

Breaches Log

Breach Number	YEAR	QTR	Date of Breach / Likely Breach	Failure Type	Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		EDN Issued to LPB	LPB Responses
1	2015-16	JUN	24/04/2015	Year End Return	Late submission of year end return	The year end return (pension contributions made per employee during the year) was due to be submitted to the fund by 24/4/15 so that the information could be used to produce the Annual Benefit Statement per member. The employer did not submit the return until 1/10/15. Cause - the original request was not sent to the correct recipient (the email request is sent to a number of employers using bcc so it would not have been readily apparent which specific employer it was for). The intended employer, therefore, did not receive it. Effect - once the employer was made aware of the requirement they submitted the completed form. The contact details have been amended by the fund.	NO	Year end return due 24/4/15 and was received on 1/10/15	Green	NO	Pension Fund has amended the employer contact details	There are no long term implications. The original email was not received by the correct recipient but the contact details have now been amended.	20/10/2015	Approve	
2	2015-16	JUN	24/04/2015	Year End Return	Late submission of year end return	The year end return (pension contributions made per employee during the year) was due to be submitted to the fund by 24/4/15 so that the information could be used to produce the Annual Benefit Statement per member. The employer did not submit the return until 18/9/15. Cause - the employer said that they had not received the original (group) email request. Some smaller employers do have IT issues when receiving emails with attachments. The school was also closed over the summer so it was not possible to contact anyone to chase the form. Effect - once the employer was made aware of the requirement they submitted the completed form.	NO	Year end return due 24/4/15 and was received on 18/9/15	Green	NO	N/A	There are no long term implications. The original email was not received by the recipient but was sent to the correct email address.	20/10/2015	Approve	
3	2015-16	JUN	24/04/2015	Year End Return	Late submission of year end return	The year end return (pension contributions made per employee during the year) was due to be submitted to the fund by 24/4/15 so that the information could be used to produce the Annual Benefit Statement per member. The employer did not submit the return until 3/8/15. Cause - the employer had incorrectly assumed that the form did not require completion as the two active members had left during the year. Given the new CARE scheme from 1/4/15 the reporting requirements are different. Effect - once the employer was made aware of the requirement they submitted the completed form.	NO	Year end return due 24/4/15 and was received on 3/8/15	Green	NO	N/A	There are no active employees left in the fund for this employer so no future returns will be required.	20/10/2015	Approve	
4	2015-16	JUN	24/04/2015	Year End Return	Late submission of year end return	The year end return (pension contributions made per employee during the year) was due to be submitted to the fund by 24/4/15 so that the information could be used to produce the Annual Benefit Statement per member. The employer did not submit the return until 20/10/15. Cause - the employer had incorrectly assumed that the form did not require completion as the two active members had left during the year. Given the new CARE scheme from 1/4/15 the reporting requirements are different. Effect - once the employer was made aware of the requirement they submitted the completed form.	NO	Year end return due 24/4/15 and still not received	Green	NO	N/A	There are no active employees left in the fund for this employer so no future returns will be required.	20/10/2015	Approve	
5	2015-16	JUN	24/04/2015	Year End Return	Late submission of year end return	This employer has three separate contracts so is classed as three separate employers in the fund. The year end returns (pension contributions made per employee during the year) were due to be submitted to the fund by 24/4/15 so that the information could be used to produce the Annual Benefit Statement per member. The employer submitted the returns on 13/11/15. Cause - no explanation received by the employer. Effect - cannot produce the annual benefit statement for the members	NO	Year end return due 24/4/15 and still not received	Amber	Informal Report	TBC	The employer has not submitted the return despite several reminders. No explanation has been provided for the reason for the breach. Issue an informal report.	20/10/2015	Approve	
6	2015-16	SEP	22/05/2015 - 22/9/2015	Contributions	Late payment of contributions owed to the fund from Apr-15 onwards.	Contributions owed for Apr-15 to Aug-15 have not been paid to the fund. All payments relating to 2015/16 will be up to date by the end of January 2016. Cause - The requirement to pay contributions to the fund have not been met due to personal issues with the account manager at the employer. Effect - The employer has put someone else in charge of this responsibility and has agreed a payment plan with the fund to bring all overdue contributions up to date by the end of January 2016, with all monthly contributions from Oct-15 being paid on time from now on.	NO	Contributions due for Apr-Aug 15 have not been paid. The employer has agreed a payment plan to bring all contributions up to date by the end of January 2016. The first payment will be made on 22/10/15.	Amber	Informal Report	N/A	The employer has agreed a payment plan to bring all outstanding contributions up to date by the end of January 2016. An informal report will be issued to tPR and if there are any further breaches they will be reported as Red.	20/10/2015	Approve	
7	2015-16	SEP	22/05/2015	Contributions	Late payment of contributions owed to the fund for Apr-15	Contributions owed for Apr-15 were paid over to the fund on the 5th Jun 2015 (14 days late). Cause - This was due to the teething problems in setting up payments following the employer changing their payroll provider. Effect - The contributions were paid to the fund within a short period of time after the 22 May and the employer has since paid every subsequent month's contributions on time, indicating that the payroll provider's initial teething issues have since been resolved.	NO	Contributions for Apr 2015 were due on the 22/05/2015. They were paid to the fund in full on the 05/06/2015.	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion and all subsequent payments have since been made on time.	20/10/2015	Approve	
8	2015-16	SEP	22/05/2015	Contributions	Late payment of contributions owed for Apr-15	Contributions owed for Apr-15 were paid on the 22/07/2015 - 61 days late. Cause - Administration error on behalf of the employer - they were unaware the payment had been outstanding. Once it was identified the payment was made. Effect - the employer has paid all outstanding amounts to the fund, and as Councillors are no longer contributing, no further late payments can be made. There is no material effect on members as their contributions have been paid into the fund.	NO	Contributions for Apr 2015 were due on the 22/05/2015. They were paid to the fund on the 22/07/2015.	Green	NO	N/A	There are no long term implications associated with this breach - all payments have been received and no further payments will be made as the scheme is now closed to Councillor Members.	20/10/2015	Approve	
9	2015-16	SEP	22/05/2015	Contributions	Late payment of contributions owed to the fund for Apr-15	Contributions owed for Apr-15 were paid over to the fund on the 27th May 2015 (5 days late). Cause - Due to an Administration oversight - as soon as the employer were aware of the late payment they paid the monies over straight away. Effect - The contributions were paid to the fund within a short period of time after the 22 May and the employer has since paid every subsequent month's contributions on time.	NO	Contributions for Apr 2015 were due on the 22/05/2015. They were paid to the fund on the 27/05/2015.	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion and all subsequent payments have since been made on time.	20/10/2015	Approve	
10	2015-16	SEP	22/05/2015 & 22/06/2015	Contributions	Late payment of contributions owed for Apr and May 2015	Contributions owed for Apr and May 2015 were paid late on the 22/07/2015. Cause - The fund issued a monthly contribution form, for completion by the employer, however this contained the wrong employer contribution rate. A revised form was issued with the right rate in July. Effect - the employer has paid all outstanding amounts over to the fund, and has since paid all other monies owed on time. This has no material Effect on members as their contributions have been paid into the fund.	NO	Contributions for Apr 2015 were due on the 22/05/2015. They were paid to the fund on the 22/07/2015.	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on two occasions, however, all subsequent payments have since been made on time.	20/10/2015	Approve	
11	2015-16	SEP	22/05/2015	Contributions	Late payment of contributions owed to the fund for Apr-15	Contributions owed for Apr-15 were paid over to the fund on the 19th Jun 2015 (28 days late). Cause - Due to an administration oversight. Effect - The contributions were paid to the fund within one month after the 22 May and the employer has since paid every subsequent month's contributions on time.	NO	Contributions for Apr 2015 were due on the 22/05/2015. They were paid to the fund on the 19/06/2015. To date all other deadlines met.	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion and all subsequent payments have since been made on time.	20/10/2015	Approve	

Breach Number	YEAR	QTR	Date of Breach / Likely Breach		Failure Type	Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		
			EDN Issued to LPB	LPB Responses											
12	2015-16	SEP	22/05/2015		Contributions	Late payment of contributions owed to the fund for Apr-15	Contributions owed for Apr-15, due on the 22nd May 2015 were paid over to the fund on the 15th Jul 2015 (54 days late). Cause - Due to an administration oversight. Effect - The contributions have since been paid and the employer has since paid every subsequent month's contributions on time. Although this is a breach it is not considered to be of significance for the reasons above.	NO	Contributions for Apr 2015 were due on the 22/05/2015. They were paid to the fund on the 15/07/2015.	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion and all subsequent payments have since been made on time.	20/10/2015	Approve
13	2015-16	SEP	22/05/2015		Contributions	Late payment of contributions owed to the fund for Apr-15	Contributions owed for Apr-15 were paid over to the fund on the 19th June 2015 (28 days late). Cause - Due to an administration oversight. Effect - The contributions were paid to the fund within one month after the 22 May and the employer has since paid every subsequent month's contributions on time. Although this is a breach it is not considered to be of significance for the reasons above.	NO	Contributions for Apr 2015 were due on the 22/05/2015. They were paid to the fund on the 19/06/2015.	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion and all subsequent payments have since been made on time.	20/10/2015	Approve
14	2015-16	SEP	22/05/2015		Contributions	Late payment of contributions owed to the fund for Apr-15	Contributions owed for Apr-15 were paid over to the fund on the 29th May 2015 (7 days late). Cause - Due to an administration oversight. Effect - The contributions were paid to the fund within a short period of time after the 22 May and the employer has since paid every subsequent month's contributions on time.	NO	Contributions for Apr 2015 were due on the 22/05/2015. They were paid to the fund on the 29/05/2015.	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion and all subsequent payments have since been made on time.	20/10/2015	Approve
15	2015-16	SEP	22/05/2015		Contributions	Late payment of contributions for Apr, May, Jul and Aug 2015 were also paid late	Contributions owed for Apr 2015 were paid over to the Fund on 26/06/15 which is 35 days late. May 2015 contributions were paid on 29/06/15 which is 7 days late. July's contributions were paid on 24/08/15 which is 2 days late and the Aug 2015 contributions were paid on 12/10/15 which is 27 days late. Cause - This is a new employer into Fund and the Admission Agreement was signed mid-Apr. The employer could not make payments into the fund until they had a contribution form, which is not issued until the AA is signed. Therefore Apr and May 2015 contributions were late due to the delay signing the AA. July and August contributions were late due to an administration oversight. The August contributions were Effect - all contributions have now been paid and the employer is aware that all future payments should be received into the fund by the 22nd of the month.	NO	Contributions for April 2015 were due on 22/05/15. They were paid on 26/06/15. Mays contributions were due on 22/06/15 but they were paid on 29/06/15. July contributions were due on 22/08/15 but were paid on 24/08/15 and August contributions were due on 22/09/15 but were paid on 12/10/15.	Green	NO	N/A	There are no long term implications associated with this breach as all outstanding payments have been received and future payments should now be received on time.	20/10/2015	Approve
16	2015-16	SEP	22/06/2015		Contributions	Late payment of contributions for May 2015	Contributions owed for May 2015 were paid over to the Fund on 26/06/15 which is 4 days late Cause - Due to an administration oversight by the employer. Effect - The employer has paid all other contributions for 2015/16 on time.	NO	Contributions for May 2015 were due on 22/06/15. They were paid on 26/06/15.	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion and all subsequent payments have since been made on time.	20/10/2015	Approve
17	2015-16	SEP	22/06/2015		Contributions	Late payment of contributions for May 2015	Contributions owed for May 2015 were paid over to the Fund on 14/07/15 which is 22 days late. Cause - The breach was caused by an administration oversight. Effect - The employer was informed of the breach and paid over May's contributions on the same day and have paid all subsequent 2015/16 contributions on time.	NO	Contributions for May 2015 were due on 22/06/15. They were paid to the fund on 14/07/15.	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion and all subsequent payments have since been made on time.	20/10/2015	Approve
18	2015-16	SEP	22/06/2015		Contributions	Late payment of contributions for May 2015	Contributions owed for May 2015 were paid on 28.09.15. Cause - The employer has confirmed their BACS payment was not processed due to a fault when they changed banks. Effect - The employer has paid all other contributions for 2015/16 on time.	NO	Contributions for May 2015 were due on 22/06/15. They were paid on 28/9/2015	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion and all subsequent payments have since been made on time.	20/10/2015	Approve
19	2015-16	SEP	22/06/2015		Contributions	Late payment of contributions for May 2015	Contributions owed for May 2015 were paid over to the Fund on 25/06/15 which is 3 days late. Cause - Due to an administration oversight by the employer. Effect - The employer has paid all other contributions for 2015/16 on time.	NO	Contributions for May 2015 were due on 22/06/15. They were paid on 25/06/15.	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion and all subsequent payments have since been made on time.	20/10/2015	Approve
20	2015-16	SEP	22/06/2015		Contributions	Late payment of contributions for May 2015	Contributions owed for May 2015 were paid over to the Fund on 13/07/15 which is 21 days late. Cause - The employer submitted their May contributions late due to a problem with their bank. Effect - The employer has paid all subsequent contributions for 2015/16 on time therefore the problem with their bank has been resolved.	NO	Contributions for May 2015 were due on 22/06/15. They were paid to the fund on 13/07/15	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion and all subsequent payments have since been made on time.	20/10/2015	Approve
21	2015-16	SEP	22/06/2015 - 22/8/2015		Contributions	Late payment of contributions for Apr-Jul 2015	Contributions owed for Apr-Jul 15 were paid over to the Fund on 08/09/15. The contributions for each month were late (Apr 110 days, May 80 days, Jun 49 days, Jul 18 days). Cause - This is a new employer into the Fund and the Admission Agreement was signed mid May. As they were a new employe the process for making deductions was not finalised in time to pay the contributions by the due date. Effect - The employer has since paid the outstanding amounts in full, and September contributions have been paid on time.	NO	Contributions for Apr to Jul 15 were received on 8/9/15.	Green	NO	N/A	The employer has paid the overdue contributions to the fund.	20/10/2015	Approve
22	2015-16	SEP	22/07/2015		Contributions	Late payment of contributions for Jun 2015	Contributions owed for Jun 2015 were paid over to the Fund on 24/07/15 which is 2 days late. Cause - Due to an administration oversight by the employer. Effect - The employer has paid all other contributions for 2015/16 on time.	NO	Contributions for Jun 2015 were due on 22/07/15. They were paid on 24/07/15.	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion and all subsequent payments have since been made on time.	20/10/2015	Approve
23	2015-16	SEP	22/5/2015 and 22/6/2015		Contributions	Late payment of contributions owed to the fund from Apr-May 2015	Contributions owed for Apr-May-15 have yet to be paid over to thr fund. Cause - The members of the pension fund employed at the Catering Academies were TUPE'd across at the beginning of Mar-15, but as the admissions agreement wasn't signed until June the employer did not deduct any contributions from the members. The employer is currently taking back pay from each member, which is being paid over monthly. Effect - The outstanding contributions are being taken monthly with a view to being paid in full by the end of the financial year.	NO	Contributions for Apr and May 2015 were due on 22/5/2015 and 22/6/2015 respectively.	Green	NO	N/A	There are no long term implications associated with this breach. The employer has paid contributions on time since June.	20/10/2015	Approve
24	2015-16	SEP	22/06/2015		Contributions	Late payment of contributions owed for May 2015	Contributions owed for May 2015 were paid over to the Fund on 23/06/15 which is 1 day late Cause - Due to an administration oversight by the employer. Effect - The employer has paid all other contributions for 2015/16 on time.	NO	Contributions for May 2015 were due on 22/06/15. The payment was received on 23/06/15.	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion and all subsequent payments have since been made on time.	20/10/2015	Approve

Breach Number	YEAR	QTR	Date of Breach / Likely Breach		Failure Type	Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		
			EDN Issued to LPB	LPB Responses											
25	2015-16	SEP	22/08/2015		Contributions	Late payment of contributions for period Apr - Jul 2015	Contributions owed for Apr to Jul 15 were paid over to the Fund on 21/09/15 which was late for each of the 4 months (No days late Apr 123, May 92, Jun 62 days and Jul 31). Cause- This is a new employer into Fund and the Admission Agreement (AA) was not signed until mid-July. The employer could not make payments into the fund until they had a contribution form, which is not issued until the AA is signed. Effect - The employer has since paid the outstanding amounts in full and have made subsequent payments on time. This has no material Effect on members as their contributions have now been paid into the fund.	NO	Contributions for Apr to Jul 15 were paid on 21/09/15.	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid the contributions as soon as they as they could after the admission agreement was signed and subsequent contributions have been received on time.	20/10/2015	Approve
26	2015-16	SEP	22/08/2015		Contributions	Late payment of contributions owed from Apr to Jul 2015	Contributions owed from Apr to Jul 2015 were paid over to the fund on the 22/09/15 which was late for each of the 4 months (No days late Apr 124, May 93, Jun 63 days and Jul 32). Cause - Bulloughs - Lymm are a new employer, and the admission agreement was not signed until mid-July 2015. AThe employer could not make payments into the fund until they had a contribution form, which is not issued until the AA is signed. Effect - The employer has since paid the outstanding amounts in full and have made subsequent payments on time. This has no material Effect on members as their contributions have now been paid into the fund.	NO	Employer signed the admission agreement mid-July 2015, so the contributions were expected to be paid in full on the 22/08/15. They were actually received on the 22/09/15.	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid the contributions as soon as they as they could after the admission agreement was signed and subsequent contributions have been received on time.	20/10/2015	Approve
27	2015-16	SEP	22/08/2015		Contributions	Late payment of contributions owed for Jul 2015	Contributions owed for Jul 2015 were paid over to the Fund on 26/08/15 which is 4 days late Cause- This employer pays by cheque. The cheque was posted to the fund in early August but was not received by the fund until 26/8/15. This delay was not the fault of the employer. Effect- The employer has paid all other contributions for 2015/16 on time.	NO	Contributions for Jul 2015 were due on 22/08/15. The cheque was received on 26/08/15.	Green	NO	N/A	There are no long term implications associated with this breach. The cheque for one of the months was received 4 days late but was due to issues with the post and not a fault of the employer. All subsequent payments have since been received on time.	20/10/2015	Approve
28	2015-16	SEP	22/08/2015		Contributions	Late payment of contributions owed for July 2015	Contributions owed for July 2015 were paid over to the Fund on 10/09/15 which is 19 days late. Cause- This employer pays by cheque. The employer issued the cheque within the deadline, however, it was not received by the fund (lost in the post) so the employer reissued the cheque, which was received on 10/09/15. Effect- The employer has paid all other contributions for 2015/16 on time.	NO	Contributions for July 2015 were due on 22/08/15. The cheque was received on 10/09/15.	Green	NO	N/A	There are no long term implications associated with this breach. The employer issued a cheque for the contributions on time but this was lost in the post so they had to re-issue. The re-issued cheque was therefore, received after the deadline.	20/10/2015	Approve
29	2015-16	SEP	31/08/2015		ABS	Failure to issue the Active Annual Benefit Statements (ABS) by the statutory deadline of 31 Aug	The Active ABS statements were not issued by the 31 Aug deadline. Cause This was due to a combination of the introduction of the new administration system, which did not have year-end calculation processes available until mid-May, thereby delaying the processing of year-end returns by 4 weeks, and following the introduction of the CARE scheme, employers had to submit different information than in prior years. This resulted in the returns being submitted to the fund late and also containing considerable inaccuracies which required resolving before they could be loaded into the system. Effect There is no effect to members as they are actually receiving their ABS 6 weeks earlier than they did in 2014. The breach relates solely to the missed deadline of 31 Aug. 85% of the statements will be issued on 16 September with a mop up exercise for the remaining 15% to be completed by the end of 2015. The 15% relate to employers where there are outstanding queries with the data which need to be resolved before the information can be used to produce the ABS. The 85% is comparable with percentage of statements issued as part of the main exercise in previous years. Although this is a breach it is not considered to be of material significance to tPR because it occurred as a direct result of teething problems following the introduction of a new administration database and the new scheme, and appropriate action has been taken to rectify the breach (i.e. 85% of the statements have been issued 16 days after the deadline).	NO	ABS due to be issued by 31 Aug. 85% will be posted on 16th Sep with the remaining 15% sent by the end of 2015	Green	NO	N/A	There are no long term implications associated with this breach. The majority (85%) of statements have now been issued with the remainder due to be issued by the end of 2015 (the percentage of statements issued in the main exercise is comparable with prior years). This breach was caused by a unique set of circumstances, linked specifically to the introduction of a new pensions database and the new CARE scheme, which will not be replicated in future years. Therefore, this type of breach should not occur again in future.	20/10/2015	Approve
30	2015-16	SEP	22/09/2015		Contributions	Late payment of contributions owed for August 2015	Contributions owed for August 2015 were paid over to the fund on the 08/10/2015, 16 days late Cause - the employer has explained it was an administrative error as they did not realise the monies hadn't been sent across. As soon as this was identified a same day payment was made so as to minimise further delays. Effect - The employer has paid all other contributions for 2015/16 on time therefore this breach it is not considered to be of significance for the reasons above.	NO	Contributions were due on the 22nd August, and were paid on the 8th October.	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion but all previous payments have been made on time.	20/10/2015	Approve
31	2015-16	Dec	22/10/2015		Contributions	Late payment of contributions owed for September 2015	Contributions owed for September 2015 were paid over to the fund on the 26/10/2015, 4 days late Cause - The were insufficient signatories available to sign off Septembers payment. The employer will amend their processes to ensure that future contributions are received on time. Effect - The employer has paid all other contributions for 2015/16 on time.	NO	Contributions were due on the 22nd October, and were paid on the 26th October 2015.	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion but all previous payments have been made on time.	12/11/2015	Approve
32	2015-16	Dec	22/10/2015		Contributions	Late payment of contributions owed for September 2015	Contributions owed for September 2015 were paid over to the fund on the 23/10/2015, 1 day late. This employer has previously breached on 22/06/15 (Breach 19) where the May contributions were 3 days late. Cause - The was a short term shortfall of cash which delayed making the payment and no signatories were available which caused further difficulties. The employer had confirmed that both issues have now been resolved. Effect - The employer has paid their contributions for 2015/16 on time apart their May payment which was 3 days late and the issues which caused the previous 2 breaches have now been resolved.	YES	Contributions were due on the 22nd October, and were paid on the 23rd October 2015.	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on two occasions, albeit by a small number of days, however all other payments have been made on time.	12/11/2015	Approve
33	2015-16	Dec	22/10/2015		Contributions	Late payment of contributions owed for September 2015	Contributions owed for September 2015 were paid over to the fund on the 23/10/2015, 1 day late Cause- Due to an administration oversight by the employer. Effect- The employer has paid all other contributions for 2015/16 on time.	NO	Contributions were due on the 22nd October, and were paid on the 23rd October 2015.	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion but all previous payments have been made on time.	12/11/2015	Approve
34	2015-16	Dec	22/11/2015		Contributions	Late payment of contributions owed for October 2015	Contributions owed for October 2015 were paid over to the fund on the 24/11/2015, 2 days late Cause- Due to a change in staff at the employer this payment was received late. The employer has confirmed that this was teething issue as a result of the change in staff which is now resolved and there should not be any further breaches in future. Effect- The employer has paid all other contributions for 2015/16 on time.	NO	Contributions were due on the 22nd November, and were paid on the 24th November 2015.	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion but all previous payments have been made on time.	15/12/2015	Approve

Breach Number	YEAR	QTR	Date of Breach / Likely Breach		Failure Type	Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		
			EDN Issued to LPB	LPB Responses											
35	2015-16	Dec	19/11/2015		Contributions	Late payment of contributions owed for October 2015	Contributions owed for October 2015 were paid over to the fund on the 23/11/2015 by cheque, 4 days late. This employer has a similar previous breach (see breach 27). Cause- The employer confirmed that the cheque was posted on 09/11/15, so it appears to be a postal error which has caused the delay. The employer will ensure that all cheques continue to be sent in a timely manner to the Fund. The internal postal system for the Council will add further delay to the cheque being received. Effect- The employer has previously paid their July contributions late, see breach 27 but all other contributions were paid on time. There are no instances of non-payment by the employer	YES	Contributions were due on the 19th November by cheque, and were paid on the 23rd November 2015.	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on two occasions, albeit by a small number of days, however all other payments have been made on time.	15/12/2015	Approve
36	2015-16	Dec	22/10/2015		Contributions	Late payment of contributions owed for July and August 2015	Contributions owed for July and August 2015 have not yet been paid to the Fund. As this was a new employer, contributions were due to be paid from 22/10/15. Cause- This employer officially joined the Fund dated 20/07/15, however, the necessary paperwork to set them up as an employer was not completed until the end of September 2015. One employee was working for the employer from July, however, as they had not been set up in the fund the deductions had not been made. The employer has confirmed that the July and August contributions will be paid up to date in January 2016. Effect- The employer has paid all contributions from July 2015 on time	NO	Contributions were due on the 22nd October for July and August but awaiting payment	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion but all subsequent payments have been made on time. The employer has confirmed that the outstanding contributions will be paid in January 2016.	15/12/2015	Approve
37	2015/16	Dec	08/12/2015		Administration	Late Notification of deferred Benefits	Under the Disclosure Regulations any deferred leaver should be notified of their deferred benefit options within two months of the fund receiving the leaver information from the employer. Due to the backlog of casework in the fund these deadlines have not been met for c1,500 deferred members. Cause The backlog has occurred through a combination of the introduction of the new administration system and the introduction of the New LGPS and the requirement for resources to be prioritised on cases where an immediate payment is required. An increase in the numbers of deferred pensioners who have left employment through reorganisations in recent months has also had an impact. Effect although this is a breach we do not count this as material as the information is not critical when making future decisions and where a deferred member reaches retirement age their calculation will be completed at that point. This is a national issue and funds across the LGPS.	NO		Green	NO	N/A	The new administration system is now fully functional allowing the calculation of deferred benefits to be completed in a shorter timeframe. The fund is also increasing resources to reduce the backlog.	15/12/2015	Approve
38	2015/16	Dec	22/12/2015		Contributions	Late payment of contributions owed for November 2015	Contributions owed for November 2015 were paid over to the Fund on 31/12/15 which is 9 days late. This employer has previously breached on 22/05/15 (Breach 15) Cause- Their payroll is completed by an external body who post the information to the employers Head Office prior to payment. The employer is based in Ireland and there was a postal strike over the payment period which resulted in the delay. Effect- The employer has now made arrangements to pay future contributions by direct debit to avoid any future breaches.	YES	Contributions were due on the 22nd December and were paid to the Fund on 31st December 2015	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on two occasions, albeit by a small number of days, however all other payments have been made on time and the employer has now set up a direct debit for all future payments.	29/01/2016	Approve
39	2015/16	Dec	22/12/2015		Contributions	Contributions for November 2015 haven't been paid to the Fund	Contributions owed for November 2015 were paid to the fund on the 14th January, 23 days late. Cause - The delay was due to an administrative error within their payments department Effect - The employer has introduced additional steps to prevent any further breaches.	NO	Contributions were due on the 22nd December and were paid on the 14th January 2016	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion and has introduced additional steps to prevent any further breaches.	29/01/2016	Approve
40	2015/16	Jan		22/01/2016	Contributions	Late payment of contributions owed for December 2015	Contributions owed for December 2015 were paid over to the Fund on 27/01/16 which is 5 days late. Cause- There was an internal system error therefore Decembers contributions were showing as paid although no physical payment had been made. Effect- The employer has confirmed that the system error has now been resolved and have paid all other contributions for 2015/16 on time.	NO	Contributions were due on the 22nd January 2016 and were paid on the 27th January 2016	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion due to a system error which has now been resolved.	09/02/2016	Approve
41	2015/16	Jan	22/12/2016		Contributions	Late payment of contributions owed for November 2015	Contributions owed for November 2015 were paid over to the Fund on 01/02/16 which is 41 days late. Cause- The employer sent a cheque for their November contributions on 15/11/15 but it never reached the Fund because of postal issues. However, as the employer typically pay their contributions in advance it was assumed that the payment following the missing cheque was for the month of November when in fact it related to December. The employer issued a replacement cheque for the November payment as soon as it became apparent that the first cheque had not reached the fund. Effect- The employer has paid all other contributions for 2015/16 on time	NO	Contributions were due on the 22nd December 2015 and were paid on the 01st February 2016	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion due to issues with the postal system.	09/02/2016	Approve
42	2015/16	Jan	22/01/2016		Contributions	Late payment of contributions owed for December 2015	Contributions owed for December 2015 were paid over to the Fund on 01/02/16 which is 10 days late. Cause - The employer paid late due to an administrative oversight. Effect- The employer is setting up a standing order for future payments so there should not be any recurrence.	NO	Contributions were due on the 22nd January 2016 and were paid on the 1st February 2016	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion and is arranging a standing order for future payments.	09/02/2016	Approve
43	2015/16	Jan	01/08/2014		Overpayment	Incorrect pension element added via 3rd party pay provider	Overpayment of pension. Cause - The fund issued an amendment form to the payroll provider for pension to be reduced in August 2014, the figures were amended but on the incorrect pension element, resulting in an overpayment. Overpayment period was Aug 14 to Jan 16 and amounts to £4,049.94. Effect - The overpayment is being recovered from pension benefits at a rate of £20.88 per month, the amount is low due to the pensioners financial hardship, the pensioner will be contacted annually to see if payments can increase. Any balance to be deducted from death grant if applicable.	NO	Overpaid Pension August 2014 to January 2016	Green	NO	N/A	Due to a change in the admin system, a report to reconcile between the pension and payroll system was not available. This has now been developed and produced quarterly so errors of this nature will be picked up in a more timely manner making it easier to recover the overpayment in future.	16/03/2016	Approve
44	2015/16	Jan	01/08/2014		Overpayment	Incorrect pension element added via 3rd party pay provider	Overpayment of pension. Cause - The fund issued an amendment form to the payroll provider for pension to be reduced in August 2014, the figures were amended but on the incorrect pension element, resulting in an overpayment. Overpayment period was Aug 14 to Dec 15 and amounts to £4,512.69. Effect - The overpayment is recovered from pension benefits at a rate of £106 per month.	NO	Overpaid Pension August 2014 to December 2015	Green	NO	N/A	Due to a change in the admin system, a report to reconcile between the pension and payroll system was not available. This has now been developed and produced quarterly so errors of this nature will be picked up in a more timely manner making it easier to recover the overpayment in future.	16/03/2016	Approve
45	2015/16	Jan	01/09/2014		Overpayment	Incorrect pension element added via 3rd party pay provider	Overpayment of pension. Cause - The fund issued amendment form was issued to the payroll provider for an information only pay element to be added to a members pension record, it was added to a payable element in error, resulting in an overpayment. Overpayment period was Sept 14 to Jan 16 and we are awaiting the overpayment amount from our pay provider. Effect - The payroll provider is in contact with the pensioner to resolve a recovery plan.	NO	Overpaid August 2014 to January 2016	Green	NO	N/A	Due to a change in the admin system, a report to reconcile between the pension and payroll system was not available. This has now been developed and produced quarterly so errors of this nature will be picked up in a more timely manner making it easier to recover the overpayment in future.	16/03/2016	Approve

