

## Annexe 4

Annex – Complaints from October 1 to December 31 2023			
Case number	Date Received	Root Cause	Details of Complaint
SUR617166	05/10/23	Service Quality / Delivery	<p>Member was chasing their refund payment. The delay due to us not having information from payroll. They could have actually refunded through payroll, as only 2 days service. Refund now calculated and claim sent</p> <p>Resolution Date: 18/10/2023- Agreed Actions: Advice/Information Given</p>
SUR588491	19/10/23	Service Quality / Delivery	<p>Complaint regarding the management of the AVC fund with Prudential, and also providing a pension quotation.</p> <p>SPT are not responsible for management of AVC fund, and Prudential have reviewed this complaint already which was not upheld although an award for non-financial injustice was allegedly paid.</p> <p>Member initially requested a pension quote but then told us to put it on hold until further notice by the member, which was the cause of delay in providing the quotation.</p> <p>Complaint not upheld. Resolution Date: 09 Nov 2023</p>
SUR360071	26/10/23	Poor Communication	<p>Delay to pension due to SPF needing to clarify members wishes in claim form. Apology and pension now calculated and confirmed to member with arrears included and lump sum.</p> <p>Resolution Date: 08 Nov 2023 Agreed Actions: Advice/Information Given and Apology</p>
SUR725334	26/10/23	Administrative Error	<p>Complaint due to delays in handling the post, pension claim form for trivial commutation was archived without scanning to record. Member recompleted forms, only for original forms to be found later, which prompted concerns for data protection.</p> <p>No evidence of breach of data, human error meant documents were not scanned.</p> <p>Apology for inconvenience issued payment made via BACS to member to resolve situation. Complaint upheld.</p> <p>Resolution Date: 07 Nov 2023 Agreed Actions: Apology and Service provided</p>
SUR197448	01/11/23	Poor Communication	<p>Delay in retirement benefits. Two letters did not reach the member. Investigated with Docmail but due to retention policy unable to confirm they were sent. Forms resent.</p> <p>Complaint upheld Resolution Date: 14 Nov 2023 Agreed Actions: Apology</p>

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SUR481971	07/11/23	Unit 4	<p>Delay to member receiving Pension Options. Necessary data from Payroll received after escalation on November 15, 2023. Benefits calculated and provided by 7th December 2023.</p> <p>Resolution Date: 08 Dec 2023</p> <p>Outcomes: Partially upheld</p> <p>Agreed Actions: Advice/Information Given Response Out of Time: Delay Receiving Payroll Information</p>
SUR379258	16/11/23	Administrative Error	<p>Complaint about access deferred pension online via MSS.</p> <p>Member left SPF on 30/09/2020, however transfer in from East Sussex was not complete was left as Status 2 Undecided Leaver. As a result, could not access MSS for pension value to support mortgage application.</p> <p>Complaint upheld as transfer was overlooked for 3 years until completed as part of complaint resolution.</p> <p>Resolution Date: 11 Dec 2023</p>
SUR166878	25/11/23	Service Quality / Delivery	<p>The complaint pertains to a delayed response to the initial pensions claim and a delay in disbursing benefits from Prudential AVCs. The complainant highlights a period of over four months from the submission of pension claim forms to the receipt of the full pension entitlement payment. The member is seeking a more detailed explanation for the prolonged delay, the complainant also requests compensation for time spent on follow-up calls and additional costs incurred.</p> <p>A holding email has been sent to the complainant, acknowledging the extended investigation timeline and assuring them that a thorough examination of the matter is underway.</p>
SUR432975	27/11/2023	Service Quality / Delivery	<p>The complaint is currently on hold. It pertains to the delayed submission of a Pension Savings Statement for the tax year 2021/22 and the resulting tax charges related to pension growth. Immediate Benefits Manager is actively communicating with the member, having already met with them for discussion. Ongoing communication is in progress to facilitate resolution. The complaint was paused on December 14, 2023.</p>
SUR013656	11/12/2023	Service Quality / Delivery	<p>Complaint due to delay in providing a pension saving statement outlining Pension Input Amounts for 2019/20, 2020/21 &amp; 2021/22.</p> <p>Complaint upheld, AA information provided with an apology for the delay.</p> <p>Resolution Date: 14 Dec 2023 Agreed Actions: Advice/Information Given and Apology</p>