



HAMPSHIRE
PENSION FUND



Administration Strategy Statement

December 2022

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1 Introduction

- 1.1 Hampshire County Council is the administering authority for the Local Government Pension Scheme (LGPS) on behalf of the employers participating in the LGPS through the Hampshire Pension Fund (HPF). The LGPS is governed by statutory regulations.
- 1.2 HPF provides a high-quality pension service to members and employers to ensure members receive their correct pension benefits. This is best achieved where HPF and the employers are clear about their roles and responsibilities and work in partnership.

1.3 **This strategy statement:**

- sets out the roles and responsibilities of HPF and the employers;
- specifies the level of services HPF and the employers will provide to each other;
- explains the performance measures used to evaluate them;
- is an agreement between HPF and the employers.



2 Pension Administration Strategy



2.1 This strategy is an agreement between the Hampshire Pension Fund and all participating bodies. All parties commit to the following principles.

- Provide high-quality and low-cost pension services to members.
- Continually develop efficient working arrangements.
- Meet HPF's service standards.
- An annual report of performance.
- Take responsibility for providing accurate and timely information.
- Keep the pension administration strategy under review and revise it where appropriate.

2.2 This strategy statement is produced by HPF in consultation with the employers and reviewed annually. It is hereby agreed that each of the parties, as defined in this agreement and the scheme regulations, shall abide by the requirements of this agreement.

- HPF shall monitor the requirements of this agreement and report its findings to the Hampshire Pension Fund Panel and Board.
- Changes are subject to consultation with employers. Variations must be agreed with HPF and confirmed in writing.

2.3 Please keep a copy of this strategy for your records. The original will be held at the offices of the Hampshire Pension Fund and are available to any scheme member, past or present, wishing to have sight of the document.

3 Roles and responsibilities

- 3.1 The quality of service to members depends on the supply of accurate and timely information.
- 3.2 Employer duties, responsibilities and discretions are listed in Appendix A to this agreement.
- 3.3 HPF's duties and responsibilities are listed in Appendix B of this agreement.



4 The Regulations – effect on strategy

- 4.1 This strategy sets out specific duties and responsibilities.
 - It does not override any provision or requirement in the Regulations or any overriding legislation.
 - The intentions of the Regulations in their application to current members, potential members, deferred members and retired members must be complied with.
- 4.2 This agreement is based on:
 - current regulations:
 - the Local Government Pension Scheme Regulations 2013 and any amendments;
 - the Local Government Pension Scheme (Transitional Provisions, Savings and Amendment) Regulations 2014, and any amendments.
 - Any earlier LGPS regulations as they continue to apply.
 - Overriding legislation including, but not limited to:
 - the Public Service Pension Act 2013;
 - the Local Government (Early Termination of Employment) (Discretionary Compensation) (England & Wales) Regulations 2006;
 - Occupation and Personal Pension Scheme (Disclosure of Information) Regulations 2013.

5 Definitions

5.1 For this Administration Agreement:

- **“Administering Authority”**, ‘Hampshire Pension Fund (HPF), and the Fund means Hampshire County Council;
- **“Employing authority”** or **“employer”** means an employer within the Hampshire Pension Fund; and
- **“Scheme”** means the Local Government Pension Scheme, and
- **“The Panel”** means the Hampshire Pension Fund Panel and Board.

6 Communication

6.1 The HPF Communications Policy Statement outlines how the Fund communicates with all stakeholders, including employers.

6.2 HPF routinely provides information and resources for employers using;

- its website, www.hants.gov.uk/pensions, with an employers’ section;
- an electronic newsletter called Pension Matters;
- an employer manual and other guides available on the HPF website.

6.3 HPF will make an up-to-date list of LGPS publications available to the employer, which will be available from the HPF website or as otherwise indicated.

6.4 HPF will communicate to the employer on an ad hoc basis and as required concerning matters relating to the LGPS.

6.5 HPF will ensure that sufficient information is issued as newsletters, booklets and other materials to satisfy the requirements of The Occupational, Personal and Stakeholder Pension Schemes (Disclosure

of Information) (Amendment) Regulations 2013.

6.6 HPF will notify the employer of changes to administrative procedures that may arise due to changes in pension scheme regulations and update standard documentation on the HPF website.

6.7 HPF will issue electronic forms, newsletters, booklets and other materials necessary for the administration of the LGPS for members and employers.

6.8 Employers should provide contact details on the Employer Contacts and Authorisation form at least annually and whenever a named contact changes.

6.9 Employers may provide information about members to HPF in various ways, including electronic and paper forms or directly updating electronic pension records. The forms used must be the most up to date versions, available from the HPF website. Employers who update electronic pension records directly are fully supported via initial and refresher training and day-to-day support.

7 Performance measurement and reporting

- 7.1 Pensions Services will monitor, measure and report compliance with the agreed service standards. This is reported to the Panel, and improvement plans put in place if necessary.
- 7.2 Where this information reveals problems in employers meeting the standards, HPF will consult and work with the relevant employers to improve compliance and performance levels by providing appropriate support, guidance, and training.
- 7.3 Where, as part of the annual return process or any other monitoring activity, there are concerns about the accuracy of an employer's data, the employer will be required to undertake a data cleansing exercise and make a declaration that they have fulfilled all of their requirements to notify the fund of changes. Details of the data cleanse requirements are provided as part of the annual returns process.
- 7.4 Where poor performance affects Pension Services' ability to meet statutory deadlines, consideration will be given to the requirement to report this to the Pension Regulator.



