

# The Board of the Pension Protection Fund

## Disclosure Log – 2020/21

<b>FoIA Date</b>	<b>FoIA Subject</b>
11/05/20	<a href="#">Firewall, Anti-virus Software and Microsoft Enterprise Agreement details</a>
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### Quarterly Breakdown

Quarter	Total Received	Full disclosure	Partial Disclosure	Information withheld
Q1 2020/21	9	7	1	1
Q2 2020/21	7	3	1	3
Q3 2020/21	10	7	1	2
<b>2020/21 Total</b>	<b>26</b>	<b>17</b>	<b>3</b>	<b>5</b>

All requests were answered within 20 working days.

Date: 11/05/20

**Ref: Firewall, Anti-virus Software and Microsoft Enterprise Agreement details**

Requested	Standard Firewall (Network)	Anti-virus Software Application	Microsoft Enterprise Agreement
What does the organisation annual spend for each of contract?	£19,201	N/A	£584,000
What is the description of the services provided for each contract? Please do not just state firewall.	Hardware and Software Support	Our Antivirus is part of a Bundled Systems management package and has no specific contract.	The Enterprise Agreement, whose price is tiered to the number of computers or users being licensed, is a three-year contract, which covers all software licensing and updates for one client system. An option is given at contract termination to renew for one or three additional years.
What is the expiry date of each contract?	28/06/2020	N/A	31/01/2023
What is the start date of each contract?	29/06/2019	N/A	01/02/2020
What is the contract duration of contract?	1 Year	N/A	3 Years
The responsible contract officer for each of the contracts above? Full name, job title, contact number and direct email address.	For all procurement queries, please <a href="#">email our Commercial Services team</a> .		
Number of Licenses (ONLY APPLIES TO CONTRACT 3)	N/A	N/A	500

Date: 15/05/20

## **Ref: Complaints, Information requests and correspondence from ministers**

### **Request**

*"Can you please confirm how many of the following you received between 1st April 2018 and 31st March 2019?*

- Complaints*
- Data Protection Requests and/or Subject Access Requests*
- Freedom of information requests*
- Correspondences from ministers*

*Can you also confirm which job title/role and department has accountability for response times for each of those areas please (appreciate names can't be given)?"*

### **Response**

**Complaints** – Information related to complaints the PPF receives is published in our [Annual report](#) and accounts on page 54. The resolutions team are responsible for the response times when complaints are received ([Resolutions@ppf.co.uk](mailto:Resolutions@ppf.co.uk)).

**Data Protection Requests and/or Subject Access Requests** – During the timescales given we received four subject access requests and had three erasure requests. The Compliance & Ethics team are responsible for the response times when responding to Data Protection requests ([Compliance@ppf.co.uk](mailto:Compliance@ppf.co.uk)).

**Freedom of Information requests** - Information related to freedom of information requests the PPF receives is published in our [Annual report](#) and accounts on page 55. The Compliance team are responsible for the response times when responding to freedom of information requests ([Compliance@ppf.co.uk](mailto:Compliance@ppf.co.uk)).

**Correspondence from ministers** – The Pension Protection Fund is a public corporation set up by the Pensions Act 2004 and run by an independent Board. As a result, we may have correspondence with ministers and departments, for example, the Department for Work and Pensions on matters that relate to the work we do. However, we do not keep a specific record of all correspondence we receive from ministers in the same way we do for the other statistics you have requested, so we cannot provide you a figure for this.

Date: 27/05/20

## Ref: PPF Deferred Members

### Number of Deferred Members

Category	March 2020	April 2020
FAS 1 (With Annuity*)	20,670	20,532
FAS 1 (Without Annuity*)	26,362	26,240
FAS 2	25,408	25,270
<b>Total</b>	<b>72,440</b>	<b>72,042</b>

### Number of Members in Payment

Category	March 2020	April 2020
FAS 1 (With Annuity*)	19,330	19,409
FAS 1 (Without Annuity*)	21,295	21,388
FAS 2	36,180	36,216
<b>Total</b>	<b>76,805</b>	<b>77,013</b>

\*Former schemes will have secured benefits before the scheme fully wound-up. They may have done this by purchasing an annuity or by transferring the whole of the available funds to another arrangement. Alternatively, they may have paid all of the available funds as either a winding-up lump sum or a trivial lump sum.

Date: 06/07/20

**Ref: FAS Member deaths**

**Request**

“Please can you give me the information on how many recipients of the government’s Financial Assistance Scheme (FAS) that have died since the FAS was created in 2004 and who now no longer claim assistance.

That is the total number of all recipients from all schemes that have died up to present day.”

