

Service Delivery – Complaints Summary – Annexe 4

Annex – Complaints from April to June 2023			
Case number	Date Received	Root Cause	Details of Complaint
SUR847378	03/04/2023		<p>This complaint concerned the length of time it had taken for SPT to process a request for a quote to transfer their AVC fund.</p> <p>We failed to act upon the request within our service standard timeframe, and that you member had to contact us to chase a response. A transfer value and relevant forms to proceed have were sent and an apology was offered.</p> <p>Complaint Justified</p>
SUR582377	03/04/2023	Service Quality / Delivery & Poor Communication	<p>This complaint concerned the failure to set up additional pension purchased from an AVC Fund with Prudential. On the 22nd November 22 the member claimed payment of LGPS benefits which were processed within SLA.</p> <p>SPT contacted Prudential about the disinvestment of AVC, but the member had to chase on several occasions. The complaint confirmed that SPT had arranged for the additional pension to be added to the main scheme pension in payment.</p> <p>Complaint partially justified.</p>
SUR654068	08/04/2023	Service Quality / Delivery	<p>This complaint concerned the delay in receiving a quotation of deferred pension entitlement. SPT failed to act upon the request within our service standard timeframe of 15 working days, and the member had to contact us again to chase a response.</p> <p>An apology was offered, and the quote was sent on 18 April 2023.</p> <p>Complaint justified.</p>
SUR965825	18/04/2023	Service Quality / Delivery & Poor Communication	<p>This complaint concerns the time delay in transferring the members pension benefits from Creative Pension Trust.</p> <p>We failed to act upon the request within our service standard timeframe. The member had to contact us on a number of occasions to chase a response. As a result, the complaint officer spoke to Creative Pension Trust via phone. Creative Pension Trust confirmed that they have located the outstanding HMRC print in their email inbox and would action the case as a priority.</p> <p>Complaint justified but partly out of Surrey Pensions control.</p>
SUR210531	28/04/2023	Service Quality / Delivery	<p>Complaint about delay in sending pension quotation. Member left employment 28/02/23 and informed our CRT that she wanted to claim her pension immediately. No notes on file to highlight previous calls to state member wanted pension.</p>

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			<p>Employer sent leaver form on 13/03/2023, stating member did not want to take pension. Record deferred with no pension quote sent. Member later called on 18/04/23 to chase quote, workflow set up at that stage and quote sent 3 weeks later.</p> <p>Complaint partially upheld due to poor handling of request.</p>
SUR323921	06/05/2023	Poor Communication	<p>This complaint was concerning we missed the deadline for a guaranteed transfer value, despite the member having communicated correctly as a result the new quote had reduced in value.</p> <p>An apology was offers and SPT agreed to honour the original quote.</p> <p>Complaint justified</p>
SUR526167	10/05/2023	Poor Communication and Service Quality / Delivery	<p>Complaint as pension quotation sent outside of 15 working day standard service timeframe following MSS request for a quote. Separately, complained that she was quoted a 15 working day standard service timeframe for payment following receipt of forms. Member felt that we were not being proactive or listening to her concerns about the delays in making payment.</p> <p>Payments completed within standard service timeframe of 15 working days.</p> <p>Complaint upheld as initial quote was issued outside of 15 working day timeframe, which caused delays and complaint further down the line. Apology issued to member.</p> <p>Complaint justified</p>

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SUR255812	12/05/2023	Administrative Error	<p>This complaint was a failure on SPT informing the member in a timely manner about their ineligibility for a refund. There were significant delays in providing an additional quote regarding the potential actions. Apology issued to member</p> <p>Complaint justified.</p>
SUR597585	19/05/2023	Administrative Error (Payroll)	<p>This complaint concerned an active member moving to into retirement. The delays were with Surrey Payroll actioning leavers data. The response outlined the process and although SPT were still within SLA a quote was issued to the member.</p> <p>Complaint not justified</p>
SUR679035	22/05/2023	Service Quality / Delivery & Poor Communication	<p>This complaint concerned the delay in accessing pension information, to enable member put pension into payment.</p> <p>We failed to act upon the request within our service standard timeframe, and the members had to contact us on a number of occasions to chase a response.</p> <p>All outstanding actions, including combining two periods of service and issuing a retirement quote were closed and apology was offered.</p> <p>Partly justified there was a delay in receiving information from third party before action could be taken</p>
SUR335104	23/05/2023	Decision	<p>Complaint regarding claiming deferred pension benefits, following previous opt out of the scheme.</p> <p>Member complained that it was unfair that they could not claim their pension, after correctly being advised that they could not claim payment until they had left the employment that they had opted out of previously.</p> <p>Complaint not upheld. Explanation of regulations provided to support decision.</p>
SUR399997	30/05/2023	Service Quality / Delivery	<p>This complaint concerns the delays experienced when claiming pensions payments. This was partly retired to do with the member retiring early in the month and SPT not receiving payroll data until the end of month.</p> <p>And partly due to the fact SPT didn't load data/set up case until 18th following month.</p> <p>An apology was issued and confirmation that the payment was set up.</p> <p>Complaint Justified</p>
SUR959792	30/05/2023	Service Quality / Delivery	<p>This complaint was due to a delay in providing a quote for trivial commutation for a dependent's pension. We failed to act upon</p>