8 Costs

- 8.1 The Fund Actuary determines employer contribution rates for the three years following each triennial valuation. The rates and adjustments certificate provides details of all the payments which are due from employers in the Fund.
- 8.2 The costs of the standard administration service, including actuarial fees for the triennial valuation, are charged directly to HPF. These administration costs are taken into account by the Fund Actuary when assessing the employers' contribution rates.
- 8.3 A separate additional administration charge is made when Pension Services incur additional administration costs due to the pension implications of an Employer restructuring (e.g. outsourcing, creation of a company, change of legal status, etc.). The charge will be based on estimated staff time and is notified to the employer before any work is carried out.
- 8.4 Where additional actuarial or legal services are required by or result from the decisions and actions of the employer, the employer will be required to reimburse HPF for the costs involved. HPF will provide an estimate of these costs and the employer's agreement obtained before proceeding to instruct the service provider.
- 8.5 If HPF incurs interest charges due to late notification of retirement from the employer, it may recharge the employer the interest incurred on the late payment of the lump sum.
- 8.6 Employers may also be required to pay for additional work, including estimates which are in addition to the agreed allocation, or for requesting work to be completed faster than the usual service standards. The employer's agreement to the charge will be obtained before the work is started.
- 8.7 If in exceptional circumstances, HPF agrees to an employer deferring payment of their employer contributions, interest will be charged on the deferred contributions at a rate equal to the underlying discount rate used to calculate the employer contribution.

Hampshire Pension Fund contacts

Member and general employer queries

Pensions customer support team
01962 845588
pensions@hants.gov.uk
www.hants.gov.uk/hampshire-services/pensions

Technical employer queries

Employer services team
pensions.employer@hants.gov.uk

End of year and associated matters

Employer services team
pensions.eoy@hants.gov.uk

9 Penalties

- 9.1 Commitment to the principles of this statement (see 2.1) should mean that any non-compliance is addressed promptly, with no need to resort to a penalty. However, the following actions are possible:
- Where payment of contributions is late more than once in any 12 months, HPF will issue the employer with a written notice of unsatisfactory performance and may charge interest on the late payment at a daily rate equal to the Bank of England's base rate plus 1%.
 - Persistent failure to comply with contributions payment requirements will result in HPF informing The Pensions Regulator as required of Scheme Administrators by the Pensions Act 2004.
 - Where the employer fails to comply with their scheme duties, including failure to pay contributions due, HPF reserves the right to notify the member(s) involved and to inform all members employed by the employer in the event of serious or persistent failure.
 - If HPF deploys additional and disproportionate resources because of an employer's poor performance, the cost of the additional resources may be recharged to the employer according to powers available under scheme regulations. Written notice will be given of the reasons for the recharge, how the cost was calculated, and the part of this statement that contravened HPF's opinion.
 - Where orders or instructions issued by The Pensions Regulator, the Pensions Ombudsman or other regulatory body require financial compensation or a fine to be paid by HPF or by any officer responsible for it, and it is due to the default, omission or otherwise negligent act of the employer, the sum concerned will be recharged to the employer.
 - Where, as a result of the employer's failure to notify HPF of the final retirement details promptly, payment of any retirement lump sum is not made within 30 days from the date of the member's retirement, HPF may issue the employer with a written notice of unsatisfactory performance and may charge the employer for the interest payment made.
 - Where it is proven that the employer is not responsible for any fine or penalty imposed by The Pensions Regulator or any other statutory body due to non-compliance of this Service Level Agreement, any such charge will automatically default to HPF.
 - From time to time, HPF offers training and support to employers through 'Employer Days' and workshops. There is no charge made to an employer for attending this event. However, HPF reserves the right to charge a late cancellation fee of £100 + VAT where non-attendance did not come with at least one week's notice.

Employer Responsibilities

The main duties of the employers as set out in the Regulations are set out in the table below, together with timescales for completion where appropriate.

Employer responsibility	Timescale
<p>Decide who is eligible to become a member of the LGPS and the date from which membership of the LGPS starts).</p> <p>Notify HPF of the new member details and provide the employee with details of the pension scheme.</p>	<p>Within 10 working days following the end of the month in which the employee joined the LGPS.</p>
<p>Determine the rate of employee contributions to be deducted from the employee's pensionable pay and, where the employee holds more than one post, the rate applied to each post. This should be reviewed at least annually or more often where employer policy states.</p>	<p>For the first pay period in which the employee joins the LGPS.</p>
<p>Move employees into the 50:50 section.</p> <p>Provide an amendment form to advise of change to/from 50:50 section.</p>	<p>From the next pay period after receiving the employee's request.</p> <p>Within 10 working days following the change.</p>
<p>Collect and pay the HPF the deduction of the correct rate of pension contributions payable by the employee and the employer, including any additional employee contributions of any kind.</p>	<p>Payment over to HPF by 22 of the month following deduction.</p>
<p>Complete monthly remittance form containing detail of the contributions payment.</p>	<p>Send to Pension Services with payment of contributions every month.</p>
<p>Collect and pay over AVC contributions to the specified AVC provider in accordance with statutory timescales. Notify HPF of a member's election to pay, vary or cease AVCs.</p>	<p>Payment over to HPF by 22 of the month following deduction.</p>
<p>Refund contributions through the payroll to any employee who opts out of the scheme with less than three months membership.</p>	<p>From the next pay period after receiving the employee's request to opt-out.</p>
<p>Notify HPF of opt-out and refund through payroll by providing a copy of the opt-out form.</p>	<p>Within 10 working days following the end of the month in which the employee left the scheme.</p>
<p>Calculate assumed pensionable pay for employees who met this requirement under the regulations.</p>	<p>As required.</p>