**Answer**

**As of 26th May 2020, there were 17,270 deceased members of the Financial Assistance Scheme.**

**The number of 17,270 deceased members includes records where a ‘deceased’ status has been confirmed. This number also includes where we have been notified of a deceased member but the process of confirmation on our systems (which we call the bereavement process) has not yet been finalised.**

Date: 18/06/20

## Ref: Mobile Telephony Contract Details

### Request

You have asked for the following information:

1. *Network Provider(s)*
2. *Annual Average Spend*
3. *Number of Connections*
4. *Duration of the contract*
5. *Contract Start Date*
6. *Contract Expiry Date*
7. *Contract Review Date*
8. *The person within the organisation responsible for this particular contract*

### Answer

1. **Network Provider name**  
**Vodafone**
2. **Annual Average Spend over three years**  
**£30,800 per annum**
3. **Number of Connections**  
**164**
4. **Duration of the contract and contract extensions**  
**24 months**
5. **Contract Start Date**  
**10th May 2018**
6. **Contract Expiry Date**  
**9th May 2022**
7. **Contract Review Date**  
**April/May 2022**
8. **The person within the organisation responsible for this particular contract.**  
**For all procurement queries, please email our Commercial Services team – [Commercialservices@ppf.co.uk](mailto:Commercialservices@ppf.co.uk)**

Date: 25/06/20

## **Ref: ERP, CRM, HR and Payroll Solutions**

### **Enterprise Resource Planning Software Solutions (ERP)**

The PPF does not have an Enterprise Resource Planning Software Solution.

### **Customer Relationship Management (CRM) Solutions**

1. Software Category: CRM
2. Software Supplier: Microsoft for CRM
3. Software Brand: Dynamics 365 for Customer Service Enterprise
4. Contract Description: Enterprise Subscription 6 agreement
5. Number of Users/Licenses: 125
6. Annual Spend: £40,871
7. Contract Duration: 36 month
8. Contract Start Date: 01/02/2020
9. Contract Expiry: What is the expiry date of this contract? 31/01/2023
10. Contract Review Date: 01/01/22
11. Contact Details: For all procurement queries, please email our Commercial Services team – [Commercialservices@ppf.co.uk](mailto:Commercialservices@ppf.co.uk)

### **Human Resources (HR) and Payroll Software Solutions**

1. Software Category: HR and Payroll
2. Software Supplier: MidlandHR
3. Software Brand: iTrent
4. Contract Description: HR Management and Payroll system
5. Number of Users/Licenses: 370
6. Annual Spend: £27,000
7. Contract Duration: 2 years (option +1 +1)
8. Contract Start Date: 01/07/2018
9. Contract Expiry: 30/06/2021
10. Contract Review Date: 01/01/2020
11. Contact Details: For all procurement queries, please email our Commercial Services team – [Commercialservices@ppf.co.uk](mailto:Commercialservices@ppf.co.uk)

### **Finance Software Solutions**

1. Software Category: Finance
2. Software Supplier: Oracle
3. Software Brand: Fusion Cloud
4. Contract Description: Cloud Services contract
5. Number of Users/Licenses: Various but general modules have a minimum of 1000 user count

6. Annual Spend: £215,000
7. Contract Duration: 36 month
8. Contract Start Date: 28/02/2018
9. Contract Expiry: 27/02/2021
10. Contract Review Date: 01/02/20
11. Contact Details: For all procurement queries, please email our Commercial Services team – [Commercialservices@ppf.co.uk](mailto:Commercialservices@ppf.co.uk)

Date: 06/07/20

Dear Mr Jones,

**Ref: FAS Member Deaths**

**Request**

“Please can you give me the information on how many recipients of the government’s Financial Assistance Scheme (FAS) that have died since the FAS was created in 2004 and who now no longer claim assistance from the FAS.

That is the total number of all recipients from all schemes that have died between the years only of:-

(1) 2004 up to the year 2010.

(2) 2010 up to the year 2015.”

**Response**

**From the period of 1<sup>st</sup> January 2004 to 31<sup>st</sup> December 2009, the number of deceased FAS members was 1,649.**

**From the period of 1st January 2010 to 31st December 2014, the number of deceased FAS members was 4,934.**

Date: 21/07/20

**Ref: Members With Pensions Accrued Prior To 1997**

**Request**

“Under the freedom of information act could you please give me the total number of members with pensions accrued prior to 1997.”

