

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
117	2022-23	22/4/22	Contributions	March payment of £693.45 not yet received. Finance Manager has been contacted by email.	No	Amber	No Report	Payment received 26.9.22
118	2022-23	22/4/22	Contributions	March qtr payment & paperwork not received yet. Clerk (only contributor) passed away in February 2022. Pensions Admin in contact with new clerk regarding paperwork.	No	Amber	No Report	There are no long term implications associated with this breach. Payment received 28.10.22
119	2022-23	April 2022, May 2022, June 2022	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 - 16 members & total refunds = £4374.47, May - 10 members & total refunds = £1821.48, June - 11 members & total refunds = £1883.03	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.
120	2022-23	22/5/22	Contributions	April payment & remittance not yet received. Finance Manager has been contacted by email.	No	Amber	No Report	Payment received 1.9.22
121	2022-23	22/6/22	Contributions	May payment & remittance not yet received.	No	Amber	No Report	Payment received 1.9.22
122	2022-23	22/7/22	Contributions	Remittance advices dated April-July have now been received. No payments received but are expected to be made by 19 August.	No	Amber	No Report	Payment received 1.9.22
123	2022-23	July 2022, August 2022	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. July - 21 members & total refunds = £2948.40, August - 27 members & total refunds = £8464.63	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.
124	2022-23	22/7/22	Contributions	June contributions of £185.54 received 8 days late. New Clerk in post, slight delay due to payment issues. Future payments will be made by Standing Order	No	Amber	No Report	There are no long term implications associated with this breach.
125	2022-23	22/8/22	Contributions	July contributions of £802.17 received 10 days late. April, May and June payments that were outstanding were received on the same date (1.9.22). March 22 payment still outstanding, email sent requesting that payment be made immediately.	No	Amber	No Report	Payment received 1.9.22
126	2022-23	22/9/22	Contributions	August contributions of £802.17 received 4 days late. March 22 payment received on the 26 September.	No	Amber	No Report	Payment received 26.9.22
127	2022-23	22/9/22	Contributions	August contributions of £4,725.38 received 6 days late. Finance person had IT issue with emails which resulted in the payment being made late.	No	Amber	No Report	There are no long term implications associated with this breach.
128	2022-23	22/10/22	Contributions	No paperwork or payment received for September contributions. Email has been sent to Finance Manager	No	Red	Yes	Ongoing discussions taking place. Report to The Pensions Regulator.
129	2022-23	September 2022, October 2022	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. September - 11 members & total refunds = £2190.02, October - 22 members & total refunds = £7315.25	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.
130	2022-23	22/11/22	Contributions	No paperwork or payment received for October contributions. Email has been sent to Finance Manager	No	Red	Yes	Ongoing discussions taking place. Report to The Pensions Regulator.
131	2022-23	22/12/22	Contributions	No paperwork or payment received for November contributions.	No	Red	Yes	Ongoing discussions taking place. Report to The Pensions Regulator.

132	2022-23	22/1/23	Contributions	No paperwork or payment received for December contributions.	No	Red	Yes	Ongoing discussions taking place. Report to The Pensions Regulator.
133	2022-23	22/1/23	Contributions	December contributions of £24,380.47 received 2 days late. Issue at bank with second authoriser approval which resulted in the payment being made late.	No	Amber	No Report	There are no long term implications associated with this breach.
134	2022-23	22/1/23	Contributions	December contributions of £518.84 received 1 day late. New finance officer thought monthly payment was made by standing order.	No	Amber	No Report	There are no long term implications associated with this breach.
135	2022-23	22/2/23	Contributions	No paperwork or payment received for January contributions.	No	Red	Yes	Ongoing discussions taking place. Report to The Pensions Regulator.
136	2022-23	November 2022, December 2022, January 2023, February 2023	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. November - 12 members & total refunds = £6214.68, December - 10 members & total refunds = £2914.10, January - 17 members & total refunds = £4376.92, February - 6 members & total refunds = £1948.39	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.
137	2022-23	22/3/23	Contributions	No paperwork or payment received for February contributions.	No	Red	Yes	Ongoing discussions taking place. Report to The Pensions Regulator.
138	2022-23	22/3/23	Contributions	February contributions of £1,550.34 received 6 days late. Payment not actioned by internal finance team.	No	Amber	No Report	There are no long term implications associated with this breach.
139	2022-23	22/4/23	Contributions	No paperwork or payment received for March contributions.	No	Red	Yes	Ongoing discussions taking place. Report to The Pensions Regulator.
140	2023-24	22/5/23	Contributions	No paperwork or payment received for April contributions.	No	Red	Yes	Ongoing discussions taking place. Report to The Pensions Regulator.
141	2023-24	22/5/23	Contributions	April contributions of £5,373.96 received 2 days late. Payment not actioned by finance team.	No	Amber	No Report	There are no long term implications associated with this breach.
142	2023-24	March 2023, April 2023, May 2023	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. March 2023 - 20 members & total refunds = £10211.91, April - 12 members & total refunds = £3294.38, May - 12 members & total refunds = £4924.85	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.