<a href="#">2019/1425</a>	The Finance Act 2004 (Specified Pension Schemes) Order 2019
<a href="#">2019/1433</a>	The Occupational Pensions (Revaluation) Order 2019
<a href="#">2019/1449</a>	The Local Government Pension Scheme (Amendment) Regulations 2019
<b>SSI</b>	<b>Reference Title</b>
<a href="#">2019/357</a>	The Firefighters' Pension Scheme (Scotland) Amendment Regulations 2019
<a href="#">2019/358</a>	The Firefighters' Pension Schemes (Scotland) Amendment Order 2019
<a href="#">2019/380</a>	The Police Pensions Amendment (Increased Pension Entitlement) (Scotland) Regulations 2019
<a href="#">2019/381</a>	The Firefighters' Pension Scheme Amendment (Increased Pension Entitlement) (Scotland) Order 2019
<a href="#">2019/382</a>	The Firefighters' Pension and Compensation Schemes (Amendment) (Scotland) Order 2019

### [The Civil Partnership \(Opposite-sex Couples\) Regulations 2019 \[SI 2019/1458\]](#)

On 5 November 2019 the Government made the Civil Partnership (Opposite-sex Couples) Regulations 2019 [[SI 2019/1458](#)] which are effective from 2 December 2019. This means that an opposite-sex couple can give notice of a proposed civil partnership on 2 December 2019 after which the 28 day waiting period will commence (section 11 of [The Civil Partnership Act 2004](#)). This means an opposite sex civil partnership registration can take place from 31 December 2019.

These regulations were made in response to the Government [consultation](#) published on 10 July 2019, which proposed changing the law to allow opposite-sex couples to form civil partnerships (section 2 of the [Civil Partnerships, Marriages and Deaths \(Registration etc\) Act 2019](#)).

Also amended is section 37 of the Marriage (Same Sex Couples) Act 2013. This limits the conversion of a civil partnership into a marriage, to couples in same sex civil partnerships only. The Government has not made provisions to allow a marriage to be converted into a civil partnership.

## Useful links

- [The Firefighters' Pensions \(England\) Scheme Advisory Board](#)
- [FPS Regulations and Guidance](#)
- [Khub Firefighters Pensions Discussion Forum](#)
- [FPS1992 guidance and commentary](#)
- [The Pensions Regulator Public Service Schemes](#)
- [The Pensions Ombudsman](#)
- [HMRC Pensions Tax Manual](#)
- [LGA pensions website](#)

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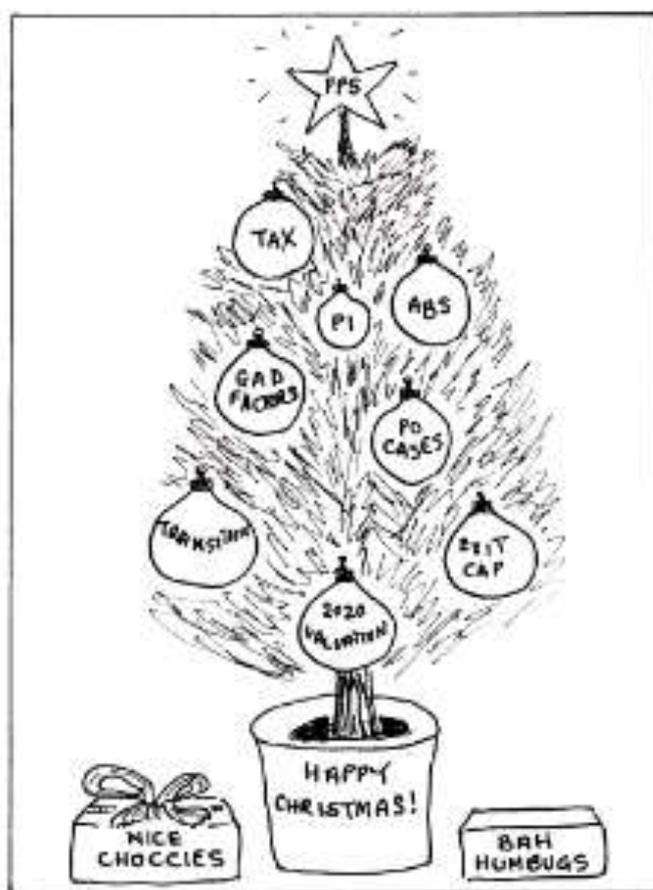
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## FPS Bulletin 27 – December 2019

Welcome to issue 27 of the Firefighters' Pensions Schemes bulletin.

If you are looking for information on a certain topic, issue and content indexes are held on the main [bulletin](#) page of the website and are updated following each new issue.

May we take this opportunity to wish you all a very merry Christmas and happy New Year. Thank you for your help and support during 2019.



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If you have any comments on the contents of this bulletin or suggested items for future issues, please contact [Claire Hey](#).

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## Calendar of events

Please see below a calendar of upcoming events relevant to the Firefighters' Pension Schemes. Only those events which are hyperlinked are currently available to book. If you have any events you would like to be included in a future bulletin, please contact [Claire Hey](#).

SAB	9 January 2020 - amended
Firefighter Pensions Technical Community	31 January 2020
Fire Communications Working Group	4 February 2020
North East regional FPOG	12 February 2020 – amended
Midlands regional FPOG	18 February 2020
Eastern regional FPOG	25 February 2020
SAB LPB effectiveness committee	5 March 2020
<a href="#">LGA annual Fire conference and exhibition</a>	10-11 March 2020
SAB	19 March 2020
SAB	11 June 2020
SAB	17 September 2020
Firefighters' Pensions AGM – save the date!	22-23 September 2020
SAB	10 December 2020

## FPS

### Update on transitional protections remedy (Sargeant)

As readers are no doubt aware, on 18 December 2019, the Employment Tribunal made an interim order on the firefighters' transitional protections claims. An employer's circular from the National Employers has been sent to FRAs informing of the detail which is available [here](#).

What the actual order does for claimants is to treat them as satisfying the age criteria regardless of their actual age as long as they meet the other criteria, which was to have been in the scheme at 31 March 2012 and 31 March 2015.

For example for claimants, [schedule 2, paragraph 12](#) should now read as automatically satisfying paragraph c regardless of their actual age

(2) This sub-paragraph applies if—

(a) P was an active member of the 1992 Scheme or an active member, or eligible to be an active member, of the NFPS on the scheme closing date;

(b)P was an active member of the 1992 Scheme or an active member, or eligible to be an active member, of the NFPS on 31st March 2012; and

(c)if P is an active-member of the 1992 Scheme, P would, unless P dies, reach normal pension age under the 1992 Scheme or if P is an active member or eligible to be an active member of the NFPS, normal pension age under the NFPS on or before the 1<sup>st</sup> April 2022

We understand that firefighters will be eager to understand what this means for them and no doubt administrators and FRAs will be receiving queries. Home Office have provided a factsheet ([Appendix 1](#)) that can be issued to members and we have provided some suggested text below in order to respond to those queries:

*“We are aware of the interim declaration made by the Employment Tribunal that claimants represented in the Sargeant legal case are entitled to be treated as if they remained in the Firefighters Pension Scheme 1992 (FPS 1992). In order to comply with the Tribunal’s order FRAs will need further direction from Government on the practical steps to enable implementation and we await that direction, albeit the Home Office have since issued a factsheet.*

*In the meantime to enable us to prioritise urgent cases, if you believe you are a claimant and you have an immediate retirement event; i.e. you are going through or have gone through an ill-health retirement or you wish to retire from the scheme with immediate effect and meet the eligibility requirements of being over 50 with 25 years’ service (includes service in the 2015 Scheme) please contact [\[insert relevant contact details\]](#) with confirmation of your status as a claimant and details of your retirement claim.*

*The order does not specify treatment of non-claimants at this time, however Government have confirmed their intent that non-claimants in the same legal and factual position as claimants intends to extend the same treatment to all members of the public service pension schemes, including the Firefighters’ scheme, (whether claimants or not) who are in the same legal and factual position as the claimants. If you are a non-claimant with a similar immediate retirement event to claimants, please contact us. “*

However, there are some steps that FRAs can take in the meantime to identify members with relevant service, whether claimants or non-claimants so that once proposals are finalised they are in a position to act.