Breach Number	YEAR	QTR	Date of Breach / Likely Breach		Failure Type	Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		EDN Issued to LPB	LPB Responses
46	2015/16	Jan	01/09/2015		Overpayment	3rd party payroll provider failed to stop paying dependant pension	Overpayment of dependant pension. Cause - The payroll provider was instructed that the pension should cease on 10/09/2015, however, the instruction was not actioned until Feb 16 resulting in an overpayment for the period Sept 15 to Feb 16 amounting to £2,155.05. Effect - The dependant pensioner is aware of the overpayment and is liaising with our payroll provider regarding a recovery plan.	NO	Overpaid September 2015 to February 2016	Green			Due to a change in the admin system, a report to reconcile between the pension and payroll system was not available. This has now been developed and produced quarterly so errors of this nature will be picked up in a more timely manner making it easier to recover the overpayment in future.	16/03/2016	Approve	
47	2015/16	Jan	22/02/2016		Contributions	Late payment of contributions owed for January 2016	Contributions owed for January 2016 were paid over to the Fund on 23/02/16 which is 1 day late. Cause - Due to an Admin Oversight Effect - The employer paid all other 2015/16 contributions on time and has introduced measures to prevent recurrence.	NO	Due 22/02/2016 payment received on 23/02/2016	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion due to a administrative oversight and has implemented measures to prevent recurrence.	16/03/2016	Approve	
48	2015/16	Jan	22/02/2016		Contributions	Late payment of contributions owed for January 2016	Contributions owed for January 2016 were paid over to the Fund on 23/02/16 which is 1 day late. Cause - Due to an Admin Oversight Effect - The employer paid all other 2015/16 contributions on time.	NO	Due 22/02/2016 payment received on 23/02/2016	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion due to a administrative oversight and has implemented measures to prevent recurrence.	16/03/2016	Approve	
49	2015/16	Feb and Mar	22/03/2016 & 22/4/16		Contributions	Late payment of contributions owed for February and March 2016	Contributions owed for February 2016 were not received until the 18/04/16 (27 days late) and contributions owed for March 2016 were not received until the 3/5/16 (11 days late) . This employer previously had a similar breach in December (Breach number 34) Cause - the late payments were due to the fact that the employer had a change of personnel. Effect - The contributions have now been paid in full and the employer has provided assurance that systems have been put in place to avoid future breaches.	YES	Due 22/03/2016 Payment not received as at 18/04/2016 and Due 22/4/16 not received until 3/05/16	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on three occasions, however, the contributions have now been received, the employer has explained the reasons for the breach and they have provided assurance that systems have been amended to prevent further recurrence.	17/05/2016	Approve	
50	2015/16	Feb	22/03/2016		Contributions	Late payment of contributions owed for February 2016	Contributions owed for February 2016 were paid into the fund on 30/03/2016 (8 days late) Cause - This was due to an administrative error of having two payments available on their system at the same time and the wrong one being selected for payment. This meant that the March payment was received early and the February payment was received late. Effect - The employer paid all other contributions on time and has implemented procedures to prevent recurrence.	NO	Due 22/03/2016 payment received on 30/03/2016	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion due to a administrative oversight and has implemented measures to prevent recurrence.	17/05/2016	Approve	
51	2015/16	Feb	22/03/2016		Contributions	Late payment of contributions owed for February 2016	Contributions owed for February 2016 were paid into the fund on 24/03/2016 (2 days late) Cause - Due to an admin oversight Effect - The employer has paid all other contributions on time	NO	Due 22/03/2016 payment received on 24/03/2016	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion due to a administrative oversight and has implemented measures to prevent recurrence.	17/05/2016	Approve	
52	2015/16	Feb and Mar	22/03/2016 & 22/4/16		Contributions	Late payment of contributions owed for February and March 2016	Contributions owed for February 2016 were paid into the fund on 24/03/2016 (2 days late) and contributions owed for March 2016 were paid into the fund of 26/4/16 (4 days late). This employer previously had a similar breach in August 2015 (Breach number 6) which resulted in an Amber report to the Regulator. Cause - Due to an admin oversight. Effect - Although the contributions were late they were received within 2 and 4 days of the deadline and so it is not considered material. All other contributions for the year were paid on time.	YES	Due 22/03/2016 payment received on 24/03/2016	Green	NO	N/A	Although the employer has paid late on a number of occasions the payments have all been received within a few days of the deadline and therefore, they are not considered material.	17/05/2016	Approve	
53	2015/16	Feb and Mar	22/03/2016 & 22/4/16		Contributions	Late payment of contributions owed for February 2016	Contributions owed for February 2016 were paid into the fund on 24/03/2016 (9 days late) and contributions owed for March 2016 were paid into the fund on 27/4/16 (5 days late). This employer has one previous breach which was in Jun-15 (Breach 22) Cause - Due to an admin oversight Effect - All other contributions were paid on time.	YES	Due 22/03/2016 payment received on 31/03/2016	Green	NO	N/A	Although the employer has paid late on two occasions the payments have all been received within a few days of the deadline and therefore, they are not considered material.	17/05/2016	Approve	
54	2015/16	Mar	22/04/2016		Contributions	Late payment of contributions owed for March 2016	Contributions owed for March 2016 were paid into the fund on 26/04/2016 (4 days late). Cause - Due to an admin oversight following a change in personnel. Effect - All other contributions were paid on time.	NO	Due 22/04/2016 payment received on 26/04/2016	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion due to a administrative oversight following a change in personnel.	17/05/2016	Approve	
55	2016/17	Apr	22/05/2016		Contributions		Contributions owed for April 2016 were paid into the fund on 23/05/2016 (1 day late). Cause - Due to an administrative oversight Effect - Although the contributions were received after the deadline they were only 1 day late and so would not be considered material by the Regulator.	YES	Due 22/05/2016 payment received on 23/05/2016	Green	NO	N/A	The Employer has received a further letter reminding them of their responsibility to pay contributions income in line with Scheme Regulations.	14/06/2016	Approve	
56	2016/17	Apr	22/05/2016		Contributions		Contributions owed for April 2016 were paid into the fund on 25/05/2016 (3 days late). Cause - There was a slight delay in April's payment due to an internal banking issue. Effect - Although the contributions were received late into the Fund, they were only 3 days late and the employer has confirmed that they have introduced improvements to prevent further breaches.	NO	Due 22/05/2016 payment received on 25/05/2016	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion due to an internal banking issue and has implemented measures to prevent recurrence.	14/06/2016	Approve	
57	2016/17	Apr	22/05/2016		Contributions		Contributions owed for April 2016 were paid into the fund on 23/05/2016 (1 day late). Cause - Due to an administrative oversight. Effect - Although the contributions were received after the deadline they were only 1 day late and so would not be considered material by the Regulator.	YES	Due 22/05/2016 payment received on 23/05/2016	Green	NO	N/A	The Employer has received a further letter reminding them of their responsibility to pay contributions income in line with Scheme Regulations.	14/06/2016	Approve	
58	2016/17	Apr	22/05/2016		Contributions		Contributions owed for April 2016 were paid into the fund on 01/06/2016 (10 days late). This employer previously breached on one other occasion in Sep-15 (Breach no. 16) Cause - The payment was late due to a combination of factors including a change in personnel and a new financial system. Effect - The financial system is now fully functional the process for checking and releasing payments has been updated.	YES	Due 22/05/2016 payment received on 01/06/2016	Green	NO	N/A	The employer did pay late, however, this was due to teething problems following a change in personnel and the implementation of a new financial system	14/06/2016	Approve	
59	2016/17	Apr	22/05/2016		Contributions		Contributions owed for April 2016 were paid into the fund on 31/05/2016 (9 days late). Cause - Although the Employer joined the Fund with effect from 1 April 2016, they did not receive the Welcome pack from the Fund until 09/05/2016. The welcome pack includes the contribution form and bank details allowing the employer to set up the payments. The delay in issuing the welcome pack was as a result of outstanding staffing queries relating to the set-up of the employer Effect - Even though the employer didn't receive the welcome pack until the 9th May they still managed to pay the April contributions by the 31 May.	NO	Due 22/05/2016 payment received on 31/05/2016	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion due to a timing of receiving the welcome pack.	14/06/2016	Approve	

Breach Number	YEAR	QTR	Date of Breach / Likely Breach		Failure Type	Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		EDN Issued to LPB	LPB Responses
60	2016/17	Apr					Contributions owed for April 2016 were paid into the fund on 03/06/2016 (12 days late). Cause - This breach occurred as a result of the usual staff member responsible for payment being on leave and the corresponding contact in their payroll department being unavailable due to a bereavement. Effect - As soon as the staff member returned from leave and noticed the monies had not been paid they processed an immediate payment..	NO	Due 22/05/2016 payment received on 03/06/2016	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion due to a combination of circumstances.	14/06/2016	Approve	
61	2016/17	May					Failure of the Fund to notify members (or their representative) of a transfer value Cause - This breach has occurred due to late notification of revised transfer factors from the Government Actuaries Department. This was further compounded by a delay in updates being made to the Administration system (with Valuation and Annual Benefit Statement work taking priority). Effect - Once the new transfer factors are updated, the backlog will be addressed. The delay will not prevent the member by transferring their accrued benefits it is simply a delay in the timing of the transfer	NO	Due 1/5/2016	Green	NO	N/A	There are no long term implications associated with this breach	25/07/2016	Approve	
62	2016/17	May	22/05/2016	Contributions			Contributions owed for May were paid into the fund on 1/7/2016, 9 days late. Cause - The employer confirmed that they have recently changed payroll provider which has resulted in the delay. Effect - The contributions have now been received. The employer has paid on time on all other occasions.	NO	Due 22/06/2016, payment received on 1/7/2016	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion due to a change in payroll provider.	25/07/2016	Approve	
63	2016/17	May	22/06/2016	Contributions	Late payment of contributions owed for May 2016		Contributions owed for May were received by the Fund on the 1/7/16, 9 days late. Cause - The employer confirmed that they have recently changed payroll provider which has resulted in the delay. Effect - The contributions have now been received. The employer has paid on time on all other occasions.	NO	Due 22/06/2016, payment received on 1/7/2016	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion due to a change in payroll provider.	25/07/2016	Approve	
64	2016/17	June	22/07/2016	Contributions	Late payment of contributions owed for June 2016		Contributions owed for June were received by the Fund on the 25/7/16, 3 days late. The employer had similar breaches on 2 previous occasions (Breaches 6 and 52) Cause - Due to sickness absence for a key member of staff. Effect - The contributions have now been received.	YES	Due 22/07/2016, payment received on 25/07/2016	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on a number of occasions all contributions due have been received.	18/08/2016	Approve	
65	2016/17	June	22/07/2016	Contributions	Late payment of contributions owed for June 2016		Contributions owed for June were received by the Fund on the 29/7/16, 7 days late. The employer has 2 previous breaches (Breaches 27 and 35) which both related to postal errors. Cause - This breach was due to an admin oversight. Effect - The contributions have now been received.	YES	Due 22/07/2016, payment received on 29/07/2016	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on a number of occasions all contributions due have been received.	18/08/2016	Approve	
66	2016/17	June	22/07/2016	Contributions	Late payment of contributions owed for June 2016		Contributions owed for June have not yet been received by the fund as at 17/08/2016 - This is now 27 days Late. Employer has recently changed accounts team. Cause - This is due to teething problems with the employer changing Accountants and Payroll provider. All issues will be resolved w/c 22 August. Effect - The employer has confirmed that the payment will be resolved w/c 22 August and each payment thereafter will be on time.	YES	Due 22/07/2016 and will be paid w/c 22/08/2016	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on one occasion this was due to teething problems with changing Accountant and Payroll provider.	18/08/2016	Approve	
67	2016/17	July	22/08/2016	Contributions	Late payment of contributions owed for July 2016		Contributions owed for July have not yet been received by the fund as at 05/09/2016 - This is now 14 days Late. Employer has recently changed Payroll Provider. The employer had a similar breach previously (Breach No 54) Cause - There is an issue with the payroll provider as they had paid the funds to the wrong organisation. The Employer has chased the payroll provider to correct the mistake and pay the monies to the Fund. Effect - The employer has confirmed that the payment will be made as soon as possible and the issue will be raised with the payroll provider formally in order to avoid repeat breaches.	YES	Due 22/08/2016 payment not yet received.	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one prior occasion due to an administrative oversight following a change in personnel. The current breach is due to an error by the payroll provider and would have been resolved earlier if the Employer contact had not been on leave.	06/09/2016	Approve	
68	2016/17	July	22/08/2016	Contributions	Late payment of contributions owed for July 2016		Contributions owed for July were paid into the fund on 24/08/2016, 2 days late. The employer had a similar breach previously (Breach 51), which was also late by 2 Days. Cause - Due to an admin oversight Effect - The contributions have now been received.	YES	Due 22/08/2016 payment received on 24/08/2016	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one other occasion but both payments were made within 2 days of the deadline.	06/09/2016	Approve	
69	2016/17	July	22/08/2016	Contributions	Late payment of contributions owed for July 2016		Contributions owed for July were received into the fund on the 23/08/2016 - This payment was 1 day late. This employer has breached twice previously (Breaches 16 & 58) Cause - This is due to an admin oversight and payment was made as soon as it was identified. Effect - The contributions income has been received and was only 1 day late.	YES	Due 22/08/2016 payment received on 23/08/2016	Green	NO	N/A	The employer has paid late on 2 previous occasions, however all 3 payments have been received and the latest breach was only 1 day late.	06/09/2016	Approve	
70	2016/17	August	31/08/2016	ABS	Issue of Active ABS		The Fund failed to issue 100% of Active Benefit Statements by the statutory deadline of 31 August. The Fund did send 85% of the statements on time and was unable to send the remaining 15% as it had either not received or not been able to validate the information which had been provided by employers. The Fund had a similar breach (Breach no 29) in 2015 however in 2015 the Fund did not send the 85% until c2 weeks after the 31 August deadline. Cause The timescales available between the Fund receiving the employer's tax year-end pension returns and the 31 st August disclosure deadlines to issue Active Members Annual Benefit (ABS) are very short to validate the payroll information, identify any data issues and resolve pension data queries with the employer. Whilst the Fund has been able to complete and issue 85% of the membership data by the 31 st August, the Fund has been unable to resolve 15% of data queries. Effect By the 31st August the Fund has written to the remaining 15% informing them of the delay and working closely with the employers to resolve the queries in order to issue an ABS by December. The letter also informs members that their membership is unaffected by the delay in issuing their ABS. This is not a material breach as 85% of the statements have been issued on time and for the remaining 15% all members have been notified and will receive a statement by the end of December 2016. In the event that a member from the 15% leaves or retires up to date information would be obtained to ensure the correct pension is calculated.	YES	Due 31/8/16 which was achieved for 85% of the active membership. The remaining 15% will receive their ABS by the end of December 2016.	Green	NO	N/A	There are no long term implications associated with this breach. The majority (85%) of statements were issued by the deadline with the remainder due to be issued by the end of 2016 (the percentage of statements issued in the main exercise is comparable with prior years).	27/09/2016	Approve	

Breach Number	YEAR	QTR	Date of Breach / Likely Breach		Failure Type	Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		
			EDN Issued to LPB	LPB Responses											
71	2016/17	September	22/10/2016	Contributions	Late payment of contributions owed for September 2016	Contributions owed for September were received into the fund on 24/10/2016, 2 days late. The employer has had similar breaches on two previous occasions (Breach 19 and 32). Cause: The employer was unable to release the payment until the 22nd as there were no authorised signatories available. Effect: The payment was therefore received on the 24th. The employer had paid all other 2016/17 contributions on time.	YES	Due 22/10/2016 payment received on the 24th	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on two occasions, albeit by a small number of days, however all other payments have been made on time.	04/11/2016	Approve	
72	2016/17	September	22/10/2016	Contributions	Late payment of contributions owed for September 2016	Contributions owed for September were paid into the fund on 31/10/2016 (9 days late), the delay in payment is due to the school joining an academy trust and changing payroll provider. Cause: The breach is due to the employer transferring into Academy Trust as at 01/09/2016. Effect: All future payments should be made on time by new payroll provider as they have now completed the transition.	NO	Due 31/10/2016 payment received on the 24th	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion.	04/11/2016	Approve	
73	2016/17	October	22/11/2016	Contributions	Late payment of contributions owed for September 2016	Contributions Owen for October were paid into the fund on 23/11/2016 (1 day late), the delay in payment was due to an admin oversight. Cause: The breach is due to an admin oversight as the payment instruction was not actioned on time. Effect: The payment was received on the 23rd November. All other payments have been received on time.	NO	Due 22/11/16 payment received on the 23rd.	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion.	30/11/2016	Approve	
74	2016/17	October	22/11/2016	Contributions	Late payment of contributions owed for September 2016	Contributions owed for October were paid into the fund on 24/11/2016 (2 days late), The employer has had a similar breach on one previous occasion (Breach 40). Cause: The payment could not be released until approval had been received by the Board at a meeting which took place on the 22nd resulting in the delay. Effect: The payment was received within two days of the deadline and the employer has also paid their November contributions in the month of November so all future contributions should be received on time.	YES	Due 22/11/16 payment received on the 24th.	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on two occasions but have been received by the fund.	30/11/2016	Approve	
75	2016/17	October	22/11/2016	Contributions	Late payment of contributions owed for September 2016	Contributions Owed for October were paid into the fund on 24/11/2016 (2 days late). The employer has breached on one previous occasion (Breach 36) Cause: The breach is due to the employer changing their banking provider. Effect: The new bank provider is now set up so future payments should be received on time.	YES	Due 22/11/16 payment received on the 24th.	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on two occasions but have been received by the fund.	30/11/2016	Approve	
76	2016/17	October	22/11/2016	Contributions	Late payment of contributions owed for September 2016	Contributions Owed for October were paid into the fund on 28/11/2016 (6 days late). , the delay in payment was due to a late date on standing order. Cause: This was a new employer in the fund and they had set up their standing order for contributions on the wrong date of the 28th of the months. Effect: The date of the standing order has now been amended and future contributions should be received on time.	NO	Due 22/11/16 payment received on the 28th	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion.	30/11/2016	Approve	
77	2016/17	October	01/11/2016	Pension Benefits	Payment of pension at unreduced rate when they should have been at a reduced rate.	Three members received their pension at an unreduced rate resulting in an overpayment of £4k. Cause: The error occurred as incorrect reasons for leaving had been completed on the retirement paperwork. The retirements had been categorised as being on the grounds of redundancy when they should have been mutual termination which would result in reduced pensions. Effect: the errors came to light when the Fund attempted to recharge the Early Retirement strain to the employer for allowing to staff to leave early on an unreduced pension. The three individuals have all been contacted by the payroll provider and repayment plans are in place. This was an error by an individual who did not provide the correct reason for leaving.	NO	N/A	Green	NO	N/A	There were only 3 individual cases which were caused by a manual error and were quickly identified and rectified.	30/11/2016	Approve	
78	2016/17	November	22/12/2016	Contributions	Late payment of contributions owed for November 2016	Contributions owed for November were paid into the fund on 04/01/2017 (13 days late), The employer has had two similar breaches on previous occasions (Breaches 30,39). Cause: This was due to an oversight by the finance team. Effect: The employer is aware of the Fund's contribution policy which includes penalties for recurring late payments.	YES	Due 22/12/2016, received on 04/01/2017.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on a number of occasions all contributions due have been received.	17/01/2017	Approve	
79	2016/17	November	22/12/2016	Contributions	Late payment of contributions owed for November 2016	Contributions owed for November were paid into the fund on 29/12/2016 (7 days late), The employer has had a similar breach on one previous occasion (Breach 48). Cause: Due to an administrative oversight. Effect: The payment was received within Seven days of the deadline.	YES	Due 22/12/2016, received on 29/12/2016.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on two occasions all contributions due have been received.	17/01/2017	Approve	
80	2016/17	November	22/12/2016	Contributions	Late payment of contributions owed for November 2016	Contributions owed for November were paid into the fund on 29/12/2016 (7 days late), The employer has had a similar breach on one previous occasion (Breach 47). Cause: Due to an administrative oversight during the Christmas closedown period. Effect: The payment was received within 7 days of the deadline.	YES	Due 22/12/2016, received on 29/12/2016.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on two occasions all contributions due have been received.	17/01/2017	Approve	
81	2016/17	November	22/12/2016	Contributions	Late payment of contributions owed for November 2016	Contributions owed for November were paid into the fund on 28/12/2016 (6 days late), The employer has had two similar breaches on previous occasions (Breaches 36,75). Cause: This was due to administrative oversight. Effect: The payment was received within 6 days of the deadline.	YES	Due 22/12/2016 payment received on 28/12/2016.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on a number of occasions all contributions due have been received.	17/01/2017	Approve	
82	2016/17	November	22/12/2016	Contributions	Late payment of contributions owed for November 2016	Contributions for November due 22/12/2016 were received on 17/1/17 (26 days late). The employer has had similar breaches on three previous occasions (Breach 34,49,55). Cause: Due to an administrative oversight during the Christmas closedown period. Effect: The payment has now been received and the employer had been reminded of their obligation to pay on time.	YES	Due 22/12/2016 payment expected 13/01/2017.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on a number of occasions all contributions due have been received.	17/01/2017	Approve	
83	2016/17	December	22/01/2017	Contributions	Late payment of contributions owed for December 2016	Contributions for December due 22/01/2017 were received on 26/01/17 (4 days late). The employer has had a similar breach on one previous occasion (Breach 72). Cause: Due to an administrative oversight . Effect: The payment has now been received and the employer has informed us that going forward a thorough check will be made to ensure the LGPS contribution payments are made on time.	YES	Due 22/01/2017 payment received on the 26th	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one previous occasion.	16/02/2017	Approve	
84	2016/17	December	22/01/2017	Contributions	Late payment of contributions owed for December 2016	Contributions for December due 22/01/2017 were received on 24/01/17 (2 days late). The employer has had similar breaches on three previous occasions (Breach 22,53,66). Cause: Due to an administrative oversight. Effect: The payment has now been received and the employer had been reminded of their obligation to pay on time.	YES	Due 22/01/2017 payment received on the 24th	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on a number of occasions all contributions due have been received.	16/02/2017	Approve	
85	2016/17	December	22/01/2017	Contributions	Late payment of contributions owed for December 2016	Contributions for December due 22/01/2017 were received on 23/01/17 (1 day late). The employer has had similar breaches on four previous occasions (Breach 1,6,52,64). Cause: Due to an administrative oversight, standing order was not set up on 20/01/2017. Effect: The payment has now been received and the employer has confirmed that going forward they will set up the standing order in advance of payment.	YES	Due 22/01/2017, payment received on 23rd	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on a number of occasions all contributions due have been received.	16/02/2017	Approve	

