

Annex – Complaints from January to March 2023			
Case number	Date Received	Root Cause	Details of Complaint
<b>SUR847378</b>	17/12/2022 (recorded in Jan 2023)	Not SCC	The member experienced a delay in receiving his pension claim form. This was sent by post and impacted by the postal strike. An apology was given to the member at the point of contacting the service.  Complaint not justified.
<b>SUR251188</b>	20/12/2022 (recorded in Jan 2023)	Administrative Error and Poor Communication	A delay in sending retirement quote and AVC options caused as the employer paid AVC into Surrey Pension Fund, rather than to Prudential. Team tried to resolve the matter with the employer, but the lack of response delayed matters. Member was not kept fully informed of the issue causing further delays by Surrey Pension Team. Apology issued with an explanation. Retirement and AVC quote now issued, with financial loss calculation requested from Prudential.  Complaint justified
<b>SUR097769</b>	03/01/2023	Service Quality / Delivery	Complaint raised in respect of P45 data submitted to HMRC following death of a member. The Executor complained that a delay in processing an overpayment meant data was submitted to HMRC late. However, with the Dec payroll having closed early and before the payment was made, it meant there was not a late submission of data to HMRC. A response with apology for delay and an explanation of the circumstances issued to executor.  Complaint partially justified.
<b>SUR846115</b>	07/01/2023	Administrative Error	The member raised a complaint related to the delay in receiving a refund payment. It was evident the member experienced long delays (approximately 4 months) due to information not being provided by employer's payroll. Discharge information received from payroll department on 30 <sup>th</sup> December 2022 and a letter regarding the refund issued on 9 <sup>th</sup> January 2023. Situation explained to member about delays and given assurance the refund form once returned would be prioritised.  Complaint justified but out of Pension Team control
<b>SUR503148</b>	09/01/2023	Administrative Error	Member made a complaint in relation to transfer of pension from NHS to Surrey and subsequent transfer of Surrey to NHS. The member had to contact the service on several occasions for a progress check. Confusion was experienced due to how the payment was made, with the payment issued in 2 separate transactions but this was not communicated, causing a delay when locating the payment. Member record updated accordingly, and final information issued to finalise the transfer.  Compliant justified.

<b>SUR658968</b>	09/01/2023	Poor Communication and Service Quality / Delivery	<p>Member raised a complaint over the delay in receiving a pension quote after leaving employment on 31/08/2022.</p> <p>Pensions issued with 2 sets of pay data from payroll provider which required combining for pension calculation purposes. Surrey Pensions were not able to combine the records as it required access to payroll records to do this accurately. Requested made to payroll provider but long delay in response being received.</p> <p>Also, the member stated they did not receive call back from pensions team after contacting Customer Relationship Team. Apology issued.</p> <p>Complaint partially justified.</p>
<b>SUR502910</b>	20/01/2023	Service Quality / Delivery	<p>Member elected for maximum tax-free cash from LGPS and AVC. The AVC payment was required before the LGPS benefits could be paid. Prudential stating they had not received forms sent to them via their own secure message system and this caused delays in making payment.</p> <p>Complaint justified but out of Surrey Pensions control.</p>
<b>SUR502278</b>	31/01/2023	Administrative Error and Poor Communication	<p>Member complained about a transfer into Surrey Pension Fund. Member contacted CRT outside of initial 12-month timeframe for a transfer in and was instructed on how to progress transfer, rather than being advised they were not eligible to transfer. Complained about miscommunication and apology was issued.</p> <p>Complaint justified.</p>
<b>SUR044987</b>	01/02/2023	Procedure	<p>A member complained about the delay in receiving their refund. The delay was due to a new LGPS membership being created with another fund, meaning a refund could not be paid, and benefits were automatically payable to the new fund. It was later understood the opt out took place whilst not employed with another Local Authority and therefore the refund was due. Money was returned to Surrey Pensions and refund issued to the member within a day of money being returned.</p> <p>Complaint partially justified.</p>
<b>SUR180534</b>	21/02/2023	Service Quality / Delivery	<p>A member complained about handling of their transfer into Surrey Pension Fund from another LGPS fund, stating delays have caused financial loss.</p> <p>Agreement was made to accept a later transfer however, it was later identified that whilst the member stated a transfer request was made with previous fund in time, Surrey Pensions were informed by previous LGPS fund that no request had been made and therefore transfer could not be accepted, leading to a complaint being made.</p> <p>Complaint not justified.</p>

<b>SUR788923</b>	23/02/2023	Administrative Error	<p>Member had multiple records recorded on various status's and couldn't access MSS due to this. Records were assessed and there had been 3 consecutive TUPEs in 7 years on 2 posts, so quite complex. Records will be aggregated into one active membership and access reinstated.</p> <p>Explanation and assurance surrounding benefits given and, apology to member provided.</p> <p>Complaint justified.</p>
<b>SUR770120</b>	25/02/2023	Administrative Error	<p>Member raised a concern after a delay in the payment of pension. There was an administrative error with the payment having not been authorised.</p> <p>Apology issued to the member and the payment was released immediately.</p> <p>Complaint justified.</p>
<b>SUR187768</b>	06/03/2023	Poor Communication and Service Quality / Delivery	<p>Complaint raised regarding a delay in the payment of pension and delays in responses to queries.</p> <p>Having reviewed the record, majority of queries responded to within a reasonable time period, aside from one for which an apology was given but did not impact the pension. The delay in payment was due to member wanting to transfer AVC out to another provider at retirement. Advice given at the time was correct, the member had not acted on this for 3 months before doing so.</p> <p>Complaint not justified.</p>
<b>SUR888972</b>	07/03/2023	Poor Communication	<p>The member raised a complaint about the delay in receiving their retirement information and a response to emails.</p> <p>Unfortunately, our correspondence sent on 20<sup>th</sup> February 2023 had not been received in the post and the member had to contact us on several occasions to obtain a response.</p> <p>Apology issued and letters sent via email.</p> <p>Complaint justified.</p>
<b>SUR422176</b>	11/03/2023	Administrative Error	<p>The member raised a complaint due to the treatment of their annual allowance tax charge for 2017/18, which we stated we would pay on their behalf, but this was not considered at the time, leading to HMRC contacting the member regarding this payment.</p> <p>There was a period of communication between the 2<sup>nd</sup> February 2023 and 16<sup>th</sup> March 2023, which clarified the situation and confirmation was obtained this payment had not been made.</p> <p>Took corrective action regarding tax payment, apologised, and offer of compensation accepted.</p> <p>Complaint justified.</p>

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