- Current Ill-health cases with the IQMP
  - Ask the IQMP to assess the applicant under both the 1992 and 2015 scheme terms.<sup>1</sup>
- Retrospective Ill-Health applications since 1 April 2015
  - Identify these into one of the below categories
    1. Assessed for IQMP under 2015 scheme terms and did not meet tier 1, therefore no ill-health pension is in payment.
      - The authority may want to consider whether it is appropriate to request an IQMP assessment under the 1992 terms, if the employer had not already asked the IQMP to assess under both schemes.

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<sup>1</sup> Ill-Health certificates are available here - <http://www.fpsregs.org/index.php/member-area/ill-health-and-injury>

2. Assessed for IQMP under 2015 terms and met tier 1 requirements but not tier 2, therefore lower tier currently in payment only
    - The authority may want to consider whether it is appropriate to request an IQMP higher tier assessment on ability to perform regular employment under the 1992 terms, if the employer had not already asked the IQMP to assess under both schemes
  3. Assessed for IQMP under 2015 terms and awarded higher tier
    - A further IQMP assessment will not be necessary, however in some cases the enhancement paid for higher tier in the 2015 scheme will enhance the overall value of the pension being paid (meaning the pension paid under the 2015 terms is more than then pension that would be paid under the 1992 terms), however a lump sum paid under the 1992 scheme would be higher than that paid under the 2015 scheme. The authority may consider it appropriate to ask their administrator to provide a calculation of the benefits that might be provided under the 1992 terms for comparison purposes.
- Identify members that may have had or be eligible for immediate retirement<sup>2</sup>, ie those members who are age 50 with over 25 years of service.
  - Identify members who may under the current scheme rules taper into the 2015 scheme from January 2020

Updates will be provided by email and via the monthly bulletins as new information or direction is received.

### Firefighters' Pension Schemes (England) - Factor Guidance Notes

HM Treasury reduced the SCAPE discount rate from 2.8% to 2.4%pa above CPI from 1 April 2019. As a result of the change, the Government Actuary's Department (GAD) undertook a [factor review](#) for the Firefighters' Pension Schemes. The revised factors were provided by email to FRAs, during 2018 -2019. GAD has now produced guidance notes and example calculations to reflect the revised factors. These are provided below.

- [FPS 1992 and FPS 2006 CPD APB - factors and guidance](#)
- [FPS 2015 Age additions and assumed age additions - factors and guidance](#)
- [FPS 2015 Club Transfer guidance](#) (supplement to the Club Memorandum)
- [FPS 2006 Early retirement - factors and guidance](#)
- [FPS 2015 Early payment reductions - factors and guidance](#)
- [FPS 2006 Purchase of increased benefits - factors and guidance](#)
- [FPS 2015 Purchase of Additional Pension - factors and guidance](#)
- [FPS 1992 Tax charge debits - factors and guidance](#)
- [FPS 2006 Tax charge debits - factors and guidance](#)
- [FPS 2015 AA charges: scheme pays offsets - factors and guidance](#)
- [FPS 2015 LTA pension debit - factors and guidance](#)

All factor tables and guidance notes can be found on our website at <http://fpsregs.org/index.php/gad-guidance>.

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<sup>2</sup> <http://www.fpsregs.org/images/admin/RetirementFPS2015v1.pdf>

Please note: **In line with best practice and in order to make sure that factors are being used as intended and the instructions are fit for purpose, we suggest that some example calculations are sent to GAD for review.**

We have received a number of queries regarding the guidance, which have been forwarded to the Home Office for review. Please submit any comments to [bluelight.pensions@local.gov.uk](mailto:bluelight.pensions@local.gov.uk).

### December query log

The current [log of queries and responses](#) is available on the FPS Regulations and Guidance website. The queries have been anonymised and divided into topics. The log will be updated on a monthly basis in line with the bulletin release dates.

Queries from earlier months have been grey-shaded to differentiate from new items added in November.

## FPS (England) SAB Updates

### A end of year message from the Chair

“Dear Friends & Colleagues,

Christmas is traditionally a Family Time and it is my pleasure to send to all of you within what I fondly refer to as my Fire Pensions Family my personal 'Festive Best Wishes' for Christmas, the New Year and 2020.

It doesn't feel like it is 12 months ago that I sat down to write last year's Festive Message to you all...and yet, here we are again, frantically getting ready for the "Big Day", and the closure of another busy year.

Christmas is generally a time for reflection and when I look back over the year, we have seen so much happening within the Fire Pensions domain, much of which has involved the majority of you reading this message in one way or another...”

Read more from Malcolm Eastwood, chair of the Firefighters' Pensions (England) Scheme Advisory Board at [Appendix 2](#).

### ABS 2019 survey – reminder of action required

Many thanks to colleagues who have been able to submit a response to this year's survey of the ABS process, developed in collaboration with the SAB Local Pension Board effectiveness committee. We encourage those who have not yet responded to take the opportunity to do so, so that the research report fully reflects the national picture.

Taking into account feedback and learning from previous years, we have revised the question sets and have developed separate surveys for the FRA and administrator to complete. We welcome one reply from each FRA, and for administrators with multiple FRA clients, a completed survey per authority.

To ease the burden on those administrators, a third, shorter version of the survey has been provided, with the intention that they will complete a full survey for the first FRA and the reduced version for each subsequent submission.

FRA (employer) survey [https://www.surveymonkey.co.uk/r/ABS\\_2019\\_SURVEY\\_FRA](https://www.surveymonkey.co.uk/r/ABS_2019_SURVEY_FRA)

Administrator survey for single, or first of multiple FRAs

[https://www.surveymonkey.co.uk/r/ABS\\_2019\\_SURVEY\\_ADMIN](https://www.surveymonkey.co.uk/r/ABS_2019_SURVEY_ADMIN)

Administrator survey for subsequent multiple FRAs

[https://www.surveymonkey.co.uk/r/ABS\\_2019\\_SURVEY\\_ADMIN\\_PLUS](https://www.surveymonkey.co.uk/r/ABS_2019_SURVEY_ADMIN_PLUS)

An Excel version of the question set can be provided on request, and we can also export submissions on an individual basis following the closing date and provide FRAs with their own data for discussion at Local Pension Board meetings if required.

Please note that the closing date has been brought forward to **6 January 2020**, as our paid Survey Monkey plan expires on this date. If you require any further information or clarification on the surveys, please contact [claire.hey@local.gov.uk](mailto:claire.hey@local.gov.uk).

### TPR data requirements – 2019 scheme return: update

In [FPS Bulletin 25 – October 2019](#) we included updated guidance for completing The Pension Regulator (TPR) scheme return, with some new scheme specific items added and an expanded section on testing data for accuracy.

<http://fpsregs.org/images/admin/TPR-data-scoring-2019-clean.pdf>

<http://fpsregs.org/images/admin/Data-score-weighting.xlsx>

It appears that some confusion has arisen regarding the status of the document which we had initially classified as informal guidance, and therefore some parties had not recognised that this would form the basis of a standard, fire-specific, extract. We have now changed the category of the document from “information” to “advice” and would like to make clear that we consider this a final standard version for suppliers and authorities to take account of.

TPR have noted that, in their opinion, the role of the SAB to advise scheme managers and pension boards carries sufficient weight for a supplier to pay attention to it.

## Other News and Updates

### Pension Schemes Bill reinstated

Following the general election on 12 December 2019, the Queen’s Speech setting out the government’s policies<sup>3</sup> has confirmed that the Pension Schemes Bill has been reintroduced to:

- “Support pension saving in the 21st century, putting protection of people’s pensions at its heart.
- Create a legislative framework for the introduction of pensions dashboards to allow people to access their information from most pensions schemes in one place online for the first time.”