Breach Number	YEAR	QTR	Date of Breach /		Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		
			Likely Breach	Failure Type								EDN Issued to LPB	LPB Responses	
86	2016/17	December	22/01/2017	Contributions	Late payment of contributions owed for December 2016	Contributions for December due 22/01/2017 were received on 27/01/2017, 5 days late. The employer has had a similar breach on one previous occasion (Breach 59). Cause: Due to an administrative oversight. Effect: The payment has now been received and processes have been implemented in order to prevent future breaches.	YES	Due 22/01/2017 payment received on the 25th.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on two occasions all contributions due have been received.	16/02/2017	Approve
87	2016/17	January	20/01/2017	Data Protection	Sent group email to overseas pensioners	The pension fund issued an email to c170 overseas pensioners as part of the annual life certificates validation process. The sender did not use the blind courtesy copy (bcc) facility so email addresses were visible to all recipients. The content of the email, however, did not contain any personal data. Cause: This was due to an individual error. Effect: The email did not contain any personal data so the information was limited to the personal email addresses of the recipients. All staff have been reminded of the council's policy to use the bcc function when issuing email addresses to multiple recipients.	NO	Occurred 20/01/2017	Green	NO	N/A	Staff have been reminded of their responsibilities with regards to using the bcc function in emails. The Local Data Protection Guidelines have been updated.	06/03/2017	Approve
88	2016/17	February	22/03/2017	Contributions	Late payment of contributions owed for February 2017	Contributions for February due 22/03/2017 were received on 27/03/2017, 5 days late. The employer has had a similar breach on one previous occasion (Breach 73). Cause: Due to teething problems with the new payroll system. Effect: The payment has now been received and processes have been put in place to prevent any further breaches.	YES	Due 22/03/2017, payment received 27/03/2017	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on two occasions all contributions due have been received.	12/04/2017	Approve
89	2016/17	February	22/03/2017	Contributions	Late payment of contributions owed for February 2017	Contributions for February due 22/03/2017 were received on 31/03/2017, 9 days late. The employer has not previously breached. Cause: Due to an administrative oversight. Effect: The payment has now been received and processes have been put in place to prevent further breaches.	NO	Contributions due 22/03/2017, payment received on 31/03/2017	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion due to an admin oversight.	12/04/2017	Approve
90	2016/17	February	22/03/2017	Contributions	Late payment of contributions owed for February 2017	Contributions for February due 22/03/2017 were received on 29/03/2017, 7 days late. The employer has not previously breached. Cause: Due to an issue with their bank rejecting the payment. Effect: The payment was re-issued as soon as it was identified that it had been rejected and a process has been put in place to ensure there is not a repeat of this issue.	NO	Contributions due 22/03/2017, payment received on 29/03/2017	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion.	12/04/2017	Approve
91	2016/17	March	22/04/2017	Contributions	Late payment of contributions owed for March 2017	Contributions for March due 22/04/2017 were received on 25/04/2017, 3 days late. The employer has previously breached on one occasion in the past 6 months. (Breach 82) Cause: The late payment was due to a change in Personnel by the employer. Effect: The payment was issued as soon as it was identified that it was overdue and have now been paid in full.	YES	Due 22/04/2017, payment received on 25/04/2017.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on a number of occasions all contributions due have been received.	01/06/2017	Approve
92	2016/17	March	22/04/2017	Contributions	Late payment of contributions owed for March 2017	Contributions for March due 22/04/2017 were received on 24/04/2017, 2 days late. The employer has not previously breached. Cause: The late payment was due to an oversight by the finance team. Effect: The payment was issued as soon as it was identified that it was overdue and have now been paid in full.	NO	Due 22/04/2017, payment received on 24/04/2017.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	01/06/2017	Approve
93	2016/17	March	22/04/2017	Contributions	Late payment of contributions owed for March 2017	Contributions for March due 22/04/2017 were received on 15/05/2017, 23 days late. The employer has not previously breached. Cause: The late payment was due to teething issues with the first payment to the fund within their payroll system. Effect: The payment was issued as soon as it was identified that it was overdue and have now been paid in full.	NO	Due 22/04/2017, payment received 15/05/2017.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	01/06/2017	Approve
94	2016/17	March	22/04/2017	Contributions	Late payment of contributions owed for March 2017	Contributions for March due 22/04/2017 were received on 15/05/2017, 23 days late. The employer has not previously breached. Cause: The late payment was due to teething issues with the first payment to the fund within their payroll system. Effect: The payment was issued as soon as it was identified that it was overdue and have now been paid in full.	NO	Due 22/04/2017, payment received 15/05/2017.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	01/06/2017	Approve
95	2016/17	March	22/04/2017	Contributions	Late payment of contributions owed for March 2017	Contributions for March due 22/04/2017 were received on 24/04/2017 (2 days late). The employer has had similar breaches on four previous occasions (Breach 1,6,52,64,85). Cause: Due to an administrative oversight where a standing order had expired Effect: The payment has now been received and the employer has set up a new standing order for 2017/18.	YES	Due 22/04/2017, Payment received on 24/04/2017	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on a number of occasions all contributions due have been received.	01/06/2017	Approve
96	2016/17	March	22/04/2017	Contributions	Late payment of contributions owed for March 2017	Contributions for March due 22/04/2017 were received on 27/04/2017 (5 days late). The employer has not previously breached. Cause: Due to an administrative oversight. Effect: The payment has now been received and the employer has not previously breached.	NO	Due 22/04/2017, Payment received on 27/04/2017	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	01/06/2017	Approve
97	2016/17	March	22/04/2017	Contributions	Late payment of contributions owed for March 2017	Contributions for March due 22/04/2017 were received on 16/05/2017 (24 days late). The employer has not previously breached. Cause: Due to an administrative oversight. Effect: The payment has now been received and the employer has paid in full with no previous breaches.	NO	Due 22/04/2017, payment received 16/05/2017.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	01/06/2017	Approve
98	2016/17	March	22/04/2017	Contributions	Late payment of contributions owed for April 2014 to July 2016	Contributions due for the period 22/04/14 to 20/7/16 (i.e., the period of the contract) have not been received by the Fund. Cause: Due to delays in completing the admission process and sourcing an appropriate bond. The contract was subsequently terminated. Effect: The Admission process has been completed retrospectively. Fund has met with the employer and agreed a repayment plan and the first instalment has been received.	NO	Contract commenced 22/4/14 and ended 20/7/16.	Amber	Informal Report	A repayment plan is in place and the first instalment has been received	The contract ended in July 2016. All unpaid contributions are being recovered from the employer.	01/06/2017	Approve
99	2017/18	April	22/05/2017	Contributions	Late payment of contributions owed for April 2017	Contributions for April due 22/05/2017 were received on 16/06/2017 (25 days late). Cause: Due to an administrative oversight following staffing changes in the finance team Effect: The payment has now been received and all staff changes have been completed.	YES	Due 22/05/2017, payment received 16/06/2017.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	23/06/2017	Approve
100	2017/18	April	22/05/2017	Contributions	Late payment of contributions owed for April 2017	Contributions for April due 22/05/2017 were received on 23/05/2017 (1 day late). The employer has not previously breached. Cause: Due to an administrative oversight by payroll provider. Effect: The payment has now been received and the employer has not previously breached.	NO	Due 22/05/2017, payment received 23/05/2017.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	23/06/2017	Approve
101	2017/18	April	22/05/2017	Contributions	Late payment of contributions owed for April 2017	Contributions for April due 22/05/2017 were received on 02/06/2017 (11 days late). Cause: Due to an administrative oversight following staffing changes in the finance team. Effect: The payment has now been received and all staff are now in post.	YES	Due 22/05/2017, payment received 02/06/2017.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	23/06/2017	Approve

Breach Number	YEAR	QTR	Date of Breach / Likely Breach		Failure Type	Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		
			EDN Issued to LPB	LPB Responses											
102	2017/18	April	22/05/2017	Contributions	Late payment of contributions owed for April 2017	Contributions for April due 22/05/2017 were received on 15/06/2017 (24 days late). The employer has not previously breached. Cause: Due to an administrative oversight. Effect: The payment has now been received and the employer has not previously breached.	NO	Due 22/05/2017, payment received 15/06/2017.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	23/06/2017	Approve	
103	2017/18	April	22/05/2017	Contributions	Late payment of contributions owed for April 2017	Contributions for April due 22/05/2017 were received on 25/05/2017 (3 days late). The employer previously breached on one previous occasion (Breach No. 50). Cause: Due to teething issues with new payroll provider. Effect: The payment has now been received and the employer confirmed the payroll provider are now set up for payments.	YES	Due 22/05/2017, payment received 25/05/2017.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	23/06/2017	Approve	
104	2017/18	April	22/05/2017	Contributions	Late payment of contributions owed for April 2017	Contributions for April due 22/05/2017 were received on 22/06/2017 (31 days late). The employer has not previously breached. Cause: Teething issues with new payroll provider, no contributions were deducted from staff in April 2017 Effect: The payment has now been received and the employer has not previously breached.	NO	Due 22/05/2017, payment received 22/06/2017.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	23/06/2017	Approve	
105	2017/18	May	22/06/2017	Contributions	Late payment of contributions owed for May 2017	Contributions for May due 22/06/2017 were received on 06/07/2017 (14 days late). The employer has not previously breached. Cause: Due to teething issues with new payroll provider Effect: The payment has now been received and the employer has not previously breached.	NO	Due 22/06/2017, payment received 06/07/2017.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	04/08/2017	Approve	
106	2017/18	May	22/06/2017	Contributions	Late payment of contributions owed for May 2017	Contributions for May due 22/06/2017 were received on 24/07/2017 (32 days late). The employer has not previously breached. Cause: Teething issues with new payroll provider. Effect: The payment has now been received and the employer has not previously breached.	NO	Due 22/06/2017, payment received 24/07/2017	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	04/08/2017	Approve	
107	2017/18	June	22/07/2017	Contributions	Late payment of contributions owed for June 2017	Contributions for June due 22/07/2017 were received on 24/07/2017 (2 days late). The Employer breached on one previous occasion (Breach 106). Cause: Teething issues with new payroll provider. Effect: The payment has now been received and the employer has paid all monies owed in full.	YES	Due 22/07/2017, payment received 24/07/2017.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on two occasions the contributions due have been received.	04/08/2017	Approve	
108	2017/18	June	22/07/2017	Contributions	Late payment of contributions owed for June 2017	Contributions for June due 22/07/2017 were received on 25/07/2017 (3 days late). The Employer has breached on two previous occasions (Breaches 51 and 68). Cause: Due to an administrative oversight where payment was made on weekend. Effect: The payment has now been received and the employer has confirmed that future payments will be made on the Friday before, where the pay date falls over a weekend.	YES	Due 22/07/2017, payment received 25/07/2017.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on three occasions the contributions due have been received.	04/08/2017	Approve	
109	2017/18	June	22/07/2017	Contributions	Late payment of contributions owed for June 2017	Contributions for June due 22/07/2017 were received on 24/07/2017 (2 days late). The Employer has breached on 5 previous occasions (Breaches 6, 52, 64, 85 and 95). Cause: Due to an administrative oversight where payment was made over the weekend. Effect: The payment has now been received.	YES	Due 22/07/2017, payment received 24/07/2017.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on numerous occasions the contributions due have been received.	04/08/2017	Approve	
110	2017/18	July	22/08/2017	Contributions	Late payment of contributions owed for July 2017	Contributions for July due 22/08/2017 were received on 29/08/2017 (7 days late). The Employer has breached on 1 previous occasion (Breach 42) Cause: Due to temporary closure over summer holidays. Effect: The payment has now been received.	YES	Due 22/08/2017, payment received on 29/08/2017 .	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on a couple of occasions the contributions due have been received.	16/10/2017	Approve	
111	2017/18	July	22/08/2017	Contributions	Late payment of contributions owed for July 2017	Contributions for July due 22/08/2017 were received on 24/08/2017 (2 days late). The Employer has breached on 1 previous occasion (Breach 92). Cause: Due to an administrative oversight where payment was made over the weekend. Effect: The payment has now been received.	YES	Due 22/08/2017, payment received 24/08/2017.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on a couple of occasions the contributions due have been received.	16/10/2017	Approve	
112	2017/18	July	22/08/2017	Contributions	Late payment of contributions owed for July 2017	Contributions for July due 22/08/2017 were received on 07/09/2017 (16 days late). The Employer has breached on one previous occasion (Breach 56) Cause: Due to teething problems with the change in online banking provider. Effect: The payment has now been received.	YES	Due 22/08/2017, payment received 07/09/2017.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on a couple of occasions the contributions due have been received.	16/10/2017	Approve	
113	2017/18	July	22/08/2017	Contributions	Late payment of contributions owed for July 2017	Contributions for July due 22/08/2017 were received on 06/09/2017 (15 days late). The Employer has not previously breached. Cause: Due to an administrative oversight where payment was made over the weekend. Effect: The payment has now been received.	NO	Due 22/08/2017, payment received 06/09/2017.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	16/10/2017	Approve	
114	2017/18	July	15/08/2016	Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 15/06/16, the member should have received the options letter on the 15/08/16 however the member received their options letter on the 20/1/17 (159 days late). Cause: At the point of being notified that the member had left, the member hadn't vested in the LGPS and therefore was only entitled to a refund or transfer. The refund options letter was sent after the Fund had received details of the members pension and NI contributions. Effect: The member was not informed of their option to receive a refund or transfer within 2 months, however both options remain open to the member.		Notified member left 15/06/16, option letter sent 20/01/2017.	Green	NO	The refund process was changed in April 2017 to ensure that the options letter is produced upon notification of the member leaving.	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	16/10/2017	Approve	
115	2017/18	August	02/04/2017	Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 02/02/17, the member should have received the options letter on the 02/04/17 however the member received their options letter on the 3/5/17 (32 days late). Cause: At the point of the Fund being notified the member had left, the member also had an ongoing 'transfer in' process outstanding, the refund options letter was not sent therefore as the member had previous LGPS membership which meant they were no longer entitled to a refund, after the Fund had received details of the members 'transfer in' information a deferred option letter was sent. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified.		Notified member left 02/02/17, option letter sent 03/05/2017.	Green	NO	The refund process was changed in April 2017 to ensure that the options letter is produced upon notification of the member leaving.	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	16/10/2017	Approve	
116	2017/18	August	27/03/2017	Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 27/01/17, the member should have received the options letter on the 27/03/17 however the member received their options letter on the 4/7/17 (100 days late). Cause: At the point of being notified that the member had left, the member hadn't vested in the LGPS and therefore was only entitled to a refund or transfer. The refund options letter was sent after the Fund had received details of the members pension and NI contributions. Effect: The member was not informed of their option to receive a refund or transfer within 2 months, however both options remain open to the member.		Notified member left 27/01/17, option letter sent 04/07/2017.	Green	NO	The refund process was changed in April 2017 to ensure that the options letter is produced upon notification of the member leaving.	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	16/10/2017	Approve	

Breach Number	YEAR	QTR	Date of Breach /		Failure Type	Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		
			Likely Breach										EDN Issued to LPB	LPB Responses	
117	2017/18	August				Late payment of contributions owed for August 2017	Contributions for August due 22/09/2017 were received on 25/09/2017 (3 days late). The employer has previously breached on one occasion in the past 6 months. (Breach 91) Cause: Due to a Finance staff member leaving post mid-month and Finance Director being on annual leave. Effect: The payment has now been received in full.	YES	Due 22/09/2017, payment received 25/09/2017.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on two occasions in the past 6 months the contributions due have been received.	16/10/2017	Approve
118	2017/18	August				Late payment of contributions owed for August 2017	Contributions for August due 22/09/2017 were received on 26/09/2017 (4 days late). The Employer has previously breached on one occasion (Breach 100) Cause: Due to an administrative oversight by payroll provider. Effect: The payment has now been received.	YES	Due 22/09/2017, payment received 26/09/2017.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on two occasions the contributions due have been received.	16/10/2017	Approve
119	2017/18	August				Late payment of contributions owed for August 2017	Contributions for August due 22/09/2017 were received on 13/10/2017 (21 days late). The Employer has previously breached on 2 occasions (Breaches 56 and 112). Cause: Due to teething problems with the change in online banking provider. Effect: The payment has now been received.	YES	Due 22/09/2017, payment received 13/10/2017.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	16/10/2017	Approve
120	2017/18	August				Late payment of contributions owed for August 2017	Contributions for August due 22/09/2017 were received on 05/10/2017 (13 days late). The Employer has previously breached on 1 other occasion in the past 6 months (Breach 109). Cause: Due to an administrative oversight where finance member was on unexpected leave. Effect: The payment has now been received.	YES	Due 22/09/2017, payment received 05/10/2017.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on two occasions in the past 6 months the contributions due have been received.	16/10/2017	Approve
121	2017/18	August				Late payment of contributions owed for August 2017	Contributions for August due 22/09/2017 were received on 29/09/2017 (7 days late). The Employer has not previously breached. Cause: Due to an administrative oversight where payment was missed Effect: The payment has now been received and employer has enquired into our policy on Direct Debits.	NO	Due 22/09/2017, payment received 29/09/2017.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	16/10/2017	Approve
122	2017/18	September				Late payment of contributions owed for September 2017	Contributions for September due 22/10/2017 were received on 23/10/2017 (1 day late). The Employer has not previously breached. Cause: Due to an administrative oversight where the due date fell on a Sunday. Effect: The employer has set up a standing order for their monthly contributions which is paid on the same date each month. The Employer has been advised to bring this payment date forward in order to avoid future breaches.	NO	Due 22/10/2017, payment received 23/10/2017.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	20/11/2017	Approve
123	2017/18	September				Late payment of contributions owed for September 2017	Contributions for September due 22/10/2017 were received on 24/10/2017 (2 days late). The Employer has not previously breached. Cause: Due to an administrative oversight where payment was missed Effect: The payment has now been received and employer is looking for ways to automate the payment of contributions to the Fund.	NO	Due 22/10/2017, payment received 24/10/2017.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	20/11/2017	Approve
124	2017/18	September				Late payment of contributions owed for September 2017	Contributions for September due 22/10/2017 were received on 02/11/2017 (7 days late). The Employer has previously breached on 3 occasions (Breaches 56, 112 and 119). Cause: Due to an administrative oversight where payment was missed due to the Finance Officer being on annual leave. Effect: The payment has now been received and the employer has amended their procedures to prevent recurrence.	YES	Due 22/10/2017, payment received 02/11/2017.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on previous occasions the contributions due have been received.	20/11/2017	Approve
125	2017/18	September				Late payment of contributions owed for September 2017	Contributions for September due 22/10/2017 were received on 27/10/2017 (5 days late). The Employer has not previously breached. Cause: Due to teething problems with switching to a new payroll provider mid month. Effect: Payments have now been made and Payroll provider is aware of the deadlines for monthly payments to the Fund.	NO	Due 22/10/2017, payment received 27/10/2017.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	20/11/2017	Approve
126	2017/18	September				Late payment of contributions owed for September 2017	Contributions for September due 22/10/2017 were received on 27/10/2017 (5 days late). The Employer has not previously breached. Cause: Due to teething problems with switching to a new payroll provider mid month. Effect: Payments have now been made and Payroll provider is aware of the deadlines for monthly payments to the Fund.	NO	Due 22/10/2017, payment received 27/10/2017.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	20/11/2017	Approve
127	2017/18	September				Late payment of contributions owed for September 2017	Contributions for September due 22/10/2017 were received on 23/10/2017 (1 day late). The Employer has previously breached on two occasions (Breaches 92,111) Cause: Due to an administrative oversight where the due date fell on Sunday. Effect: The employer has set up a standing order for their monthly contributions which is paid on the same date each month. The Employer has been advised to bring this payment date forward in order to avoid future breaches.	YES	Due 22/10/2017, payment received 23/10/2017.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on two previous occasions the contributions due have been received.	20/11/2017	Approve
128	2017/18	September				Late payment of contributions owed for September 2017	Contributions for September due 22/10/2017 were received on 27/10/2017 (5 days late). The Employer has not previously breached. Cause: Due to teething problems with switching to a new payroll provider mid month. Effect: Payments have now been made and Payroll provider is aware of the deadlines for monthly payments to the Fund.	NO	Due 22/10/2017, payment received 27/10/2017.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	20/11/2017	Approve
129	2017/18	September				Late payment of contributions owed for September 2017	Contributions for September due 22/10/2017 were received on 15/11/2017 (24 days late). The Employer has not previously breached. Cause: Due to an administrative oversight. Effect: The payment has now been received and employer is looking for ways to automate the payment of contributions to the Fund.	NO	Due 22/10/2017, payment received 15/11/2017.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	20/11/2017	Approve
130	2017/18	September				Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 07/10/16, the member should have received the options letter on the 07/12/16 however the member received their options letter on the 16/12/16 (10 days late). Cause: At the point of being notified that the member had left, the member had re-joined the LGPS on another employment. The deferred options letter was sent once it became apparent that the members benefits were not automatically joined together. Effect: The member was not informed of their option to transfer within 2 months, however this option along with the option to combine pensions remain open to the member.	NO	Notified member left 07/10/16, option letter sent 16/12/2016.	Green	NO	N/A	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	20/11/2017	Approve
131	2017/18	September				Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 11/07/16, member left 31/07/16. The member should have received the options letter on the 01/10/16 however the member received their options letter on the 01/08/17 (305 days late). Cause: At the point of the Fund being notified the member had left, the member had two active records and an outstanding process to join them together. The deferred options letter was not sent until the records were combined. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified.	NO	Notified member left 11/07/16, DOL 31/07/16, option letter sent 01/08/2017.	Green	NO	The deferment process was altered in August 2016, to ensure that the options letter is produced upon notification of the member leaving	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	20/11/2017	Approve

Breach Number	YEAR	QTR	Date of Breach / Likely Breach		Failure Type	Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		
													EDN Issued to LPB	LPB Responses	
132	2017/18	September		02/04/2017	Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 04/04/16, the member should have received the options letter on the 04/06/16 however the member received their options letter on the 03/05/17 (334 days late). Cause: At the point of the Fund being notified the member had left, the member also had an ongoing 'transfer in' process outstanding, the refund options letter was not sent therefore as the member had previous LGPS membership which meant they were no longer entitled to a refund, after the Fund had received details of the members 'transfer in' information a deferred option letter was sent. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified.	NO	Notified member left 04/04/16, option letter sent 03/05/2017.	Green	NO	The refund process was changed in April 2017 to ensure that the options letter is produced upon notification of the member leaving.	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	20/11/2017	Approve
133	2017/18	September		05/07/2016	Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 05/05/16, the member should have received the options letter on the 05/07/16 however the member received their options letter on the 04/07/17 (365 days late). Cause: At the point of the Fund being notified the member had left, the option form was not sent to the member until later on in the deferment process, along with a copy of the statement. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified.	NO	Notified member left 05/05/16, option letter sent 04/07/2017.	Green	NO	The deferment process was altered in August 2016, to ensure that the options letter is produced upon notification of the member leaving	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	20/11/2017	Approve
134	2017/18	September		02/02/2016	Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 02/12/15, the member should have received the options letter on the 02/02/16 however the member received their options letter on the 04/02/16 (2 days late). Cause: At the point of being notified that the member had left, the member hadn't vested in the LGPS and therefore was only entitled to a refund or transfer. The refund options letter was sent after the Fund had received details of the members pension and NI contributions. Effect: The member was not informed of their option to receive a refund or transfer within 2 months, however both options remain open to the member.	NO	Notified member left 02/12/15, option letter sent 04/02/2016.	Green	NO	The refund process was changed in April 2017 to ensure that the options letter is produced upon notification of the member leaving.	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	20/11/2017	Approve
135	2017/18	October		22/11/2017	Contributions	Late payment of contributions owed for October 2017	Contributions for October due 22/11/2017 were received on 13/12/2017 (21 days late). The Employer has previously breached on two occasions over the previous 12 months (Breaches 91,117) Cause: Due to an administrative oversight by a new employee. Effect: The payment has now been received in full.	YES	Due 22/11/2017, payment received 13/12/2017	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on two previous occasions the contributions due have been received.	20/02/2018	Approve
136	2017/18	October		07/09/2017	Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 07/07/17, the member should have received the options letter on the 07/09/17 however the member received their options letter on the 02/10/17 (26 days late). Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known (7/7/17), in this instance the leaver process was not completed until 8/9/17, so the deferred option letter was not produced until October. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left 07/07/17, option letter sent 02/10/17.	Green	NO	The leaver process is usually completed within a couple of days of being set up, which enables the relevant option form to be sent within the expected timescales. With an increased number of leavers being set up due to year end queries this has increased the number of days taken to complete this process.	There are no long term implications associated with this breach. Once the backlog is reduced to a manageable amount this process will be completed immediately to prevent a recurrence.	20/02/2018	Approve
137	2017/18	October		05/07/2016	Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 05/05/16, the member should have received the options letter on the 05/07/16 however the member received their options letter on the 26/07/17 (387 days late). Cause: At the point in time when the Fund was notified that the member had left, the option form was not routinely sent to the member until later on in the deferment process, along with a copy of the statement. This process was changed so that option forms are now issued as soon of the Fund is notified of a leaver. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified.	NO	Notified member left 05/05/16, option letter sent 26/07/17.	Green	NO	The deferment process was altered in August 2016, to ensure that the options letter is produced upon notification of the member leaving	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	20/02/2018	Approve
138	2017/18	October		19/01/2016	Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 19/11/15, the member should have received the options letter on the 19/01/16 however the member received their options letter on the 25/05/16 (127 days late). Cause: At the point in time when the Fund were notified that the member had left, the member hadn't vested in the LGPS and was entitled to a refund or transfer. The refund options letter was sent after the Fund had received details of the members pension and NI contributions. This process was changed so that option forms are now issued as soon of the Fund is notified of a leaver. Effect: The member was not informed of their option to receive a refund or transfer within 2 months, however both options remain open to the member.	NO	Notified member left 19/11/15, option letter sent 25/05/16.	Green	NO	The refund process was changed in April 2017 to ensure that the options letter is produced upon notification of the member leaving.	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	20/02/2018	Approve
139	2017/18	October		30/11/2016	Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 30/09/16, the member should have received the options letter on the 30/11/16 however the member received their options letter on the 18/04/17 (140 days late). Cause: At the point in time when the Fund were notified that the member had left, the member was entitled to a refund, deferred or transfer. The refund options letter was typically sent after the Fund had received details of the members pension and NI contributions. This process was changed so that option forms are now issued as soon of the Fund is notified of a leaver. Effect: The member was not informed of their option to receive a refund or transfer within 2 months, however both options remain open to the member.	NO	Notified member left 30/09/16, option letter sent 18/04/17.	Green	NO	The refund process was changed in April 2017 to ensure that the options letter is produced upon notification of the member leaving.	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	20/02/2018	Approve
140	2017/18	October		31/10/2015	Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 19/08/15, the member left on 31/08/15, the member should have received the options letter on the 31/10/15 however the member received their deferred figures with options on the 18/07/16 (261 days late). Cause: At the point in time when the Fund were notified that the member had left, the option form was not routinely sent to the member until later on in the deferment process, along with a copy of the statement. This process was changed so that option forms are now issued as soon of the Fund is notified of a leaver. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified.	NO	Notified member left 19/08/15, member left 31/08/15, option letter sent 18/07/16.	Green	NO	The deferment process was altered in August 2016, to ensure that the options letter is produced upon notification of the member leaving	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	20/02/2018	Approve

Breach Number	YEAR	QTR	Date of Breach /		Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.			
			Likely Breach	Failure Type								EDN Issued to LPB	LPB Responses		
141	2017/18	October	08/06/2015	Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 10/02/15, the member left on 08/04/15, the member should have received the options letter on the 08/06/15 however the member received their deferred figures with options on the 23/03/17 (654 days late). Cause: At the point in time when the Fund were notified that the member had left, the option form was not routinely sent to the member until later on in the deferment process, along with a copy of the statement. This process was changed so that option forms are now issued as soon of the Fund is notified of a leaver. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified.	NO	Notified member left 10/02/15, member left 08/04/15, option letter sent 23/03/17.	Green	NO	The deferment process was altered in August 2016, to ensure that the options letter is produced upon notification of the member leaving	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	20/02/2018	Approve	
142	2017/18	November	22/12/2017	Contributions	Late payment of contributions owed for November 2017	Contributions for November due 22/12/2017 were not received. The Employer has previously breached under a separate contract (Breach 98) Cause: The Employer has failed to confirm the cause of the non-payment. Effect: The contributions remain unpaid and the affected employee has been contacted to inform them of the position.	NO	Due 22/12/2017, payment not yet received.	RED	YES	Considerable correspondence between the Fund and the Employer.	The Employer still owes contributions for this contract.		05/02/2018	Approve
143	2017/18	November	22/12/2017	Contributions	Late payment of contributions owed for November 2017	Contributions for November due 22/12/2017 were not received. The Employer has not previously breached. Cause: The employer is experiencing teething troubles with a new payroll provider but has assured the fund that the money will be received. Effect: The Employer will rectify all underpayments once the teething troubles with the payroll provider are resolved.	NO	Due 22/12/2017, payment not yet received.	Green	NO	N/A	There are no long term implications associated with this breach. Employer is new to the fund.		20/02/2018	Approve
144	2017/18	November	22/12/2017	Contributions	Late payment of contributions owed for November 2017	Contributions for November due 22/12/2017 were not received. The Employer has not previously breached. Cause: Due to teething issues with new payroll provider. Effect: Employer has confirmed that the arrears will be paid over once payroll provider is able to make payments.	NO	Due 22/12/2017, payment not yet received.	Green	NO	N/A	There are no long term implications associated with this breach. Employer is new to the fund.		20/02/2018	Approve
145	2017/18	November	30/08/2016	Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 17/06/16, member left 30/06/16, the member should have received the options letter on the 30/08/16 however the member received their options letter on the 02/12/16 (95 days late). Cause: At the point in time when the Fund was notified that the member had left, the option form was not routinely sent to the member until later on in the deferment process, along with a copy of the statement. This process was changed so that option forms are now issued as soon of the Fund is notified of a leaver. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified.	NO	Notified member left 17/06/16, member left 30/06/16, option letter sent 02/12/16.	Green	NO	The deferment process was altered in August 2016, to ensure that the options letter is produced upon notification of the member leaving	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	20/02/2018	Approve	
146	2017/18	November	02/05/2016	Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 02/03/16, the member should have received the options letter on the 02/05/16 however the member received their options letter on the 02/12/16 (215 days late). Cause: At the point in time when the Fund was notified that the member had left, the option form was not routinely sent to the member until later on in the deferment process, along with a copy of the statement. This process was changed so that option forms are now issued as soon of the Fund is notified of a leaver. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified.	NO	Notified member left 02/03/16, option letter sent 02/12/16.	Green	NO	The deferment process was altered in August 2016, to ensure that the options letter is produced upon notification of the member leaving	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	20/02/2018	Approve	
147	2017/18	December	10/10/2017	Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 10/08/17, the member should have received the options letter on the 10/10/17 however the member received their options letter on the 01/12/17 (53 days late). Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known (10/8/17), in this instance the leaver process was not completed until 15/11/17, so the deferred option letter was not produced until December. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left 10/08/17, option letter sent 01/12/17.	Green	NO	The leaver process is usually completed within a couple of days of being set up, which enables the relevant option form to be sent within the expected timescales. With an increased number of leavers being set up due to year end queries this has increased the number of days taken to complete this process.	There are no long term implications associated with this breach. Once the backlog is reduced to a manageable amount this process will be completed immediately to prevent a recurrence.	20/02/2018	Approve	
148	2017/18	December	08/05/2016	Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 8/3/16, the member should have received the options letter on the 8/5/16 however the member received their options letter with their deferred pension figures on the 03/11/16 (180 days late). Cause: At the point in time when the Fund were notified that the member had left, the option form was not routinely sent to the member until later on in the deferment process, along with a copy of the statement. This process was changed so that option forms are now issued as soon of the Fund is notified of a leaver. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left 08/03/16, option letter sent 03/11/16.	Green	NO	The deferment process was altered in August 2016, to ensure that the options letter is produced upon notification of the member leaving	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	20/02/2017	Approve	
149	2017/18	December	05/10/2015	Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 5/8/15, the member should have received the options letter on the 5/10/15 however the member received their options letter with their deferred pension figures on the 21/11/16 (413 days late). Cause: At the point in time when the Fund were notified that the member had left, the option form was not routinely sent to the member until later on in the deferment process, along with a copy of the statement. This process was changed so that option forms are now issued as soon of the Fund is notified of a leaver. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left 05/08/15, option letter sent 05/10/15.	Green	NO	The deferment process was altered in August 2016, to ensure that the options letter is produced upon notification of the member leaving	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	20/02/2018	Approve	
150	2017/18	December	22/01/2018	Contributions	Late payment of contributions owed for December 2017	Contributions for December due 22/01/2018 were not received. The Employer has previously breached on one occasion (Breach 123) Cause: Due to miscommunication within payments team. Effect: Employer has paid January 2018 contributions and will make payment of the December balance as soon as possible.	YES	Due 22/01/2018, payment received	Green	NO				20/02/2018	Approve

