

Breaches Report

Breach Number	Year	Date of Breach / Likely Breach	Failure Type	A description of the breach (including relevant dates), its cause and effect, including the reasons it is, or is not, believed to be of material significance	Been reported to tPR before	RAG Status	Report to tPR	Actions taken to rectify the breach. A brief descriptions of any longer term implications and actions required to prevent similar types of breaches recurring in the future
38	2018-19	19/5/18	Contributions	April contributions not received until 8/6/18 - 20 days late. Cause: Clerk on sick leave. Effect: Contributions have now been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.
39	2018-19	19/5/18	Contributions	April contributions not received until 8/6/18 - 20 days late. Cause: Clerk on sick leave. Effect: Contributions have now been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.
40	2018-19	22/6/18	Contributions	May contributions not received until 17/07/18 - 25 days late. Cause: Finance Officer left, person covering didn't realise payment was due. Effect: Contributions have now been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.
41	2018-19	22/6/18	Contributions	May contributions not received until 3/7/2018 - 11 days late. Cause: Premises has been closed to staff for the past 6 months as major renovation work going on, manager had to contact committee to make payment. Effect: Contributions have now been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.
42	2018-19	22/7/18	Contributions	June contributions not received until 30/7/18 - 11 days late. Cause: Clerk has left. Effect: Contributions have now been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.
43	2018-19	22/7/18	Contributions	June contributions not received until 30/7/18 - 11 days late. Cause: Clerk has left. Effect: Contributions have now been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.
44	2018-19	22/8/18	PSD	July (£2,383.33) Past Service Deficit payment not received until 26/09/2018 - 35 days late. Cause: Staff shortages due to annual leave. Effect: Contributions have now been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.
44	2018-19	22/9/18	PSD	August (£2,383.33) Past Service Deficit payment not received until 26/09/2018 - 4 days late. Cause: Staff shortages due to annual leave. Effect: Contributions have now been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.
45	2018-19	22/9/18	Contributions	August (£3,482.32) contributions payment not received until 27/09/2018 - 5 days late. Cause: Staff sickness. Effect: Contributions have now been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.
45	2018-19	22/9/18	Contributions	August (£2,875.55) contributions payment (by cheque) not received until 27/09/2018 - 8 days late. Cause: Payment missed from batch. Effect: Contributions have now been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.
46	2018-19	22/9/18	Contributions	August (£578.17) payment not received until 26.11.18 - 65 days late. Cause: Staff dispute as to who does payments. Effect: Contributions have now been received although using wrong employer rate (underpaying) and no PSD paid as yet	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.

47	2018-19	22/10/18	Contributions	September (£1,914.90) contributions payment not received until 5/11/2018 - 17 days late. Cause: Forgot to do payment. Effect: Contributions have now been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.
48	2018-19	22/10/18	PSD	September (£2,383.33) Past Service Deficit payment not received until 26/10/2018 - 4 days late. Cause: Staff shortages due to annual leave. Effect: Contributions have now been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.
49	2018-19	22/11/18	Contributions	October (£1,197.13) contributions payment not received until 28.11.18 - 6 days late. Cause: Payment missed. Effect: Contributions have now been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.
50	2018-19	22/1/19	Contributions	December 2018 contributions (£2,141.64) received 4.2.19 - 17 days late. Cause: Clerk emailed to say that she had a query with one employee's contributions and had to speak to pensions admin before making the payment. Effect: Contributions have now been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.
51	2018-19	22/1/19	PSD	Oct-Dec 18 PSD payment (£25) not received yet. Cause: New clerk has started since the last payment was received, she was unaware that a payment was due. Treasury and Pension admin team will assist her with any further queries. Effect: Payment expected shortly	No	Amber	No Report	There are no long term implications associated with this breach. Payment expected shortly.
52	2018-19	2018-19	PSD	No PSD payment received yet (£500 for year). Underpaying employer rate. Cause: Due to major refit at premises, issues with emails and communication in general. Effect: Payments expected shortly	No	Amber	No Report	Manager has spoken to accountants and committee members with these outstanding queries. Further email/telephone call will be actioned in early March if no payment has been received
53	2018-19	22/2/19	Contributions	January (£3,557.05) contributions payment not received until 18/04/2019 - 55 days late. Cause: Employer advised that there had been a delay in getting the signatories to process payments. Effect: Contributions have now been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.
54	2018-19	22/2/19	PSD	January 19 (£404) Past Service Deficit payment not received until 4/03/2019 - 10 days late. Cause: Finance Officer forgot to make payment. Effect: Contributions have now been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.
55	2018-19	22/3/19	Contributions	February (£3,339.85) contributions payment not received until 29/04/2019 - 38 days late. Cause: Employer advised that there had been a delay in getting the signatories to process payments. Effect: Contributions have now been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.
56	2018-19	22/4/19	Contributions	March (£3,122.65) contributions payment not received until 30/04/2019 - 8 days late. Cause: Employer advised that there had been a delay in getting the signatories to process payments. Effect: Contributions have now been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.

57	2018-19	19/4/19	Contributions	March (£8,704.35) contributions payment not received until 03/05/2019 - 14 days late. Cause: Clerk had issues due to change of payroll provider. Effect: Contributions have now been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.
58	2018-19	19/4/19	Contributions	March (£3,441.67) contributions payment not received until 26/04/2019 - 7 days late. Cause: Clerk on annual leave. Effect: Contributions have now been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.
59	2018-19	19/4/19	Contributions	March (£1,121.22) contributions payment not received until 26/04/2019 - 7 days late. Cause: Clerk on annual leave. Effect: Contributions have now been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.
60	2018-19	19/4/19	PSD	Remainder of 2018-19 Past Service Deficit (£50) received 31/05/2019 (19 days late). Cause: New Town Clerk appointed 1.2.19. Effect: Payment has now been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.
61	2018-19	2018-19	Contributions and PSD	The following are outstanding as at 31/3/19: £500 PSD for 2018-19; £222.59 underpayment of ERS for 2018-19; £804.42 underpayment of EES and ERS for 2017-18. Cause: Have had communication issues previously as major refit at premises. Accountant has contacted staff who are responsible for making payments on several occasions to request that the payments are made and to complete the remittance advices. Effect: Payments and remittances are still outstanding to date	No	Amber	No Report	Accountant will contact staff who are responsible for making payments.
62	2019-20	April, May and June 19	Automatic payment of refund after 5 years for post 2014 leavers	Members have been contacted requesting bank details in order to pay refunds, however, no reply has been received from the scheme members. April - 3 members & total refunds = £145.90, May - 5 members & total refunds = £126.58, June - 6 members and total refund = £64.55	No	Amber	No Report	The National Technical Group has recommended to the SAB that the regulations in respect of refunds is amended and reflects the position prior to April 2014.
63	2019-20	19/5/19	PSD	April 2019 PSD payment of £2,475 not yet received.	No	Amber	No Report	There are no long term implications associated with this breach. Awaiting reply to email.