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[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/853886/Queen\\_s\\_Speech\\_December\\_2019\\_-\\_background\\_briefing\\_notes.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/853886/Queen_s_Speech_December_2019_-_background_briefing_notes.pdf) [Page 56]

The first reading of the Bill took place on 15 October 2019 and the second reading of the Bill was scheduled to take place on 30 October 2019. However, this was delayed due to the election.

## Training and Events

### 2019 facts and figures

We've been out on the road again in 2019, attending meetings and providing training to FRAs and LPBs; including 16 regional Fire Pension Officer group meetings and 22 local or regional training sessions for boards and scheme managers. Some of the many HQs we've visited this year are pictured below. See if you can spot yours!



In addition to our regional engagements, we've held a six national training events at the LGA offices in London, including several joint sessions with colleagues from the Police scheme, the annual two-day AGM and a wrap-up session for LPB members.

Information about our national events can be found on our [Events](#) page.

Back at base (and beyond), we have facilitated four meetings of the SAB, six SAB committee meetings, three communications group and three technical group meetings. In addition, we are regular visitors to the devolved SAB meetings to provide an overview of issues arising in England, and represent FPS interests at sector specific forums.

We look forward to offering an exciting and varied programme of events in 2020 based on the outcomes of our [training survey<sup>4</sup>](#), and as ever, are happy to tailor bespoke sessions for local and regional groups. For information, please contact us at [bluelight.pensions@local.gov.uk](mailto:bluelight.pensions@local.gov.uk).

## Useful links

- [The Firefighters' Pensions \(England\) Scheme Advisory Board](#)
- [FPS Regulations and Guidance](#)
- [Khub Firefighters Pensions Discussion Forum](#)
- [FPS1992 guidance and commentary](#)
- [The Pensions Regulator Public Service Schemes](#)
- [The Pensions Ombudsman](#)
- [HMRC Pensions Tax Manual](#)
- [LGA pensions website](#)

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<sup>4</sup> <http://www.fpsboard.org/images/PDF/Surveys/Training2019.pdf>

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## **Surrey Firefighters Local Pension Board January 2020**

### **Administration Update**

#### **GMP**

The guaranteed minimum pension reconciliation work has been in the delivery phase since September 2018 after it was contracted out to a chosen supplier, JLT. This supplier has taken on 100% of the work with a designated team based both in the UK and India, with only minimal support required from the administration team should information be unavailable on the administration system, Altair.

The work has been progressing well and we are moving close to begin the reconciliation work and understanding the liability costs. The next steps are:

- JLT have matched over 99% of membership for all Funds. They will implement the decisions made on the stalemate cases once received by the Surrey Pension Fund. This has still not been given as some cases are expected to be investigated first. However, this may impact on the final reconciliation process should HMRC send the final cut of data to JLT in the meantime.
- HMRC will be sending the final SRS cut of data from November onwards, so JLT will then complete the final reconciliation reports and send these out to Funds once HMRC have provided relevant data.
- JLT has also been working with HMRC to review all CEP payments to see if HMRC had allocated them correctly or whether they were still a liability held against the Fund. This has now been completed and emails were sent the fund/service representatives to confirm the current status. These will be chased to ensure payments have been made and confirmed with JLT in due course.

GMP is still on track but there are delays from the HMRC which has meant minimal work can take place at this stage but, it is still within the remit of the project team within pension admin service.

### **Retained Fire Project**

This project is moving forward with its communications to affected members to inform them that work is ongoing to rectify the situation and, provide each of these members with the

opportunity to buy back into the scheme. The first letter is due to be sent by mid January and is awaiting final sign off from our legal team at Weightmans.

#### Address Tracing for Retained Project

<b>UK Electronic Trace</b>	<b>Records</b>	<b>(%)</b>
Total Records:	208	100.00%
Traced Same:	111	53.37%
Traced New:	58	27.88%
Person Matches:	12	5.77%
No Matches:	27	12.98%
	208	100.00%

<b>Full Trace</b>		
Total Records:	39	100.00%
Traced Same:	8	20.00%
Traced New:	24	62.00%
No Matches:	7	18.00%
	39	100.00%

At the last project board meeting it was apparent that before full rectification can take place, the overall governance of the SFPF required some immediate attention to support decision making in this project. To support the service in establishing the governance and structure required Surrey Pension Fund officers, SCC Audit and legal will be meeting with Sally Wilson to allow for this governance to be designed and implemented.

Additional resource is being sought after to support the Fire Service which will also offer the designated resource to deliver the Retained Fire Project and, help establish the governance requirements across the scheme.

Next steps include:

- First communications letter to be sent to affected members of scheme
- Address tracing results have been produced by ITM & addresses will be updated accordingly. (Decision required by project board on approach)
- Final sign off of contract with Shropshire CC to support both the project and fire pension admin (in January)
- Appointment of Project Manager
- Governance implementation meetings as outlined above
- Awaiting impact of O.Brien and McCloud case and whether this will provide the opportunity for GAD to re-open the scheme (Weightmans due to discuss with GAD 09.01.2020)

## **Scheme Address Tracing**

ITM have been appointed to perform an address tracing exercise on 'gone away' member address in line with the Pension Regulator code of conduct. There were approximately 91 members that required the trace exercise to be carried out. Ten of these members did not have an address history on Altair and therefore could not be included in the electronic trace.

The table is a summary of the results from ITM.

<b>UK Electronic Trace</b>	<b>Records</b>	<b>(%)</b>
<b>Traced Same &lt; 3 Months</b>	12	15.0%
<b>Traced New &lt;3 Months</b>	49	61.3%
<b>Traced Same &gt;3 Months</b>	0	0.0%
<b>Traced New &gt;3 Months</b>	3	3.8%
<b>Person Matches:</b>	11	13.8%
<b>No Matches:</b>	5	6.3%
	<b>80</b>	<b>100%</b>

There are 3 categories of results that require the members to have full trace performed.

- i. Traced New >3 Months
- ii. Person Match
- iii. No Match

ITM's results show there are 19 members included in the electronic trace who require the full trace, and the further 10 who did not have address history.

The cost of the full trace is £7.50 per member, which estimates the cost to be £217.50 for the full trace.

An options paper on the next steps is being created and will be sent to the fund for approval of next steps.

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## Surrey Local Pension Board 17 January 2020

### Surrey Firefighter's Pension Risk Register

#### Recommendations:

The Board is asked to **note** the content of this report, including changes to the scoring of current risks and the inclusion of additional risks and **approve** the Surrey Firefighter's Pension Scheme (FFPS) Risk Register (shown as Annex 1). The Board is further asked to make recommendations of any amendments to the Surrey FFPS Risk Register.

#### **Background**

1. Good governance ensures that there is an appropriate Risk Register in place. It is also a requirement of the Pensions Regulator's code of practice on the governance and administration of public service pension schemes to have in place a Risk Register which is regularly reviewed.
2. In a meeting of 29 March 2018 the Surrey FFPS Local Pension Board (the Board) noted the Risk Register for the Surrey FFPS.
3. The Surrey FFPS Risk Register consists of relevant risks to the Surrey FFPS. It contains the range of risks to be considered by the Board for comment on whether the risks seem appropriate and that the Inherent and Residual risks are set at the correct level.
4. The Surrey FFPS Risk Register seeks to reflect adopt best practice in the identification, evaluation and control of risks in order to ensure that the risks are recognised, and then either eliminated or reduced to a manageable level. If neither of these options is possible, then means to mitigate the implications of the risks should be established.
5. Each of the risk areas in the register has been assessed in terms of its impact on the Surrey FFPS. Assessment has also been given as to the likelihood of the risk.
6. Each of the three areas of impact identified above is assessed on a scale of one to four, with four implying the highest level of impact. The likelihood of the risk

description (between one and five) is then applied to the combined impact score, which produces an overall risk score. Depending on the score, the risks are then identified as Red, Amber or Green.

7. To comply with best practice, a scoring process has been implemented, which will reassess the risk scores after the mitigating action taken to control and reduce the risks. The risk register includes a revised impact score and net risk score as a result of those mitigating actions.