Breach Number	YEAR	QTR	Date of Breach / Likely Breach		Failure Type	Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		
			EDN Issued to LPB	LPB Responses											
151	2017/18	December		22/01/2018	Contributions	Late payment of contributions owed for December 2017	Contributions for December due 22/01/2018 were received into the fund on 01/02/2018 (10 days late). The Employer has not previously breached. Cause: Due to teething issues with new payroll provider. Effect: Employer has confirmed that the arrears have been paid over and payroll are now set up and breach will not reoccur.	NO	Due 22/01/2018, payment received 01/02/2018.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	20/02/2018	Approve
152	2017/18	December		22/01/2018	Contributions	Late payment of contributions owed for December 2017	Contributions for December due 22/01/2018 were received into the fund on 29/01/2018 (7 days late). The Employer has not previously breached. Cause: Due to change of payroll staff. Effect: Employer has confirmed that new staff member has now settled into role and going forward will make the payment on time.	YES	Due 22/01/2018, payment received 29/01/2018.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	20/02/2018	Approve
153	2017/18	December		22/01/2018	Contributions	Late payment of contributions owed for December 2017	Contributions for December due 22/01/2018 were received on 23/01/2018 (1 day late). The Employer has not previously breached. Cause: Due to Administrative oversight by payroll provider Effect: Payment was received on 23/01/2018.	YES	Due 22/01/2018, payment received 23/01/2018.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	20/02/2018	Approve
154	2017/18	December		22/01/2018	Contributions	Late payment of contributions owed for December 2017	Contributions for December due 22/01/2018 were not received. The Employer has not previously breached. Cause: Due to changes in staffing. Effect: Employer has confirmed new member of staff now in place and payment will be made as soon as possible.	YES	Due 22/01/2018, payment received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	20/02/2018	Approve
155	2017/18	January		22/02/2018	Contributions	Late payment of contributions owed for January 2018	Contributions for January due 22/02/2018 were not received until 29/03/2018 (37 days late). The Employer has previously breached in May 2017 (Breach 105). Cause: Due to changes in staffing. Effect: All staff now aware of procedure.	YES	Due 22/01/2018, payment received 29/03/2018	Green	NO	N/a	There are no long term implications associated with this breach. Although the employer paid late on two occasions the contributions due have been received.	23/05/2018	Approve
156	2017/18	January		22/02/2018	Contributions	Late payment of contributions owed for January 2018	Contributions for January due 22/02/2018 were not received until 06/03/2018 (12 days late). The Employer has previously breached on one occasion (Breach 33) Cause: Staff sickness meant that the form submission deadline was missed. Effect: Employer has been reminded of the importance of contributions being recieved on time.	YES	Due 22/02/2018, payment received 06/03/2018	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on a couple of occasions but all previous payments this year have been made on time.	23/05/2018	Approve
157	2017/18	January		22/02/2018	Contributions	Late payment of contributions owed for January 2018	Contributions for January due 22/02/2018 were not received until 02/03/2018 (8 days late). The Employer has not previously breached in 17/18. Cause: Due to sudden departure of staff member. Effect: New staff member now in post.	YES	Due 22/02/2018, payment received 02/03/2018	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion but all previous payments this year have been made on time.	23/05/2018	Approve
158	2017/18	January		22/02/2018	Contributions	Late payment of contributions owed for January 2018	Contributions for January due 22/02/2018 were recieved on 01/03/2018 (7 days late). The Employer has not previously breached. Cause: The payment was not released on time. Effect: Employer will arrange a standing order to ensure that contributions are paid on time.	NO	Due 22/02/2018, payment received 01/03/2018	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion but all previous payments this year have been made on time.	23/05/2018	Approve
159	2017/18	January		22/02/2018	Contributions	Late payment of contributions owed for January 2018	Contributions for January due 22/02/2018 were recieved on 19/03/2018 (27 days late). The Employer has not previously breached. Cause: Error caused by "one off human error" . Effect: Payments have been made and the employer has been reminded of the importance of paying contributions on time.	NO	Due 22/02/2018, payment received 19/03/2018	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion but all previous payments this year have been made on time.	23/05/2018	Approve
160	2017/18	January		22/02/2018	Contributions	Late payment of contributions owed for January 2018	Contributions for August due 22/02/2018 were received on 16/03/2017 (22 days late). The Employer has not previously breached. Cause: Due to an administrative oversight. Effect: The payment has now been received and employer is considering setting up a Direct Debit.	NO	Due 22/02/2018, payment received 16/03/2018	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on one occasion but all previous payments this year have been made on time.	23/05/2018	Approve
161	2017/18	January		22/02/2018	Contributions	Late payment of contributions owed for January 2018	Contributions for January due 22/02/2018 were not received. The Employer has previously breached under a separate contract (Breach 98 and 142) Cause: The Employer has failed to confirm the cause of the non-payment.. Effect: The contributions remain unpaid and the affected employee has been contacted to inform them of the position.	YES	Due 22/02/2018, payment not yet received.	AMBER	YES	Considerable correspondence between the Fund and the Employer. This Breach has already been reported to The Pensions Regulator.	The Employer still owes contributions for this contract.	23/05/2018	Approve
162	2017/18	January		22/02/2018	Contributions	Late payment of contributions owed for January 2018	Contributions for January due 22/02/2018 were not received. The Employer has not previously breached. Cause: Due to sudden departure of staff member. Effect: New member of staff now in place and payment will be made as soon as possible.	YES	Due 22/02/2018, payment not yet received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	23/05/2018	Approve
163	2017/18	January			Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 3/8/16, the member should have received the options letter on the 3/10/16 however the member received their options letter on the 11/10/16 (8 days late). Cause: The Fund were not provided with the correct information to process the case initially. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left 03/08/16, option letter sent 11/10/16.	Green	NO	The refund process was changed in April 2017 to ensure that the options letter is produced upon notification of the member leaving.	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	23/05/2018	Approve
164	2017/18	January			Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 23/03/16, the member should have received the options letter on the 23/05/16 however the member received their options letter on the 02/12/16 (194 days late). Cause: The initial leaver process needs completing to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance the leaver process was not completed until 8/11/16, so the deferred option letter was not produced until December 2016. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left 23/03/16, option letter sent 02/12/16.	Green	NO	The leaver process is usually completed within a couple of days of being set up, which enables the relevant option form to be sent within the expected timescales. With an increased number of leavers being set up due to year end queries this has increased the number of days taken to complete this process.	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	23/05/2018	Approve

Breach Number	YEAR	QTR	Date of Breach /		Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		
			Likely Breach	Failure Type								EDN Issued to LPB	LPB Responses	
165	2017/18	January			Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 13/07/17, the member should have received the options letter on the 13/09/17 however the member received their options letter on the 02/10/17 (20 days late). Cause: The initial leaver process needs completing to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance the leaver process was not completed until 28/09/17, so the deferred option letter was not produced until October 2017. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left 13/07/17, option letter sent 02/10/17.	Green	NO	The leaver process is usually completed within a couple of days of being set up, which enables the relevant option form to be sent within the expected timescales. With an increased number of leavers being set up due to year end queries this has increased the number of days taken to complete this process.	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	23/05/2018	Approve
166	2017/18	February	22/03/2018	Contributions	Late payment of contributions owed for February 2018	Contributions for Feb due 22/03/2018 were not received until 4/4/2018 (13 days late). The Employer has not previously breached. Cause: Payment was initially sent to Cheshire West Council bank account in error. Once the error was identified the payment was transferred to the Fund. Effect: Employer has confirmed they will check future payments to ensure the correct recipient has been entered.	YES	Due 22/03/2018, payment received 04/04/2018	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	23/05/2018	Approve
167	2017/18	February	22/03/2018	Contributions	Late payment of contributions owed for February 2018	Contributions for February due 22/03/2018 were received on 28/03/2018 (6 days late). The Employer has previously breached (Number 158). Cause: The payment was not released on time. Effect: Employer will arrange a standing order to ensure that contributions are paid on time.	YES	Due 22/03/2018, payment received 28/03/2018	Green	NO	N/A	There are no long term implications associated with this breach. The employer paid late on two occasions but all previous payments this year have been made on time.	23/05/2018	Approve
168	2017/18	February	22/03/2018	Contributions	Late payment of contributions owed for February 2018	Contributions for February due 22/03/2018 were not received. Were received 29/03/2018. The Employer has previously breached in May 2017 and January 2018. Made employer aware that 1 more breach in next 4 months will result in fine. Cause: Due to staffing changes, information was not sent on time. Effect: All staff now aware of procedure and measures are being put in place to make the process smoother at their end.	YES	Due 22/03/2018, payment received 29/03/2018	Green	NO	N/a	There are no long term implications associated with this breach. Although the employer paid late on three occasions the contributions due have been received.	23/05/2018	Approve
169	2017/18	February	22/03/2018	Contributions	Late payment of contributions owed for February 2018	Contributions for February due 22/32/2018 were received on 30/04/2018. The employer has not previously breached. Cause: Due to Finance officer leaving suddenly Effect: Employer has confirmed new member of staff now in place and payment will be made as soon as possible.	NO	Due 22/03/2018, payment received 30/04/2018	Green	NO	N/a	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	23/05/2018	Approve
170	2017/18	February	22/03/2018	Contributions	Late payment of contributions owed for February 2018	Contributions for February due 22/03/2018 were not received. The Employer has not previously breached. Cause: System error caused by a change in bank. Effect: Employer has confirmed that they will pay the contributions with March's payment.	NO	Due 22/03/2018, payment not received	Green	NO	N/a	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions will be received in March.	23/05/2018	Approve
171	2017/18	February	22/03/2018	Contributions	Late payment of contributions owed for February 2018	Contributions for January due 22/03/2018 were not received. The Employer has previously breached under a separate contract (Breach 98, 142 and 162) Cause: The Employer has failed to confirm the cause of the non-payment. Effect: The contributions remain unpaid and the affected employee has been contacted to inform them of the position.	YES	Due 22/03/2018, payment not yet received.	AMBER	YES	Considerable correspondence between the Fund and the Employer. This Breach has already been reported to The Pensions Regulator.	The Employer still owes contributions for this contract.	23/05/2018	Approve
172	2017/18	February	22/03/2018	Contributions	Late payment of contributions owed for February 2018	Contributions for February due 22/03/2018 were not received until 06/04/2018 (15 days late). The Employer has previously breached twice in 17/18 however not within 6 month rolling period. Cause: Due to staffing changes. Effect: Employer has confirmed training is in place for new staff to ensure that contributions will be paid on time.	YES	Due 22/03/2018, payment received 06/04/2018	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	23/05/2018	Approve
173	2017/18	February	22/03/2018	Contributions	Late payment of contributions owed for February 2018	Contributions for Feb due 22/03/2018 were not received. The Employer has not previously breached. Cause: Due to sudden departure of staff member. Effect: Employer has confirmed new member of staff now in place and payment will be made as soon as possible.	NO	Due 22/03/2018, payment not received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions will be paid.	23/05/2018	Approve
174	2017/18	February			Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 01/09/17, the member should have received the options letter on the 01/11/17 however the member received their options letter on the 01/12/17 (31 days late). Cause: The initial leaver process needs completing to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance the leaver process was not completed until 7/11/17, so the deferred option letter was not produced until December 2017. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left 01/09/17, option letter sent 01/12/17.	Green	NO	The leaver process is usually completed within a couple of days of being set up, which enables the relevant option form to be sent within the expected timescales. With an increased number of leavers being set up due to year end queries this has increased the number of days taken to complete this process.	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	23/05/2018	Approve
175	2017/18	March			Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 27/09/16, the member should have received the options letter on the 27/11/16 however the member received their options letter on the 16/12/16 (20 days late). Cause: The initial leaver process needs completing to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance the leaver process was not completed until 08/11/16, so the deferred option letter was not produced until December 2016. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left 27/09/16, option letter sent 16/12/16.	Green	NO	The leaver process is usually completed within a couple of days of being set up, which enables the relevant option form to be sent within the expected timescales. With an increased number of leavers being set up due to year end queries this has increased the number of days taken to complete this process.	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	23/05/2018	Approve

Breach Number	YEAR	QTR	Date of Breach /		Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		
			Likely Breach	Failure Type								EDN Issued to LPB	LPB Responses	
176	2017/18	March			Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 01/12/15, the member should have received the options letter on the 01/02/16 however the member received their options letter on the 01/09/17 (578 days late). Cause: At the point of the Fund being notified the member had left, the option form was not sent to the member until later on in the deferment process, along with a copy of the statement. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left 01/12/15, option letter sent 01/09/17.	Green	NO	The deferment process was altered in August 2016, to ensure that the options letter is produced upon notification of the member leaving	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	23/05/2018	Approve
177	2017/18	March			Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 06/01/16, the member should have received the options letter on the 06/03/16 however the member received their options letter on the 02/01/18 (668 days late). Cause: At the point of the Fund being notified the member had left, the option form was not sent to the member until later on in the deferment process, along with a copy of the statement. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left 06/01/16, option letter sent 02/01/18.	Green	NO	The deferment process was altered in August 2016, to ensure that the options letter is produced upon notification of the member leaving	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	23/05/2018	Approve
178	2017/18	March	22/04/2018	Contributions	Late payment of contributions owed for March 2018	Contributions for March due 22/04/2018 were not received until 23/05/2018 (31 days late). The Employer has previously breached on three occasions in 2017/18. Cause: Due to admin oversight. Effect: Employer has been reminded of their obligation to pay the contributions on time.	YES	Due 22/04/2018, payment received 23/05/2018	Green	NO	N/a	There are no long term implications associated with this breach. Although the employer paid late on three occasions the contributions due have been received.	23/05/2018	Approve
179	2017/18	March	22/04/2018	Contributions	Late payment of contributions owed for March 2018	Contributions for March due 22/04/2018 were not received until 30/04/2018 (8 days late). The Employer has previously breached once (Breach 169) Cause: Due to admin oversight. Effect: The payment has now been received and the employer has introduced measures to prevent recurrence.	YES	Due 22/04/2018, payment received 30/04/2018	Green	NO	N/a	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	23/05/2018	Approve
180	2017/18	March	22/04/2018	Contributions	Late payment of contributions owed for March 2018	Contributions for March due 22/04/2018 were not received until 25/04/2018 (3 days late). The Employer has previously breached on three occasions in 2017/18. (Breach 112, 119 and 124) Cause: Due to admin oversight. Effect: Employer has been reminded of their obligation to pay the contributions on time.	YES	Due 22/04/2018, payment received 25/04/2018	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on previous occasions the contributions due have been received.	23/05/2018	Approve
181	2017/18	March	22/04/2018	Contributions	Late payment of contributions owed for March 2018	Contributions for March due 22/04/2018 were not received. The Employer has previously breached on three occasions in 2017/18 (Breach 109,120 and 153). Cause: Due to admin oversight. Effect: Employer has been reminded of their obligation to pay the contributions on time and will make the payment as soon as possible.	YES	Due 22/04/2018, payment not yet received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on previous occasions the contributions due have been received.	23/05/2018	Approve
182	2017/18	March	22/04/2018	Contributions	Late payment of contributions owed for March 2018	Contributions for March due 22/04/2018 were not received. The Employer has previously breached under a separate contract (Breach 98, 142, 162 and 174) Cause: The Employer has failed to confirm the cause of the non-payment.. Effect: The contributions remain unpaid and the affected employee has been contacted to inform them of the position.	YES	Due 22/04/2018, payment not received	AMBER	YES	Considerable correspondence between the Fund and the Employer. This Breach has already been reported to The Pensions Regulator.	The Employer still owes contributions for this contract.	23/05/2018	Approve
183	2017/18	March	22/04/2018	Contributions	Late payment of contributions owed for March 2018	Contributions for March due 22/04/2018, have not yet been received by the fund. The Employer has previously breached once in 2017/18 (Breach 143). Cause: The Employer has paid contributions for prior months in a lump sum payment but had not implemented a process for the monthly payment thereafter. Effect: Employer has been reminded of their obligation to pay the contributions on time, will make the payment as soon as possible and will implement a process to pay monthly from now on.	YES	Due 22/04/2018, payment not yet received.	Green	NO	N/A	There are no long term implications associated with this breach. Employer is new to the fund.	23/05/2018	Approve
184	2017/18	March	22/04/2018	Contributions	Late payment of contributions owed for March 2019	Contributions for March due 22/04/2018 were not received until 10/05/2018 (18 days late). The Employer has previously breached on one occasion. Cause: Due to sudden departure of staff member. Effect: Employer has confirmed new member of staff now in place and payment will be made as soon as possible.	YES	Due 22/04/2018, payment received 10/05/2018	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions will be paid.	23/05/2018	Approve
185	2017/18	April	22/05/2018	Contributions	Late payment of contributions owed for April 2018	Contributions for April due 22/05/2018 were not received. The employer has not previously breached. Cause: Due to change in payroll provider. Effect: Employer has confirmed new payroll provider now in place and payment will be made as soon as possible.	NO	Due 22/05/2018 payment not received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	02/07/2018	Approve
186	2017/18	April	22/05/2018	Contributions	Late payment of contributions owed for April 2018	Contributions for April due 22/05/2018 were not received. The employer has previously breached on four occasions in 2017/18 (Breach 109,120,153 and 181) Cause: Due to sudden departure of key staff member. Effect: Employer has confirmed new member of staff now in place and payment will be made as soon as possible.	YES	Due 22/05/2018 payment not received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on a few occasions the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	02/07/2018	Approve
187	2017/18	April	22/05/2018	Contributions	Late payment of contributions owed for April 2018	Contributions for April due 22/05/2018 were not received. The employer has previously breached on three occasions in 2017/18 (Breach 129,154 and 162) Cause: Due to unexpected staffing changes. Effect: Employer has confirmed new member of staff now in place and payment will be made as soon as possible.	YES	Due 22/05/2018 payment not received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on a few occasions the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	02/07/2018	Approve
188	2017/18	April	22/05/2018	Contributions	Late payment of contributions owed for April 2018	Contributions for April due 22/05/2018 were not received until 13/06/2018. Cause: Due to administrative oversight. Effect: Payment has been made and the employer has confirmed that control are in place to prevent a further breach.	NO	Due 22/05/2018, payment received 13/06/2018.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions have been received.	02/07/2018	Approve
189	2017/18	April	22/05/2018	Contributions	Late payment of contributions owed for April 2018	Contributions for April due 22/05/2018 were not received. The Employer has previously breached under a separate contract (Breach 98, 142, 162, 174 and 182) Cause: The Employer has failed to confirm the cause of the non-payment.. Effect: The contributions remain unpaid and the affected employee has been contacted to inform them of the position.	YES	Due 22/05/2018 payment not received	AMBER	NO	Considerable correspondence between the Fund and the Employer. This Breach has already been reported to The Pensions Regulator.	The Employer still owes contributions for this contract.	02/07/2018	Approve
190	2017/18	April	22/05/2018	Contributions	Late payment of contributions owed for April 2018	Contributions for April due 22/05/2018 were not received until 23/05/2018 (1 day late). The Employer has previously breached on four occasions in 2017/18. Cause: Due to an administrative oversight by payroll provider. Effect: The payment has now been received.	YES	Due 22/05/2018, payment received 23/05/2018.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on four occasions the contributions due have been received.	02/07/2018	Approve

Breach Number	YEAR	QTR	Date of Breach / Likely Breach / Failure Type		Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		EDN Issued to LPB	LPB Responses
191	2017/18	April	22/05/2018	Contributions	Late payment of contributions owed for April 2018	Contributions for April due 22/05/2018 were not received until 01/06/2018 (10 days late) Cause: Due to sudden departure of key staff member. Effect: Employer has confirmed new member of staff now in place and payment has been made.	NO	Due 22/05/2018, payment received 01/06/2018.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	02/07/2018	Approve	
192	2017/18	April	22/05/2018	Contributions	Late payment of contributions owed for April 2018	Contributions for April due 22/05/2018 were not received until 23/05/2018 (1 day late). The employer has breached previously on one occasion. Cause: Due to administrative oversight. Effect: Payment has been made and the employer has confirmed that control are in place to prevent a further breach.	YES	Due 22/05/2018, payment received 23/05/2018.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	02/07/2018	Approve	
193	2017/18	April	22/05/2018	Contributions	Late payment of contributions owed for April 2018	Contributions for April due 22/05/2018 were not received until 01/06/2018 (10 days late) Cause: Due to an administrative oversight by payroll provider. Effect: The payment has now been received.	NO	Due 22/05/2018, payment received 01/06/2018.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	02/07/2018	Approve	
194	2017/18	April	22/05/2018	Contributions	Late payment of contributions owed for April 2018	Contributions for April due 22/05/2018 were not received until 01/06/2018 (10 days late) Cause: Due to teething problems following a change in payroll provider. Effect: Employer has confirmed new payroll provider now in place, payment has been received and future payments should be received on time.	NO	Due 22/05/2018, payment received 01/06/2018.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	02/07/2018	Approve	
195	2017/18	April	13/07/2016	Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 13/05/16, the member should have received the options letter on the 13/07/16 however the member received their options letter on the 02/02/18 (570 days late). Cause: At the point in time when the Fund was notified that the member had left, the option form was not routinely sent to the member until later on in the deferment process, along with a copy of the statement. This process was changed so that option forms are now issued as soon of the Fund is notified of a leaver. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified.	NO	Notified member left 13/05/16, option letter sent 02/02/18.	Green	NO	The deferment process was altered in August 2016, to ensure that the options letter is produced upon notification of the member leaving	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	02/07/2018	Approve	
196	2017/18	April	01/09/2017	Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 01/07/17, the member should have received the options letter on the 01/09/17 however the member received their options letter on the 01/12/17 (91 days late). Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known (1/7/17), in this instance the leaver process was not completed until 20/11/17, so the deferred option letter was not produced until December. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left 01/07/17, option letter sent 01/12/17.	Green	NO	The leaver process is usually completed within a couple of days of being set up, which enables the relevant option form to be sent within the expected timescales. With an increased number of leavers being set up due to year end queries this has increased the number of days taken to complete this process.	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	02/07/2018	Approve	
197	2018/19	May	22/06/2018	Contributions	Late payment of contributions owed for May 2018	Contributions for May due 22/06/2018 were not received until 27/06/2018 (5 days late) Cause: Due to teething problems following a change in payroll provider. Effect: Employer has confirmed that the new payroll provider is now in place but teething problems persist. The payment has now been received and future payments should be received on time.	YES	Due 22/06/2018, payment received 27/06/2018.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late twice the contributions due have been received.	10/08/2018	Approve	
198	2018/19	May	22/06/2018	Contributions	Late payment of contributions owed for May 2018	Contributions for May due 22/06/2018 were not received. The Employer has previously breached under a separate contract (Breach 98, 142, 162, 174, 182 and 189) Cause: The Employer has failed to confirm the cause of the non-payment. Effect: The contributions remain unpaid and the affected employee has been contacted to inform them of the position.	YES	Due 22/06/2018, payment not received	AMBER	YES	Considerable correspondence between the Fund and the Employer. This Breach has already been reported to The Pensions Regulator.	The Employer still owes contributions for this contract.	10/08/2018	Approve	
199	2018/19	May	22/06/2018	Contributions	Late payment of contributions owed for May 2018	Contributions for May due 22/06/2018 were not received. The employer has previously breached on three occasions in 2017/18 (Breach 129,154, 162, and 187) Cause: Due to unexpected staffing changes. Effect: Employer has confirmed new member of staff now in place and payment will be made as soon as possible.	YES	Due 22/06/2018 payment not received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on a few occasions the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	10/08/2018	Approve	
200	2018/19	May	22/06/2018	Contributions	Late payment of contributions owed for May 2018	Contributions for May due 22/06/2018 were not received. The employer has previously breached on four occasions in 2017/18 (Breach 109,120,153,181 and 186) Cause: Due to sudden departure of key staff member. Effect: Employer has confirmed new member of staff now in place and payment will be made as soon as possible.	YES	Due 22/06/2018 payment not received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on a few occasions the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	10/08/2018	Approve	
201	2018/19	June	22/07/2018	Contributions	Late payment of contributions owed for June 2018	Contributions for June due 22/07/2018 were not received. The Employer has previously breached on a number of occasions (Breach 98, 142, 162, 174, 182, 189 and 198) Cause: The Employer has failed to confirm the cause of the non-payment. Effect: The contributions remain unpaid and the affected employee has been contacted to inform them of the position. This breach has already been reported to TPR.	YES	Due 22/07/2018, payment not received	AMBER	YES	Considerable correspondence between the Fund and the Employer. This Breach has already been reported to The Pensions Regulator.	The Employer still owes contributions for this contract. This breach has been reported to TPR and the Employer has been invoiced for the outstanding contributions.	20/08/2018	Approve	
202	2018/19	June	22/07/2018	Contributions	Late payment of contributions owed for June 2018	Contributions for June due 22/07/2018 were not received. The employer has previously breached on Five occasions in 2017/18 and 2018/19 (Breach 129,154, 162,187 and 199) Cause: Due to unexpected staffing changes. Effect: Employer has confirmed new member of staff now in place and payment will be made as soon as possible.	YES	Due 22/07/2018 payment not received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on a few occasions the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	20/08/2018	Approve	
203	2018/19	June	22/07/2018	Contributions	Late payment of contributions owed for June 2018	Contributions for June due 22/07/2018 were not received. The employer has previously breached on Five occasions in 2017/18 and 2018/19 (Breach 109,120,153,181, 186 and 200) Cause: Due to sudden departure of key staff member. Effect: Employer has confirmed new member of staff now in place and payment will be made as soon as possible.	YES	Due 22/07/2018 payment not received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on a few occasions the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	20/08/2018	Approve	

