

# ITEM NO: 13(b)

**Report To:** Pension Fund Management Panel

**Date:** 9 September 2011

**Reporting Officer:** Peter Morris, Executive Director of Pensions

**Subject :** **INTERNAL DISPUTE RESOLUTION PROCEDURE (IDRP)**

**Report Summary:** This report outlines the IDRP process and gives details of the number of Stage 1 and Stage 2 cases and their outcomes that have been received during the period July 2010 to June 2011.

**Recommendation:** It is recommended that the Panel note the report.

**Financial Implications:** There are no direct financial implications arising from this monitoring report.  
**(Authorised by the Borough Treasurer)**

**Legal Implications:** The Administering Authority needs to apply the Regulations. Similarly complaints need to be fairly dealt with on an individual basis. Complaints should assist in reviewing the application of the regulations, discretions and policies.  
**(Authorised by the Solicitor to the Fund)**

**Risk Management:** The Administering Authority needs to ensure that benefits are paid correctly. The periodic review of complaints provides an indication of issues about which scheme members are concerned and where systems and procedures can be improved.  
  
Failure to deal adequately with complaints can affect the Fund's reputation.

**ACCESS TO INFORMATION:** **NON-CONFIDENTIAL**  
**This report does not contain information which warrants its consideration in the absence of the Press or members of the public.**

**Background Papers:** This report is drawn from a summary of individual cases considered under Stage 1 and Stage 2 procedures. Individual case details are confidential.  
  
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## 1. INTRODUCTION

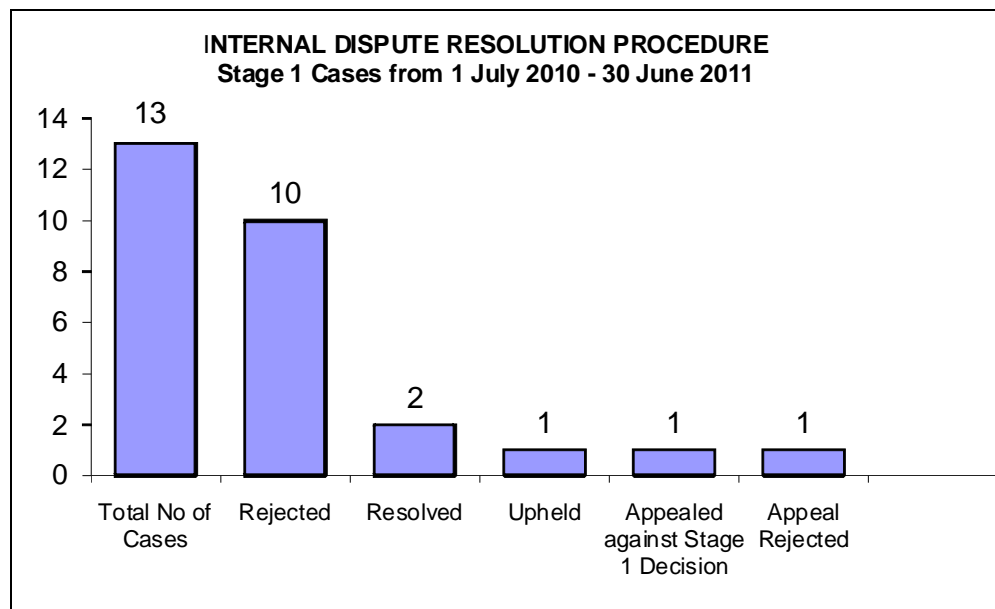
1.1 The internal dispute resolution procedure (IDRP) is a statutory part of the Scheme and applies to both employers and the administering authority.

1.2 The main features of the arrangements are:

- Responsibility for determinations under Stage 1 of the procedure (arrangements for the determination of disputes) is to be vested in a “specified person” (Peter Morris re appeals on administering authority decisions, or the complainant’s employer re employer decisions).
- Responsibility for determinations under Stage 2 of the procedure rests with the Administering Authority’s Appointed Person (David Postlethwaite or Susan Cox). At this stage consideration is given to appeals against both employer and administering authority Stage 1 decisions.

1.3 The purpose of this report is to inform the Panel of the number of cases that have been considered under Stage 1 and Stage 2 of the IDRP during the period July 2010 to June 2011 and the outcome of those cases. The Stage 1 cases relate to disputes with the administering authority only.

### **STAGE 1 CASES**

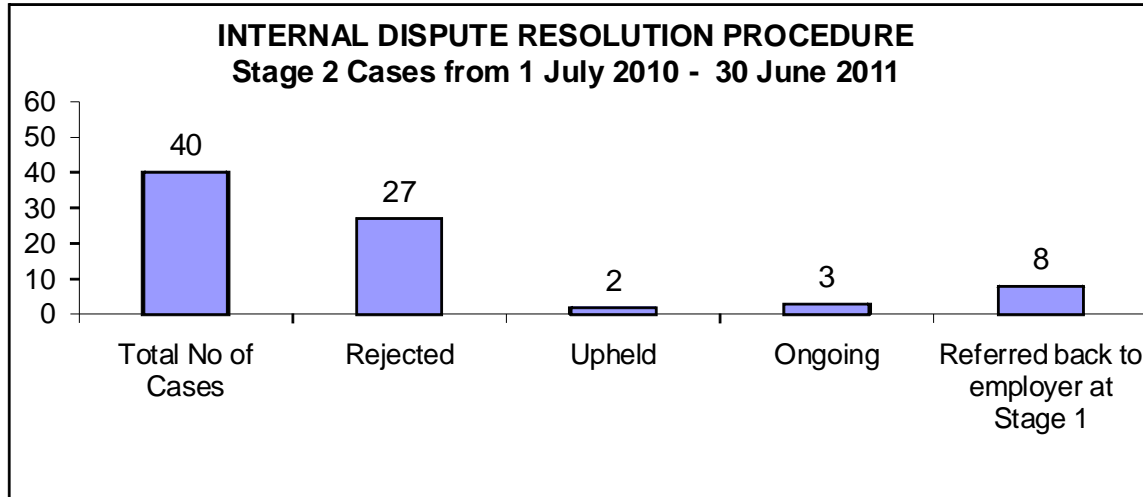


1.4 Of the 13 cases received, 10 were rejected, 1 was upheld and 2 cases were resolved. Of the 10 cases that were rejected 1 of those appealed against the Stage 1 decision via Stage 2 of the procedure.

1.5 The main causes of concern for scheme members related to:

- requests for the refund of contributions;
- refusal of inward transfer requests;
- disagreement with the calculation of pension benefits; and
- death grant disputes.

## **STAGE 2 CASES**



- 1.6 Of the 40 cases received, 27 were rejected, 2 cases were upheld, 3 are ongoing and 8 were referred back to the employer as the Stage 1 process had not been undertaken satisfactorily.
- 1.7 The main cause of appeals to employers related to disputes on ill health retirement.
- 1.8 There was one appeal to the Pensions Ombudsman arising from the last 12 months appeals. The complaint was not upheld.

## **2. SUMMARY AND CONCLUSIONS**

- 2.1 The outcomes of the IDRP procedures suggest that the regulations (in respect of the complainants) are being appropriately applied.
- 2.2 As a consequence of reviewing complaints, there have been a small number of changes to systems and procedures.

## **3. RECOMMENDATION**

- 3.1 It is recommended that the Panel note the report.