**Response**

**The total number of current PPF members with some pension accrued prior to 1997 as at 7<sup>th</sup> July 2020 is 190,306.**

**This figure can be broken into two parts, deferred members (not yet in payment by the PPF) who make up 65,585 of this figure and current pensioners (currently in payment from the PPF) who make up the remaining 124,721.**

Date: 04/08/20

**Ref: Intranet solutions**

1. *How many people are employed by your organisation, including full time and part time?* **The PPF's headcount as of July 2020 is 437.**
2. *What is your current intranet solution? (Sharepoint, Wordpress, Invotra, etc)* **Sharepoint**
3. *How long have you been using this intranet solution?* **Since the first quarter of 2018.**
4. *When is your intranet contract up for renewal?* **7 August 2021.**
5. *What is your annual intranet budget?* **The intranet is a part of the PPF's SharePoint solution and does not have a separate budget.**
6. *Do you share an intranet/IT services with other organisations, if so who?* **No.**
7. *Which team and/or individual(s) are responsible for managing your intranet internally?* **The Internal Communications team.**
8. *Are you using the Office 365 suite? If so, which applications from the suite are in use?* **The PPF does not currently use the Office 365 suite.**
9. *Which team and/or individual(s) are responsible for your intranet's procurement within the organisation?* **The Commercial Services team.**
10. *Is your Active Directory hosted on-premise, or in the cloud?* **On-premise.**
11. *Could you provide us with a link to your Digital Workplace Strategy?* **The Pension Protection Fund published its 3 year strategic plan in April 2019, which can be found here; <https://www.ppf.co.uk/strategic-plan>. I would direct you to pages 14 and 15 of the plan which set out our Technology and Change strategy and plans to transform IT services over the next three years.**

Date: 14/09/20

**Ref: Telephone maintenance contract**

1. Number of telephone Users: - **491**
2. Hardware Brand: (The primary hardware brand of the organisation's telephone system.) - **The telephone systems is a software-only solution based on Microsoft Lync Server 2013/Skype for Business Server 2019.**
3. Application(s) running on PBX/VOIP systems: (Applications that run on the actual PBX or VOIP system. E.g. Contact Centre, Communication Manager.) - **Aspect for contact centre.**
4. Contact Detail: (Of the person from with the organisation responsible for telephone maintenance full Contact details including full name, job title, direct contact number and direct email address.) - **For all procurement queries, please email our Commercial Services team -Commercialservices@ppf.co.uk**

**Protecting People's Futures**

The Pension Protection Fund is a statutory fund run by the Board of the Pension Protection Fund, a body corporate, under the Pensions Act 2004

Date: 18/09/20

## Ref: Hosting arrangements

1. *Dedicated hosting- Managed environment*
2. *Co-Location- hosting allows a business to still own their own server equipment; however, instead of storing it in their own data centre, they instead are able to store it in rented space in a colocation hosting centre.*
3. *Cloud Hosting- Cloud hosting services provide hosting for websites on virtual servers, which pull their computing resource from extensive underlying networks of physical web servers.*

*For the different types of hosting services, can you provide me with the following information:*

1. *Type of hosting – Dedicated, Co-Location, Cloud Hosting, Other?* **Dedicated, Co-Location and Cloud Hosting**
2. *Who is the supplier of the contract? If possible can you also provide me with the name of the vendor, if applicable?* **Dedicated – Rackspace, Co-Location – Next Generation Data and Crown Hosting, Cloud Hosting – Azure**
3. *What is the annual contract value for each contract?* **Rackspace - £13,000, Next Generation Data £39,176, Crown Hosting - £39,028, Azure - £160,000**
4. *What type of cloud environment?* **Hybrid**
5. *What is the original start date of the contract agreement?* **Rackspace – 12/05/2019, Next Generation Data – 28/11/2018, Crown Hosting – 08/04/2020, Azure – 01/02/2020**
6. *What is the actual expiry date of the contract agreement?* **Rackspace - rolling, Next Generation Data – 27/11/2023, Crown Hosting – 07/04/2022, Azure – 31/01/2023**
7. *When will the organisation plan to review this contract?* **During the 2021/22 financial year**
8. *What is the contract period in years? Please include whether the agreement has any extension periods?* **Rackspace – rolling, Next Generation Data – 5 years , Crown Hosting – 2 years, Azure – 3 years**
9. *What services are provided under the contract? Please do not put hosting, information such as web hosting, file storage, hosted application. The more information the better.* **Rackspace – web hosting, Datacentres – PPF domain, Azure – PPF domain\web hosting\file hosting**
10. *Can you please provide me with the contract officer responsible for this contract? Complete contact details if possible name, title, contact email and number.* **The relevant contract officer for each contract can best be contacted using the Commercial Services email address ([CommercialServices@ppf.co.uk](mailto:CommercialServices@ppf.co.uk)).**

Date: 05/10/20

**Ref: Migration to cloud**

Thank you for your request for information of 30 September 2020 in which you requested information about migration of legacy applications to the cloud. The information you requested is provided below where possible. I have reproduced each of your questions below with the response to each. Unfortunately the PPF does not hold much of the information you requested in recorded form.