Breach Number	YEAR	QTR	Date of Breach /		Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		
			Likely Breach	Failure Type								EDN Issued to LPB	LPB Responses	
204	2018/19	July	05/06/2018	Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 5/4/18, the member should have received their options on the 5/6/18 however the member received their retirement pack on the 6/6/18 (1 day late). Cause: At the point of the Fund being notified the member had left, the member was over 60 and entitled to immediate payment of benefits, the retirement option forms are sent with an estimate of pension benefits to help the member make an informed decision on whether to take unreduced benefits or defer them until a later date. This case was delayed slightly as the Fund required pay details from the employer to calculate the estimate that accompanied the retirement pack. Effect: The member was not informed of their option to receive, transfer or defer within 2 months.	NO	Notified member left 05/04/18, option letter sent 06/06/18.	Green	NO		There are no long term implications associated with this breach.	31/08/2018	Approve
205	2018/19	July	30/10/2017	Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 30/8/17, the member should have received their options on the 30/10/17 however the member received their retirement pack on the 20/2/18 (113 days late). Cause: At the point of the Fund being notified the member had left, the member was over 60 and entitled to immediate payment of benefits, the retirement option forms are sent with an estimate of pension benefits to help the member make an informed decision on whether to take unreduced benefits or defer them until a later date. This case was delayed as the Fund required pay details from the employer to calculate the estimate that accompanied the retirement pack. Effect: The member was not informed of their option to receive, transfer or defer within 2 months.	NO	Notified member left 30/08/17, option letter sent 20/02/18.	Green	NO		There are no long term implications associated with this breach.	31/08/2018	Approve
206	2018/19	July	01/11/2016	Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 01/09/16, the member should have received the options letter on the 01/11/16 however the member received their options letter on the 15/02/17 (106 days late). Cause: The Fund were not provided with the correct information to process the case initially. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left 01/09/16, option letter sent 15/02/17.	Green	NO	The refund process was changed in April 2017 to ensure that the options letter is produced upon notification of the member leaving.	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	31/08/2018	Approve
207	2018/19	July	14/09/2015	Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 14/07/15, the member should have received the options letter on the 14/09/15 however the member received their options letter on the 28/02/17 (533 days late). Cause: At the point in time when the Fund was notified that the member had left, the option form was not routinely sent to the member until later on in the deferment process, along with a copy of the statement. This process was changed so that option forms are now issued as soon as the Fund is notified of a leaver. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left 14/07/15, option letter sent 28/02/17.	Green	NO	The deferment process was altered in August 2016, to ensure that the options letter is produced upon notification of the member leaving	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	31/08/2018	Approve
208	2018/19	July	14/08/2018	Administration	Late notification of change to scheme information to active members	The LGPS (Amendment) Regulations 2018 came into force on 14/05/18 and should have been communicated to active members by 14/08/18. The Fund communicated these changes with the Annual Benefit Statement (ABS) received by members 20/08/18 (6 days late) Cause: The Fund communicates with members by post, if the Fund had sent a separate communication to members regarding the change would cost c.£1.1k, to include the communication with the ABS incurred no additional cost to the Fund. On balance of cost and efficiency it was decided to combine the two communications. Effect: The members were not informed of the change to the scheme within the 3 month time period, however they have now received this information soon after the deadline.	NO	Members should have been notified 14/08/2018, notification received 20/08/2018	Green	NO	N/A	N/A	12/07/2018	Approve
209	2018/19	July	22/08/2018	Contributions	Late payment of contributions owed for July 2018	Contributions for July due 22/08/2018 were not received. The employer has previously breached on one occasion (Breach 185) Cause: Due to an admin oversight Effect: Employer has confirmed payment will be made to the fund on 31/08/2018.	YES	Due 22/08/2018 payment not received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	31/08/2018	Approve
210	2018/19	July	22/08/2018	Contributions	Late payment of contributions owed for July 2018	Contributions for July due 22/08/2018 were not received. The employer has previously breached on two occasions (Breach 169 and 179) Cause: Due to admin oversight. Effect: Employer has been reminded of their obligation to pay the contributions on time.	YES	Due 22/08/2018 payment not received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	31/08/2018	Approve
211	2018/19	July	22/08/2018	Contributions	Late payment of contributions owed for July 2018	Contributions for July due 22/08/2018 were not received. The employer has previously breached on seven occasions in 2017/18 and 2018/19 (Breach 109,120,153,181, 186, 200, 203) Cause: Due to incorrect payments made in previous year. Effect: Employer has now confirmed a standing order will be set up for all previous underpayments and going forward contributions are to be paid on time. The Fund will continue to liaise with this employer and monitor the position.	YES	Due 22/08/2018 payment not received	AMBER	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	31/08/2018	Approve

Breach Number	YEAR	QTR	Date of Breach /		Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		
			Likely Breach	Failure Type								EDN Issued to LPB	LPB Responses	
212	2018/19	July	22/08/2018	Contributions	Late payment of contributions owed for July 2018	Contributions for July due 22/08/2018 were not received. The Employer has previously breached on a number of occasions (Breach 98, 142, 162, 174, 182, 189, 198 and 201) Cause: The Employer has failed to confirm the cause of the non-payment. Effect: The contributions remain unpaid and the affected employee has been contacted to inform them of the position. This breach has already been reported to TPR.	YES	Due 22/08/2018 payment not received	AMBER	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	31/08/2018	Approve
213	2018/19	July	22/08/2018	Contributions	Late payment of contributions owed for July 2018	Contributions for July due 22/08/2018 were not received until 23/08/2018 (1 Day late) Cause: Due to admin oversight. Effect: The contributions have now been paid into the fund, their responsibility to the fund has also been communicated to them.	NO	Due 22/08/2018 payment received 23/08/2018	Green	NO		There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	19/10/2018	Approve
214	2018/19	July	22/08/2018	Contributions	Late payment of contributions owed for July 2018	Contributions for July due 22/08/2018 were not received until 29/08/2018 (7 days late). This is the employers first breach. Cause: Due to admin oversight. Effect: The contributions have now been paid into the fund, their responsibility to the fund has also been communicated to them.	NO	Due 22/08/2018 payment received 29/08/2018	Green	NO		There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	19/10/2018	Approve
215	2018/19	August	31/08/2018	ABS	Issue of Active ABS	The Fund did not issue 100% of Active Benefit Statements by the statutory deadline of 31 August. The Fund did send 77% of the statements on time and issued a notification letter to the remaining 23%. The Fund has had a similar breach in previous years. Cause Considerable data issues with the employer's tax year- end pension returns and delays in processing the ABS's in the Fund's database. Effect By the 31st August the Fund has written to the 23% informing them of the delay and working closely with the employers to resolve the queries in order to issue an ABS by Spring 2019. This is not a material breach as 77% of the statements have been issued on time and for the remaining 23% all members have been notified and will receive a statement by Spring 2019. In the event that a member from the 23% leaves or retires up to date information would be obtained to ensure the correct pension is calculated.	YES	Due 31/8/18 which was achieved for 77% of the active membership. The Fund will undertake a 'mop-up' exercise to issue the remaining ABS by Spring 2019	Green	NO	N/A	There are no long term implications associated with this breach. The majority (77%) of statements were issued by the deadline with the remainder due to be issued by Spring 2019 (the percentage of statements issued in the main exercise is comparable with prior years). The introduction of Monthly Interfacing from Autumn 2018 should help to improve the timing and quality of information received by the Fund and, therefore result in an improvement to the number of ABS statements which can be issued on time in future years.	31/08/2018	Approve
216	2018/19	August	22/09/2018	Contributions	Late payment of contributions owed for August 2018	Contributions for August due 22/09/2018 were not received. The Employer has previously breached on a number of occasions (Breach 98, 142, 162, 174, 182, 189, 198, 201 and 212) Cause: The Employer has failed to confirm the cause of the non-payment. Effect: The contributions remain unpaid and the affected employee has been contacted to inform them of the position. This breach has already been reported to TPR.	YES	Due 22/09/2018 payment not received	AMBER	NO	Considerable correspondence between the Fund and the Employer. This Breach has already been reported to The Pensions Regulator.	The Employer still owes contributions for this contract. This breach has been reported to TPR and the Employer has been invoiced for the outstanding contributions.	19/10/2018	Approve
217	2018/19	August	22/09/2018	Contributions	Late payment of contributions owed for August 2018	Contributions for August due 22/09/2018 were not received until 01/10/2018. The Employer has previously breached on one occasion in 2018/19 (Breach 210) Cause: The Employer has confirmed the cause of the late payment was due to an administrative oversight. Effect: The contributions have now been paid into the fund, and the Employer had been reminded of their obligations.	YES	Due 22/09/2018 payment received on 01/10/2018.	GREEN	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	19/10/2018	Approve
218	2018/19	August	22/09/2018	Contributions	Late payment of contributions owed for August 2018	Contributions for August due 22/09/2018 were not received until 02/10/2018. The Employer has not previously breached in 2018/19. Cause: Due to unexpected staffing changes Effect: The employer has now confirmed that a new staff member is in post and payment has since been made	YES	Due 22/09/2018 payment received 02/10/2018.	GREEN	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	19/10/2018	Approve
219	2018/19	August	22/09/2018	Contributions	Late payment of contributions owed for August 2018	Contributions for August due 22/09/2018 were not received. The Employer has not previously breached in 2018/19. Cause: Due to administrative oversight. Effect: Employer has been reminded of their obligation to pay the contributions on time.	YES	Due 22/09/2018 payment not received	GREEN	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	19/10/2018	Approve
220	2018/19	August	22/09/2018	Contributions	Late payment of contributions owed for August 2018	Contributions for August due 22/09/2018 were not received. The employer has previously breached on seven occasions in 2017/18 and 2018/19 (Breach 109,120,153,181, 186, 200, 203 and 211) Cause: Due to incorrect payments made in previous year. Effect: Employer has now confirmed a standing order will be set up for all previous underpayments and going forward contributions are to be paid on time. The Fund will continue to liaise with this employer and monitor the position.	YES	Due 22/09/2018 payment not received	AMBER	NO	N/A	There are no long term implications associated with this breach. Although the employer has not yet paid the contributions they have offered a payment plan to settle the outstanding balance. The Fund will continue to liaise with the employer as required.	19/10/2018	Approve
221	2018/19	August	05/12/2017	Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 05/10/17, the member should have received the options letter on the 05/12/17 however the member received their options letter on the 19/12/17 (14 days late). Cause: At the point of the Fund being notified the member had left, the scheme and employer each held differing addresses for the member. The option form was held back until, the employer confirmed the correct address. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified.	NO	Notified member left 05/10/17, option letter sent 19/12/17.	Green	NO	N/A	There are no long term implications associated with this breach.	19/10/2018	Approve

Breach Number	YEAR	QTR	Date of Breach / Likely Breach		Failure Type	Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.			
			EDN Issued to LPB	LPB Responses												
222	2018/19	August														
			23/07/2015	Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 23/05/15, the member should have received the options letter on the 23/7/15 however the member received their options letter on the 01/03/18 (952 days late). Cause: At the point of the Fund being notified the member had left, the option form was not sent to the member until later on in the deferment process, along with a copy of the statement. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified.	NO	Notified member left 23/05/15, option letter sent 01/03/18.	Green	NO	The deferment process was altered in August 2016, to ensure that the options letter is produced upon notification of the member leaving	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	19/10/2018	Approve		
223	2018/19	August														
			22/09/2018	Contributions	Late payment of contributions owed for August 2018	Contributions for August due 22/09/2018 were received on 28/09/2018 (6 days late). The Employer has previously breached (Number 158 and 167). Cause: Due to an administrative oversight. Effect: The contributions have now been paid into the fund, and the Employer has been reminded of their obligations.	YES	Due 22/09/2018 payment received 28/09/2018	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	19/10/2018	Approve		
224	2018/19	August														
			22/09/2018	Contributions	Late payment of contributions owed for August 2018	Contributions for August due 22/09/2018 were received on 127/09/2018 (5 days late). The Employer has previously breached (Number 160) Cause: Due to an administrative oversight. Effect: The contributions have now been paid into the fund, and the Employer has been reminded of their obligations.	YES	Due 22/09/2018 payment received 28/09/2018	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	19/10/2018	Approve		
225	2018/19	September														
			22/10/2018	Contributions	Late payment of contributions owed for September 2018	Contributions for September due 22/10/2018 were received on 23/10/2018 (1 day late). The Employer has previously breached (Number 192) in 2018/19. Cause: Due to administrative oversight Effect: Payment has been made and the employer has confirmed that controls are in place to prevent a further breach.	YES	Due 22/10/2018 payment received 23/10/2018	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	03/12/2018	Approve		
226	2018/19	September														
			22/10/2018	Contributions	Late payment of contributions owed for September 2018	Contributions for September due 22/10/2018 were received on 09/11/2018 (18 days late). The Employer has previously breached (Number 219) in 2018/19. Cause: Due to administrative oversight. Effect: Employer has been reminded of their obligation to pay the contributions on time.	YES	Due 22/10/2018 payment received 09/11/2018	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	03/12/2018	Approve		
227	2018/19	September														
			22/10/2018	Contributions	Late payment of contributions owed for September 2018	Contributions for September due 22/10/2018 were received on 26/10/2018 (4 days late). The Employer has previously breached (Number 193) in 2018/19. Cause: Due to an administrative oversight Effect: The contributions have now been paid into the fund, and the Employer has confirmed that controls are in place to prevent a further breach	YES	Due 22/10/2018 payment received 26/10/2018	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	03/12/2018	Approve		
228	2018/19	September														
			22/10/2018	Contributions	Late payment of contributions owed for September 2018	Contributions for September due 22/10/2018 were received on 24/10/2018 (2 days late). The Employer has previously breached (Number 214) in 2018/19. Cause: Due to an administrative oversight Effect: Payment has been made and the employer has confirmed that controls are in place to prevent a further breach.	YES	Due 22/10/2018 payment received 24/10/2018	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	03/12/2018	Approve		
229	2018/19	September														
			22/10/2018	Contributions	Late payment of contributions owed for September 2018	Contributions for September due 22/10/2018 were not received. The Employer has previously breached on a number of occasions (Breach 98, 142, 162, 174, 182, 189, 198, 201, 212 and 216) Cause: The Employer has failed to confirm the cause of the non-payment. Effect: The contributions remain unpaid and the affected employee has been contacted to inform them of the position. This breach has already been reported to TPR.	YES	Due 22/10/2018 payment not received	AMBER	NO	Considerable correspondence between the Fund and the Employer. This Breach has already been reported to The Pensions Regulator.	The Employer still owes contributions for this contract. This breach has been reported to TPR and the Employer has been invoiced for the outstanding contributions.	03/12/2018	Approve		
230	2018/19	October														
			22/11/2018	Contributions	Late payment of contributions owed for October 2018	Contributions for October due 22/11/2018 were not received. The Employer has previously breached on a number of occasions (Breach 98, 142, 162, 174, 182, 189, 198, 201, 212, 216 and 229) Cause: The Employer has failed to confirm the cause of the non-payment. Effect: The contributions remain unpaid and the affected employee has been contacted to inform them of the position. This breach has already been reported to TPR.	YES	Due 22/11/2018 payment not received	AMBER	NO	Considerable correspondence between the Fund and the Employer. This Breach has already been reported to The Pensions Regulator.	The Employer still owes contributions for this contract. This breach has been reported to TPR and the Employer has been invoiced for the outstanding contributions.	15/01/2019	Approve		
231	2018/19	October														
			22/11/2018	Contributions	Late payment of contributions owed for October 2018	Contributions for October due 22/11/2018 were received on 27/10/2018 (5 days late). The Employer has not previously breached in 2018/19. Cause: Due to an administrative oversight Effect: Payment has been made and the employer has confirmed that controls are in place to prevent a further breach.	NO	Due 22/11/2018 payment received 27/11/2018	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	15/01/2019	Approve		
232	2018/19	October														
			22/11/2018	Contributions	Late payment of contributions owed for October 2018	Contributions for October due 22/11/2018 were received on 26/11/2018 (4 days late). The Employer has previously breached (Number 210 and 217) in 2018/19. Cause: Due to an administrative oversight Effect: Payment has been made and the employer has confirmed that controls are in place to prevent a further breach.	YES	Due 22/11/2018 payment received 26/11/2018	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	15/01/2019	Approve		
233	2018/19	October														
			03/09/2018	Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 03/07/18, the member should have received the options letter on the 03/09/18 however the member received their options letter on the 02/10/18 (29 days late). Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known (3/7/18), in this instance the leaver process was not completed until 10/09/18, so the deferred option letter was not produced until October. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left 03/07/18, option letter sent 03/09/18.	Green	NO	The leaver process is usually completed within a couple of days of being set up, which enables the relevant option form to be sent within the expected timescales. With an increased number of leavers being set up due to year end queries this has increased the number of days taken to complete this process.	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	15/01/2019	Approve		

Breach Number	YEAR	QTR	Date of Breach / Likely Breach		Failure Type	Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		
													EDN Issued to LPB	LPB Responses	
234	2018/19	October	06/02/2018		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 6/12/17, the member should have received the options letter on the 6/2/18 however the member received their options letter on the 12/3/18 (34 days late). Cause: The Fund were not provided with the correct information to process the case as a retirement initially. Effect: The member was not informed of their option to transfer/defer within 2 months whilst they were awaiting retirement figures. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left 06/12/17, option letter sent 12/03/18.	Green	NO	N/A	There are no long term implications associated with this breach.	15/01/2019	Approve
235	2018/19	November	31/12/2012		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 31/07/12, however the member did not leave until 31/08/12, the member should have received the options letter on the 31/10/12 however the member received their options letter on the 02/10/18 (2162 days late). Cause: At the point of the Fund being notified the member had left, the option form was not sent to the member until later on in the deferment process, along with a copy of the statement. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified.	NO	Member left 31/08/12, option letter sent 02/10/18.	Green	NO	The deferment process was altered in August 2016, to ensure that the options letter is produced upon notification of the member leaving	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	15/01/2019	Approve
236	2018/19	November	31/10/2016		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 26/08/16, however the member did not leave until 31/08/16, the member should have received the options letter on the 31/10/16 however the member received their options letter on the 03/05/17 (184 days late). Cause: At the point of the Fund being notified the member had left, the option form was not sent to the member until later on in the deferment process, along with a copy of the statement. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified.	NO	Member left 31/08/16, option letter sent 03/05/17.	Green	NO	The deferment process was altered in August 2016, to ensure that the options letter is produced upon notification of the member leaving	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	15/01/2019	Approve
237	2018/19	November	12/04/2016		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 12/2/16, the member should have received the options letter on the 12/4/16 however the member received their options letter on the 17/11/16 (219 days late). Cause: The Fund were not provided with the correct information to process the case as a retirement initially. Effect: The member was not informed of their option to transfer/defer within 2 months whilst they were awaiting retirement figures. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left 12/02/16, option letter sent 17/11/16.	Green	NO	N/A	There are no long term implications associated with this breach.	15/01/2019	Approve
238	2018/19	November	22/12/2018		Contributions	Late payment of contributions owed for November 2018	Contributions for November due 22/12/2018 were received on 07/01/2019 (16 days late). The Employer has not previously breached in 2018/19. Cause: Due to administrative oversight. Effect: Employer has been reminded of their obligation to pay the contributions on time.	NO	Due 22/12/2018 payment received 07/01/2019	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	15/01/2019	Approve
239	2018/19	November	22/12/2018		Contributions	Late payment of contributions owed for November 2018	Contributions for November due 22/12/2018 were not received. The Employer has not previously breached in 2018/19 Cause: Due to an administrative oversight. Effect: Employer has been reminded of their obligation to pay the contributions on time, payment will be made as soon as possible	YES	Due 22/12/2018 payment not received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	15/01/2019	Approve
240	2018/19	November	22/12/2018		Contributions	Late payment of contributions owed for November 2018	Contributions for November due 22/12/2018 were not received. The Employer has not previously breached in 2018/19 Cause: Due to an administrative oversight. Effect: Employer has been reminded of their obligation to pay the contributions on time, payment will be made as soon as possible	NO	Due 22/12/2018 payment not received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	15/01/2019	Approve
241	2018/19	November	22/12/2018		Contributions	Late payment of contributions owed for November 2018	Contributions for November due 22/12/2018 were not received. The employer has previously breached on nine occasions in 2017/18 and 2018/19 (Breach 109,120,153,181, 186, 200, 203, 211, 220) Cause: The Fund awaiting a response from the employer to determine the reason for the breach Effect: Employer has been reminded of their obligation to pay the contributions on time	YES	Due 22/12/2018 payment not received	AMBER	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	15/01/2019	Approve
242	2018/19	November	22/12/2018		Contributions	Late payment of contributions owed for November 2018	Contributions for November due 22/12/2018 were not received. The Employer has previously breached on a number of occasions (Breach 98, 142, 162, 174, 182, 189, 198, 201, 212, 216, 229 and 230) Cause: The Employer has failed to confirm the cause of the non-payment. Effect: The contributions remain unpaid and the affected employee has been contacted to inform them of the position. This breach has already been reported to TPR.	YES	Due 22/12/2018 payment not received	AMBER	NO	Considerable correspondence between the Fund and the Employer. This Breach has already been reported to The Pensions Regulator.	The Employer still owes contributions for this contract. This breach has been reported to TPR and the Employer has been invoiced for the outstanding contributions.	15/01/2019	Approve
243	2018/19	December	04/03/2016		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 04/01/16, the member should have received the options letter on the 04/03/16 however the member received their options letter on the 14/11/16 (255 days late). Cause: At the point of being notified that the member had left, the member hadn't vested in the LGPS and therefore was only entitled to a refund or transfer. The refund options letter was sent after the Fund had received details of the members pension and NI contributions. Effect: The member was not informed of their option to receive a refund or transfer within 2 months, however both options remain open to the member.	NO	Notified member left 04/01/16, option letter sent 14/11/2016.	Green	NO	The refund process was changed in April 2017 to ensure that the options letter is produced upon notification of the member leaving.	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	13/02/2019	Approve

Breach Number	YEAR	QTR	Date of Breach / Likely Breach		Failure Type	Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		
			EDN Issued to LPB	LPB Responses											
244	2018/19	December				Late payment of contributions owed for December 2018	Contributions for December due 22/01/2019 were not received. The Employer has previously breached in 2018/19 (239). Cause: Due to staffing changes. Effect: Employer has confirmed training is in place for new staff to ensure that contributions will be paid on time.	YES	Due 22/01/2019 payment not received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	13/02/2019	Approve
245	2018/19	December				Late payment of contributions owed for December 2018	Contributions for December due 22/01/2019 were not received. The employer has previously breached on ten occasions in 2017/18 and 2018/19 (Breach 109,120,153,181, 186, 200, 203, 211, 220 & 241) Cause: Due to admin oversight. Effect: Employer has been reminded of their obligation to pay the contributions on time	YES	Due 22/01/2019 payment not received	AMBER	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	13/02/2019	Approve
246	2018/19	December				Late payment of contributions owed for December 2018	Contributions for December due 22/12/2018 were not received. The Employer has previously breached on a number of occasions (Breach 98, 142, 162, 174, 182, 189, 198, 201, 212, 216, 229, 230 & 242) Cause: The Employer has failed to confirm the cause of the non-payment.. Effect: The contributions remain unpaid and the affected employee has been contacted to inform them of the position. This breach has already been reported to TPR.	YES	Due 22/01/2019 payment not received	AMBER	NO	Considerable correspondence between the Fund and the Employer. This Breach has already been reported to The Pensions Regulator.	The Employer still owes contributions for this contract. This breach has been reported to TPR and the Employer has been invoiced for the outstanding contributions.	13/02/2019	Approve
247	2018/19	December				Late payment of contributions owed for December 2018	Contributions for December due 22/01/2019 were received on 07/01/2019 (16 days late). The Employer has not previously breached in 2018/19. Cause: Due to administrative oversight. Effect: The contributions have now been paid into the fund, and the Employer has been reminded of their obligations.	NO	Due 22/01/2019 payment received 07/01/2019	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	13/02/2019	Approve
248	2018/19	January				Late payment of contributions owed for January 2019	Contributions for January due 22/02/2019 were not received. The employer has previously breached on eleven occasions in 2017/18 and 2018/19 (Breach 109,120,153,181, 186, 200, 203, 211, 220, 241 & 245) Cause: Due to unexpected staffing changes. Effect: Employer has confirmed new member of staff now in place and payment will be made as soon as possible.	YES	Due 22/02/2019 payment not received	AMBER	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	11/04/2019	Approve
249	2018/19	January				Late payment of contributions owed for January 2019	Contributions for January due 22/02/2019 were not received. The Employer has previously breached on a number of occasions (Breach 98, 142, 162, 174, 182, 189, 198, 201, 212, 216, 229, 230, 242 & 246) Cause: The Employer has failed to confirm the cause of the non-payment.. Effect: The contributions remain unpaid and the affected employee has been contacted to inform them of the position. This breach has already been reported to TPR.	YES	Due 22/02/2019 payment not received	AMBER	NO	Considerable correspondence between the Fund and the Employer. This Breach has already been reported to The Pensions Regulator.	The Employer still owes contributions for this contract. This breach has been reported to TPR and the Employer has been invoiced for the outstanding contributions.	11/04/2019	Approve
250	2018/19	January				Late payment of contributions owed for January 2019	Contributions for January due 22/02/2019 were received on 25/02/2019 (3 days late). The Employer has previously breached (Number 210, 217 & 232) in 2018/19. Cause: Due to an administrative oversight Effect: The contributions have now been paid into the fund, and the Employer has been reminded of their obligations.	YES	Due 22/02/2019 payment received 25/02/2019	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	11/04/2019	Approve
251	2018/19	January				Late payment of contributions owed for January 2019	Contributions for January due 22/02/2019 were not received. The Employer has previously breached in 2018/19 (231). Cause: Due to an administrative oversight Effect: Employer has been reminded of their obligation to pay the contributions on time	NO	Due 22/02/2019 payment not received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	11/04/2019	Approve
252	2018/19	January				Late payment of contributions owed for January 2019	Contributions for January due 22/02/2019 were received on 25/02/2019 (3 days late). The Employer has not previously breached in 2018/19. Cause: Due to an administrative oversight Effect: The employer is aware of the oversight and has put controls in place to ensure that this is prevented in the future	NO	Due 22/02/2019 payment received 25/02/2019	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	11/04/2019	Approve
253	2018/19	January			Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 08/03/18, the member should have received the options letter on the 08/05/18 however the member received their options letter on the 02/10/18 (147 days late). Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance the leaver process was not completed until 17/09/18, so the deferred option letter was not produced until October. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left 8/3/18, option letter sent 2/10/2016.	Green	NO	The leaver process is usually completed within a couple of days of being set up, which enables the relevant option form to be sent within the expected timescales. With an increased number of leavers being set up due to year end queries this has increased the number of days taken to complete this process.	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	11/04/2019	Approve

Breach Number	YEAR	QTR	Date of Breach /		Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		
			Likely Breach	Failure Type								EDN Issued to LPB	LPB Responses	
254	2018/19	January				Notification of the member leaving employment was received by the Fund on 12/10/18, the member should have received the options letter on the 12/12/18 however the member received their deferred statement and options on the 18/12/18 (6 days late). Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance the leaver process was not completed until 18/12/18 when the deferred pension was calculated. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left 12/10/18, option letter sent 18/12/2018.	Green	NO	The leaver process is usually completed within a couple of days of being set up, which enables the relevant option form to be sent within the expected timescales. With an increased number of leavers being set up due to year end queries this has increased the number of days taken to complete this process.	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	11/04/2019	Approve
255	2018/19	February				Notification of the member leaving employment was received by the Fund on 14/09/18, the member should have received the options letter on the 14/11/18 however the member received their options letter on the 4/12/18 (20 days late). Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance the leaver process was not completed until 27/11/18, so the deferred option letter was not produced until October. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left 14/9/18, option letter sent 4/12/2018.	Green	NO	The leaver process is usually completed within a couple of days of being set up, which enables the relevant option form to be sent within the expected timescales. With an increased number of leavers being set up due to year end queries this has increased the number of days taken to complete this process.	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	11/04/2019	Approve
256	2018/19	February				Notification of the member leaving employment was received by the Fund via the LGS50 return on 1/4/15, the member should have received the options letter on the 1/6/15 however the member received their options letter on the 2/8/18 (1158 days late). Cause: At the point of being notified that the member had left, the member hadn't vested in the LGPS and therefore was only entitled to a refund or transfer. The refund options letter was sent after the Fund had received details of the members pension and NI contributions. Effect: The member was not informed of their option to receive a refund or transfer within 2 months, however both options remain open to the member.	NO	Notified member left 1/4/15, option letter sent 2/8/2018.	Green	NO	The refund process was changed in April 2017 to ensure that the options letter is produced upon notification of the member leaving.	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	11/04/2019	Approve
257	2018/19	February	22/03/2019	Contributions	Late payment of contributions owed for February 2019	Contributions for February due 22/03/2019 were not received. The Employer has previously breached in 2018/19 (194 & 197). Cause: Due to an administrative oversight Effect: Employer has been reminded of their obligation to pay the contributions on time	YES	Due 22/03/2019 payment not received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	11/04/2019	Approve
258	2018/19	February	22/03/2019	Contributions	Late payment of contributions owed for February 2019	Contributions for February due 22/03/2019 were not received. The Employer has not previously breached in 2018/19. Cause: Due to an administrative oversight Effect: Employer has been reminded of their obligation to pay the contributions on time	NO	Due 22/03/2019 payment not received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	11/04/2019	Approve
259	2018/19	February	22/03/2019	Contributions	Late payment of contributions owed for February 2019	Contributions for February due 22/03/2019 were not received. The employer has previously breached on twelve occasions in 2017/18 and 2018/19 (Breach 109,120,153,181, 186, 200, 203, 211, 220, 241, 245 & 248) Cause: Due to unexpected staffing changes. Effect: Employer has confirmed new member of staff now in place and payment will be made as soon as possible.	YES	Due 22/03/2019 payment not received	AMBER	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	11/04/2019	Approve
260	2018/19	February	22/03/2019	Contributions	Late payment of contributions owed for February 2019	Contributions for February due 22/03/2019 were not received. The Employer has previously breached on a number of occasions (Breach 98, 142, 162, 174, 182, 189, 198, 201, 212, 216, 229, 230, 242, 246 & 249) Cause: The Employer has failed to confirm the cause of the non-payment. Effect: The contributions remain unpaid and the affected employee has been contacted to inform them of the position. This breach has already been reported to TPR.	YES	Due 22/03/2019 payment not received	AMBER	NO	Considerable correspondence between the Fund and the Employer. This Breach has already been reported to The Pensions Regulator.	The Employer still owes contributions for this contract. This breach has been reported to TPR and the Employer has been invoiced for the outstanding contributions.	11/04/2019	Approve