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			<p>the request within our service standard timeframe. Advice/Information Given and Apology</p> <p>Complaint justified</p>
SUR497417	02/06/2023	Service Quality / Delivery	<p>This complaint concerned the delay in receiving a pension estimate following the request made via our online system. We failed to act upon your request within our service standard timeframe.</p> <p>Information Given and Apology</p> <p>Complaint justified</p>
SUR010556	06/06/2023	Administrative Error and Poor Communication	<p>Member complained about pension payments as allegedly they were not all made backdated to 1 January 2022 including interest. Complaint also concerned inconsistency in three separate letters member received for three pensions.</p> <p>Complaint response to explain that all pension payments had been made and provide a breakdown. Also provided a pension increase letter for a fourth pension.</p> <p>Information Given and Apology</p> <p>Complaint partially upheld as all payments were correct, but one payment was made later than expected.</p>
SUR958989	06/06/2023	Poor Communication	<p>This complaint related to the communication surrounding the retirement process for claiming deferred pension from the members state pension age.</p> <p>Based on investigation the case was processed within the specified timeframe, and the information was sent via email on 9 June 2023.</p> <p>Apology extended for any inconvenience caused in need for member to contact us.</p> <p>Advice/Information Given and Apology</p> <p>Complaint partially justified.</p>
SUR146791	06/06/2023	Administrative Error	<p>This complaint concerned the delay in receiving a pension estimate. We failed to act upon the request within our service standard timeframe.</p> <p>Information Given and Apology</p> <p>Complaint justified.</p>
SUR885967	15/06/2023	Poor Communication	<p>This complaint concerned the delay in receiving a pension estimate and claim forms.</p>

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			<p>We failed to act upon your request within our service standard timeframe.</p> <p>A timeframe for information to be provided by was given, and Apology</p> <p>Complaint justified.</p>
SUR395476	16/06/2023	Poor Communication and Service Quality / Delivery	<p>This Complaint concerned the delay in disinvesting AVC with Prudential. Member advised that we were chasing payment from Prudential when in fact we had not requested the disinvestment yet. Member called Prudential and was told that we had not sent the disinvestment form, hence complaint.</p> <p>Disinvestment form sent and apology issued.</p> <p>Complaint upheld due to SPT error.</p>
SUR152037	19/06/2023	Poor Communication	<p>This complaint concerned the timescales for receiving pension payments.</p> <p>An explanation of timescales for our retirement cases and apology.</p> <p>Advice/Information Given, Apology and Staff training</p> <p>Complaint not justified.</p>
SUR361992	22/06/2023	Poor Communication and Service Quality / Delivery	<p>This complaint concerned the communication regarding an AVC transfer. We failed to provide a clear update of where we were with your request.</p> <p>Request sent to Prudential who have confirmed they have received correspondence and will process transfer.</p> <p>Information Given and Apology</p> <p>Complaint justified.</p>
SUR371068	08/06/2023	Administrative Error	<p>This complaint concerns a request for Trivial Commutation. The prevailing legislation does not permit commutation of the members pension benefits to a one-off payment before age 65 due to GMP.</p> <p>Member has been advised they must claim payment of deferred pension from NRA as member left the scheme on 22 October 1989.</p> <p>Member is seeking compensation after being told he was eligible. This was due to an error in the system and a manual</p>

			calculation incorrectly being sent. All details have been submitted to head of service and approval is pending
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