

## Appendix A

### Scheme Manager Responsibilities

<b>Administering Authority responsibilities</b>	<b>Timeframes / Deadlines (where applicable)</b>
<b>Governance</b>	
<b>General responsibilities</b>	
Review the Fund's pension administration strategy and consult with all scheme employers.	The Pensions Administration Strategy will be formally reviewed no less frequently than every three years. A review may take place at any time where in the view of the Administering Authority it is necessary to do so.
Review the Fund's funding strategy statement at each triennial valuation, following consultation with scheme employers and the Fund actuary.	Every three years in line with Fund valuation cycle.
Review the Fund's Communications Strategy	The Communications Strategy will be formally reviewed no less frequently than every three years. A review may take place at any time where in the view of the Administering Authority it is necessary to do so.
Review the Fund's governance compliance statement.	The Governance Policy Statement will be formally reviewed no less frequently than every three years. A review may take place at any time where in the view of the Administering Authority it is necessary to do so.
Publish the Fund's annual report and financial statement.	To be published annually.
<b>Transfers</b>	
<b>Bulk transfers</b>	
Share information as appropriate with the Employing Authority regarding the timescales, negotiations, and where material, the financial consequences, and where possible, reach agreement with the Employing Authority on the stance adopted on any negotiations with the receiving Fund.	The Administering Authority will in these cases engage with all parties as early as possible. The Fund will look treat each case on its own merits and consider in line with the principals detailed in the Fund's Funding Strategy Statement.
Ensure the provision of the Regulations are met, including the rights of the transferring members	N/A
<b>Complaints, errors and breaches</b>	
<b>Complaints</b>	

Administering Authority responsibilities	Timeframes / Deadlines (where applicable)
Appoint a nominated person to consider disputes under stage 1 of the IDR process for disputes for any decisions/lack of decisions which need to be made by the administering authority.	Stage 1 complaints to be determined by the Administering Authority will be considered by the Head of Pensions.
Appoint a nominated person to consider disputes under stage 2 of the IDR process.	Stage 2 complaints to be determined by the Administering Authority will be considered by the Solicitor and Monitoring Officer.
Consider and respond to disputes made under stage 1 and/or stage 2 of the IDR within statutory timeframes as set out in the LGPS Regulations 2013.	Response to disputes under stage 1 and 2 of the IDR will be provided within the statutory deadline of two months and monitored by the Head of Pensions.
<b>Breaches</b>	
Prepare and maintain a Policy showing how to identify, record and report breaches of the Law.	The Fund Breaches Policy will be formally reviewed no less frequently than every three years. A review may take place at any time where in the view of the Administering Authority it is necessary to do so.
Maintain a Breaches Log detailing all known breaches of the law, whether these are considered immaterial and hence only recordable or whether they are considered material and reported to the Pensions Regulator.	This will be maintained on an ongoing basis.
Present the Breaches Log to the Pension Committee and the Pension Board at each meeting	To be presented at each meeting of the Board and Committee.
<b>Finance and accounting</b>	
<b>General responsibilities</b>	
Consult with employing authorities on the outcomes of the triennial valuation.	To be carried out every three years in line with the Fund valuation timetable.
Carry out termination valuations on admitted bodies or employing authorities who cease their participation in the Fund.	To be carried out as and when required.
<b>Accounting and financial reporting</b>	

Administering Authority responsibilities	Timeframes / Deadlines (where applicable)
<p>Carry out accounting and financial reporting on behalf of the administering authority, including liaison with any third-parties, including:</p> <ul style="list-style-type: none"> <li>○ Management, preparation and presentation of the Fund's annual report and accounts.</li> <li>○ Further accounting and cash-flow reporting throughout the scheme year.</li> <li>○ Cashflow forecasting and reporting.</li> <li>○ Liaising with internal and external auditors.</li> <li>○ Quarterly management accounts.</li> <li>○ Raising invoices on behalf of the Fund.</li> <li>○ Recording and maintaining all accounting records in line with record retention policies.</li> </ul>	<p>To be carried out as and when required.</p>
<b>Contributions</b>	
<p>Notify employing authorities of their contribution requirements for three years effective from the April following each actuarial valuation.</p>	<p>To be carried out every three years in line with the Fund valuation timetable.</p>
<p>Notify new employing authorities of their contribution requirements.</p>	<p>To be carried out as and when required.</p>
<b>Employer services</b>	
<b>General responsibilities</b>	
<p>Provide support to employing authorities through a dedicated employer website, technical notes, employer bulletins and day to day contact.</p>	<p>Web content available to employers will be reviewed on no less than an annual basis. Employer newsletters will be issued in line with the Communications Strategy.</p>
<p>Provide training sessions on employing authorities' roles and responsibilities.</p>	<p>To be delivered as and when required.</p>
<b>Employer monitoring</b>	
<p>Monitoring of employers, including reporting of key metrics. This may include monitoring employers who have a very small number of active members remaining and may therefore cease participation or highlighting significant changes in membership numbers indicating a restructuring exercise or other event that requires the attention of the administering authority.</p>	<p>Ongoing basis</p>