1. What approximate percentage of your IT services and infrastructure is in the cloud today?  
**0-10%**

2. And what is a realistic, achievable target of migrating legacy applications to the cloud over the next 3years?  
**Information not held.**

3. Approximately what volume of data is held in legacy systems?  
**Information not held.**

4. What are your organisation's/department's top five priority reasons for migrating to the cloud and enhancing your data strategy? Cross [x] up to five answers that apply best to your current situation:  
**Information not held.**

5. Which are the biggest challenges you face in implementing your IT strategy?  
**Information not held.**

Date: 14/10/20

**Ref: HR and Payroll Software Solutions**

1. Name of Supplier: Can you please provide me with the software provider for each contract? **MHR International UK Limited**
2. The brand of the software: Can you please provide me with the actual name of the software. Please do not provide me with the supplier name again please provide me with the actual software name. **iTrent**
3. Description of the contract: Can you please provide me with detailed information about this contract and please state if upgrade, maintenance and support is included. **HR Management and Payroll System - maintenance and support included**
4. Number of Users/Licenses: What is the total number of user/licenses for this contract? **370**
5. Annual Spend: What is the annual average spend for each contract? **£27,000**
6. Contract Duration: What is the duration of the contract please include any available extensions within the contract. **2 years (option +1 +1)**
7. Contract Start Date: What is the start date of this contract? Please include month and year of the contract. DD-MM-YY or MM-YY. **1/7/2018**
8. Contract Expiry: What is the expiry date of this contract? Please include month and year of the contract. DD-MM-YY or MM-YY. **30/06/2021 + option to extend for a further 12 months**
9. Contract Review Date: What is the review date of this contract? Please include month and year of the contract. If this cannot be provide please provide me estimates of when the contract is likely to be reviewed. DD-MM-YY or MM-YY. **01/21**
10. Contact Details: I require the full contact details of the person within the organisation responsible for this particular software contract (name, job title, email, contact number). **Commercial Services, commercialservices@ppf.co.uk**



Date: 01/12/20

**Re: Johnstone Press Pension Scheme**

**Request**

Please advise the numbers of pensioners that you are pursuing who have been underpaid or overpaid by the former Trustees - Hyman Robinson LLP and Barnett Waddingham LLP - of the Scheme prior to the transfer of the scheme to the PPF.

**Response**

When we take on responsibility for pension schemes, we follow the principles of managing public money in that we ensure as far as possible that members receive what they are entitled to. We do therefore seek to address any underpayments to members, and we seek repayment of overpayments. In relation to your question, we only hold the figures that applied at the point that the scheme was transferred to the PPF, so we do not know whether the trustees dealt with earlier instances. At the point that the scheme transferred to the PPF, there were 63 members who had been underpaid, and action was taken to remedy this. There were 71 members who had received overpayments that we intended to pursue.



Date: 10/12/20

**Re: Guarantor Strength Reports**

**Request**

'how many Guarantor Strength Reports were submitted for levy year 2020/21 in connection with re-certified contingent assets.'

'Also, out of the total number of such reports, how many were rejected by the PPF.'

**Response**

We received 82 guarantor strength reports in connection with the recertification of contingent assets. These were reviewed, and all were accepted.

Date: 23/12/20

**Re: FOI, SAR and complaint volumes**

1) How many Freedom of Information requests were received in the following calendar years. Of these requests, what % were responded to within regulatory deadlines?

- 2017: **24 were received; 100% were responded to within regulatory deadlines.**
- 2018: **35 were received; 100% were responded to within regulatory deadlines.**
- 2019: **29 were received; 100% were responded to within regulatory deadlines.**

Is a case management system or other software service to manage these requests? If so please state which software / system is used. **We use Microsoft Excel to log and manage requests.**

2) How many Subject Access Requests or other requests under GDPR/Data Protection legislation were received in the following calendar years. Of these requests, what % were responded to within regulatory deadlines?

- 2017: **13 were received; 100% were responded to within regulatory deadlines.**
- 2018: **16 were received; 100% were responded to within regulatory deadlines.**
- 2019: **5 were received; 100% were responded to within regulatory deadlines (this includes cases where the deadline was legitimately extended).**

Is a case management system or other software service to manage these requests? **Yes.** If so please state which software / system is used. **We use a combination of UPM (Universal Pensions Management) provided by Civica and Microsoft Excel to log and manage requests. UPM is the main software used for case management. Excel has additionally been used by the Compliance & Ethics team to log requests since mid-2018.**

3) How many written (letter, email, webform submission) complaints and other enquiries were received in the following calendar years?

- 2017: **15,094 complaints and general enquiries were received via email or letter**
- 2018: **16,936 complaints and general enquiries were received via email or letter**
- 2019: **24,238 complaints and general enquiries were received via email or letter**

Is a case management system or other software service to manage these requests? **Yes.** If so please state which software / system is used. **UPM (Universal Pensions Management).**