Breach Number	YEAR	QTR	Date of Breach / Likely Breach		Failure Type	Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		
													EDN Issued to LPB	LPB Responses	
261	2018/19	March			Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 13/10/17, the member should have received the options letter on the 13/12/17 however the member received their deferred benefit statement with their options on the 18/01/19 (401 days late). Cause: The leaver form was recieved prior to the fund receiving the members starter form. The option form can only be sent once the members record has been created, once the starter form is received. Details of the starter form was received on 30/01/18 and the record was created, however the leaver process was not set up until 11/11/18 due to the initial leaver form being indexed incorrectly against the document name starter form. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left 13/10/17, option letter sent 18/1/2019.	Green	NO	The leaver process is usually completed within a couple of days of being set up, which enables the relevant option form to be sent within the expected timescales. With the starter form coming over after the leaver form, the record was not set up for the leaver process to be started.	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	06/06/2019	Approve
262	2018/19	March	22/04/2019		Contributions	Late payment of contributions owed for March 2019	Contributions for March due 22/04/2019 were not received. The Employer has previously breached on a number of occasions (Breach 98, 142, 162, 174, 182, 189, 198, 201, 212, 216, 229, 230, 242, 246, 249 & 260) Cause: The Employer has failed to confirm the cause of the non-payment. Effect: The contributions remain unpaid and the affected employee has been contacted to inform them of the position. This breach has already been reported to TPR.	YES	Due 22/04/2019 payment not received	AMBER	NO	Considerable correspondence between the Fund and the Employer. This Breach has already been reported to The Pensions Regulator.	The Employer still owes contributions for this contract. This breach has been reported to TPR and the Employer has been invoiced for the outstanding contributions.	06/06/2019	Approve
263	2018/19	March	22/04/2019		Contributions	Late payment of contributions owed for March 2019	Contributions for March due 22/04/2019 were received late (1 day) received 23/04/2019. The employer has previously breached on twelve occasions in 2017/18 and 2018/19 (Breach 109,120,153,181, 186, 200, 203, 211, 220, 241 ,245, 248 & 259) Cause: Due to unexpected staffing changes. Effect: The contributions have now been paid into the fund, and the Employer has been reminded of their obligations.	YES	Due 22/04/2019 payment received 23/04/2019	AMBER	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	06/06/2019	Approve
264	2018/19	March	22/04/2019		Contributions	Late payment of contributions owed for March 2019	Contributions for March due 22/04/2019 were not recieved. The Employer has previously breached (Number 158, 167 & 223). Cause: Due to an administrative oversight. Effect: The contributions have not been paid into the fund. The Employer has been reminded of their obligations to the fund and reminders for payment have been sent.	YES	Due 22/04/2019 payment not received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	06/06/2019	Approve
265	2018/19	March	22/04/2019		Contributions	Late payment of contributions owed for March 2019	Contributions for March due 22/04/2019 were not recieved on time (received 24/04/2019 - 2 days late). The Employer has not previously breached. Cause: Due to an administrative oversight. Effect: The contributions have now been paid into the fund, and the Employer has been reminded of their obligations.	NO	Due 22/04/2019 payment received 24/04/2019	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	06/06/2019	Approve
266	2018/19	March	22/04/2019		Contributions	Late payment of contributions owed for March 2019	Contributions for March due 22/04/2019 were received on 25/04/2019 (3 days late). The Employer has previously breached (Number 210, 217, 232 & 250) in 2018/19. Cause: Due to an administrative oversight Effect: The contributions have now been paid into the fund, and the Employer has been reminded of their obligations.	YES	Due 22/04/2019 payment received 25/04/2019	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	06/06/2019	Approve
267	2018/19	March	22/04/2019		Contributions	Late payment of contributions owed for March 2019	Contributions for March due 22/04/2019 were not recieved on time (received 23/04/2019 - 1 day late). The Employer has not previously breached in 2018/19. Cause: Due to an administrative oversight. Effect: The contributions have now been paid into the fund, and the Employer has been reminded of their obligations.	YES	Due 22/04/2019 payment received 23/04/2019	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	06/06/2019	Approve
268	2018/19	March	22/04/2019		Contributions	Late payment of contributions owed for March 2019	Contributions for March due 22/04/2019 were not recieved. The Employer has previously breached (Number 252). Cause: Due to an administrative oversight. Effect: The contributions have not been paid into the fund. The Employer has been reminded of their obligations to the fund and reminders for payment have been sent.	YES	Due 22/04/2019 payment not received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	06/06/2019	Approve
269	2018/19	March	22/04/2019		Contributions	Late payment of contributions owed for March 2019	Contributions for March due 22/04/2019 were not recieved on time (received 23/04/2019 - 1 day late). The Employer has not previously breached. Cause: Due to an administrative oversight. Effect: The contributions have not been paid into the fund. The Employer has been reminded of their obligations to the fund and reminders for payment have been sent.	NO	Due 22/04/2019 payment received 23/04/2019	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	06/06/2019	Approve
270	2018/19	March	22/04/2019		Contributions	Late payment of contributions owed March 2018 to March 2019	Contributions have not been received for the period April 2018 to March 2019. Cause: Due to ongoing issues with the employer contract Effect: The contributions remain unpaid, the Fund will report the Employer to the regulator if they continue to fail to make contributions to the Fund	NO	Due 22/04/2019 no payment received	AMBER	NO	The Funds officers and legal team are corresponding with the Employer, the Fund will report to the regulator if this is not resolved.	The Employer still owes contributions for this contract and the Fund in conjunction with its legal team are looking at how this could be prevented in future.	06/06/2019	Approve

Breach Number	YEAR	QTR	Date of Breach /		Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		
			Likely Breach	Failure Type								EDN Issued to LPB	LPB Responses	
271	2019/20	April				The Disclosure Regulations 2013 require that pension schemes inform all members and beneficiaries of the scheme of any change to the scheme that results in a material change to the basic scheme information place as soon as possible, and in any event, within three months of the date of change Cause: The Fund has not communicated 1 amendment to the LGPS regulations by the 3 month date of 9 April 2019. The amendment provides that survivor benefits payable to a same sex spouse or a civil partner are equal those paid to the widow of a male member. The change is backdated to the date the civil partnerships and same sex marriages were introduced – this is 5 December 2005 for civil partnerships and 13 March 2014 for same sex marriages. This means that where a member of the LGPS has died leaving a surviving civil partner or a same sex spouse, the survivor's pension in payment will need to be reviewed and any additional amounts paid, where applicable. The Fund are in the process of reviewing the impact of this change but identifying those historic cases affected has proved difficult. It is suspected that there are fewer than 5 members and probably zero. Once the member have been identified the members, they will be contacted directly. The change will automatically be taken into account in survivor benefits paid to civil partners and same sex spouses in the future. The amendment should not impact the decision making of current members and only affects civil partners/same sex spouses. The Fund has taken the view it does not merit a specific piece of communications. We will however communicate to current members as part of the planned deferred newsletter in June 2019 and the Active newsletter in August. Effect: A technical breach – failure to meet a disclosure requirement which affects a handful of members. Any members impacted financially by the backdating will have their benefits recalculated and corrected.	NO	Disclosure Requirement by 9/04/2019	GREEN	NO	Deliberate technical breach by the Fund. Any members impacted financially by the backdating of the amendment will be communicate to directly and will have their benefits recalculated and corrected. The change will automatically be taken into account in survivor benefits paid to civil partners and same sex spouses in the future. And will be communicated as part of the planned deferred newsletter in June 2019 and the Active newsletter in August	None	22/07/2019	Approve
272	2019/20	April	09/04/2019	Disclosure	Late disclosure of one amendment to the LGPS regulations	Notification of the member leaving employment was received by the Fund on 22/01/19, the member should have received the options letter on the 22/03/19 however the member received their options letter on the 09/04/19 (18 days late). Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance the leaver process was not completed until 26/03/19, so the deferred option letter was not produced until April. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left 22/1/19, option letter sent 9/4/2019.	Green	NO	The leaver process is usually completed within a couple of days of being set up, which enables the relevant option form to be sent within the expected timescales. With an increased number of leavers being set up due to year end queries this has increased the number of days taken to complete this process.	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	22/07/2019	Approve
273	2019/20	April				Notification of the member leaving employment was received by the Fund on 11/01/16, the member should have received the options letter on the 11/03/16 however the member received their options letter on the 14/11/16 (248 days late). Cause: At the point of being notified that the member had left, the member hadn't vested in the LGPS and therefore was only entitled to a refund or transfer. The refund options letter was sent after the Fund had received details of the members pension and NI contributions. Effect: The member was not informed of their option to receive a refund or transfer within 2 months, however both options remain open to the member.	NO	Notified member left 11/1/16, option letter sent 14/11/2016.	Green	NO	The refund process was changed in April 2017 to ensure that the options letter is produced upon notification of the member leaving.	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	22/07/2019	Approve
274	2019/20	April	22/05/2019	Contributions	Late payment of contributions owed for April 2019	Contributions for April due 22/05/2019 were not recieved late (22 days) received 11/06/2019. The Employer has not previously breached. Cause: Due to an administrative oversight. Effect: The contributions have now been paid into the fund, and the Employer has been reminded of their obligations.	NO	Due 22/05/2019 payment received 11/06/2019	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	22/07/2019	Approve
275	2019/20	April	22/05/2019	Contributions	Late payment of contributions owed for April 2019	Contributions have not been received for April 2019. The employer has previously breached on one occasion (Breach 270) Cause: Due to ongoing issues with the employer contract Effect: The contributions remain unpaid, the Fund will report the Employer to the regulator if they continue to fail to make contributions to the Fund	YES	Due 22/05/2019 no payment received	AMBER	NO	The Funds officers and legal team are corresponding with the Employer, the Fund will report to the regulator if this is not resolved.	The Employer still owes contributions for this contract and the Fund in conjunction with its legal team are looking at how this could be prevented in future.	22/07/2019	Approve
276	2019/20	April	22/05/2019	Contributions	Late payment of contributions owed for April 2019	Contributions for April due 22/05/2019 were received late (41 days) received 02/07/2019. The employer has previously breached on a number of occasions in 2017/18 and 2018/19 (Breach 109,120,153,181, 186, 200, 203, 211, 220, 241, 245, 248, 259 & 263) Cause: Due to an administrative oversight Effect: The contributions have now been paid into the fund, and the Employer has been reminded of their obligations.	YES	Due 22/05/2019 payment received 02/07/2019	AMBER	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	22/07/2019	Approve
277	2019/20	April	22/05/2019	Contributions	Late payment of contributions owed for April 2019	Contributions for April due 22/05/2019 were not received. The Employer has previously breached on a number of occasions (Breach 98, 142, 162, 174, 182, 189, 198, 201, 212, 216, 229, 230, 242, 246, 249, 260 & 262) Cause: The Employer has failed to confirm the cause of the non-payment.. Effect: The contributions remain unpaid and the affected employee has been contacted to inform them of the position. This breach has already been reported to TPR.	YES	Due 22/05/2019 no payment received	AMBER	NO	Considerable correspondence between the Fund and the Employer. This Breach has already been reported to The Pensions Regulator.	The Employer still owes contributions for this contract. This breach has been reported to TPR and the Employer has been invoiced for the outstanding contributions.	22/07/2019	Approve
278	2019/20	May	22/06/2019	Contributions	Late payment of contributions owed for May 2019	Contributions for May due 22/06/2019 were received late (2 days) received 24/06/2019. The Employer has previously breached (Number 252 & 268). Cause: Due to an administrative oversight. Effect: The contributions have been paid into the fund, and the Employer has been reminded of their obligations to the fund.	YES	Due 22/06/2019 payment received 24/06/2019	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	22/07/2019	Approve

Breach Number	YEAR	QTR	Date of Breach /		Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		
			Likely Breach	Failure Type								EDN Issued to LPB	LPB Responses	
279	2019/20	May	22/06/2019	Contributions	Late payment of contributions owed for May 2019	Contributions for May due 22/06/2019 were received late (13 days) received 05/07/2019. The Employer has not previously breached. Cause: Due to an administrative oversight. Effect: The contributions have been paid into the fund, and the Employer has been reminded of their obligations to the fund.	NO	Due 22/06/2019 payment received 05/07/2019	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	22/07/2019	Approve
280	2019/20	May	22/06/2019	Contributions	Late payment of contributions owed for May 2019	Contributions for May due 22/06/2019 were received late (13 days) received 05/07/2019. The Employer has previously breached in 2018/19 (Breach 219, 226 and 240) Cause: Due to an administrative oversight. Effect: The contributions have not been paid into the fund. The Employer has been reminded of their obligations to the fund and reminders for payment have been sent.	YES	Due 22/06/2019 payment received 05/07/2019	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	22/07/2019	Approve
281	2019/20	May	22/06/2019	Contributions	Late payment of contributions owed for May 2019	Contributions have not been received for May 2019. The employer has previously breached on two occasions (Breach 270 and 275) Cause: Due to ongoing issues with the employer contract Effect: The contributions remain unpaid, the Fund will report the Employer to the regulator if they continue to fail to make contributions to the Fund	YES	Due 22/06/2019 no payment received	AMBER	NO	The Funds officers and legal team are corresponding with the Employer, the Fund will report to the regulator if this is not resolved.	The Employer still owes contributions for this contract and the Fund in conjunction with its legal team are looking at how this could be prevented in future.	22/07/2019	Approve
282	2019/20	May	22/06/2019	Contributions	Late payment of contributions owed for May 2019	Contributions for May due 22/06/2019 were not received. The Employer has previously breached on a number of occasions (Breach 98, 142, 162, 174, 182, 189, 198, 201, 212, 216, 229, 230, 242, 246, 249, 260, 262 & 280) Cause: The Employer has failed to confirm the cause of the non-payment. Effect: The contributions remain unpaid and the affected employee has been contacted to inform them of the position. This breach has already been reported to TPR.	YES	Due 22/06/2019 no payment received	AMBER	NO	Considerable correspondence between the Fund and the Employer. This Breach has already been reported to The Pensions Regulator.	The Employer still owes contributions for this contract. This breach has been reported to TPR and the Employer has been invoiced for the outstanding contributions.	22/07/2019	Approve
283	2019/20	May	22/06/2019	Contributions	Late payment of contributions owed for May 2019	Contributions for May due 22/06/2019 were received late (10 days) received 02/07/2019. The employer has previously breached on twelve occasions in 2017/18 and 2018/19 (Breach 109,120,153,181, 186, 200, 203, 211, 220, 241, 245, 248, 259, 263 & 276) Cause: Due to an administrative oversight Effect: The contributions have now been paid into the fund, and the Employer has been reminded of their obligations.	YES	Due 22/06/2019 payment received 02/07/2019	AMBER	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	22/07/2019	Approve
284	2019/20	May	22/06/2019	Contributions	Late payment of contributions owed for May 2019	Contributions for May due 22/06/2019 were received without the deficit element. The employer has not previously breached in 2019/20. Cause: Due to staffing changes. Effect: The contributions have not been paid into the fund. The Employer has been reminded of their obligations to the fund and reminders for payment have been sent.	NO	Due 22/06/2019 no payment received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	22/07/2019	Approve
285	2019/20	June		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 28/08/13, however the member did not leave until 31/08/13, the member should have received the options letter on the 31/10/13, the member received their options letter on the 09/04/19 (1987 days late). Cause: At the point of the Fund being notified the member had left, the option form was not sent to the member until later on in the deferment process, along with a copy of the statement. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified.	NO	Member left 31/08/2013, option letter sent 09/04/2019.	Green	NO	The deferment process was altered in August 2016, to ensure that the options letter is produced upon notification of the member leaving	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	05/08/2019	Approve
286	2019/20	June		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 06/02/14, the member should have received the options letter on the 06/04/14, however the member received their options letter on the 04/03/19 (1794 days late). Cause: At the point of the Fund being notified the member had left, the option form was not sent to the member until later on in the deferment process, along with a copy of the statement. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified.	NO	Notified member left 06/02/14, option letter sent 04/03/2019.	Green	NO	The deferment process was altered in August 2016, to ensure that the options letter is produced upon notification of the member leaving	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	05/08/2019	Approve
287	2019/20	June	22/07/2019	Contributions	Late payment of contributions owed for June 2019	Contributions for June due 22/07/2019 were not received. The Employer has previously breached on a number of occasions (Breach 98, 142, 162, 174, 182, 189, 198, 201, 212, 216, 229, 230, 242, 246, 249, 260, 262, 280 & 282) Cause: The Employer has failed to confirm the cause of the non-payment. Effect: The contributions remain unpaid and the affected employee has been contacted to inform them of the position. This breach has already been reported to TPR.	YES	Due 22/07/2019 no payment received	AMBER	NO	Considerable correspondence between the Fund and the Employer. This Breach has already been reported to The Pensions Regulator.	The Employer still owes contributions for this contract. This breach has been reported to TPR and the Employer has been invoiced for the outstanding contributions.	05/08/2019	Approve
288	2019/20	June	22/07/2019	Contributions	Late payment of contributions owed for June 2019	Contributions for June 2019 due 22/07/2019 were not received. The employer has previously breached on three occasions (Breach 270,275 & 281) Cause: Due to ongoing issues with the employer contract Effect: The contributions remain unpaid, the Fund will report the Employer to the regulator if they continue to fail to make contributions to the Fund	YES	Due 22/07/2019 no payment received	AMBER	NO	The Funds officers and legal team are corresponding with the Employer, the Fund will report to the regulator if this is not resolved.	The Employer still owes contributions for this contract and the Fund in conjunction with its legal team are looking at how this could be prevented in future.	05/08/2019	Approve
289	2019/20	June	22/07/2019	Contributions	Late payment of contributions owed for June 2019	Contributions for June due 22/07/2019 were not received. The Employer has not previously breached in 2019/20. Cause: Due to an administrative oversight. Effect: The employer has confirmed payment will be made and has been reminded of their obligations to the Fund.	YES	Due 22/07/2019 no payment received	GREEN	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	05/08/2019	Approve
290	2019/20	June	22/07/2019	Contributions	Late payment of contributions owed for June 2019	Contributions for June due 22/07/2019 were not received. The employer has previously breached on numerous occasions in 2017/18 and 2018/19 (Breach 109,120,153,181, 186, 200, 203, 211, 220, 241, 245, 248, 259, 263, 276 & 283) Cause: Due to an administrative oversight Effect: The contributions have not been paid into the fund. The Employer has been reminded of their obligations.	YES	Due 22/07/2019 no payment received	AMBER	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	05/08/2019	Approve

Breach Number	YEAR	QTR	Date of Breach / Likely Breach		Failure Type	Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		
			EDN Issued to LPB	LPB Responses											
291	2019/20	June		22/07/2019	Contributions	Late payment of contributions owed for June 2019	Contributions for June due 22/07/2019 were not received late (1 day) received 23/07/2019. The employer has not previously breached in 19/20. Cause: Due to administrative oversight. Effect: Payment has been made and the employer has confirmed that controls are in place to prevent a further breach.	YES	Due 22/07/2019 received 23/07/2019	GREEN	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	05/08/2019	Approve
292	2019/20	July			Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 9/11/18, the member should have received the options letter on the 9/1/19 however the member received their retirement options letter on the 16/4/19 (97 days late). Cause: At the point of the Fund being notified the member had left, the member was eligible for payment of their pension. To send the member their retirement options the correct pay information is required for the member to make an informed decision. Once the correct pay information was received the member chose to defer their pension until it was payable at an unreduced rate. Effect: The member was not informed of their options within 2 months, due to the correct pay information being omitted from the leaver form. The member has now received the options and is still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left 09/11/18, option letter sent 16/04/2019.	Green	NO	The Employer has received additional training to be able to provide the correct figures required to calculate the pension benefits.	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	09/10/2019	Approve
293	2019/20	July			Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 29/11/17, the member should have received the options letter on the 29/1/18 however the member received their retirement options letter on the 23/11/18 (298 days late). Cause: At the point of the Fund being notified the member had left, the member was eligible for payment of their pension. To send the member their retirement options the correct pay information is required for the member to make an informed decision. Once the correct pay information was received the member chose to defer their pension until it was payable at an unreduced rate. Effect: The member was not informed of their options within 2 months, due to the correct pay information being omitted from the leaver form. The member has now received the options and is still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left 29/11/17, option letter sent 23/11/2018.	Green	NO	The Employer has received additional training to be able to provide the correct figures required to calculate the pension benefits.	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	09/10/2019	Approve
294	2019/20	August		31/08/2019	ABS	Issue of Active ABS	The Fund did not issue 100% of Active or Deferred Annual Benefit Statements (ABS) by the statutory deadline of 31 August. The Fund did send 84.56% of the active statements and 88.97% of the deferred statements on time. The active members who have not received an ABS have received a letter explaining that the Fund is working to resolve any outstanding queries with their data so that we can send them an ABS by November 2019. The majority of deferred members who did not receive an ABS was due to the Fund not having the correct address, therefore tracing will need to be required to locate the member. The Fund has had a similar breach in previous years. Cause Data issues on the members record, lost contact. Effect By the 31st August the Fund has written to the c15% of Active members informing them of the delay and working closely with the employers to resolve the data queries in order to issue an ABS by November 2019. For the c11% of Deferred members the main issue relates to the fact that the Fund has lost contact with the member and the Fund may need to undertake tracing to locate these members. Advice is being sought from the Pensions Regulator.	YES	Due 31/8/19 which was achieved for 84.56% of the active membership and 87.89% of the deferred membership. The Fund will undertake a 'mop-up' exercise to issue the remaining active ABS by November 2019 and will undertake tracing services to locate the majority of deferred members that it has lost contact with.	RED	YES	Data cleansing / Introduction of MI / increased use of tracing services	The Fund has undertaken considerable data cleansing in the past twelve months which has resulted in an increase in the number of members who received their ABS by the 31 August, compared to 2018. This work is continuing. The introduction of Monthly Interfacing during 2019 should help to improve the timing and quality of information received by the Fund and, therefore result in an improvement to the number of ABS statements which can be issued on time in future years.	09/10/2019	Approve
295	2019-20	July		22/08/2019	Contributions	Late payment of contributions owed for July 2019	Contributions for July due 22/08/2019 were not received. The Employer has previously breached on a number of occasions (Breach 98, 142, 162, 174, 182, 189, 198, 201, 212, 216, 229, 230, 242, 246, 249, 260, 262, 280, 282 & 287) Cause: The Employer has failed to confirm the cause of the non-payment. Effect: The contributions remain unpaid and the affected employee has been contacted to inform them of the position. This breach has already been reported to TPR.	YES	Due 22/08/2019 no payment received	AMBER	NO	Considerable correspondence between the Fund and the Employer. This Breach has already been reported to The Pensions Regulator.	The Employer still owes contributions for this contract. This breach has been reported to TPR and the Employer has been invoiced for the outstanding contributions.	09/10/2019	Approve
296	2019-20	July		22/08/2019	Contributions	Late payment of contributions owed for July 2019	Contributions for July 2019 due 22/08/2019 were not received. The employer has previously breached on four occasions (Breach 270, 275, 281 & 288) Cause: Due to ongoing issues with the employer contract Effect: The contributions remain unpaid, the Fund will report the Employer to the regulator if they continue to fail to make contributions to the Fund	YES	Due 22/08/2019 no payment received	AMBER	NO	The Funds officers and legal team are corresponding with the Employer, the Fund will report to the regulator if this is not resolved.	The Employer still owes contributions for this contract and the Fund in conjunction with its legal team are looking at how this could be prevented in future.	09/10/2019	Approve
297	2019-20	July		22/08/2019	Contributions	Late payment of contributions owed for July 2019	Contributions for July due 22/08/2019 were not received on time (04/09/2019)- 13 days late. The Employer has previously breached in 2019/20 (Breach 279). Cause: Due to an administrative oversight. Effect: The contributions have been paid into the Fund and the Employer has been reminded of their obligations to the Fund.	YES	Due 22/08/2019 payment received 04/09/2019	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	09/10/2019	Approve
298	2019-20	July		22/08/2019	Contributions	Late payment of contributions owed for July 2019	Contributions for July due 22/08/2019 were not received on time (04/09/2019)- 13 days late The Employer has not previously breached in 2019/20. Cause: Due to an administrative oversight. Effect: The contributions have been paid into the fund and the Employer has been reminded of their obligations to the fund.	YES	Due 22/08/2019 payment received 04/09/2019	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	09/10/2019	Approve

Breach Number	YEAR	QTR	Date of Breach / Likely Breach		Failure Type	Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.			
			EDN Issued to LPB	LPB Responses												
299	2019-20	July		22/08/2019	Contributions	Late payment of contributions owed for July 2019	Contributions for July due 22/08/2019 were not received on time (17/09/2019)- 26 days late. The Employer has not previously breached in 2019/20 Cause: Due to an administrative oversight. Effect: The contributions have not been paid into the Fund. The Employer has been reminded of their obligations to the Fund.	YES	Due 22/08/2019 payment received 17/09/2019	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	09/10/2019	Approve	
300	2019-20	July		22/08/2019	Contributions	Late payment of contributions owed for July 2019	Contributions for July due 22/08/2019 were not received on time (06/09/2019)- 15 days late. The Employer has not previously breached in 2019/20 Cause: Due to an administrative oversight. Effect: The contributions have been paid into the Fund and the Employer has been reminded of their obligations to the Fund.	NO	Due 22/08/2019 payment received 06/09/2019	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	09/10/2019	Approve	
301	2019-20	July		22/08/2019	Contributions	Late payment of contributions owed for July 2019	Contributions for July due 22/08/2019 were not received on time (06/09/2019)- 15 days late. The Employer has not previously breached in 2019/20 Cause: Due to an administrative oversight. Effect: The contributions have been paid into the Fund and the Employer has been reminded of their obligations to the Fund.	NO	Due 22/08/2019 payment received 06/09/2019	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	09/10/2019	Approve	
302	2019-20	July		22/08/2019	Contributions	Late payment of contributions owed for July 2019	Contributions for July due 22/08/2019 were not received on time (06/09/2019)- 15 days late. The Employer has not previously breached in 2019/20 Cause: Due to an administrative oversight. Effect: The contributions have been paid into the Fund and the Employer has been reminded of their obligations to the Fund.	NO	Due 22/08/2019 payment received 06/09/2019	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	09/10/2019	Approve	
303	2019-20	July		22/08/2019	Contributions	Late payment of contributions owed for July 2019	Contributions for July due 22/08/2019 were not received on time (06/09/2019)- 15 days late. The Employer has not previously breached in 2019/20 Cause: Due to an administrative oversight. Effect: The contributions have been paid into the Fund and the Employer has been reminded of their obligations to the Fund.	NO	Due 22/08/2019 payment received 06/09/2019	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	09/10/2019	Approve	
304	2019-20	August		22/09/2019	Contributions	Late payment of contributions owed for August 2019	Contributions for August due 22/09/2019 were not received. The Employer has previously breached on a number of occasions (Breach 98, 142, 162, 174, 182, 189, 198, 201, 212, 216, 229, 230, 242, 246, 249, 260, 262, 280, 282, 287 & 295) Cause: The Employer has failed to confirm the cause of the non-payment.. Effect: The contributions remain unpaid and the affected employee has been contacted to inform them of the position. This breach has already been reported to TPR.	YES	Due 22/09/2019 no payment received	AMBER	NO	N/A	Considerable correspondence between the Fund and the Employer. This Breach has already been reported to The Pensions Regulator.	The Employer still owes contributions for this contract. This breach has been reported to TPR and the Employer has been invoiced for the outstanding contributions.	09/10/2019	Approve
305	2019-20	August		22/09/2019	Contributions	Late payment of contributions owed for August 2019	Contributions for August 2019 due 22/09/2019 were not received. The employer has previously breached on five occasions (Breach 270, 275, 281, 288 & 296) Cause: Due to ongoing issues with the employer contract Effect: The contributions remain unpaid, the Fund will report the Employer to the regulator if they continue to fail to make contributions to the Fund	YES	Due 22/09/2019 no payment received	AMBER	NO	N/A	The Funds officers and legal team are corresponding with the Employer, the Fund will report to the regulator if this is not resolved.	The Employer still owes contributions for this contract and the Fund in conjunction with its legal team are looking at how this could be prevented in future.	09/10/2019	Approve
306	2019-20	August		22/09/2019	Contributions	Late payment of contributions owed for August 2019	Contributions for August due 22/09/2019 were not received. The employer has previously breached on numerous occasions(Breach 109,120,153,181, 186, 200, 203, 211, 220, 241, 245, 248, 259, 263, 276, 283 & 290) Cause: Due to an administrative oversight Effect: The contributions have not been paid into the Fund. The Employer has been reminded of their obligations.	YES	Due 22/09/2019 no payment received	AMBER	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	09/10/2019	Approve	
307	2019-20	August		22/09/2019	Contributions	Late payment of contributions owed for August 2019	Contributions for August due 22/09/2019 were not received on time (23/09/2019)- 1 day late. The Employer has not previously breached in 2019/20 Cause: Due to an administrative oversight. Effect: The contributions have been paid into the Fund and the Employer has been reminded of their obligations to the Fund.	YES	Due 22/09/2019 payment received 23/09/2019	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	09/10/2019	Approve	
308	2019-20	August		22/09/2019	Contributions	Late payment of contributions owed for August 2019	Contributions for August due 22/09/2019 were not received on time (25/09/2019)- 3 days late. The Employer has not previously breached in 2019/20 Cause: Due to an administrative oversight. Effect: The Employer has been reminded of their obligations to the Fund and reminders for payment have been sent.	NO	Due 22/09/2019 payment received 25/09/2019	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	09/10/2019	Approve	
309	2019-20	August		22/09/2019	Contributions	Late payment of contributions owed for August 2019	Contributions for July due 22/08/2019 were not received on time (24/09/2019)- 2 days late. The Employer has not previously breached in 2019/20 Cause: Due to an administrative oversight. Effect: The contributions have been paid into the Fund and the Employer has been reminded of their obligations to the Fund.	YES	Due 22/09/2019 payment received 24/09/2019	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	09/10/2019	Approve	
310	2019-20	August			Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 29/11/16, the member should have received the options letter on the 29/1/17 however the member received their retirement options letter on the 16/8/19 (981 days late). Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance the leaver process was not completed until 4/7/19, so the deferred option letter was not produced until August. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left 29/11/16, option letter sent 06/08/19.	Green	NO	N/A	The deferment process was altered in August 2016, to ensure that the options letter is produced upon notification of the member leaving	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	09/10/2019	Approve