Employer responsibility	Timescale
<p>Leavers (excluding retirements/casuals)</p> <p>When an employee's LGPS membership ends, determine the reason for leaving and entitlement to benefit and notify the HPF, supplying timely and accurate information so that benefits payable from the LGPS are calculated correctly.</p>	<p>Within 10 working days following the end of the month in which the employee was last paid.</p>
<p>Leavers (casuals)</p> <p>When an employee's LGPS membership ends, determine the reason for leaving and entitlement to benefit and notify the HPF, supplying timely and accurate information so that benefits payable from the LGPS are calculated correctly.</p>	<p>Within 10 working days following the end of the month, the employer is aware they have left or were last paid.</p>
<p>Retirements</p> <p>When an employee's LGPS membership ends in retirement, determine the reason for retirement and entitlement to benefit and notify the HPF, supplying timely and accurate information so that benefits payable from the LGPS are calculated correctly.</p>	<p>Within 20 working days before an employee's retirement date.</p>
<p>Use an independent registered medical practitioner qualified in occupational health medicine in determining requests for ill health retirement.</p>	<p>As required.</p>
<p>Write, publish and maintain a policy on areas of the regulations in which employers can exercise their discretion.</p>	<p>In accordance with regulations and then regular review.</p> <p>Notify HPF and members of any changes to those policies within one month of setting a policy and the changes taking effect.</p>
<p>Appoint a person to consider applications from members regarding decisions, acts or omissions and to decide on those applications.</p>	<p>On entry to the HPF and review as required.</p>
<p>Provide annual information to HPF with full details of the contributions paid by members in the year.</p> <p>Respond to queries on the annual return raised by HPF.</p>	<p>By 30 April each year.</p> <p>Respond to queries within 10 working days of receipt.</p>
<p>The employer will maintain employment records for each member for the purposes of determining membership and entitlement to benefits.</p> <p>The employer must keep a full pay history for the 13 years, ending 31 March, before the member leaves the scheme.</p>	<p>As required.</p>

Employer Responsibilities continued

Employer responsibility	Timescale
Notify HPF of a member's death and next of kin's details.	Within five working days of the member's death.
Supply details are required for the completion of an estimate.	Within 10 working days of the member's request.
Distribute information relating to the publication of annual benefit statements and any other notifications to active members as requested by HPF.	Within 20 working days of receipt.
<p>Notify HPF of any TUPE transfer.</p> <p>Complete TUPE forms for each member transferring.</p>	<p>Notify HPF of the transfer as soon as possible before the transfer date.</p> <p>Part A of the TUPE form completed within 10 working days following the end of the month in which the transfer took place.</p>
<p>Notify HPF of any outsourcing arrangements which impact employees eligible for the LGPS</p> <p>Where an admission agreement is required, the Scheme employer should complete an 'Outsourcing data capture form, transferring 'staff data capture' form and 'Undertaking of costs' form.</p> <p>Ensure admission agreement is finalised.</p> <p>Provide individual TUPE forms for transferring staff to HPF.</p>	<p>As soon as possible but no later than 20 working days before change.</p> <p>As soon as possible but no later than 20 working days before change.</p> <p>No later than date of transfer.</p> <p>Part A of the TUPE form completed within 10 working days following the end of the month in which the transfer took place.</p>
<p>Notify HPF of a change of payroll provider by completing an 'Employer Change of payroll provider' form.</p> <p>Submit individual 'Change of payroll provider' forms to HPF for all transferring employees.</p> <p>Provide notification of new payroll numbers (if applicable) to HPF.</p> <p>Complete a mid-year return if date of change is not 1 April.</p>	<p>As soon as possible but no later than 20 working days before change.</p> <p>Within 20 working days post transfer.</p> <p>Within 20 working days post transfer.</p> <p>Within 40 working days post transfer.</p>

HPF Responsibilities

The overriding responsibility of HPF is to maintain the Hampshire Pension Fund in accordance with the regulations. HPF will provide the following within the timescales shown. A reduced timescale may be agreed in exceptional cases at an employer's request.