### **Changes to existing risks**

8. The Risk Register rating for risk F9i has been updated.

### **Additional risks**

9. The following risk has been added:
  - Move out of County Hall be included as risk F21, with total risk of 24 (Amber) and net risk of 16 (Amber) in Risk register.

### **Next steps**

10. On approval from the Board the Surrey FFPS Risk Register will be amended and then reviewed and reported to the next Board meeting.

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### **Sources/background papers:**

tPR Code of Practice no 14 (Governance and administration of public service pension schemes)

### **Annexes:**

1. Surrey FFPS Risk Register

## Annex 1 – Risk Register

Risk Ref.	Risk Description	Risk Owner	Inherent Risk					Total risk score	Control actions	Action by whom	Residual risk					Total risk score	Reviewed on	Changes made during review
			Impact								Impact							
			Fin	Service	Rep'n	Total	Likely				Fin	Service	Rep'n	Total	Likely			
F1	Incorrect data due to employer error, user error or historic error leads to service disruption.	AM	2	3	3	8	2	16	TREAT 1) Implementation and monitoring of a Data Improvement Plan by the pension administration team. 2) Data improvement plan to be reviewed after the 2019 triennial valuation. 3) The Board will consider feedback from GAD. 4) The Board will review TPR data.	AM	2	3	3	8	2	16	Dec-19	
F2	Data not secure or appropriately maintained.	AM	3	3	3	9	2	18	TREAT 1) Systems controls in place and can be evidenced. 2) The pension administration team is compliant with General Data Protection Requirements (GDPR).	AM	3	3	3	9	1	9	Dec-19	
F3	Risk of manual intervention in administration reporting.	AM	2	4	2	8	3	24	TOLERATE 1) Automated extraction of data where viable and agreed process for audit assurance.	AM	2	4	2	8	3	24	Dec-19	
F4	Lack of capability of systems leads to inefficiency and disruption.	AM	4	4	2	10	2	20	TOLERATE 1) Ensure system efficiency is assured by the pension administration team.	AM	4	4	2	10	2	20	Dec-19	
F5	Failure to communicate adequately with scheme members.	LS	1	4	4	9	3	27	TREAT 1) Ensure the website is updated, that newsletters are published and annual benefit statements are distributed.	LS	2	2	2	6	2	12	Dec-19	
F6	Failure to recognise and manage conflicts of interests of Board members	Dem serv/NM/LS	1	1	5	7	3	21	TREAT 1) Declaration of interests at the beginning of each meeting.	Dem serv/NM	1	1	5	7	1	7	Dec-19	
F7	Policies and strategies not in place or reviewed.	LS	2	2	3	7	3	21	TREAT 1) Reviewed by the Board 2) Ensure roles and responsibilities are clarified.	LS	2	2	3	7	2	14	Dec-19	
F8	Unstructured training leads to under developed workforce resulting in inefficiency.	AM/LS	3	3	3	9	3	27	TREAT 1) Implementation and monitoring of a Staff Training and Competency Plan by the pension administration team.	AM/LS	2	3	3	8	2	16	Dec-19	

F9	Failure to administer the scheme in line with regulations and policies.	AM/LS	2	2	4	8	4	32	TREAT 1) Up to date knowledge through various sources such as SAB and the LGA. Up to date training. Attendance at regional fire administrator working groups. Information on the scheme is held on the Firefighters website. 2) Through strong governance arrangements and the active reporting of issues, seek to report all breaches as soon as they occur in order to allow mitigating actions to take place to limit the impact of any breaches.	AM/LS	2	2	4	8	2	16	Dec-19	
F9i	Failure to notify staff of the Modified Pension Scheme	AM	2	2	4	8	4	32	TREAT 1. Officers to report to the Board. 2. Implementation and monitoring of improvement Plan by the Pensions service.	AM	2	2	4	8	4	32	Dec-19	Updated
F10	Gaps in skills and knowledge of Board members.	LS	2	3	3	8	3	24	TREAT 1) Members of the Board will be mindful of the Attendance and Knowledge and Understanding Policy when setting objectives and establishing training needs. 2) The board is seeking to appoint substitutes. The recruitment will commence once approval has been attained from Audit and Governance committee.	LS	2	3	3	8	2	16	Dec-19	
F11	Inability to respond to a significant event leads to prolonged service disruption and damage to reputation.	AM	3	3	3	9	3	27	TREAT 1) Disaster recover plan in place 2) Ensure system security and data security is in place 3) Business continuity plans regularly reviewed, communicated and tested 4) Assess compliance with the Government's National Cyber Security Strategy 2016-2021	AM	3	3	3	9	1	9	Dec-19	
F12	Lack of productivity of pension administration team leads to impaired performance.	AM	2	3	2	7	4	28	TREAT 1) Regular appraisals with focused objectives for pension fund and admin staff	AM	2	3	2	7	3	21	Dec-19	
F13	Failure to continuously improve leads to inefficiency and missed opportunities.	AM	2	2	2	6	3	18	TOLERATE 1) Annual customer feedback survey to be carried out. 2) Quarterly complaints/praise feedback to be reported to and scrutinised by the Committee and Board 3) Implementation and monitoring of an annual Continuous Improvement Plan as part of the Service Specification between the Fund and Orbis	AM	2	2	2	6	2	12	Dec-19	
F14	Failure to provide adequate management reports to the Board.	AM/NM/LS	2	2	2	6	4	24	TREAT: 1) Board meetings held quarterly. 2) The Board chairman and vice chairman agree rolling forward plan. 3) Additional meetings can be convened if required.	AM/NM/LS	2	2	2	6	2	12	Dec-19	
F15	Failure to identify GMP liability leads to ongoing costs for the pension fund	AM	3	1	3	7	4	28	TREAT 1) GMP reconciliation progress updates presented to the Local Pension Board 2) Stage 1 and Stage 2 reconciliation reviews has been completed. 3) A provider to be appointed provider to carry out the review of the remaining queries	AM	3	1	3	7	2	14	Dec-19	
F16	Workforce Reform leads to changes within our working arrangements without consideration of the pensions implications	LS	3	3	2	8	3	24	TREAT 1) Regular monitoring by the Board	Local Board	3	3	2	8	1	8	Dec-19	
F17	Pension Services Manager leaving the Council may dilute the organisation's collective knowledge and impact on decision making.	AM	2	3	2	7	3	21	TOLERATE/TREAT The risk is mitigated as the Pension Service have hired a new Business operation Manager.	AM	2	3	2	7	1	7	Dec-19	
F18	Failure to agree ownership for scheme manager responsibilities.	Dem serv	2	3	3	8	4	32	TREAT 1) Meeting held in November to re-establish the governance responsibilities of the Fire scheme. 2) Agree ownership for scheme manager.	Dem serv	2	3	3	8	4	32	Dec-19	
F19	Current valuation of the Firefighters Pension Scheme could potentially have its cost ceiling breached. Without secured funding in place from central government this would have financial implications for the Fire service.	NM	3	3	3	9	3	27	TOLERATE The implication has been reported to Section 151 Officer.	NM	3	3	3	9	3	27	Dec-19	
F20	Lack of sufficient train resources leads to failure to provide adequate service.	AM	3	2	2	7	3	21	TOLERATE/TREAT 1) Make better use of existing resources 2) Recruit experience staff members 3) Implement learning and development plan for staff. 4) Pensions service to use Shropshire to provide training to staff members.	AM	2	2	2	6	3	18	Dec-19	
F21	Moving out of County Hall could adversely affect team morale as majority of the staff are within a few miles of County Hall. A move to an office further away may result in employees finding jobs elsewhere to minimise the commute. Resulting in: - Significant loss of skilled and experience staff.	AM	2	3	3	8	3	24	TOLERATE 1) Pensions admin exploring other arrangements. 2) Engage with staff early and to understand their concerns which should be fed into the consideration of new location.	AM	2	3	3	8	2	16	Dec-19	New risk



**Local Firefighters' Pension Board**  
17 January 2020

**REVISED TERMS OF REFERENCE: DELEGATION OF  
ATTENDANCE TO SUBSTITUTES**

**Purpose of the report:**

The Committee is being asked to adopt the revised Terms of Reference of the Surrey Local Firefighters' Pensions Board to allow members to delegate attendance to substitutes.