Breach Number	YEAR	QTR	Date of Breach /		Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		
			Likely Breach	Failure Type								EDN Issued to LPB	LPB Responses	
311	2019/20	September			Administration	Late Notification of options upon leaving Notification of the member leaving employment was received by the Fund on 25/3/19, the member should have received the options letter on the 25/5/19, however the member received their options letter on the 3/9/19 (163 days late). Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance the leaver process was not completed until 27/8/19, so the deferred option letter was not produced until September. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are currently in the process of transferring their benefits out of the scheme.	NO	Notified member left 25/3/19, option letter sent 3/9/19.	Green	NO	The deferment process was altered in August 2016, to ensure that the options letter is produced upon notification of the member leaving	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	02/12/2019	
312	2019/20	September	22/10/2019		Contributions	Late payment of contributions owed for September 2019, Failure to sign an Admission Agreement and Failure to implement a bond Contributions for September 2019 due 22/10/2019 were not received. The employer has previously breached on six occasions (Breach 270, 275, 281, 288, 296 & 305) Cause: Due to ongoing issues with the employer contract, the employer has failed to respond to correspondence regarding non-payment Effect: The contributions remain unpaid, the Fund has advised the employer that the matter will be reported to the Pensions Regulator	YES	Due 22/10/2019 no payment received, contributions outstanding for the period March 2018 to September 2019	RED	YES	Considerable correspondence between the Fund and the Employer.	The Employer still owes contributions for this contract	23/10/2019	Approve
313	2019/20	September	22/10/2019		Contributions	Late payment of contributions owed for September 2019 Contributions for September 2019 due 22/10/2019 were not received on time (23/10/2019) 1 day late. The employer has previously breached in 2019/20 (Number 284). Cause: Due to an administration oversight. Effect: The contributions have been paid into the fund and the Employer has been reminded of their obligations to the fund.	YES	Due 22/10/2019 payment received 23/10/2019	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	02/12/2019	Approve
314	2019/20	October			Administration	Late Notification of options upon leaving Notification of the member leaving employment was received by the Fund 01/12/2015, the member should have received the options letter on 01/02/2016, however the member received their options letter on the 01/10/2019 (1338 days late). Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance the leaver process was not completed until 18/09/2019, so the deferred option letter was not produced until October 2019. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left 01/12/15, option letter sent 01/10/19.	Green	NO	The deferment process was altered in August 2016, to ensure that the options letter is produced upon notification of the member leaving	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	02/12/2019	Approve
315	2019/20	October	22/11/2019		Contributions	Late payment of contributions owed for September 2019, Failure to sign an Admission Agreement and Failure to implement a bond Contributions for October 2019 due 22/11/2019 were not received. The employer has previously breached on seven occasions (Breach 270, 275, 281, 288, 296, 305 & 312) Cause: Due to ongoing issues with the employer contract, the employer has failed to respond to correspondence regarding non-payment Effect: The contributions remain unpaid, the Employer has been reported to the Pensions Regulator	YES	Due 22/11/2019 no payment received, contributions outstanding for the period March 2018 to October 2019	AMBER	YES	Considerable correspondence between the Fund and the Employer. This Breach has already been reported to The Pensions Regulator.	The Employer still owes contributions for this contract	02/12/2019	Approve
316	2019/20	October	22/11/2019		Contributions	Late payment of contributions owed for October 2019 Contributions for October 2019 due 22/11/2019 were not received. The employer has not previously breached in 2019/20. Cause: Due to an administration oversight. Effect: The contributions have not been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/11/2019 payment not received.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	02/12/2019	Approve
317	2019/20	October	22/11/2019		Contributions	Late payment of contributions owed for October 2019 Contributions for October 2019 due 22/11/2019 were not received. The employer has not previously breached in 2019/20. Cause: Due to an administration oversight. Effect: The contributions have not been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/11/2019 payment not received.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	02/12/2019	Approve
318	2019/20	October	22/11/2019		Contributions	Late payment of contributions owed for October 2019 Contributions for October 2019 due 22/11/2019 were received (23/11/2019) 1 day late. The employer has not previously breached in 2019/20. Cause: Due to an administration oversight. Effect: The contributions have been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/11/2019 payment received 1 day late (23/11/2019).	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	02/12/2019	Approve
319	2019/20	October	22/11/2019		Contributions	Late payment of contributions owed for October 2019 Contributions for October due 22/11/2019 were not received. The employer has previously breached on numerous occasions (Breach 109,120,153,181, 186, 200, 203, 211, 220, 241, 245, 248, 259, 263, 276, 283, 290 & 306) Cause: The Employer has failed to confirm the cause of the non-payment. Effect: The contributions have not been paid into the fund. The Employer has been reminded of their obligations.	YES	Due 22/11/2019 no payment received	AMBER	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	02/12/2019	Approve
320	2019/20	October	22/11/2019		Contributions	Late payment of contributions owed for October 2019 Contributions for October 2019 due 22/11/2019 were not received. The employer has not previously breached in 2019/20. Cause: Due to an administration oversight. Effect: The contributions have not been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/11/2019 payment not received.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	02/12/2019	Approve

Breach Number	YEAR	QTR	Date of Breach / Likely Breach		Failure Type	Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		EDN Issued to LPB	LPB Responses
321	2019/20	October		22/11/2019	Contributions	Late payment of contributions owed for October 2019	Contributions for October 2019 due 22/11/2019 were not received. The employer has not previously breached in 2019/20. Cause: Due to an administration oversight. Effect: The contributions have not been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/11/2019 payment not received.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	02/12/2019	Approve	
322	2019/20	October		22/11/2019	Contributions	Late payment of contributions owed for October 2019	Contributions for October 2019 due 22/11/2019 were not received. The employer has not previously breached in 2019/20. Cause: Due to an administration oversight. Effect: The contributions have not been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/11/2019 payment not received.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	02/12/2019	Approve	
323	2019/20	October		22/11/2019	Contributions	Late payment of contributions owed for October 2019	Contributions for October 2019 due 22/11/2019 were not received. The employer has not previously breached in 2019/20. Cause: Due to an administration oversight. Effect: The contributions have not been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/11/2019 payment not received.	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	02/12/2019	Approve	
324	2019/20	November			Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund December 2018 (leaver spreadsheet), the member should have received the holding letter in February 2019, however the member received the holding letter on 31/10/2019 (335 days late). Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance the leaver process was not completed until 11/09/2019, so the deferred option letter was not produced until 31/10/2019. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left Dec 18, option letter sent 31/10/19.	Green	NO	The deferment process was altered in August 2016, to ensure that the options letter is produced upon notification of the member leaving	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	28/01/2020	Approve	
325	2019/20	November		22/12/2019	Contributions	Late payment of contributions owed for November 2019	Contributions for November due 22/12/2019 were not received. The employer has previously breached on numerous occasions (Breach 109,120,153,181, 186, 200, 203, 211, 220, 241 ,245, 248, 259, 263, 276, 283, 290, 306 & 319) Cause: The Employer has failed to confirm the cause of the non-payment. Effect: The contributions have not been paid into the fund. The Employer has been reminded of their obligations.	YES	Due 22/12/2019 no payment received	AMBER	NO	Considerable correspondence between the Fund and the Employer.	The Employer still owes contributions for this contract, the Fund will continue to liaise with the employer regarding the payment of these contributions.	28/01/2020	Approve	
326	2019/20	November		22/12/2019	Contributions	Late payment of contributions owed for November 2019	Contributions for November 2019 due 22/12/2019 were not received. The employer has previously breached on seven occasions (Breach 270, 275 ,281, 288, 296, 305, 312 & 315) Cause: Due to ongoing issues with the employer contract, the employer has failed to respond to correspondence regarding non-payment Effect: The contributions remain unpaid, the Employer has been reported to the Pensions Regulator	YES	Due 22/12/2019 no payment received, contributions outstanding for the period March 2018 to November 2019	AMBER	YES	Considerable correspondence between the Fund and the Employer. This Breach has been reported to The Pensions Regulator.	The Employer still owes contributions for this contract, the Fund will continue to pursue the payment of these contributions.	28/01/2020	Approve	
327	2019/20	November		22/12/2019	Contributions	Late payment of contributions owed for November 2019	Contributions for November 2019 due 22/12/2019 were not received. The employer has previously breached in 2019/20 (Breach number 316). Cause: Due to a administration issues that are currently being resolved Effect: The contributions have not been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/12/2019 no payment received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	28/01/2020	Approve	
328	2019/20	November		22/12/2019	Contributions	Late payment of contributions owed for November 2019	Contributions for November 2019 due 22/12/2019 were not received. The employer has previously breached in 2019/20 (Breach number 317). Cause: Due to an administration oversight. Effect: The contributions have not been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/12/2019 no payment received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	28/01/2020	Approve	
329	2019/20	November		22/12/2019	Contributions	Late payment of contributions owed for November 2019	Contributions for November 2019 due 22/12/2019 were received 02/01/2020 - 11 days late. The employer has previously breached in 2019/20 (Breach number 299). Cause: Due to an administration oversight. Effect: The contributions have been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/12/2019 payment received 11 days late (02/01/2020).	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	28/01/2020	Approve	
330	2019/20	November		22/12/2019	Contributions	Late payment of contributions owed for November 2019	Contributions for November 2019 due 22/12/2019 were received 23/12/2019- 1 day late. The employer has not previously breached in 2019/20. Cause: Due to an administration oversight. Effect: The contributions have been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/12/2019 payment received 1 day late (23/12/2019).	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	28/01/2020	Approve	
331	2019/20	November		22/12/2019	Contributions	Late payment of contributions owed for November 2019	Contributions for November 2019 due 22/12/2019 were received 23/12/2019- 1 day late. The employer has previously breached in 2019/20 (Breach number 274). Cause: Due to an administration oversight. Effect: The contributions have been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/12/2019 payment received 1 day late (23/12/2019).	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	28/01/2020	Approve	
332	2019/20	December		22/01/2020	Contributions	Late payment of contributions owed for December 2019	Contributions for December due 22/01/2020 were not received. The employer has previously breached on numerous occasions (Breach 109,120,153,181, 186, 200, 203, 211, 220, 241 ,245, 248, 259, 263, 276, 283, 290, 306, 319 & 325) Cause: The Employer has failed to confirm the cause of the non-payment. Effect: The contributions have not been paid into the fund. The Employer has been reminded of their obligations.	YES	Due 22/01/2020 no payment received	AMBER	NO	Considerable correspondence between the Fund and the Employer.	The Employer still owes contributions for this contract, the Fund will continue to liaise with the employer regarding the payment of these contributions.	06/03/2020	Approve	

Breach Number	YEAR	QTR	Date of Breach / Likely Breach		Failure Type	Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		EDN Issued to LPB	LPB Responses
333	2019/20	December		22/01/2020	Contributions	Late payment of contributions owed for December 2019	Contributions for December 2019 due 22/01/2020 were not received. The employer has previously breached on numerous occasions (Breach 270, 275, 281, 288, 296, 305, 312, 315 & 326) Cause: Due to ongoing issues with the employer contract, the employer has failed to respond to correspondence regarding non-payment Effect: The contributions remain unpaid, the Employer has been reported to the Pensions Regulator	YES	Due 22/01/2020 no payment received, contributions outstanding for the period March 2018 to December 2019	AMBER	NO	Considerable correspondence between the Fund and the Employer. This Breach has been reported to The Pensions Regulator.	The Employer still owes contributions for this contract, the Fund will continue to pursue the payment of these contributions.	06/03/2020	Approve	
334	2019/20	December		22/01/2020	Contributions	Late payment of contributions owed for December 2019	Contributions for December 2019 due 22/01/2020 were received 07/02/2020- 16 days late. The employer has previously breached in 2019/20 (Breach numbers 316 & 327). Cause: Due to a administration issues which are now resolved Effect: The contributions have now been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/01/2020 payment received 07/02/2020 (16 days late)	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	06/03/2020	Approve	
335	2019/20	December		22/01/2020	Contributions	Late payment of contributions owed for December 2019	Contributions for December 2019 due 22/01/2020 were not received. The employer has previously breached in 2019/20 (Breach numbers 317 & 328). Cause: Due to an administration oversight. Effect: The contributions have not been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/01/2020 no payment received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	06/03/2020	Approve	
336	2019/20	December		22/01/2020	Contributions	Late payment of contributions owed for December 2019	Contributions for December 2019 due 22/01/2020 were received 24/01/2020- 2 days late. The employer has not previously breached in 2019/20. Cause: Due to an administration oversight. Effect: The contributions have been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/01/2020 - payment received 24/01/2020 - 2 days late	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	06/03/2020	Approve	
337	2019/20	December		22/01/2020	Contributions	Late payment of contributions owed for December 2019	Contributions for December 2019 due 22/01/2020 were received 23/01/2020- 1 day late. The employer has not previously breached in 2019/20. Cause: Due to an administration oversight. Effect: The contributions have been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/01/2020 - payment received 23/01/2020 - 1 day late	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	06/03/2020	Approve	
338	2019/20	December		22/01/2020	Contributions	Late payment of contributions owed for December 2019	Contributions for December 2019 due 22/01/2020 were received 23/01/2020- 1 day late. The employer has not previously breached in 2019/20. Cause: Due to an administration oversight. Effect: The contributions have been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/01/2020 - payment received 23/01/2020 - 1 day late	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	06/03/2020	Approve	
339	2019/20	January		22/02/2020	Contributions	Late payment of contributions owed for January 2020	Contributions for January 2020 due 22/02/2020 were not received. The employer has previously breached on numerous occasions (Breach 109,120,153,181, 186, 200, 203, 211, 220, 241, 245, 248, 259, 263, 276, 283, 290, 306, 319, 325 & 332) Cause: The Employer has failed to confirm the cause of the non-payment. Effect: The contributions have not been paid into the fund. The Employer has been reminded of their obligations.	YES	Due 22/02/2020 no payment received	AMBER	NO	Considerable correspondence between the Fund and the Employer.	The Employer still owes contributions for this contract, the Fund will continue to liaise with the employer regarding the payment of these contributions.	06/03/2020	Approve	
340	2019/20	January		22/02/2020	Contributions	Late payment of contributions owed for January 2020	Contributions for January 2020 due 22/01/2020 were not received. The employer has previously breached on numerous occasions (Breach 270, 275, 281, 288, 296, 305, 312, 315, 326 & 333) Cause: Due to ongoing issues with the employer contract, the employer has failed to respond to correspondence regarding non-payment Effect: The contributions remain unpaid, the Employer has been reported to the Pensions Regulator	YES	Due 22/02/2020 no payment received, contributions outstanding for the period March 2018 to January 2020	AMBER	NO	Considerable correspondence between the Fund and the Employer. This Breach has been reported to The Pensions Regulator.	The Employer still owes contributions for this contract, the Fund will continue to pursue the payment of these contributions.	06/03/2020	Approve	
341	2019/20	January		22/02/2020	Contributions	Late payment of contributions owed for January 2020	Contributions for January 2020 due 22/02/2020 were not received. The employer has previously breached in 2019/20 (Breach numbers 317, 328 & 335). Cause: Due to an administration oversight. Effect: The contributions have not been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/02/2020 no payment received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	06/03/2020	Approve	
342	2019/20	January		22/02/2020	Contributions	Late payment of contributions owed for January 2020	Contributions for January 2020 due 22/02/2020 were not received. The employer has not previously breached in 2019/20. Cause: Due to an administration oversight. Effect: The contributions have not been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/02/2020 no payment received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	06/03/2020	Approve	
343	2019/20	January			Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 01/10/2019, the member should have received the holding letter in Dec 2019, however the holding letter was sent on 03/01/2020 (95 days late). Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance a refund process was originally set up once the leaver form was received, although it was only after a colleague checked the NI Database that it became known that member held LGPS benefits elsewhere. As a result, member was no longer entitled to a refund and a deferment process was set up. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left Oct 19, option letter sent 03/01/20.	Green	NO	The deferment process was altered in August 2016, to ensure that the options letter is produced upon notification of the member leaving	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	06/03/2020	Approve	

Breach Number	YEAR	QTR	Date of Breach / Likely Breach	Failure Type	Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	A brief descriptions of any longer term implications and actions required to prevent similar types of breaches recurring in the future.			
											Actions taken to rectify the breach	EDN Issued to LPB	LPB Responses	
344	2019/20	January		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 24/07/2019, the member should have received the holding letter in Sept 2019, however the holding letter was sent on 03/01/2020 (163 days late). Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance a refund process was originally set up once the leaver form was received, although it was only after a colleague checked the NI Database that it became known that member held LGPS benefits elsewhere. As a result, member was no longer entitled to a refund and a deferment process was set up. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left July 19, option letter sent 03/01/20.	Green	NO	The deferment process was altered in August 2016, to ensure that the options letter is produced upon notification of the member leaving	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	06/03/2020	Approve
345	2019/20	February		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 22/08/2019, the member should have received the holding letter by 21/10/2019, however the holding letter was sent on 31/10/2019. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance a refund process was originally set up once the leaver form was received, although it was only after a colleague checked the NI Database that it became known that member held LGPS benefits elsewhere. As a result, member was no longer entitled to a refund and a deferment process was set up. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left August 19, option letter sent 31/10/2019.	Green	NO	This is a new type of breach that has been identified as a result of the introduction of the NI database, the pensions team are looking into a solution to prevent this breach reoccurring	There are no long term implications associated with this breach.	27/05/2020	Approve
346	2019/20	February		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 14/08/2019, the member should have received the holding letter by 13/10/2019, however the holding letter was sent on 31/10/2019. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance a refund process was originally set up once the leaver form was received, although it was only after a colleague checked the NI Database that it became known that member held LGPS benefits elsewhere. As a result, member was no longer entitled to a refund and a deferment process was set up. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left August 19, option letter sent 31/10/2019.	Green	NO	This is a new type of breach that has been identified as a result of the introduction of the NI database, the pensions team are looking into a solution to prevent this breach reoccurring	There are no long term implications associated with this breach.	27/05/2020	Approve
347	2019/20	February		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 10/09/18, the member should have received the holding letter in November 2018, however the holding letter was sent on 04/12/18. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. In this instance, a refund process was initially wrongly set up before it became apparent that the member would need to be deferred. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left Sept 18, option letter sent 04/12/18.	Green	NO	The deferment process was altered in August 2016, to ensure that the options letter is produced upon notification of the member leaving	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	27/05/2020	Approve
348	2019/20	February		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 09/10/2019, the member should have received the holding letter by 08/12/2019, however the holding letter was sent on 07/01/2020. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance a refund process was originally set up once the leaver form was received, although it was only after a colleague checked the NI Database that it became known that member held LGPS benefits elsewhere. As a result, member was no longer entitled to a refund and a deferment process was set up. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left October 19, option letter sent 07/01/2020.	Green	NO	This is a new type of breach that has been identified as a result of the introduction of the NI database, the pensions team are looking into a solution to prevent this breach reoccurring	There are no long term implications associated with this breach.	27/05/2020	Approve

Breach Number	YEAR	QTR	Date of Breach / Likely Breach	Failure Type	Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		
												EDN Issued to LPB	LPB Responses	
349	2019/20	February				Notification of the member leaving employment was received by the Fund in October 2019 (leaver spreadsheet), the member should have received the holding letter in December 2019, however the holding letter was sent on 07/01/2020. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. In this instance, a refund process was wrongly set up - it was known that member held LGPS benefits elsewhere, and there was a transfer in process ongoing. Deferment process should've been set up as member wouldn't have been entitled to a refund regardless of outcome. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left October 19, option letter sent 07/01/20.	Green	NO	N/A	There are no long term implications associated with this breach.	27/05/2020	Approve
350	2019/20	February				Notification of the member leaving employment was received by the Fund on 23/08/2019, the member should have received the holding letter by 22/10/2019, however the holding letter was sent on 18/12/2019. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance a refund process was originally set up once the leaver form was received, although it was only after a colleague checked the NI Database that it became known that member held LGPS benefits elsewhere. As a result, member was no longer entitled to a refund and a deferment process was set up. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left August 19, option letter sent 18/12/19.	Green	NO	This is a new type of breach that has been identified as a result of the introduction of the NI database, the pensions team are looking into a solution to prevent this breach reoccurring	There are no long term implications associated with this breach.	27/05/2020	Approve
351	2019/20	February				Notification of the member leaving employment was received by the Fund on 08/11/2019, the member should have received the holding letter by 07/01/2020, however the holding letter was sent on 10/02/20. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance a refund process was originally set up once the leaver form was received, although it was only after a colleague checked the NI Database that it became known that member held LGPS benefits elsewhere. As a result, member was no longer entitled to a refund and a deferment process was set up. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left November 19, option letter sent 10/02/20.	Green	NO	This is a new type of breach that has been identified as a result of the introduction of the NI database, the pensions team are looking into a solution to prevent this breach reoccurring	There are no long term implications associated with this breach.	27/05/2020	Approve
352	2019/20	February				Notification of the member leaving employment was received by the Fund December 2016, the member should have received the holding letter in February 2017, however the holding letter wasn't sent until August 2019. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance the leaver process was not completed until July 2019, so the deferred option letter was not produced until August 2019. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left December 16, option letter sent August 2019.	Green	NO	The deferment process was altered in August 2016, to ensure that the options letter is produced upon notification of the member leaving	There are no long term implications associated with this breach. The process has been changed to prevent recurrence.	27/05/2020	Approve
353	2019/20	February				Notification of the member leaving employment was received by the Fund in September 2019 (leaver spreadsheet), the member should have received the holding letter in November 2019, however the holding letter was sent on 07/01/2020. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. In this instance, a refund process was wrongly set up - it was known that member held LGPS benefits elsewhere, and there was a transfer in process ongoing. Deferment process should've been set up as member wouldn't have been entitled to a refund regardless of outcome Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left September 19, option letter sent 07/1/20.	Green	NO	N/a	There are no long term implications associated with this breach.	27/05/2020	Approve
354	2019/20	February	22/03/2020	Contributions	Late payment of contributions owed for February 2020	Contributions for February 2020 due 22/03/2020 were not received. The employer has previously breached on numerous occasions (Breach 109,120,153,181, 186, 200, 203, 211, 220, 241 ,245, 248, 259, 263, 276, 283, 290, 306, 319, 325, 332 & 339) Cause: The Employer has failed to confirm the cause of the non-payment.. Effect: The contributions have not been paid into the fund. The Employer has been reminded of their obligations.	YES	Due 22/03/2020 no payment received	AMBER	NO	Considerable correspondence between the Fund and the Employer.	The Employer still owes contributions for this contract, the Fund will continue to liaise with the employer regarding the payment of these contributions.	27/05/2020	Approve
355	2019/20	February	22/03/2020	Contributions	Late payment of contributions owed for February 2020	Contributions for February 2020 due 22/03/2020 were not received on time, received 02/04/2020 (11 days late). The employer has not previously breached in 2019/20. Cause: Due to an administration oversight Effect: The contributions have been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/03/2020 payment received 02/04/2020 (11 days late)	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	27/05/2020	Approve

Breach Number	YEAR	QTR	Date of Breach / Likely Breach		Failure Type	Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		
													EDN Issued to LPB	LPB Responses	
356	2019/20	February		22/03/2020	Contributions	Late payment of contributions owed for February 2020	Contributions for February 2020 due 22/03/2020 were not received on time, received 06/04/2020 (15 days late). The employer has not previously breached in 2019/20. Cause: Due to an administration oversight. Effect: The contributions have been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/03/2020 payment received 06/04/2020 (15 days late)	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	27/05/2020	Approve
357	2019/20	February		22/03/2020	Contributions	Late payment of contributions owed for February 2020	Contributions for February 2020 due 22/03/2020 were not received. The employer has not previously breached in 2019/20. Cause: Due to an administration oversight. Effect: The contributions have been not paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/03/2020 no payment received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	27/05/2020	Approve
358	2019/20	February		22/03/2020	Contributions	Late payment of contributions owed for February 2020	Deficit payment for February 2020 due 22/03/2020 was not received on time, received 25/03/2020 (3 days late). The employer has not previously breached in 2019/20. Cause: Due to an administration oversight. Effect: The contributions have been not paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/03/2020 payment received 25/03/2020 (3 days late)	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	27/05/2020	Approve
359	2019/20	February		22/03/2020	Contributions	Late payment of contributions owed for February 2020	Deficit payment for February 2020 due 22/03/2020 was not received on time, received 30/03/2020 (8 days late) . The employer has previously breached in 2019/20 (Breach number 289). Cause: Due to an administration oversight. Effect: The contributions have been not paid into the fund and the Employer has been reminded of their obligations to the fund.	YES	Due 22/03/2020 payment received 30/03/2020 (8 days late)	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	27/05/2020	Approve
360	2019/20	March			Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 29/11/2018, the member should have received the holding letter by 28/01/2019, however the holding letter was sent on 28/02/2020. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance, the record was initially treated as a refund despite member already receiving a pension from the scheme from a previous post. Subsequently realised that member wasn't entitled to a refund, so record was set back to active and deferred. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left November 18, option letter sent 28/02/2020.	Green	NO	N/A	There are no long term implications associated with this breach.	27/05/2020	Approve
361	2019/20	March			Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 09/02/2016, the member should have received the holding letter by 08/03/2016, however the holding letter was sent on 10/04/2019. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance, a query was outstanding regarding the date of leaving, although the fund were aware that the member had left and would need to be deferred so holding letter should have been sent. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left February 2016, option letter sent 10/04/2019.	Green	NO	N/A	There are no long term implications associated with this breach.	27/05/2020	Approve
362	2019/20	March			Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund 25/07/2019, the member should have received the holding letter by 24/09/2019, however the holding letter was sent on 07/01/2020. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance, a refund was initially set up before it became known that member held LGPS service elsewhere. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).	NO	Notified member left July 19, option letter sent 07/1/20.	Green	NO	This is a new type of breach that has been identified as a result of the introduction of the NI database, the pensions team are looking into a solution to prevent this breach reoccurring	There are no long term implications associated with this breach.	27/05/2020	Approve
363	2019/20	March		22/04/2020	Contributions	Late payment of contributions owed for March 2020	Contributions for March 2020 due 22/04/2020 were not received. The employer has previously breached on numerous occasions (Breach 109,120,153,181, 186, 200, 203, 211, 220, 241 ,245, 248, 259, 263, 276, 283, 290, 306, 319, 325, 332, 339 & 354) Cause: The Employer has failed to confirm the cause of the non-payment.. Effect: The contributions have not been paid into the fund. The Employer has been reminded of their obligations.	YES	Due 22/04/2020 no payment received	AMBER	NO	Considerable correspondence between the Fund and the Employer.	The Employer still owes contributions for this contract, the Fund will continue to liaise with the employer regarding the payment of these contributions.	27/05/2020	Approve
364	2019/20	March		22/04/2020	Contributions	Late payment of contributions owed for March 2020	Contributions for March 2019 due 22/04/2020 were not received. The employer has previously breached in 2019/20 (Breach numbers 299 & 329). Cause: Due to an administration oversight. Effect: The contributions have been paid into the fund and the Employer has been reminded of their obligations to the fund.	YES	Due 22/04/2020 no payment received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	27/05/2020	Approve
365	2019/20	March		22/04/2020	Contributions	Late payment of contributions owed for March 2020	Contributions for March due 22/04/2020 were not received on time (29/04/2020)- 7 days late. The Employer has previously breached in 2019/20 (Breach number 307) Cause: Due to an administrative oversight. Effect: The contributions have been paid into the fund and the Employer has been reminded of their obligations to the fund.	YES	Due 22/04/2020 payment received 29/04/2020 - 7 days late	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	27/05/2020	Approve
366	2019/20	March		22/04/2020	Contributions	Late payment of contributions owed for March 2020	Contributions for March due 22/04/2020 were not received. The Employer has not previously breached in 2019/20 Cause: Due to an administrative oversight. Effect: The contributions have not been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/04/2020 no payment received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	27/05/2020	Approve