HPF responsibility	Timescale
Invest pension contributions and account for and manage the Pension Fund's assets.	Daily.
Allocate all contributions submitted by the employer to their respective income codes and reconcile the total contributions paid on a yearly basis.	Annually.
Appoint Additional Voluntary Contributions provider(s).	As required.
Appoint an actuary for the purposes of the triennial valuation of the Fund and to provide periodical actuarial advice when required.	As required, in line with procurement provisions.
Provide accurate, timely data to the Fund actuary.	As required.
Correspond with and commission any information required of the Fund Actuary on behalf of the employer.	As required.
Arrange for the triennial valuation of the Pension Fund and provide the employer with a copy of the valuation report, the annual report, and the statement of accounts.	Every three years.
Arrange for the annual accounting report to be provided to all employers requiring such a report.	Annually.
Publish and review the Pension Fund's Policies and Funding Strategy Statement, and prepare the annual report and accounts.	Annual review and publication.
<p>Notify the employers of any significant changes to:</p> <ul style="list-style-type: none"> Regulations that might affect members in their employ; policies made by the administering authority under the Regulations; or procedures adopted by it in accordance with this strategy. <p>Advice will be given to the employers concerning interpreting and implementing the Regulations.</p>	As required.

HPF Responsibilities continued

HPF responsibility	Timescale
Maintain a complaints procedure, including appointing a specified person to act as a local referee at Stage 2 of the dispute process.	As required.
Write, publish and maintain a policy on areas of the regulations in which employers can exercise their discretion.	In accordance with regulations and then regular review. Notify employers and members of any policy changes within 30 working days of the changes taking effect.
Answer enquiries made by members.	Within five working days or sooner, where possible. Where an enquiry takes more than five days to resolve, HPF will notify and update the member.
Set up a record for each new member and issue a statutory notification.	Within 20 working days from when notified of their membership.
Make payment of a refund of contributions to an eligible member who leaves with less than two year's service.	Within 15 working days of receipt of the election form from the member.
Issue annual benefit statements on member self-service to active members or send paper copies where written notification is received to opt-out of member self-service.	By 31 August, after relevant annual return information from the employer is received and uploaded.
Provide an estimate of pension benefits on request from the employer and details of any capital costs to be paid by them.	Within 15 working days of receipt of all relevant information.
Amend a member's record.	Within 15 working days from when the change was notified.
Calculate benefits due when a member leaves employment and send details to the member.	Within 15 working days for retirements or within 30 working days for deferred benefits, on receipt of all information needed to make the final calculation.

HPF responsibility	Timescale
Send a benefit statement to all deferred members showing the accrued benefits to the date of leaving and the other options available to them in accordance with the Regulations.	Annually by 31 August.
Pay retirement lump sums.	Within 10 days of the retirement date or receipt of all information from the employer and member if later.
Provide details of the final capital costs paid by the employer into the Pension Fund.	Within 10 working days of completing the calculation.
Calculate and process transfers of members' pension rights inwards.	Within 15 working days of receipt of all information.
Calculate and process transfers of members' pension rights outwards to public sector/TPR approved schemes.	Within 15 working days of receipt of all information.
Calculate and process transfers of members' pension rights outwards to any other pension scheme. ¹	Within 15 working days of transfer approval.
Acknowledge in writing the death of a member.	Within five working days of being notified of the death.
Supply survivor beneficiaries with notification of their entitlements, including the method of calculation.	Within 15 working days of all the information being received.
Pay any death grant due and set up dependant on pensioner payroll.	Within 10 working days of completing the calculation of entitlement.
Apply pensions increases annually to the relevant pensions in payment and deferred pensions retained in the Fund in accordance with the Pensions Increase (Review) Order issued by the Government.	Annually.

¹ The Occupational and Personal Pension Schemes (Conditions for Transfers) Regulations 2021 require schemes to carry out additional due diligence for requests to transfer to schemes which do not meet the First Condition as set out under regulations. Consequently, these transfers must go through an additional approval process that must be completed before the transfer can be processed.

Administering Authority discretions and delegated authority for approval

The table below sets out how the Hampshire Pension Fund (HPF) chooses to exercise its discretions under the LGPS regulations and the delegated authority for approval where a further decision exists.

	Discretion	Regulation	Policy	Delegated authority for approval
1	Whether to agree to an admission agreement with a Care Trust, NHS Scheme employing authority, Care Quality Commission or any other body applying to be an admission body.	R4(2)(b), R5(5) & RSch 2, Part 3, para 1	HPF will enter into an admission agreement where the requirements set down and issued to prospective bodies are met.	Team Manager –Employer Services.
2	Whether to terminate a transferee admission agreement in the event of: <ul style="list-style-type: none"> - insolvency, winding up or liquidation of the body; - breach by that body of its obligations under the admission agreement; - failure by that body to pay over sums due to the Fund within a reasonable period of being requested to do so. 	RSch 2, Part 3, para 9(d)	HPF will decide any case on its merits.	Director of Corporate Operations.
3	Define what is meant by 'employed in connection with'.	RSch 2, Part 3, para 12(a)	HPF admission agreements specify this as the employee spending at least 50% of his time employed by the admission body carrying out duties relevant to the provision of services.	N/A
4	Whether to turn down a request to pay an APC/SCAPC over a period of time where it would be impractical to allow such a request (e.g. where the sum being paid is small and could be paid as a single payment).	R16(1)	HPF has not set a minimum payment threshold.	N/A
5	Whether to require a satisfactory medical before agreeing to an application to pay an APC / SCAPC.	R16(10)	HPF does not require those applying to take out an APC to pass a medical.	N/A