**Recommendations:**

It is recommended that the Committee adopt the proposed changes to the Terms of Reference (Version 3) to allow Local Firefighters' Pensions Board members to delegate attendance. This will ensure the Board can meet and will aid the development of potential future Board members.

**Introduction:**

1. The Terms of Reference specify that Pensions Board members should not be able to delegate attendance at Board meetings. This Report proposes changes to those Terms of Reference to allow delegation to take place and were approved at the Audit and Governance Committee on 17 December 2019.

**Terms of Reference:**

2. The Local Firefighters' Pensions Board is governed by Terms of Reference which were adopted in March 2015. The current version, version 2, was adopted in September 2015. This version is attached as [Annexe 1](#).
3. The Terms of Reference specify in section 4.5 that Pensions Board members should not be able to delegate attendance at Board meetings.
  - 4.5 Each Local Firefighters' Pension Board member should endeavour to attend all Board meetings during the year. No substitutes will be permitted to attend on behalf of absent Local Firefighters' Pension Board members.

4. It is proposed that this should be amended as follows to allow members to delegate attendance at Board meetings. New text is shown in bold:  
  
4.5 Each Local Firefighters' Pension Board member should endeavour to attend all Board meetings during the year. Substitutes will be permitted to attend on behalf of absent Local Firefighters' Pension Board members **but must meet the requirements of section 9**.
5. Section 9 of the Terms of Reference requires Board members to have knowledge and understanding of the Fire Fighters Pension Scheme and of pensions law.
6. Requiring substitutes to have the appropriate knowledge and understanding should reduce the risk of decisions being influenced by people who are not sufficiently well informed.
7. A revised version (3) of the Terms of Reference showing the proposed changes is included as [Annexe 2](#).

<b>Reasons for change:</b>
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8. Allowing members to delegate attendance to substitutes will reduce the risk of Board meetings being cancelled for non-attendance.
9. Attendance at Board meetings as substitutes will aid the development of potential future Board members.

<b>Conclusions:</b>
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10. Changing the Terms of Reference to allow delegation to substitutes will increase the resilience of the Board without any detrimental effect to its performance.

### **Financial and value for money implications**

11. 'None'.

### **Equalities and Diversity Implications**

12. There are no direct equalities implications arising from this report.

### **Risk Management Implications**

13. Allowing members to delegate attendance to others could result in decisions being influenced by people who have little knowledge of pensions matters.
14. The clause allowing delegation requires substitutes to meet the knowledge and skills requirements of section 9 of the Terms of Reference. This should reduce the risk of decisions being influenced by people who are not sufficiently well informed.

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**Report contact:** Sally Wilson, Head of Professional Services, Surrey Fire and Rescue Service

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**Sources/background papers:** None

## ANNEXE 1

# THE SURREY LOCAL FIREFIGHTERS' PENSION BOARD TERMS OF REFERENCE



### Surrey Local Firefighters' Pension Board

#### Membership: Total five

Two employee representatives  
Two employer representatives  
The Local Firefighters' Pension Board may also contain one other independent member

#### Terms of Reference

##### 1. Introduction

- 1.1 This document sets out the terms of reference of the Local Firefighters' Pension Board of Surrey County Council (the 'Fire and Rescue Authority'), a scheme manager as defined under Section 4 of the Public Service Act 2013.
- 1.2 The Local Firefighters' Pension Board is established in accordance with Section 5 of that Act and under draft Regulation 4A of the Firefighters' Pension Scheme (FFPS) (England) Regulations 2014 (as amended).

##### 2. Role of the Local Firefighters' Pension Board

- 2.1 The role of the Local Firefighters' Pension Board, as defined in the Firefighters' Pension Scheme (Amendment) (Governance) Regulations 2015, is to assist the Fire and Rescue Authority Scheme Manager:
  - (a) to secure compliance with:
    - (i) the scheme regulations;
    - (ii) any other legislation relating to the governance and administration of the Firefighters' Pension Scheme and any connected scheme;
    - (iii) any requirements imposed by the Pensions Regulator in relation to the Firefighters' Pension Scheme.
  - (b) to ensure the effective and efficient governance and administration of the Firefighters' Pension Scheme.
- 2.2 The Local Firefighters' Pension Board will ensure it effectively and efficiently complies with the Code of Practice on the governance and administration of public service pension schemes issued by the Pension Regulator.
- 2.3 The Local Firefighters' Pension Board will also help ensure that the Firefighters' Pension Scheme is managed and administered effectively and efficiently and complies with the Code of Practice on the governance and administration of public service pension schemes issued by the Pension Regulator.
- 2.4 The Local Firefighters' Pension Board has power to do anything that is calculated to facilitate or is conducive or incidental to the discharge of any of its functions.

2.5 The Local Firefighters' Pension Board should always act within its terms of reference.

### **3. Establishment of the Local Firefighters' Pension Board**

3.1 The Local Firefighters' Pension Board is established on 1 April 2015 subsequent to approval by Surrey County Council on 17 March 2015.

### **4. Appointment of members of the Local Firefighters' Pension Board and voting rights of Local Firefighters' Pension Board members**

4.1 The composition of the members of the Local Firefighters' Pension Board is as follows:

The Local Firefighters' Pension Board shall consist of at least four members and may contain up to five members. It shall be constituted as follows:

- i) Two employer representatives;
- ii) Two scheme member (employee) representatives;
- iii) The Local Firefighters' Pension Board may also contain one independent member.

4.2 Scheme member and employer representatives shall be appointed in equal number and shall together form the majority of the Local Firefighters' Pension Board's membership.

4.3 No officer or elected member of the Fire and Rescue Authority who is responsible for the discharge of any Scheme Manager functions of the Fire and Rescue Authority under the Regulations may serve as a member of the Local Firefighters' Pension Board.

4.4 Each Local Firefighters' Pension Board member so appointed shall serve for the life of the current Surrey County Council, a defined, fixed period which can be extended for further periods subject to re-nomination.

4.5 Each Local Firefighters' Pension Board member should endeavour to attend all Board meetings during the year. No substitutes will be permitted to attend on behalf of absent Local Firefighters' Pension Board members.

4.7 Each Local Firefighters' Pension Board member should participate in training when required.

4.8 Members of the Local Firefighters' Pension Board shall be appointed by the Scheme Manager (the Appointment Panel) in accordance with the **Appointment and Termination Process**.

4.9 The Appointment Panel shall be made up of the following:

- the Chairman of People, Performance and Development Committee;
- the Strategic Finance Manager (Pension Fund and Treasury);
- the Director of Finance (or her nominee);
- the Director of Legal and Democratic Services (or her nominee);
- the Chief Fire Officer (or his nominee).

4.10 Each employer representative and member representative of the Local Firefighters' Pension Board will have an individual vote on any matter needing a decision. The independent member of the Local Firefighters' Pension Board does not have voting rights. It is expected that the Local Firefighters' Pension

Board will, as far as possible, reach a consensus. If a consensus is not reached the Chairman shall have a casting vote in addition to any vote he may have already cast.

## **5. Appointment and duties of the Chairman and Vice Chairman of the Local Firefighters' Pension Board**

- 5.1 A Chairman and Vice Chairman of the Local Pension Board to be appointed by the Scheme Manager (the Appointment Panel) in accordance with the **Appointment and Termination Process**.
- 5.2 It will be the role of the Chairman of the Local Firefighters' Pension Board to ensure that all members of the Local Firefighters' Pension Board show due respect for process, that all views are fully heard and considered, and to determine when consensus has been met.
- 5.3 The full responsibilities of the Chairman of the Local Firefighters' Pension Board are contained in the Chairman of the Local Firefighters' Pension Board description.
- 5.4 The Vice Chairman shall undertake the duties of the Chairman in the event of the Chairman's absence.

