

The Pensions Regulator (TPR) Code of Practice 14 - Governance and Administration of Public Service Pension Schemes  
Compliance Statement - Resolving Issues

Code Section / Sub Section	Legal Requirements	TPR's Guidance	How we comply	Evidenced by	Action(s) identified & reference to action plan	
Internal dispute resolution [212 - 240]	Scheme managers <b>must</b> make and implement dispute resolution arrangements that comply with the requirements of the law and help resolve pensions disputes between the scheme manager and a person with an interest in the scheme	1	Scheme managers must implement IDRPs arrangements that comply with the LGPS regulations and help resolve disputes [213 - 224]	Constitution sets out delegated authority for nominated adjudicators. Professional adviser engaged to support preparation of appeals.	IDRP appeal volumes and outcomes reported to the Pensions Authority and Board each quarter.	
		2	Schemes should publish and make IDRPs time limits readily available [225]	IDRP documentation available on website and send to scheme members on request.	SYPA website and EPIC employer portal.	
		3	Schemes should be satisfied that the time taken to reach a decision is appropriate to the situation and be able to demonstrate this [230 & 240]	Adjudicators and professional adviser fully conversant with time scales and processes.	Time scales notified to appellant when appeal receipt is acknowledged.	Reporting on appeal outcomes to be enhanced to include time scale responses.
		4	Schemes should provide the applicant with regular updates on the progress of their investigation. They should notify the applicant where the time period for a decision is expected to be shorter or longer than the reasonable time period and let them know when they are likely to receive an outcome [232]	Adjudicators and professional adviser fully conversant with time scales and processes.		
		5	Scheme regulations or other documents recording policy about the administration of the scheme should specify internal dispute resolution arrangements [233]	<i>Reference to appeal process is included in all notifications of decisions to members.</i>	<i>Scheme documentation within process maps.</i>	
		6	Schemes should focus on educating and raising awareness of their internal dispute resolution arrangements and ensuring that are implemented [233]	<i>Reference to appeal process is included in all notifications of decisions to members. Customer Centre staff trained on explaining complaints process.</i>	<i>Scheme documentation within process maps.</i>	
		7	Schemes should ensure that the effectiveness of the arrangements is assessed regularly and be satisfied that those following the process are complying with the requirements set, which includes effective decision making [234]	Adjudicators are members of the Senior Management Team and therefore demonstrate the appropriate level of knowledge and understanding through wider governance processes.	IDRP appeal volumes and outcomes reported to the Pensions Authority and Board each quarter.	Reporting on appeal outcomes to be enhanced to include time scale responses.
		8	Schemes should confirm and communicate their arrangements to members, for example, in the joining booklet [235]	Information on the complaints process issued to new members.	<i>Scheme documentation within process maps.</i>	
		9	Schemes should make their arrangements accessible to potential applicants, for example by publishing them on a scheme website [235]	IDRP documentation available on website and send to scheme members on request.	SYPA website and EPIC employer portal.	
		10	Schemes should ensure they make the following information available to applicants: a) The procedure and processes to apply for a dispute to be resolved b) The information that an applicant must include c) The process by which any decisions are reached d) An acknowledgement once an application has been received [239]	IDRP documentation available on website and send to scheme members on request.	SYPA website and EPIC employer portal.	
Reporting breaches of the law [241 - 275]	Certain people are required to report breaches of the law to the Regulator where they have reasonable cause to believe that:	1	Schemes should be satisfied that those who are responsible for reporting breaches are made aware of the Code [244]	Reporting Breaches Procedure in place and published for the benefit of those responsible.	Breach Reporting covered as an agenda item at each Board meeting.	Reporting Breaches Procedure to be added to main website

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	a) a legal duty that is relevant to administration of the scheme has not been, or is not being, complied with b) the failure to comply is likely to be of material significance to the Regulator in the exercise of any of its functions				
		2 Training should be provided for scheme managers and pension board members [244]	Programme of internally organised seminars for all Board and Authority members, Pre Board meeting sessions with Independent Adviser. Specific external activities signposted and sufficient budget available to fund attendance.	ref above	May need to introduce additional funding to facilitate release of members from employment to attend external events
		3 All others under a statutory duty to report should ensure they have a sufficient level of knowledge and understanding to fulfil that duty [244]	Reporting Breaches Procedure in place and published for the benefit of those responsible.	Breach Reporting covered as an agenda item at each Board meeting.	
		4 Those with a statutory duty to report should establish and operate appropriate and effective procedures in regards to reporting breaches [245]	Reporting Breaches Procedure in place and published for the benefit of those responsible.	Breach Reporting covered as an agenda item at each Board meeting.	
		5 Those procedures should be in accordance with and take into account paragraphs 245 and 262 of the Code [245]	Reporting Breaches Procedure in place and published for the benefit of those responsible.	Breach Reporting covered as an agenda item at each Board meeting.	
		6 Reports made to the Regulator should be submitted in accordance with paragraphs 263 to 271 [263]	As appropriate		
		7 Procedures should reference whistleblowing protection and confidentiality [272 to 275]	Reporting Breaches Procedure covers whistleblowing protection		Reporting Breaches Procedure to be added to main website