	Discretion	Regulation	Policy	Delegated authority for approval
6	Whether to turn down an application to pay an APC / SCAPC if not satisfied that the member is in reasonably good health.	R16(10)	HPF will turn down an application if there are sound reasons to believe the applicant is not in good health.	Head of Pensions.
7	Whether to charge members for the provision of an estimate of additional pension that the scheme would provide in return for a transfer of in-house AVC /SCAVC funds (where AVC / SCAVC arrangement was entered into before 1 / 4/ 14).	TP15(1)d & A28(2)	HPF charges for estimates in accordance with its estimates policy.	N/A
8	Decide to whom any AVC/SCAVC monies (including life assurance monies) are to be paid on the death of the member.	R17(12)	HPF will decide each case on its merits after assessing all potential beneficiaries but will take into account the member's valid expression of wish form.	Team Manager – Member Services.
9	Pension account may be kept in such form as considered appropriate.	R22(3)(c)	HPF will decide the form in which pension accounts are kept based on any published guidance, best practice and in an efficient manner.	N/A
10	Decide, in the absence of an election from the member within 12 months of ceasing concurrent employment, which ongoing employment benefits from the concurrent employment which has ceased should be aggregated (where there is more than one ongoing employment).	TP10(9)	HPF will aggregate with the earliest remaining employment.	N/A

Administering Authority discretions and delegated authority for approval continued

	Discretion	Regulation	Policy	Delegated authority for approval
11	If an Employer has become defunct, the administering authority is required to make decisions on ill health and early payment of benefits, including whether to waive, in whole or in part, actuarial reduction on benefits paid on flexible retirement or on benefits which a member voluntarily draws before normal pension age.	R30(8) TP12(6) R38(3) R38(6) B30(2) B30(5) B30A(3) B30A(5) B31(4) B31(7) TPSch 2, para 1(2) & 1(1)(c) TP3(1), TPSch 2 para 2(1)	HPF will exercise this discretion in accordance with, and to the extent of (if any) the policy and practice of the former employer. If no policy exists, HPF will not waive any reduction or otherwise agree to a retirement which would incur an employer strain charge. HPF will assess ill health retirement decisions, including the use of 2008 certificates, on a case by case basis.	Head of Pensions.
12	Whether to require any strain on Fund costs to be paid 'up front' by employing authority following payment of benefits under: Flexible retirement; redundancy/business efficiency; the waiver (in whole or part) of any actuarial reduction that would have otherwise been applied to benefits that a member voluntarily draws before normal pension age; release of benefits before age 60.	R68(2) TPSch 2, para 2(3) L80(5) B30 or B30A	HPF requires employers to make an upfront payment of strain charges following any decision to allow early payment of benefits (other than ill health).	N/A
13	Whether to extend the time limits within which a member must give notice of the wish to draw benefits before normal pension age or upon flexible retirement.	R32(7)	No extension will be granted unless appropriate to the individual circumstances of a case.	Head of Pensions.

	Discretion	Regulation	Policy	Delegated authority for approval
14	Decide whether to commute a small pension.	R34(1) R39 (1) (b) & (c) B39 T14(3) L49 & L156	HPF will allow commutation of eligible small pension pots.	N/A
15	Approve medical advisers used by employers (for ill health benefits).	R36(3) L97(10)	HPF requires employers to provide details of medical advisers used for assessing entitlement to ill health benefits and will liaise with any employer using a medical adviser of which HPF does not approve.	Head of Pensions.
16	Decide to whom the death grant is paid.	TP17(5) to (8) R40(2) R43(2) R46(2) B23(2) & B32(2) B35(2) TSch1 L155(4) L38(1) L155(4) E8	HPF will decide each case on its merits after assessing all potential beneficiaries, but will take into account the member's valid expression of wish form.	Head of Pensions.

Administering Authority discretions and delegated authority for approval continued

	Discretion	Regulation	Policy	Delegated authority for approval
17	Decide, in the absence of an election from the member, which benefit is to be paid where the member would be entitled to a benefit under two or more regulations in respect of the same period of Scheme membership.	R49(1)(c)	HPF will choose the benefit entitlement that yields the highest level of benefits for the member.	Team Manager - Member Services.
18	Whether to set up a separate admission agreement fund.	R54(1)	HPF has decided not to set up a separate admission agreement fund.	Director of Corporate Operations.
19	Maintain a governance policy which contains the information set out in the regulations.	R55	HPF has a written governance policy which contains the required information and is regularly reviewed.	Pension Fund Panel and Board.
20	Decide on Funding Strategy for inclusion in the funding strategy statement.	R58	HPF has a funding strategy which is included in the funding strategy statement.	Pension Fund Panel and Board.
21	Whether to have a written pensions administration strategy and if so, the matters it should include.	R59(1) & (2)	HPF has a written pensions administration strategy.	Pension Fund Panel and Board.
22	Maintain a communication policy which contains the information set out in the regulations.	R61	HPF has a written communication policy which contains the required information and is regularly reviewed.	Pension Fund Panel and Board.