Administering Authority responsibilities	Timeframes / Deadlines (where applicable)
<p>Monitor the existence of indemnity bond cover for employers, including highlighting to the administering authority where bond cover is either outdated, soon to expire or needs to be reviewed in line with administering authority policies. This may involve further communication with the Fund actuary or other party to obtain updated levels of recommended bond cover where appropriate.</p>	<p>Bond's in place for admission body employers will be reviewed on an annual basis in line with the Fund's Funding Strategy Statement.</p>
<p>Maintain an updated record of further information relating to employers, for example, whether another employer has agreed to act as a guarantor for that employer, or any other information determined by the administering authority to be relevant.</p>	<p>Ongoing basis</p>
<p><b>New and ceasing employers</b></p>	
<p>Assist in the preparation and communication of admission agreements to new employers in the Fund, including liaising with the administering authority or Fund actuary, as required, to prepare the necessary documentation.</p>	<p>Potential new employers in the Fund should engage with the administering authority at the earliest opportunity to allow adequate time for an assessment of the employer contribution rate and bond (where necessary). Where this is a result of an outsourcing of employees under TUPE from an existing scheme employer, engagement with the Administering Authority should be sufficiently early to allow pensions information to be included in the tender documentation.</p>
<p>Obtain a signed agreement and/or keep these on record on behalf of the administering authority.</p>	<p>The Admission Agreement must be completed no later than one month after the date of admission.</p>
<p>Provide technical advice, guidance or support in relation to new or existing admission agreements and the operation of these with employers.</p>	<p>To be provided as and when required.</p>
<p>Assist in managing the cessation of an employer, including liaising with them in relation to any cessation debt due to the Fund.</p>	<p>Any deficit or surplus due at the point an employer exists the Fund will be communicated to the former scheme employer in line with the requirements of regulation 64 of The Local Government Pension Scheme Regulations 2013.</p>
<p><b>Administering authority support and training</b></p>	
<p><b>Policy development</b></p>	
<p>Draft, maintain and publish all the policies and strategies that govern the pension fund, liaising with Employing Authorities and the Administrator as required.</p> <ul style="list-style-type: none"> <li>○ Communications strategy.</li> <li>○ Administration strategy.</li> </ul>	<p>Policies will be reviewed no less frequently than every three years. A review may take place at any time where in the view of the Administering Authority it is necessary to do so.</p>

Administrator's responsibilities	Timeframes / Deadlines (where applicable)
<b>Governance</b>	
<b>General responsibilities</b>	
Formulate, publish and keep under review policies in relation to all areas where the administering authority may exercise a discretion within the scheme regulations.	The Administering Authority Discretionary Policy will be formally reviewed no less frequently than every three years. A review may take place at any time where in the view of the Administering Authority it is necessary to do so.
Review the IRMPs appointed and used by Employing Authorities meet legislative requirements to advise on ill health retirement applications	To be reviewed no less than every three years.
<b>Additional contributions</b>	
<b>General information</b>	
Agree that any requests to pay additional contributions satisfy the administering authorities' discretionary policy in respect of additional contributions (e.g. whether a member is required to undertake a medical before entering into an additional contributions contract and determining whether the request is impractical)	To be agreed with the scheme administrator.
<b>Additional voluntary contributions (AVCs)</b>	
Ensure a process is in place to periodically review AVC providers/fund options.	A review of the AVC provider to the Fund will take place no less than every 5 years.
Ensure that the member receives an annual statement, and that this statement meets statutory requirements.	Annual statements received from the AVC provider are redistributed to individual contributors on an annual basis.
<b>Additional pension contributions (APCs)</b>	
Agree that any requests to pay additional contributions satisfy the administering authorities' discretionary policy in respect of additional contributions (e.g. whether a member is required to undertake a medical before entering into an additional contributions contract and determining whether the request is impractical)	To be agreed with the scheme administrator.
<b>Transfers</b>	
<b>Transfers-in</b>	