## **6. Notifications of appointments to the Local Firefighters' Pension Board**

- 6.1 When appointments to the Local Firefighters' Pension Board have been made, the Scheme Manager shall publish the name of the Local Firefighters' Pension Board members, the process followed in the appointment together with the way in which the appointment supports the effective delivery of the purpose of the Local Firefighters' Pension Board.

## **7. Termination of membership of the Local Firefighters' Pension Board**

- 7.1 Any termination of membership of the Local Firefighters' Pension Board will be in accordance with the **Appointment and Termination Process**.
- 7.2 Membership of the Local Firefighters' Pension Board may be terminated due to:
  - i) a member representative appointed on the basis of their membership of the scheme no longer being a scheme member of the Fund;
  - ii) an employer representative no longer holding the office or employment or being a member of the body on which their appointment relied;
  - iii) a Local Firefighters' Pension Board member no longer being able to demonstrate to the Scheme Manager their capacity to attend and prepare for meetings or to participate in required training or otherwise to carry out the requirements of the role appropriately;
  - iv) a Local Firefighters' Pension Board member having a conflict of interest which cannot be managed in accordance with the Local Pension Boards **Code of Conduct and Conflict of Interests Policy**;
  - v) a Local Firefighters' Pension Board member becomes responsible for the discharge of any function of the Scheme Manager under the Regulations;
  - vi) the Scheme Manager may at its discretion terminate the membership of a Local Firefighters' Pension Board member if it believes that it appropriate and is consistent with the role of the Local Firefighters' Pension Board to do so.

## 8. Conflict of Interests

- 8.1 The Scheme Manager will approve a **Code of Conduct and Conflict of Interest policy** which will be adopted by the Local Firefighters' Pension Board and which members of the Local Firefighters' Pension Board will need to abide by. Members of the Local Firefighters' Pension Board will provide any information the Scheme Manager reasonably requires from time to time to ensure that members do not have a conflict of interest.

## 9. Knowledge and Skills

- 9.1 In accordance with section 248A of the Pensions Act 2004 ("the 2004 Act"), every individual who is a member of a Local Firefighters' Pension Board must be conversant with:
- i) the regulations governing the FFPS; and
  - ii) any document or policy about the administration of the Fund.
- 9.2 Local Firefighters' Pension Board members should also have a knowledge and understanding of:
- i) the law relating to pensions; and
  - ii) such other matters as may be prescribed.
- 9.3 Local Firefighters' Pension Board shall adhere to the Scheme Manager's **Attendance and Knowledge and Understanding Policy** to address the knowledge and skills requirements that apply to Local Pension Board members under the 2004 Act.
- 9.4 It is for individual Local Firefighters' Pension Board members to ensure they have the appropriate degree of knowledge and understanding to enable them to properly exercise their functions as a member of the Local Pension Board.
- 9.5 In line with this requirement Local Firefighters' Pension Board, members must be able to demonstrate their knowledge and understanding and to refresh and keep their knowledge up to date. Local Firefighters' Pension Board members are therefore required to maintain a written record of relevant training and development.
- 9.6 Local Firefighters' Pension Board members will undertake a personal training needs analysis and regularly review their skills, competencies and knowledge to identify gaps or weaknesses. Local Pension Board members will comply with the Scheme Manager's **Attendance and Knowledge and Understanding Policy**.

## 10. Local Firefighters' Pension Board Meetings: Notice and Public Access to Pension Board Meetings and Information

- 10.1 There will be a sufficient number of meetings to enable the Local Firefighters' Pension Board to discharge its functions effectively, as decided by the Chairman of the Local Firefighters' Pension Board with the consent of the Local Firefighters' Pension Board members, and at least one Local Firefighters' Pension Board meetings a year.
- 10.2 The Scheme Manager shall give notice to all Local Firefighters' Pension Board members of every meeting of the Local Pension Board, which will be held in public (apart from confidential matters). All members will normally be

sent an agenda and papers at least five working days before the meeting unless an urgent meeting is required.

- 10.3 Any meeting of the Local Firefighters' Pension Board will include provision for confidential matters or matters that would involve the likely disclosure of exempt information as specified in Part 1 of Schedule 12A of the local Government Act 1972 to be dealt with privately in Part 2 and any documents in connection with such matters will be dealt with confidentially.
- 10.4 The Scheme Manager shall ensure that a formal record of Local Firefighters' Pension Board proceedings is maintained. Following the approval of the minutes by the Chairman of the Local Firefighters' Pension Board, they shall be circulated to all members.
- 10.5 All agendas, reports and minutes will be available on the website except for any confidential or exempt matters.
- 10.6 The Local Firefighters' Pension Board may exclude items in agenda, reports and minutes on the grounds that disclosure would involve the likely disclosure of exempt information as specified in Part 1 of Schedule 12A of the Local Government Act 1972 or it is deemed confidential for the purpose of Section 100A(2) of that Act and/or it represents data covered by the Data Protection Act 1998.
- 10.7 In accordance with the Public Service Pensions Act 2013, the Scheme Manager shall publish information about the Local Firefighters' Pension Board to include:
- i) the names of the Local Firefighters' Pension Board members and their contact details;
  - ii) the representatives of employers and members of the Local Firefighters' Pension Board;
  - iii) the role of the Local Firefighters' Pension Board;
  - iv) the Terms of Reference.

## **11. Quorum**

- 11.1 The Local Firefighters' Pension Board shall have a quorum of no fewer than two members which should always include the Chairman or the Vice Chairman, at least one employer representative and at least one member representative.

## **12. Local Firefighters' Pension Board Costs and Budget**

- 12.1 The Local Firefighters' Pension Board is to be provided with adequate resources to fulfil its role. In doing so the budget for the Local Firefighters' Pension Board will be met from the Scheme Manager.
- 12.2 The Local Firefighters' Pension Board will seek approval from the Strategic Finance Manager, Pension Fund and Treasury for any expenditure it wishes to make.

## **13. Core functions of the Local Firefighters' Pension Board**

- 13.1 The first core function of the Local Firefighters' Pension Board is to assist the Scheme Manager in securing compliance with the Regulations, any other legislation relating to the governance and administration of the Scheme and requirements imposed by the Pensions Regulator in relation to the Scheme.

- 13.2 The second core function of the Local Firefighters' Pension Board is to ensure the effective and efficient governance and administration of the Scheme.
- 13.3 In support of its core functions the Local Firefighters' Pension Board may request information from the Scheme Manager with regard to any aspect of the Scheme Manager function. Any such request should be reasonably complied with.
- 13.4 The Local Firefighters' Pension Board may make recommendations to the Scheme Manager. This recommendations should be given due consideration and a response made to the Local Firefighters' Pension Board within a reasonable period of time.

#### **14. Reporting arrangements**

- 14.1 The Local Firefighters' Pension Board should report to the Scheme Manager in the first instance.
- 14.2 On receipt of a report from the Local Firefighters' Pension Board the Scheme Manager should consider and respond to the Local Firefighters' Pension Board within a reasonable period of time.
- 14.3 Where the Local Firefighters' Pension Board is satisfied that there has been a breach of regulation which is reported to the Scheme Manager and is not been rectified within a reasonable period of time the Local Firefighters' Pension Board has a duty to escalate this perceived breach.
- 14.4 The appropriate internal route for escalation is the Strategic Finance Manager, Pension Fund and Treasury.
- 14.5 The Local Firefighters' Pension Board may report concerns to the FFPS Scheme Advisory Board subsequent to the internal route for escalation.
- 14.6 Local Firefighters' Pension Board members are subject to the requirement to report breaches of law to the Pensions Regulator under the Act and the Code and the whistle blowing policy of the Administering Authority.

#### **15. Local Firefighters' Pension Board Review Process**

- 15.1 The Local Firefighters' Pension Board will undertake each year a formal review process to assess how well it and the members are performing with a view to seeking continuous improvement in the Local Firefighters' Pension Board's performance.