	Discretion	Regulation	Policy	Delegated authority for approval
23	Whether to obtain revision of employer's contribution rate if there are circumstances which make it likely a Scheme employer will become an exiting employer.	R64(4)	HPF will decide each case on its merits, with advice from the Fund Actuary.	Director of Corporate Operations.
24	Decide whether to obtain a new rates and adjustments certificate if the Secretary of State amends the Benefits Regulations as part of the 'cost sharing' under R63.	R65	HPF will make this decision as it arises, with advice from the Fund Actuary.	Director of Corporate Operations.
25	Decide the frequency of payments to be made over to the Fund by employers and whether to make an admin charge.	R69(1) L81(1) L12(5)	HPF has determined the interval for payment of employer contributions to be monthly (other than for employers who make advance payment of their contributions on 1 April). Payments are due monthly by the 22 of the month following deduction. However, if in exceptional circumstances an employer requests to defer payment of employer contributions, consideration to this will be given on a case by case basis. Factors which will be considered include, but are not limited to; the overall financial security of the	Head of Pensions.

Administering Authority discretions and delegated authority for approval continued

	Discretion	Regulation	Policy	Delegated authority for approval
			<p>organisation making the request, the likelihood that deferring may lead to contributions not being paid within the year, and the support of any guarantor or related local authority to the deferment. If a request is agreed, then deferred payments will be subject to interest at the underlying discount rate for the employer.</p> <p>HPF reserves the right to ask the Fund Actuary to take into account the timing of deferred payments when determining the allocation of assets. This is so that any material increase in markets is not unfairly attributed to employers during a period of non-payment.</p> <p>Administration costs are taken into account by the actuary when setting employer contribution rates.</p>	

	Discretion	Regulation	Policy	Delegated authority for approval
26	Decide the form and frequency of information to accompany payments to the Fund	R69(4) L81(5)	Employers must complete a monthly remittance form with their payment showing a breakdown of contributions.	Team Manager - Finance.
27	Whether to issue employer with notice to recover additional costs incurred as a result of the employer's level of performance.	R70 & TP22(2)	HPF will work with employers to improve performance, but if HPF deploys additional and disproportionate resources because of an employer's poor performance, the cost of the additional resources may be recharged.	Head of Pensions.
28	Whether to charge interest on payments by employers which are overdue.	R71(1) L82(1)	HPF will charge interest on payments which are more than one month overdue.	Head of Pensions.
29	Decide whether to extend six month period to lodge a stage one IDRPs to be heard by the administering authority.	R74(4)	HPF will not extend the six-month period, unless the circumstances of the individual case warrant an extension.	Head of Pensions.
30	Decide procedure to be followed when exercising its IDRPs functions and decide the manner in which those functions are to be exercised.	R74(6) R76(4) L99	HPF has a documented and compliant IDRPs process.	N/A

Administering Authority discretions and delegated authority for approval continued

	Discretion	Regulation	Policy	Delegated authority for approval
31	Whether admin authority should appeal against employer decision (or lack of a decision).	R79(2) L105(1)	HPF would take the decision to appeal based on the merits of the individual case.	Head of Pensions.
32	Specify information to be supplied by employers to enable admin. authority to discharge its functions.	R80(1)(b) & TP22(1)	HPF provides employers with full guidance as to the information they must supply.	N/A
33	Whether to pay death grant due to personal representatives or anyone appearing to be beneficially entitled to the estate without need for grant of probate / letters of administration where payment is less than the amount specified in the Administration of Estates (Small Payments) Act 1965.	R82(2) A52(2) L95	HPF will pay death grants that are under the amount specified in the Administration of Estates (Small Payments) Act 1965 without the need for a grant of probate/letters of administration.	N/A
34	Whether where a person (other than an eligible child) is incapable of managing their affairs, to pay the whole or part of that person's pension benefits to another person for their benefit.	R83 A52A	HPF will decide who should receive payment of benefits, based on the circumstances of the individual case.	Head of Pensions.
35	Date to which benefits shown on annual benefit statement are calculated.	R89(5) L106A(5)	HPF uses 31 March, but will revise this if regulatory requirements, administrative efficiency or best practice demand it.	N/A
36	Extend the normal time limit for acceptance of a transfer value beyond 12 months from joining the LGPS.	R100(6)	HPF will not extend the 12-month limit, except if warranted by the individual circumstances of the case.	Head of Pensions.

	Discretion	Regulation	Policy	Delegated authority for approval
37	Allow transfer of pension rights into the Fund.	R100(7)	HPF will allow transfers into the Fund.	N/A
38	Where member to whom B10 applies (use of average of 3 years pay for final pay purposes) dies before making an election, whether to make that election on behalf of the deceased member. Make election on behalf of deceased member with a certificate of protection of pension benefits i.e. determine best pay figure to use in the benefit calculations (pay cuts / restrictions occurring pre 1.4.08.).	TP3(6) TP4(6)(c) TP8(4) TP10(2)(a) TP17(2)(b) TSch 1 L23(9) B10(2)	HPF will choose the pay figure that would yield the highest overall level of benefits for beneficiaries.	Team Manager – Member Services
39	Decide to treat a child as being in continuous education or vocational training despite a break.	RSch 1 & TP17(9) B39 T14(3)	HPF will treat a child as being in continuous education or vocational training despite a break.	N/A
40	Decide evidence required to determine financial dependence of cohabiting partner on scheme member or financial interdependence of cohabiting partner and scheme member.	RSch 1 & TP17(9)(b) B25	HPF will decide the evidence required to determine financial dependence based on guidance and best practice. In most cases, utility bills, bank statements or mortgage documentation in joint names will be accepted.	Team Manager - Member Services.

