

2019/20 Annual Allowance Charge Compensation Scheme Application Form (Wales)

To the member:

Complete Parts 1 and 2, then give the form to your main employing authority¹ to complete Part 3.

- Primary care – email a signed, scanned copy to nwssp.allwalespensions@wales.nhs.uk to complete Part 3 and forward to the NHSBSA.
- Secondary care – send to the NWSSP to complete Part 3 and forward to the NHSBSA. You may either:
 - email a signed, scanned copy to nwssp.allwalespensions@wales.nhs.uk using the subject title 'AA Charge Compensation Scheme'
 - or
 - send a signed hard copy to: Pensions Department, 4th Floor, Companies House, Cardiff. CF14 3UB
- Clinical academics – send to your University employer to complete Part 3 and forward to the NHSBSA.

Please note that if you have not already also returned a Scheme Pays Election (SPE2) for 2019/20 to the NHSBSA you must also complete a SPE2 and send it to the NHSBSA at the same address. Your compensation application cannot be processed until an election for scheme pays has been received.

Part 1 (to be completed by the member) – About yourself

<p>Title (e.g. Mr, Mrs, Miss, Dr)</p> <input type="text"/> <p>Surname</p> <input type="text"/> <p>Former surname (if applicable)</p> <input type="text"/> <p>Other names</p> <input type="text"/> <p>National Insurance number</p> <input type="text"/> <p>Date of birth</p> <input type="text"/>	<p>Member number</p> <input type="text"/> <p>Address</p> <input type="text"/> <p>Post code</p> <input type="text"/> <p>Contact telephone number</p> <input type="text"/> <p>Email Address</p> <input type="text"/>
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¹The term *employing authority* is used here in line with its meaning under the NHS Pension Scheme Regulations and includes independent providers and Direction bodies as well as NHS organisations.

Part 2 (to be completed by the member) – Member declaration

I declare that the above information is correct, that I have carried forward all available unused annual allowance, from each of the previous three tax years (if applicable), to 2019/20, and this application relates to charges incurred as a result of my core² membership of the 1995/2008 and 2015 NHS Pension Schemes.

I understand that when I retire my compensation payments could change in line with my NHS Pension Scheme benefits and I will have to repay any overpayment that occurs.

I understand that NHS Pensions may share the information to make payments, to resolve disputes, and to prevent fraud.

Signature:

Date:

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Part 3 to be completed by the employing authority

Certification and declaration.

For secondary care, this will be the NWSSP on behalf of the employing authority, for primary care this will be PCSW on behalf of the employing authority.

For clinical academics, this will be the university.

To the employing authority:

Ensure the member has completed Parts 1 and 2 of the application form and then complete Part 3. Make a copy of the form for your records and send to NHS Pensions at the address below.

Confirmation of employment type:

Please select one of the following to indicate the member's employment type:

Primary Care:

- ☐ Salaried clinician
- ☐ Self-employed locum
- ☐ Partner

Secondary Care:

- ☐ Secondary Care Clinician

² The compensation policy does not cover any element of pension growth incurred due to accruals in the MPAVC scheme, Additional Pension purchased in 2019/20, contracts for half cost added years entered into in 2019/20, or contributions to another scheme. Pension growth resulting from added years purchases taken out prior to 2008 **is** covered.

I certify that the member, named in part 1, is clinically eligible for the 2019/20 Annual Allowance Charge Compensation Policy as they were:

- In pensionable employment, within NHS Wales, in a clinical role during 2019/20 that requires registration by a health care regulatory body, as listed in section 25(3) of the NHS Reform and Health Care Professions Act 2002.

Authorised signatory

Please print full name

EA

EA code

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Date

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Instructions for employing authorities returning the form to the NHSBSA:

Once the form has been authorised, please email a copy to the NHSBSA with the member name and SD Number in the subject header to nhsbsa.1920compensationschemeadmin@nhs.net

Further information about the 2019/20 Annual Allowance Charge Compensation Scheme is located on NHS Wales Employers website at: nhsconfed.org/NHSPensionsWales

How we use your information

The NHS Business Services Authority will use the information provided for administering the 2019/20 Annual Allowance Charge Compensation Policy. We may share your information with a relevant public body in order to administer and pay your 2019/20 Annual Allowance Charge Compensation Policy, or as required by law.

This could include the NHSBSA Loss and Fraud Prevention Team (LFP), Department of Health and Social Services in the Welsh Government, NHS Counter Fraud Services Wales and Wales Audit Office for the purposes of the prevention, detection, investigation and prosecution of fraud or any other unlawful activity affecting the NHS or the Compensation Scheme.

For more information about whom we share your information with and how long we keep your personal data and your rights, please visit our website at www.nhsbsa.nhs.uk/yourinformation

Guidance notes 2019/20 NHS pension annual allowance compensation scheme application form

We have written these guidance notes to help eligible clinicians³ complete the application form. This form constitutes the application for the 2019/20 pension annual allowance compensation scheme, in conjunction with submission of a scheme pays form for 2019/20, and employed clinicians being in receipt of a letter from the employer/practice which acts as a variation to their contract.

Please read the guidance notes carefully.

Information for clinicians

The form is for secondary care clinicians and for GPs. Dentists will complete their form via the Compass portal on NHS Dental services. If you are a GP the form will identify whether you were salaried, or a freelance GP locum or partner in 2019/20. We recognise that all of these could apply in any one year. We need a record of this information as the payment vehicle for those who are self employed is slightly different whilst delivering the same overall member benefit.