Administrator's responsibilities	Timeframes / Deadlines (where applicable)
Ensure that the Administering Authority has in place an appropriate discretionary policy setting out their policy on whether they choose to extend the 12-month time limit for accepting transfers in, where the decision falls to them.	This is contained within the Discretionary Policy of the Administering Authority.
<b>Transfers-out</b>	
To determine necessary action on how to proceed with transfer cases that have been flagged as at risk of being a pension liberation case. This may include, but not be restricted to, indicating whether the transfer is to be paid or whether legal advice is sought.	Any transfer cases referred to the Administering Authority by the scheme administrator for suspected pension liberation scams will be thoroughly investigated and secondary assurance sought from the scheme member. This should include all transfers to Qualifying Recognised Overseas Pension Scheme's (QROP'S).
<b>Retirements</b>	
<b>Other responsibilities</b>	
Where a deferred member requesting early payment of their pension benefits and requesting that their Rule of 85 is to be applied and/or whether their reductions are to be waived, whose former employer no longer contributes within the East Sussex Pension Fund: <ul style="list-style-type: none"> <li>o Consider the application and confirm to the decision to the member. Notify the administrator whether the Ro85 is to apply/reductions are to be waived or not.</li> </ul>	Applications will be considered by the Section 151 Officer on behalf of the Administering Authority and confirmed to the scheme administrator.
Where a deferred member requesting early payment of their pension benefits due to ill health, whose former employer no longer contributes within the East Sussex Pension Fund: <ul style="list-style-type: none"> <li>o arrange for the member to be assessed by an IRMP, provide confirmation to the administrator that the employee meets all the conditions for ill-health retirement, as defined by the relevant LGPS regulations, and confirm the retirement date and a complete and correct ill-health certificate completed by the IRMP</li> </ul>	Applications will be considered by the Section 151 Officer on behalf of the Administering Authority and confirmed to the scheme administrator.
Where the member is in receipt of an ill health pension made under Tier 3, and the former employer has subsequently ceased to be a contributing employer within the ESPR, arrange for the member to be reassessed by an IRMP after 18 months and determine whether the pension should continue, or be subject to an uplift.	Arrangements for reassessment will be made by the Section 151 Officer on behalf of the Administering Authority.
<b>Deaths</b>	

Administrator's responsibilities	Timeframes / Deadlines (where applicable)
<b>General responsibilities</b>	
Review where necessary information provided by the administrator in relation to potential death grant lump sums and dependant pensions and provide written agreement for payments to be made, where necessary.	The determination of death grant beneficiaries will be in line with the Fund policy. The decision is delegated to the scheme administrator but for more complicated cases that will be referred to the Administering Authority for determination on a case by case basis.
Review the Administrator's policy annually in relation to the payment of death grant lump sums and ensure this is regularly reviewed and updated if necessary.	The policy on payment of death grant lump sums will be reviewed on an annual basis.
<b>Communications</b>	
<b>Newsletters and periodic communications</b>	
Liaise with Administrator to agree on newsletter (and other communication) content	This will be done and timetabled in line with the Communications Strategy of the Fund.
<b>Member and employer surveys</b>	
Liaise with Administrator to agree on content of surveys	This will be done and timetabled in line with the Communications Strategy of the Fund.
<b>Member presentations and workshops</b>	
Liaise with Administrator to agree on structure / content of presentations / workshops	This will be done and timetabled in line with the Communications Strategy of the Fund.
<b>Administering authority support and training</b>	
<b>Policy development</b>	
Draft, maintain and publish all the policies and strategies that govern the pension fund, liaising with Employing Authorities and the Administrator as required. <ul style="list-style-type: none"> <li>o Administering or employing authority discretionary policies.</li> </ul>	Policies will be reviewed no less frequently than every three years. A review may take place at any time where in the view of the Administering Authority it is necessary to do so.
<b>Administration performance reports and CIPFA benchmarking</b>	
<b>CIPFA benchmarking</b>	
Provide additional information to assist in the completion of the annual CIPFA benchmarking questionnaire, if required by the administrator.	Where required information will be provided within 10 working days of the request.