Administering Authority discretions and delegated authority for approval continued

	Discretion	Regulation	Policy	Delegated authority for approval
41	Decide policy on abatement of pensions following re-employment, including the pre 14 April element for post 14 leavers.	TP3(13) & A70(1)* & A71(4)(c) T12 L109 L110(4)b	HPF will not abate pension for any re-employment starting after 1 April 2014. Pensions already abated at this date will continue to be abated until the re-employment ends.	N/A
42	Extend time period for capitalisation of added years contract.	TP15(1)(c) & TSch1 & L83(5)	HPF will not extend the time limit for applications to pay off added years contracts.	N/A
43	Outstanding employee contributions can be recovered as a simple debt or by deduction from benefits.	A45(3) L89(3)	HPF will usually recover as a deduction from benefits.	Team Manager - Member Services.
44	Whether to pay the whole or part of a child's pension to another person for the benefit of that child.	B27(5) L47(2) G11(2)	All pensions due to children under 16 will be paid to another person for the benefit of the child. After age 16, HPF will normally pay to the child, unless the circumstances of the individual case mean that the payments should continue to be made to another person.	N/A

	Discretion	Regulation	Policy	Delegated authority for approval
45	Extend normal 12-month period following the end of relevant reserve forces leave for "Cancelling notice" to be submitted by a councillor member requesting that the service should not be treated as relevant reserve forces service.	L17(4),(7),(8), & L89(4) & Sch 1	HPF will not extend the 12-month period.	N/A
46	Select the appropriate final pay period for the deceased non-councillor member (leavers post 31.3.98./pre 1.4.08.).	L22(7)	HPF will choose the appropriate pay period that would yield the highest overall level of benefits for beneficiaries.	Team Manager - Member Services
47	Apportionment of children's pension amongst eligible children (children of councillor members and children of post 31.3.98 / pre 1.4.08. leavers).	L47(1) G11(1)	HPF will apportion a children's pension equally amongst eligible children.	N/A
48	Commute benefits due to exceptional ill-health (councillor members, pre 1.4.08. leavers and pre 1.4.08. Pension Credit members).	L50 & L157	HPF will commute benefits due to exceptional ill health, provided regulatory conditions are met.	N/A
49	Whether acceptance of AVC election is subject to a minimum payment (councillors only).	L60(5)	HPF does not set a minimum payment threshold for AVCs.	N/A
50	Timing of pension increase payments by employers to fund (pre 1.4.08. leavers).	L91(6)	Employer payments are paid monthly on account, with an annual balancing charge after the year-end.	N/A
51	Retention of CEP where member transfers out (councillors and pre 1.4.08. leavers).	L118	CEP will be paid with transfers out rather than being retained in the Fund.	N/A

Administering Authority discretions and delegated authority for approval continued

	Discretion	Regulation	Policy	Delegated authority for approval
52	Discharge Pension Credit liability (in respect of Pension Sharing Orders for councillors and pre 1.4.08. Pension Sharing Orders for non-councillor members).	L147	HPF will discharge its liability by conferring pension credit rights on the person entitled to the pension credit.	N/A
53	Whether to pay spouse's pensions for life for pre 1.4.98 retirees/pre 1.4.98 deferreds who die on or after 1.4.98. (rather than ceasing during any period of remarriage or cohabitation).	F7	HPF will pay the spouse's LGPS pensions for life.	N/A
54	Agree to pay annual compensation on behalf of the employer and recharge payments to the employer.	DC31(2)	HPF will pay compensation on behalf of an employer, subject to acceptable recharge arrangements.	Head of Pensions.
55	Whether to agree to that an admission agreement may take effect on a date before the date on which it is executed.	RSch2, Part 3, para 14	As set out in the Employer Policy, HPF requires employers to notify the Fund of any outsourcing as soon as possible and complete an admission agreement with sufficient time before the contract start date. However, each case will be decided on its merits, with advice from the Fund Actuary.	Head of Pensions.

	Discretion	Regulation	Policy	Delegated authority for approval
56	Whether to extend the period beyond 6 months from the date an Employer ceases to be a Scheme Employer, by which to pay an exit credit.	R64 (2ZA)	As stated in the Employer Policy, HPF will agree on a later date with an employer if circumstances mean that an exit credit cannot be paid within 3 6 months of the employer exiting the Fund.	Head of Employer Services.
57	To determine the amount of an exit credit, which may be zero.	R64 (2ZAB)	HPF will determine the amount of any exit credit to be paid with regard to the factors set out in the regulations, in accordance with the policy in the Funding Strategy Statement and Employer Policy.	Head of Pensions.
58	Whether to suspend (by way of issuing a suspension notice) for up to 3 years an employer's obligation to pay an exit payment where the employer is again likely to have active members within the specified period of suspension.	R64(2A)	As set out in the Employer Policy, HPF will exercise this discretion in relation to Town or Parish Councils. Any other circumstance will be considered on its merits with advice from the Fund Actuary.	Head of Employer Services.