#### **16. Advisors to the Local Firefighters' Pension Board**

- 16.1 The Local Firefighters' Pension Board may be supported in its role and responsibilities through the appointment of advisors and shall, subject to any applicable regulation and legislation from time to time in force, consult with such advisors to the Local Firefighters' Pension Board and on such terms as it shall see fit to help better perform its duties including:
- i) any Governance Adviser;
  - ii) the Scheme Manager;
  - iii) other advisors as approved by the Scheme Manager.
- 16.2 The Local Firefighters' Pension Board shall ensure that the performances of the advisors so appointed are reviewed on a regular basis.

**17. Code of Conduct**

- 17.1 The Scheme Manager will approve a Code of Conduct and Conflict of Interest policy which will be adopted by the Local Firefighters' Pension Board and which members of the Local Firefighters' Pension Board will need to abide by.

**18. Data Protection and Freedom of Information**

- 18.1 The Local Firefighters' Pension Board and its members will need to comply with the Scheme Manager's Data Protection and Freedom of Information Policy.

**19. Accountability**

- 19.1 The Local Firefighters' Pension Board will be collectively and individually accountable to the Scheme Manager and to the Pensions Regulator.

**20. Acceptance and Review of Terms of Reference**

- 20.1 These Terms of Reference will be reviewed on each amendment to those parts of the Regulations covering Local Firefighters' Pension Board.
- 20.2 The Terms of Reference was adopted on 17 March 2015.
- 20.3 Version 2 of the Terms of Reference was adopted on 28 September 2015.

## ANNEXE 2

# THE SURREY LOCAL FIREFIGHTERS' PENSION BOARD

## TERMS OF REFERENCE



### Surrey Local Firefighters' Pension Board

#### Membership: Total five

Two employee representatives  
Two employer representatives  
The Local Firefighters' Pension Board may also contain one other independent member

#### Terms of Reference

### 1. Introduction

- 1.1 This document sets out the terms of reference of the Local Firefighters' Pension Board of Surrey County Council (the 'Fire and Rescue Authority'), a scheme manager as defined under Section 4 of the Public Service Act 2013.
- 1.2 The Local Firefighters' Pension Board is established in accordance with Section 5 of that Act and under draft Regulation 4A of the Firefighters' Pension Scheme (FFPS) (England) Regulations 2014 (as amended).

### 2. Role of the Local Firefighters' Pension Board

- 2.1 The role of the Local Firefighters' Pension Board, as defined in the Firefighters' Pension Scheme (Amendment) (Governance) Regulations 2015, is to assist the Fire and Rescue Authority Scheme Manager:
  - (a) to secure compliance with:
    - (i) the scheme regulations;
    - (ii) any other legislation relating to the governance and administration of the Firefighters' Pension Scheme and any connected scheme;
    - (iii) any requirements imposed by the Pensions Regulator in relation to the Firefighters' Pension Scheme.
  - (b) to ensure the effective and efficient governance and administration of the Firefighters' Pension Scheme.
- 2.2 The Local Firefighters' Pension Board will ensure it effectively and efficiently complies with the Code of Practice on the governance and administration of public service pension schemes issued by the Pension Regulator.
- 2.3 The Local Firefighters' Pension Board will also help ensure that the Firefighters' Pension Scheme is managed and administered effectively and efficiently and complies with the Code of Practice on the governance and administration of public service pension schemes issued by the Pension Regulator.

2.4 The Local Firefighters' Pension Board has power to do anything that is calculated to facilitate or is conducive or incidental to the discharge of any of its functions.

2.5 The Local Firefighters' Pension Board should always act within its terms of reference.

### **3. Establishment of the Local Firefighters' Pension Board**

3.1 The Local Firefighters' Pension Board is established on 1 April 2015 subsequent to approval by Surrey County Council on 17 March 2015.

### **4. Appointment of members of the Local Firefighters' Pension Board and voting rights of Local Firefighters' Pension Board members**

4.1 The composition of the members of the Local Firefighters' Pension Board is as follows:

The Local Firefighters' Pension Board shall consist of at least four members and may contain up to five members. It shall be constituted as follows:

- i) Two employer representatives;
- ii) Two scheme member (employee) representatives;
- iii) The Local Firefighters' Pension Board may also contain one independent member.

4.2 Scheme member and employer representatives shall be appointed in equal number and shall together form the majority of the Local Firefighters' Pension Board's membership.

4.3 No officer or elected member of the Fire and Rescue Authority who is responsible for the discharge of any Scheme Manager functions of the Fire and Rescue Authority under the Regulations may serve as a member of the Local Firefighters' Pension Board.

4.4 Each Local Firefighters' Pension Board member so appointed shall serve for the life of the current Surrey County Council, a defined, fixed period which can be extended for further periods subject to re-nomination.

4.5 Each Local Firefighters' Pension Board member should endeavour to attend all Board meetings during the year. Substitutes will be permitted to attend on behalf of absent Local Firefighters' Pension Board members but must meet the requirements of section 9.

4.7 Each Local Firefighters' Pension Board member should participate in training when required.

4.8 Members of the Local Firefighters' Pension Board shall be appointed by the Scheme Manager (the Appointment Panel) in accordance with the **Appointment and Termination Process**.

4.9 The Appointment Panel shall be made up of the following:

- the Chairman of People, Performance and Development Committee;
- the Strategic Finance Manager (Pension Fund and Treasury);
- the Director of Finance (or her nominee);
- the Director of Legal and Democratic Services (or her nominee);
- the Chief Fire Officer (or his nominee).

4.10 Each employer representative and member representative of the Local Firefighters' Pension Board will have an individual vote on any matter needing a decision. The independent member of the Local Firefighters' Pension Board does not have voting rights. It is expected that the Local Firefighters' Pension Board will, as far as possible, reach a consensus. If a consensus is not reached the Chairman shall have a casting vote in addition to any vote he may have already cast.

## **5. Appointment and duties of the Chairman and Vice Chairman of the Local Firefighters' Pension Board**

5.1 A Chairman and Vice Chairman of the Local Pension Board to be appointed by the Scheme Manager (the Appointment Panel) in accordance with the **Appointment and Termination Process**.

5.2 It will be the role of the Chairman of the Local Firefighters' Pension Board to ensure that all members of the Local Firefighters' Pension Board show due respect for process, that all views are fully heard and considered, and to determine when consensus has been met.

5.3 The full responsibilities of the Chairman of the Local Firefighters' Pension Board are contained in the Chairman of the Local Firefighters' Pension Board description.

5.4 The Vice Chairman shall undertake the duties of the Chairman in the event of the Chairman's absence.

## **6. Notifications of appointments to the Local Firefighters' Pension Board**

6.1 When appointments to the Local Firefighters' Pension Board have been made, the Scheme Manager shall publish the name of the Local Firefighters' Pension Board members, the process followed in the appointment together with the way in which the appointment supports the effective delivery of the purpose of the Local Firefighters' Pension Board.

## **7. Termination of membership of the Local Firefighters' Pension Board**

7.1 Any termination of membership of the Local Firefighters' Pension Board will be in accordance with the **Appointment and Termination Process**.

7.2 Membership of the Local Firefighters' Pension Board may be terminated due to:

- i) a member representative appointed on the basis of their membership of the scheme no longer being a scheme member of the Fund;
- ii) an employer representative no longer holding the office or employment or being a member of the body on which their appointment relied;
- iii) a Local Firefighters' Pension Board member no longer being able to demonstrate to the Scheme Manager their capacity to attend and prepare for meetings or to participate in required training or otherwise to carry out the requirements of the role appropriately;
- iv) a Local Firefighters' Pension Board member having a conflict of interest which cannot be managed in accordance with the Local Pension Boards **Code of Conduct and Conflict of Interests Policy**;

- v) a Local Firefighters' Pension Board member becomes responsible for the discharge of any function of the Scheme Manager under the Regulations;
- vi) the Scheme Manager may at its discretion terminate the membership of a Local Firefighters' Pension Board member if it believes that it appropriate and is consistent with the role of the Local Firefighters' Pension Board to do so.