Part 1 About yourself

The form asks for basic information about each applicant:

- Name
- Title
- Address
- Date of birth
- Email address
- Telephone Number
- It also asks for your National Insurance number and your NHS Pension Scheme (NHSPS) member number.

If you think that the NHS Pension Scheme may not hold up to date information about you, it would also be useful to update your member record before you submit the form.

Part 2 Member declaration

In signing and dating the declaration members are demonstrating that they understand that the compensation scheme is only available for those who breach the annual allowance through their core contributions into the NHS Pension Scheme relating to the 2019/20 tax year, and that their application for scheme pays is on the basis of using any carry forward (if available) from previous tax years first before calculating the tax liability.

The Compensation Scheme does not cover any tax charge in relation to money purchase additional voluntary contributions (AVCs) and any additional pension purchased in 2019/20, including the growth in contracts taken out before 2019/20. Pension growth resulting from 'added years' purchases taken out prior to 2008 however will be covered under this policy.

³ An eligible clinician must be in active NHS clinical service during 2019/20 in a role that requires professional registration. They will have incurred a pension tax charge through breaching the annual allowance in 2019/20 with respect to the NHS Pension Scheme, and have applied to use scheme pays to settle the tax charge.

Members are also confirming that they understand that the information provided will be shared to make payments, to resolve disputes, and to prevent fraud.

Part 3 – Certification by the employing authority

What is an employing authority?

Organisations with membership of the NHS Pension Scheme are known as employing authorities.

Secondary care clinicians

For the purpose of this Compensation Scheme, the NWSSP will undertake the administration of certifying applications on behalf of the employing authorities for all secondary care clinicians as they already hold all the information about your clinical activity on behalf of the NHS in 2019/20 as well as managing pension administration on your behalf.

In certifying the form, the NWSSP is confirming that you have been employed during 2019/20 working in a clinical role which requires professional registration, and that you had that registration for 2019/20. They will also confirm the type of employment you have.

Primary care clinicians

The endorsement and confirmation of employment type will be carried out by Primary Care Services Wales (PCSW) for GPs and by NHS Dental Services for Dentists, as they already hold all the information about your clinical activity on behalf of the NHS in 2019/20 as well as managing pension administrative on your behalf.

NHS Dental Services will be providing an electronic form via the Compass portal for Dentists for complete.

All clinicians

Your application for the 2019/20 Pension Annual Allowance Charge Compensation Policy will be linked to your pension record by NHSBSA on receipt of your scheme pays election and the application form. This will ensure that payments under the policy can be triggered when you retire. **You should not submit the application form until you have submitted the scheme pays form.** When both forms have been submitted to NHSBSA will confirm that the claim form for the Compensation Policy has been received.

Information for employing authorities

For 2019/20 the Welsh Ministers have agreed that eligible clinicians providing services to NHS patients be offered compensation when they retire for any annual allowance tax charges incurred by them during that year arising from their contributions to the NHS Pension Scheme. Receipt of payments under the Compensation Scheme is contingent on the clinician using scheme pays to pay the tax charge. Payments will become due following retirement and will compensate the clinicians for any reduction in their pension through using scheme pays for 2019/20.

In addition to submitting a scheme pays application clinicians require an endorsement from their employing authority of their eligibility to apply for the compensation policy. This application form provides that endorsement.

The Application form

Parts 1&2

A clinician will ask you to sign the form once they have completed parts 1 and 2 of the form. Part 1 of the form captures some personal information, including National Insurance number and NHS Pension Scheme membership number.

You may wish to check that the National Insurance number is consistent with the one that you hold.

In part 2 the clinician is asked to confirm in signing the form that:

- the information on the form is correct;
- they have no unused annual allowance carry forward;
- they understand that the compensation will only be provided with respect to payments into the NHS Pension Scheme for 2019/20 linked to their core contributions⁴ into the scheme; and
- they understand that any information provided on the form will only be shared to make payments, to resolve disputes, and to prevent fraud.

Part 3 Main employing authority certification and declaration

Employers of secondary care clinicians

Where a clinician is an employee, NWSSP (acting on behalf of the employing authority) should confirm that the employee was a member of the NHSPS working in an active clinical role in 2019/20 in NHS Wales, and that they had the appropriate professional registration to carry out that role.

Please confirm the member's employment type, the name of the main employing authority and the relevant employing authority number to the form.

We recognise that clinicians may have a number of different employers and/or roles during 2019/20. Please provide the details of the employing authority where they carried out most of their pensionable clinical work to do this, or if they work for a single employer, the one who they were working for at the end of 2019/20.

After completing the form you should send it to the NHSBSA and make a copy for your records. As the compensation payments only take effect when a member retires, which may be many years in the future, it is important that you retain these forms, even though the employee could have left NHS Wales in the interim. NHSBSA may perform some random checks of applications, and therefore may ask you to confirm that you have a record of the application.

⁴ Any tax charge in relation to money purchase additional voluntary contributions (AVCs) and any Additional Pension purchased in 2019/20 including the growth in contracts taken out before 2019/20 will not be covered. Pension growth resulting from 'added years' purchases taken out prior to 2008 however will be covered under this policy.