Administering Authority discretions and delegated authority for approval continued

	Discretion	Regulation	Policy	Delegated authority for approval
59	To decide whether it is legally able to offer voluntary scheme pays and, if so, to decide the circumstances (if any) upon which it would do so.	RPS 2	HPF will allow a request for Voluntary Scheme Pays (VSP) where the tax charge is over £1,000 and under £2,000 in relation to an excess over the standard annual allowance. Any request for VSP below this minimum will be considered on a case by case basis with regard to the administration cost of administering a small pension debit. In addition, HPF will allow a request for VSP in relation to a tax charge of £1,000 or more which has arisen in relation to an excess over a tapered annual allowance (including any amount up to £2,000 over the standard annual allowance if the total tax charge is more than £1,000).	Head of Pensions.
60	Appoint an Actuary.	Reg 64.		

	Discretion	Regulation	Policy	Delegated authority for approval
61	To decide to open a bank account to receive amounts due under the regulations.	IN 4,6	<p>As set out in the County Council's Financial Procedures, all arrangements with bankers must be made only by the Chief Financial Officer, who is authorised to operate any bank accounts considered necessary.</p> <p>Management of the Pension Fund's cash balances will be undertaken following the Fund's Cash Strategy agreed by the Pension Fund Panel and Board.</p>	<p>Chief Finance Officer (Director of Corporate Operations).</p> <p>Director of Corporate Operations as delegated to the Investments and Borrowing Team via the Treasury Management Procedures and Decision Sheets.</p>
62	To decide to open a custodian bank account to receive income and capital deriving from investments.	IN 4	The Panel and Board will be asked to approve the procurement and contracting with a custodian bank for the service of safekeeping of the Fund's investments.	Director of Corporate Operations when agreed by the Panel and Board
63	To decide to pay costs, charges and expenses incurred in administering the pension fund.	IN 4	Costs, charges and expenses will be paid that have due incurred by the Pension Funds investments.	As per the County Council's hierarchy of budget holder responsibility.

Administering Authority discretions and delegated authority for approval continued

	Discretion	Regulation	Policy	Delegated authority for approval
64	To decide to borrow to meet obligations to pay pensions or to meet investment commitments when changing between different types of investment.	IN 5	The Pension Fund's cash strategy as agreed by the Panel and Board, is to avoid borrowing other than in exceptional circumstances as set out in Regulations.	Director of Corporate Operations to agree decision sheet with Treasury Management Team.
65	To decide to commission investment advice.	IN 7	The Panel and Board will decide when they wish to procure specialist investment advice and independent advice. Director of Corporate Operations will commission advice when necessary for the day-to-day operation of the Pension Fund.	Deputy Head of Pensions and Deputy Investments & Borrowing Manager.
66	To decide where to invest money.	IN 7	The Panel and Board must agree an Investment Strategy Statement which specifies the types of investments that the Pension Fund will make.	Panel and Board
67	Take any action to protect the value of the Pension Fund	IN 7	The Director may take any action having taken appropriate advice and consulted with the Chairman of the Pension Fund Panel and Board.	Director of Corporate Operations.

	Discretion	Regulation	Policy	Delegated authority for approval
68	To decide to appoint or change the appointment of investment managers.	IN 9	<p>Investment manager appointments will be made in line with the Pension Fund's Investment Strategy Statement, where appropriate taking options available from the ACCESS pool.</p> <p>Administration of the Pension Funds investment will be undertaken by the Fund's officers to make payments to meet investment commitments and commission the relevant services when necessary, e.g. legal advice, tax advice, transition management and class action services.</p>	<p>Panel and Board.</p> <p>Director of Corporate Operations to approve the Pension Fund's authorised signatory list in line with the Corporate Schedule of Payments list.</p>
69	Responsibility for the day-to-day operation of the Pension Fund.		Operations are split between two teams; Administration and Investments & Borrowing.	Deputy Head of Pensions and Deputy Investments & Borrowing Manager.

Administering Authority discretions and delegated authority for approval continued

	Discretion	Regulation	Policy	Delegated authority for approval
70	To enter into or amend a contract committing the Pension Fund to incur expenditure.	N 9	The Pension Fund's contractual arrangements will be put in place for the Fund's investment and business requirements in line with the Council's Standing Orders	As per the County Council's Standing Orders
71	To enter into or amend a contract/agreement that does not commit the Pension Fund to incur expenditure.	IN 9	Operations are split between two teams; Administration and Investments & Borrowing	The Pension Fund's authorised signatories as agreed by the Director of Corporate Operations
72	Responsibility for the day-to-day operation of the Pension Fund			Deputy Head of Pensions and Deputy Investments & Borrowing Manager

Key to regulations:

Prefix	Regulation
R	Local Government Pension Scheme Regulations 2013
TP	Local Government Pension Scheme (Transitional Provisions, Savings and Amendment) Regulations 2014
A	Local Government Pension Scheme (Administration) Regulations 2008
B	Local Government Pension Scheme (Benefits, Membership and Contributions) Regulations 2007
T	Local Government Pension Scheme (Transitional Provisions) Regulations 2008
L	Local Government Pension Scheme Regulations 1997 (as amended)
None	Local Government Pension Scheme Regulations 1995
IN	Local Government Pension Scheme Regulations 2016 (Management and Investment of Funds)
DC	Local Government (Early Termination of Employment) (Discretionary Compensation) (England and Wales) Regulations 2000
RPS	The Registered Pension Schemes (Modification of Scheme Rules) Regulations 2011

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