## 8. Conflict of Interests

- 8.1 The Scheme Manager will approve a **Code of Conduct and Conflict of Interest policy** which will be adopted by the Local Firefighters' Pension Board and which members of the Local Firefighters' Pension Board will need to abide by. Members of the Local Firefighters' Pension Board will provide any information the Scheme Manager reasonably requires from time to time to ensure that members do not have a conflict of interest.

## 9. Knowledge and Skills

- 9.1 In accordance with section 248A of the Pensions Act 2004 ("the 2004 Act"), every individual who is a member of a Local Firefighters' Pension Board must be conversant with:

- i) the regulations governing the FFPS; and
- ii) any document or policy about the administration of the Fund.

- 9.2 Local Firefighters' Pension Board members should also have a knowledge and understanding of:

- i) the law relating to pensions; and
- ii) such other matters as may be prescribed.

- 9.3 Local Firefighters' Pension Board shall adhere to the Scheme Manager's **Attendance and Knowledge and Understanding Policy** to address the knowledge and skills requirements that apply to Local Pension Board members under the 2004 Act.

- 9.4 It is for individual Local Firefighters' Pension Board members to ensure they have the appropriate degree of knowledge and understanding to enable them to properly exercise their functions as a member of the Local Pension Board.

- 9.5 In line with this requirement Local Firefighters' Pension Board, members must be able to demonstrate their knowledge and understanding and to refresh and keep their knowledge up to date. Local Firefighters' Pension Board members are therefore required to maintain a written record of relevant training and development.

- 9.6 Local Firefighters' Pension Board members will undertake a personal training needs analysis and regularly review their skills, competencies and knowledge to identify gaps or weaknesses. Local Pension Board members will comply with the Scheme Manager's **Attendance and Knowledge and Understanding Policy**.

## 10. Local Firefighters' Pension Board Meetings: Notice and Public Access to Pension Board Meetings and Information

- 10.1 There will be a sufficient number of meetings to enable the Local Firefighters' Pension Board to discharge its functions effectively, as decided by the Chairman of the Local Firefighters' Pension Board with the consent of the

Local Firefighters' Pension Board members, and at least one Local Firefighters' Pension Board meetings a year.

- 10.2 The Scheme Manager shall give notice to all Local Firefighters' Pension Board members of every meeting of the Local Pension Board, which will be held in public (apart from confidential matters). All members will normally be sent an agenda and papers at least five working days before the meeting unless an urgent meeting is required.
- 10.3 Any meeting of the Local Firefighters' Pension Board will include provision for confidential matters or matters that would involve the likely disclosure of exempt information as specified in Part 1 of Schedule 12A of the local Government Act 1972 to be dealt with privately in Part 2 and any documents in connection with such matters will be dealt with confidentially.
- 10.4 The Scheme Manager shall ensure that a formal record of Local Firefighters' Pension Board proceedings is maintained. Following the approval of the minutes by the Chairman of the Local Firefighters' Pension Board, they shall be circulated to all members.
- 10.5 All agendas, reports and minutes will be available on the website except for any confidential or exempt matters.
- 10.6 The Local Firefighters' Pension Board may exclude items in agenda, reports and minutes on the grounds that disclosure would involve the likely disclosure of exempt information as specified in Part 1 of Schedule 12A of the Local Government Act 1972 or it is deemed confidential for the purpose of Section 100A(2) of that Act and/or it represents data covered by the Data Protection Act 1998.
- 10.7 In accordance with the Public Service Pensions Act 2013, the Scheme Manager shall publish information about the Local Firefighters' Pension Board to include:
  - i) the names of the Local Firefighters' Pension Board members and their contact details;
  - ii) the representatives of employers and members of the Local Firefighters' Pension Board;
  - iii) the role of the Local Firefighters' Pension Board;
  - iv) the Terms of Reference.

## **11. Quorum**

- 11.1 The Local Firefighters' Pension Board shall have a quorum of no fewer than two members which should always include the Chairman or the Vice Chairman, at least one employer representative and at least one member representative.

## **12. Local Firefighters' Pension Board Costs and Budget**

- 12.1 The Local Firefighters' Pension Board is to be provided with adequate resources to fulfil its role. In doing so the budget for the Local Firefighters' Pension Board will be met from the Scheme Manager.
- 12.2 The Local Firefighters' Pension Board will seek approval from the Strategic Finance Manager, Pension Fund and Treasury for any expenditure it wishes to make.

## **13. Core functions of the Local Firefighters' Pension Board**

- 13.1 The first core function of the Local Firefighters' Pension Board is to assist the Scheme Manager in securing compliance with the Regulations, any other legislation relating to the governance and administration of the Scheme and requirements imposed by the Pensions Regulator in relation to the Scheme.
- 13.2 The second core function of the Local Firefighters' Pension Board is to ensure the effective and efficient governance and administration of the Scheme.
- 13.3 In support of its core functions the Local Firefighters' Pension Board may request information from the Scheme Manager with regard to any aspect of the Scheme Manager function. Any such request should be reasonably complied with.
- 13.4 The Local Firefighters' Pension Board may make recommendations to the Scheme Manager. This recommendations should be given due consideration and a response made to the Local Firefighters' Pension Board within a reasonable period of time.

#### **14. Reporting arrangements**

- 14.1 The Local Firefighters' Pension Board should report to the Scheme Manager in the first instance.
- 14.2 On receipt of a report from the Local Firefighters' Pension Board the Scheme Manager should consider and respond to the Local Firefighters' Pension Board within a reasonable period of time.
- 14.3 Where the Local Firefighters' Pension Board is satisfied that there has been a breach of regulation which is reported to the Scheme Manager and is not been rectified within a reasonable period of time the Local Firefighters' Pension Board has a duty to escalate this perceived breach.
- 14.4 The appropriate internal route for escalation is the Strategic Finance Manager, Pension Fund and Treasury.
- 14.5 The Local Firefighters' Pension Board may report concerns to the FFPS Scheme Advisory Board subsequent to the internal route for escalation.
- 14.6 Local Firefighters' Pension Board members are subject to the requirement to report breaches of law to the Pensions Regulator under the Act and the Code and the whistle blowing policy of the Administering Authority.

#### **15. Local Firefighters' Pension Board Review Process**

- 15.1 The Local Firefighters' Pension Board will undertake each year a formal review process to assess how well it and the members are performing with a view to seeking continuous improvement in the Local Firefighters' Pension Board's performance.

#### **16. Advisors to the Local Firefighters' Pension Board**

- 16.1 The Local Firefighters' Pension Board may be supported in its role and responsibilities through the appointment of advisors and shall, subject to any applicable regulation and legislation from time to time in force, consult with such advisors to the Local Firefighters' Pension Board and on such terms as it shall see fit to help better perform its duties including:
  - i) any Governance Adviser;

- ii) the Scheme Manager;
- iii) other advisors as approved by the Scheme Manager.

16.2 The Local Firefighters' Pension Board shall ensure that the performances of the advisors so appointed are reviewed on a regular basis.

## **17. Code of Conduct**

17.1 The Scheme Manager will approve a Code of Conduct and Conflict of Interest policy which will be adopted by the Local Firefighters' Pension Board and which members of the Local Firefighters' Pension Board will need to abide by.

## **18. Data Protection and Freedom of Information**

18.1 The Local Firefighters' Pension Board and its members will need to comply with the Scheme Manager's Data Protection and Freedom of Information Policy.

## **19. Accountability**

19.1 The Local Firefighters' Pension Board will be collectively and individually accountable to the Scheme Manager and to the Pensions Regulator.

## **20. Acceptance and Review of Terms of Reference**

20.1 These Terms of Reference will be reviewed on each amendment to those parts of the Regulations covering Local Firefighters' Pension Board.

20.2 The Terms of Reference were adopted on 17 March 2015.

20.3 Version 2 of the Terms of Reference was adopted on 28 September 2015.

20.4 Version 3 of the Terms of Reference was adopted on 17 January 2020.

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By virtue of paragraph(s) 3 of Part 1 of Schedule 12A  
of the Local Government Act 1972.

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