Breach Number	YEAR	QTR	Date of Breach / Likely Breach	Failure Type	Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		
												EDN Issued to LPB	LPB Responses	
367	2019/20	March	22/04/2020	Contributions	Late payment of contributions owed for March 2020	Contributions for March due 22/04/2020 were not received on time - 28/04/2020 - 6 days late. The Employer has not previously breached in 2019/20 Cause: Due to an administrative oversight. Effect: The contributions have been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/04/2020 payment received 28/04/2020 - 6 days late	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	27/05/2020	Approve
368	2020/21	April		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 09/12/2019, the member should have received the holding letter by 08/02/2020, however the holding letter was sent on 28/02/2020. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance a refund process was originally set up once the leaver form was received, although it was only after a colleague checked the NI Database that it became known that member held LGPS benefits elsewhere. As a result, member was no longer entitled to a refund and a deferment process was set up. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).		Notified member left Dec 19, holding letter sent 28/02/2020.	Green	NO	This is a new type of breach that has been identified as a result of the introduction of the NI database, the refund process was amended in June 2020 to prevent these breaches recurring	There are no long term implications associated with this breach.	20/07/2020	Approve
369	2020/21	April		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 19/09/2019, the member should have received the holding letter by 18/11/2019, however the holding letter was sent on 07/01/2020. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance a refund process was originally set up once the leaver form was received, although it was only after a colleague checked the NI Database that it became known that member held LGPS benefits elsewhere. As a result, member was no longer entitled to a refund and a deferment process was set up. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).		Notified member left Sept 19, holding letter sent 07/01/2020.	Green	NO	This is a new type of breach that has been identified as a result of the introduction of the NI database, the refund process was amended in June 2020 to prevent these breaches recurring	There are no long term implications associated with this breach.	20/07/2020	Approve
370	2020/21	April		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 15/10/2019, the member should have received the options letter by 14/12/2019, however the options letter was sent on 18/12/2019. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance the leaver process was not completed until 07/11/2019, so the deferred option letter was not produced until 18/12/2019 Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are currently in the process of transferring their benefits out of the scheme.		Notified member left Oct 19, holding letter sent 18/12/2019.	Green	NO	N/A	There are no long term implications associated with this breach.	20/07/2020	Approve
371	2020/21	April		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 21/10/2019, the member should have received the holding letter by 20/12/2019, however the holding letter was sent on 16/03/2020. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance a refund process was originally set up once the leaver form was received, although it was only after a colleague checked the NI Database that it became known that member held LGPS benefits elsewhere. As a result, member was no longer entitled to a refund and a deferment process was set up. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).		Notified member left Oct 19, holding letter sent 16/03/2020.	Green	NO	This is a new type of breach that has been identified as a result of the introduction of the NI database, the refund process was amended in June 2020 to prevent these breaches recurring	There are no long term implications associated with this breach.	20/07/2020	Approve
372	2020/21	April		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 22/06/2018, the member should have received the holding letter by 21/08/2018, however the holding letter was sent on 05/02/2019. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance, the record was initially treated as a refund (wrongly), although refund letter that was produced was never sent. Deferred was subsequently set up in January 2019. Holding letter sent Feb 2019. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).		Notified member left June 18, holding letter sent 05/02/2019.	Green	NO	N/A	There are no long term implications associated with this breach.	20/07/2020	Approve

Breach Number	YEAR	QTR	Date of Breach /		Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		
			Likely Breach	Failure Type								EDN Issued to LPB	LPB Responses	
373	2020/21	April			Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 05/11/2018, the member should have received the options letter by 04/01/2019, however the retirement options letter was sent on 30/05/2019. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance the processor was waiting on further info before they were in a position to issue the pack. This info was not received until 02/04/19. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are currently in the process of transferring their benefits out of the scheme.		Notified member left Nov 18, options letter sent 30/05/2019.	Green	NO	N/A	There are no long term implications associated with this breach.	20/07/2020	Approve
374	2020/21	April			Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 29/04/2019, the member should have received the options letter by 28/06/2019, however the options letter was sent on 04/09/2019. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance the leaver process was not completed until 12/08/2019, so the deferred option letter was not produced until 04/09/2019. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are currently in the process of transferring their benefits out of the scheme.		Notified member left April 19, options letter sent 04/09/2019.	Green	NO	N/A	There are no long term implications associated with this breach.	20/07/2020	Approve
375	2020/21	April			Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 26/03/2019, the member should have received the options letter by 25/05/2019, however the holding letter was sent on 03/04/2020. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance the leaver process was not completed until 12/03/2020, so the deferred option letter was not produced until 03/04/2020. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are currently in the process of transferring their benefits out of the scheme.		Notified member left March 19, holding letter sent 03/04/2020.	Green	NO	N/A	There are no long term implications associated with this breach.	20/07/2020	Approve
376	2020/21	April			Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 08/05/2019, the member should have received the options letter by 07/07/2019, however the options letter was sent on 21/10/2019. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance the fund were waiting for a starter form to set up the record, although despite the starter having been received on 19/08/2019, the deferred option letter was still produced outside of the 2 months. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are currently in the process of transferring their benefits out of the scheme.		Notified member left May 19, holding letter sent 21/10/2019.	Green	NO	N/A	There are no long term implications associated with this breach.	20/07/2020	Approve
377	2020/21	April			Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund in April 2015, the member should have received the holding letter by June 2015, however the refund option letter was sent 15/02/2016. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance, the record was initially treated as a refund, although refund letter that was produced wasn't sent until 15/02/2016. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).		Notified member left April 15, option letter sent 15/02/2016	Green	NO	N/A	There are no long term implications associated with this breach.	20/07/2020	Approve
378	2020/21	April	22/05/2020	Contributions	Late payment of contributions owed for April 2020	Contributions for April due 22/05/2020 were not received. The Employer has not previously breached in 2020/21 Cause: Due to Covid-19 Effect: The contributions have not been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/05/2020 payment not received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	20/07/2020	Approve
379	2020/21	April	22/05/2020	Contributions	Late payment of contributions owed for April 2020	Contributions for April due 22/05/2020 were received 12/06/2020, 21 days late. The Employer has not previously breached in 2020/21 Cause: Due to administration oversight Effect: The contributions were late being paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/05/2020 payment received 12/06/2020	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	20/07/2020	Approve
380	2020/21	April	22/05/2020	Contributions	Late payment of contributions owed for April 2020	Contributions for April due 22/05/2020 were received 04/06/2020, 13 days late. The Employer has not previously breached in 2020/21 Cause: Due to administration oversight Effect: The contributions were late being paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/05/2020 payment received 04/06/2020	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	20/07/2020	Approve
381	2020/21	April	22/05/2020	Contributions	Late payment of contributions owed for April 2020	Contributions for April due 22/05/2020 were received 16/06/2020 25 days late. The Employer has not previously breached in 2020/21 Cause: Due to administration oversight Effect: The contributions were late being paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/05/2020 payment received 16/06/2020	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	20/07/2020	Approve

Breach Number	YEAR	QTR	Date of Breach / Likely Breach	Failure Type	Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		
												EDN Issued to LPB	LPB Responses	
382	2020/21	May	22/06/2020	Contributions	Late payment of contributions owed for May 2020	Contributions for May due 22/06/2020 were not received. The Employer has previously breached in 2020/21. Breach number 379. Cause: Due to administration oversight Effect: The contributions have not been paid into the fund and the Employer has been reminded of their obligations to the fund	NO	Due 22/06/2020 payment not received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	20/07/2020	Approve
383	2020/21	May	22/06/2020	Contributions	Late payment of contributions owed for May 2020	Contributions for May due 22/06/2020 were received 29/06/2020, 7 days late. The Employer has not previously breached in 2020/21. Cause: Due to administration oversight Effect: The contributions have not been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/06/2020 payment received 29/06/2020	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	20/07/2020	Approve
384	2020/21	May		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 11/06/2019, the member should have received the deferred holding letter by 10/08/2019, however the holding letter was sent on 14/08/2019. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance the leaver process was not completed until 18/07/2019, so the deferred holding letter was not produced until 14/08/2019. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are currently in the process of transferring their benefits out of the scheme.		Notified member left 11/06/19, holding letter sent 14/08/19.	Green	NO	N/A	There are no long term implications associated with this breach.	20/07/2020	Approve
385	2020/21	May		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 21/06/2019. Holding letter should have been sent by 20/08/2019, however the holding letter was sent 04/09/2019. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance, the record was initially treated as a refund although it became apparent that member held LGPS service elsewhere. The refund was subsequently aborted on 02/08/2019 before a deferment was set up. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).		Notified member left 21/06/2019, holding letter sent 04/09/2019.	Green	NO	N/A	There are no long term implications associated with this breach.	20/07/2020	Approve
386	2020/21	May		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 05/02/2020. Holding letter should have been sent by 04/04/2020, however the holding letter was sent 06/05/2020. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance, the record was initially treated as a refund although there was an interfund in ongoing. Refund should have been aborted immediately and a deferment set up, although this didn't happen until 06/04/2020. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).		Notified member left 05/02/2020, holding letter sent 06/05/2020	Green	NO	N/A	There are no long term implications associated with this breach.	20/07/2020	Approve
387	2020/21	May		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 01/11/2019. Holding letter should have been sent by 31/12/2019, however the holding letter was sent 28/02/2020. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance, the record was initially treated as a refund although member had transferred in. Refund should have been aborted immediately and a deferment set up, although this didn't happen until 18/01/2020. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).		Notified member left 01/11/2019, holding letter sent 28/02/2020	Green	NO	N/A	There are no long term implications associated with this breach.	20/07/2020	Approve
388	2020/21	May		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 23/01/2020, the member should have received the holding letter by 22/03/2020, however the holding letter was sent on 06/05/2020. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance a refund process was originally set up once the leaver form was received, although it was only after a colleague checked the NI Database that it became known that member held LGPS benefits elsewhere. As a result, member was no longer entitled to a refund and a deferment process was set up. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).		Notified member left 23/01/2020, holding letter sent 06/05/2020	Green	NO	This is a new type of breach that has been identified as a result of the introduction of the NI database, the refund process was amended in June 2020 to prevent these breaches recurring	There are no long term implications associated with this breach.	20/07/2020	Approve

Breach Number	YEAR	QTR	Date of Breach /		Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		
			Likely Breach	Failure Type								EDN Issued to LPB	LPB Responses	
389	2020/21	May			Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 05/11/2019. Holding letter should have been sent by 04/01/2020, however the holding letter was sent 16/03/2020. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance, the record was initially treated as a refund although there was an interfund in ongoing. Refund should have been aborted immediately and a deferment set up, although this didn't happen until 02/02/2020. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).		Notified member left 05/11/2019, holding letter sent 16/03/2020	Green	NO	N/A	There are no long term implications associated with this breach.	20/07/2020	Approve
390	2020/21	May			Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 19/09/2019. Holding letter should have been sent by 18/11/2019, however the holding letter was sent 07/01/2020. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance, the record was initially treated as a refund - processor had emailed previous fund to confirm service, although refund should have been aborted immediately and a deferment set up. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).		Notified member left 19/09/2019, holding letter sent 07/01/2020	Green	NO	N/A	There are no long term implications associated with this breach.	20/07/2020	Approve
391	2020/21	May			Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 15/10/2019, the member should have received the options letter by 14/12/2019, however the options letter was sent on 18/12/2019. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance the leaver process was not completed until 07/11/2019, so the deferred option letter was not produced until 18/12/2019 Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are currently in the process of transferring their benefits out of the scheme.		Notified member left 15/10/2019, options letter sent 18/12/2019	Green	NO	N/A	There are no long term implications associated with this breach.	20/07/2020	Approve
392	2020/21	May			Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 22/10/2019, the member should have received the holding letter by 21/12/2019, however the holding letter was sent on 16/03/2020. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance a refund process was originally set up once the leaver form was received, although it was only after a colleague checked the NI Database that it became known that member held LGPS benefits elsewhere. As a result, member was no longer entitled to a refund and a deferment process was set up. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).		Notified member left 22/10/2019, holding letter sent 16/03/2020	Green	NO	This is a new type of breach that has been identified as a result of the introduction of the NI database, the refund process was amended in June 2020 to prevent these breaches recurring	There are no long term implications associated with this breach.	20/07/2020	Approve
393	2020/21	May			Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 03/09/2019, the member should have received retirement options by 02/11/2019, however the retirement options weren't sent until 15/02/2020. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance processor had requested further info, although info wasn't received until end of Nov. With that being said, retirement quote wasn't processed until Feb. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are currently in the process of transferring their benefits out of the scheme.		Notified member left 03/09/2019, options letter sent 15/02/2020	Green	NO	N/A	There are no long term implications associated with this breach.	20/07/2020	Approve
394	2020/21	May			Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 14/05/2019. Def holding letter should have been sent by 13/07/2019, however the holding letter was sent 07/01/2020. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance the leaver process was completed, a deferment was set up, although the deferment process was put in pending. This appears to be the only reason why holding letter was not produced as leaver process was completed in time. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are currently in the process of transferring their benefits out of the scheme.		Notified member left 14/05/2019, holding letter sent 07/01/2020	Green	NO	N/A	There are no long term implications associated with this breach.	20/07/2020	Approve

Breach Number	YEAR	QTR	Date of Breach /		Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		
			Likely Breach	Failure Type								EDN Issued to LPB	LPB Responses	
395	2020/21	May			Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 28/04/2017. Def holding letter should have been sent by 27/06/2017, however the holding letter was sent 14/08/2019. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance the leaver process was not completed until 24/07/2019, so the deferred holding letter was not sent until 14/08/2019. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are currently in the process of transferring their benefits out of the scheme.		Notified member left 28/04/2017, holding letter sent 14/08/2019	Green	NO	N/A	There are no long term implications associated with this breach.	20/07/2020	Approve
396	2020/21	May			Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 23/08/2018, the member should have received the deferred holding letter by 22/10/2018, however the holding letter was sent on 03/07/2019. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance the leaver process was not completed until 12/06/2019, so the deferred holding letter was not produced until 03/07/2019. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are currently in the process of transferring their benefits out of the scheme.		Notified member left 23/08/2018, holding letter sent 03/07/2019	Green	NO	N/A	There are no long term implications associated with this breach.	20/07/2020	Approve
397	2020/21	May			Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 08/10/2019, the member should have received the refund options by 07/12/2019, however the refund options were sent on 03/02/2020. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance a refund process was originally set up once the leaver form was received, although processor was waiting on responses to queries before sending options. By the time info was received, the 2 months had passed. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).		Notified member left 08/10/2019, holding letter sent 03/02/2020	Green	NO	N/A	There are no long term implications associated with this breach.	20/07/2020	Approve
398	2020/21	May			Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 16/01/2017, the member should have received the refund options by 15/03/2017, however the refund options were sent on 28/03/2017. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance a refund process was originally set up once the leaver form was received, although processor was waiting on responses to queries before sending options. By the time info was received, the 2 months had passed. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).		Notified member left 16/01/2017, holding letter sent 28/03/2017	Green	NO	N/A	There are no long term implications associated with this breach.	20/07/2020	Approve
399	2020/21	June	22/07/2020	Contributions	Late payment of contributions owed for June 2020	Contributions for June due 22/07/2020 were not received. The Employer has previously breached once in 2020/21 - Breach 378 Cause: Due to impact of Covid-19 on employer Effect: The contributions have not been paid into the fund and the employer is liaising with the employer to agree payment of the contributions	YES	Due 22/07/2020 payment not received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	01/09/2020	Approve
400	2020/21	June	22/07/2020	Contributions	Late payment of contributions owed for June 2020	Contributions for June due 22/07/2020 were not received. The Employer has not previously breached in 2020/21 Cause: Due to Administration oversight Effect: The contributions have not been paid into the fund and the employer is liaising with the employer to agree payment of the contributions	NO	Due 22/07/2020 payment not received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	01/09/2020	Approve
401	2020/21	June	22/07/2020	Contributions	Late payment of contributions owed for June 2020	Contributions for June due 22/07/2020 were not received until 31/07/2020- 9 days late. The Employer has not previously breached in 2020/21 Cause: Due to Administration oversight Effect: The contributions have not been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/07/2020 payment received 31/07/2020	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	01/09/2020	Approve

Breach Number	YEAR	QTR	Date of Breach / Likely Breach	Failure Type	Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		
												EDN Issued to LPB	LPB Responses	
402	2020/21	June		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 23/07/2019. Deferred holding letter should have been sent by 22/09/2019, however the holding letter was sent 31/10/2019. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance the fund hadn't received a starter form for this role. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are currently in the process of transferring their benefits out of the scheme.		Notified member left 23/07/2019, holding letter sent 31/10/2019	Green	NO	N/A	There are no long term implications associated with this breach.	01/09/2020	Approve
403	2020/21	June		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 04/12/2019, the member should have received the deferred holding letter by 03/01/2020, however the holding letter was sent on 28/02/2020. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance the leaver process was not completed until 06/01/2020, so the deferred holding letter was not produced until 18/12/2019. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are currently in the process of transferring their benefits out of the scheme.		Notified member left 04/12/2019, holding letter sent 28/02/2020	Green	NO	N/A	There are no long term implications associated with this breach.	01/09/2020	Approve
404	2020/21	June		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 01/10/2019, the member should have received the deferred holding letter by 30/11/2019, however the holding letter was sent on 18/12/2019. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance the leaver process was not completed until 11/11/2019, so the deferred holding letter was not produced until 18/12/2019. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are currently in the process of transferring their benefits out of the scheme.		Notified member left 01/10/2019, holding letter sent 18/12/2019	Green	NO	N/A	There are no long term implications associated with this breach.	01/09/2020	Approve
405	2020/21	June		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 01/10/2019, the member should have received the deferred holding letter by 30/11/2019, however the holding letter was sent on 18/12/2019. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance the leaver process was not completed until 11/11/2019, so the deferred holding letter was not produced until 18/12/2019. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are currently in the process of transferring their benefits out of the scheme.		Notified member left 01/10/2019, holding letter sent 18/12/2020	Green	NO	N/A	There are no long term implications associated with this breach.	01/09/2020	Approve
406	2020/21	June		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 18/12/2019. Deferred holding letter should have been sent by 17/02/2020, however the retirement options were sent 01/05/2020. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance the fund hadn't received a starter form for this role. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are currently in the process of transferring their benefits out of the scheme.		Notified member left 18/12/2019, holding letter sent 01/05/2020	Green	NO	N/A	There are no long term implications associated with this breach.	01/09/2020	Approve
407	2020/21	June		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 06/11/2019, the member should have received the deferred holding letter by 05/01/2020, however the holding letter was sent on 03/04/2020. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance the leaver process was not completed until 21/02/2020, so the deferred holding letter was not produced until 03/04/2020. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are currently in the process of transferring their benefits out of the scheme.		Notified member left 06/11/2019, holding letter sent 03/04/2020	Green	NO	N/A	There are no long term implications associated with this breach.	01/09/2020	Approve

Breach Number	YEAR	QTR	Date of Breach /		Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		
			Likely Breach	Failure Type								EDN Issued to LPB	LPB Responses	
408	2020/21	June			Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 08/01/2019, the member should have received the deferred holding letter by 07/03/2019, however the holding letter was sent on 11/03/2019. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance the leaver process was not completed until 19/02/2019, so the deferred holding letter was not produced until 11/03/2019. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are currently in the process of transferring their benefits out of the scheme.		Notified member left 08/01/2019, holding letter sent 11/03/2019	Green	NO	N/A	There are no long term implications associated with this breach.	01/09/2020	Approve
409	2020/21	June			Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 12/06/2018, the member should have received the deferred holding letter by 11/08/2018, however the holding letter was sent on 31/10/2019. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance the leaver process was not completed until 09/10/2019, so the deferred holding letter was not produced until 31/10/2019. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are currently in the process of transferring their benefits out of the scheme.		Notified member left 12/06/2018, holding letter sent 31/10/2019	Green	NO	N/A	There are no long term implications associated with this breach.	01/09/2020	Approve
410	2020/21	June			Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 14/08/2015, the member should have received the deferred holding letter by 13/10/2015, however the holding letter was sent on 01/03/2018. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance a deferred was previously processed in May 2017, although correspondence was not sent as the processor believed that the deferment was for a concurrency, although all of member's roles ended on the same date (31/08/2015) - as a result, deferments were recalculated in June 2020 and letters issued 01/07/2020. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are currently in the process of transferring their benefits out of the scheme.		Notified member left 14/08/2015, holding letter sent 01/03/2018	Green	NO	N/A	There are no long term implications associated with this breach.	01/09/2020	Approve
411	2020/21	June			Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 14/08/2015, the member should have received the deferred holding letter by 13/10/2015, however the holding letter was sent on 01/03/2018. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance a deferred was previously processed in May 2017, although correspondence was not sent as the processor believed that the deferment was for a concurrency, although all of member's roles ended on the same date (31/08/2015) - as a result, deferments were recalculated in June 2020 and letters issued 01/07/2020. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are currently in the process of transferring their benefits out of the scheme.		Notified member left 14/08/2015, holding letter sent 01/03/2019	Green	NO	N/A	There are no long term implications associated with this breach.	01/09/2020	Approve
412	2020/21	June			Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 14/02/2020, the member should have received the deferred holding letter by 13/04/2020, however the holding letter was sent on 06/05/2020. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance a deferment process was not set up until 20/04/2020, so the deferred holding letter was not produced until 06/05/2020. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are currently in the process of transferring their benefits out of the scheme.		Notified member left 14/02/2020, holding letter sent 06/05/2020	Green	NO	N/A	There are no long term implications associated with this breach.	01/09/2020	Approve
413	2020/21	July	22/08/2020	Contributions	Late payment of contributions owed for July 2020	Contributions for July due 22/08/2020 were not received. The Employer has previously breached in 2020/21 - Breaches 378 and 399 Cause: Due to Covid-19 Effect: The contributions have not been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/08/2020 payment not received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	23/10/2020	Approve
414	2020/21	July	22/08/2020	Contributions	Late payment of contributions owed for July 2020	Contributions for July due 22/08/2020 were not received. The Employer has not previously breached in 2020/21 Cause: Due to administration oversight Effect: The contributions were late being paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/08/2020 payment not received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	23/10/2020	Approve

Breach Number	YEAR	QTR	Date of Breach /		Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		EDN Issued to LPB	LPB Responses
			Likely Breach	Failure Type								to LPB	LPB Responses		
415	2020/21	July	22/08/2020	Contributions	Late payment of contributions owed for July 2020	Contributions for July due 22/08/2020 were not received. The Employer has not previously breached in 2020/21 Cause: Due to administration oversight Effect: The contributions were late being paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/08/2020 payment not received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	23/10/2020	Approve	
416	2020/21	July	22/08/2020	Contributions	Late payment of contributions owed for July 2020	Contributions for July due 22/08/2020 were not received on time - received 28/08/2020 - 6 days late. The Employer has not previously breached in 2020/21 Cause: Due to administration oversight Effect: The contributions were late being paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/08/2020 payment received 28/08/2020 - 6 days late	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	23/10/2020	Approve	
417	2020/21	August	22/09/2020	Contributions	Late payment of contributions owed for August 2020	Contributions for August due 22/09/2020 were not received. The Employer has previously breached in 2020/21 - Breaches 378, 399 and 409 Cause: Due to Covid-19 Effect: The contributions have not been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/09/2020 payment not received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	23/10/2020	Approve	
418	2020/21	August	22/09/2020	Contributions	Late payment of contributions owed for August 2020	Contributions for August due 22/09/2020 were not received on time - received 01/10/2020. The Employer has not previously breached in 2020/21 . Cause: Due to an administration oversight Effect: The contributions were late being into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/09/2020 payment received 01/10/2020- 9 days late	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	23/10/2020	Approve	
419	2020/21	August	22/09/2020	Contributions	Late payment of contributions owed for August 2020	Contributions for August due 22/09/2020 were not received. The Employer has not previously breached in 2020/21 . Cause: Due to an administration oversight Effect: The contributions have not been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/09/2020 payment not received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	23/10/2020	Approve	
420	2020/21	August		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 03/04/2019, the member should have received the deferred holding letter by 02/06/2019, however the holding letter was sent on 22/10/2019. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance the leaver process was not completed until 18/09/2019, so the deferred holding letter was not produced until 22/10/2019. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are currently in the process of transferring their benefits out of the scheme.		Notified member left 03/04/2019, holding letter sent 22/10/2019	Green	NO	N/A	There are no long term implications associated with this breach.	23/10/2020	Approve	
421	2020/21	August	31/08/2020	ABS	Issue of Active ABS	The Fund did not issue 100% of Active or Deferred Annual Benefit Statements (ABS) by the statutory deadline of 31 August. The Fund did send 90% of the active statements and 87% of the deferred statements on time. The 3,022 active members who have not received an ABS will all be sent a letter by 2 October 2020 explaining that the Fund is working to resolve any outstanding queries with their data so that we can send them an ABS by November 2020. The Fund is also writing to the 2,165 members who have ceased contributing to the scheme explaining that we will issue deferred benefit notifications at the earliest opportunity once their leaver details are received from their former employer. The majority of deferred members who did not receive an ABS was due to the Fund not having the correct address, and tracing has commenced to locate these members (c2,00 traced so far). The Fund has had a similar breach in previous years. Cause Data issues on the members record, lost contact. Effect The Fund has written to the c10% of Active members informing them of the delay and working closely with the employers to resolve the data queries in order to issue an ABS by November 2020. For the c13% of Deferred members the main issue relates to the fact that the Fund has lost contact with the member and the Fund has commenced a tracing programme to locate these members.	YES	Due 31/8/20 which was achieved for 90% of the active membership and 87% of the deferred membership. The Fund will undertake a 'mop-up' exercise to issue the remaining ABS by November 2020.	RED	NO	N/A	The Fund has undertaken considerable data cleansing in the past two years which has resulted in an increase in the number of active members who received their ABS by the 31 August, compared to 2019. This work is continuing and the Fund is moving to a monthly reporting system by 31 March 2021 which will further improve data quality. The Fund has also commissioned a tracing company to locate lost contact, deferred members. The introduction of Monthly Interfacing during 2020 should help to improve the timing and quality of information received by the Fund and, therefore result in an improvement to the number of ABS statements which can be issued on time in future years.	25/09/2020	Approve	
422	2020/21	September	22/10/2020	Contributions	Late payment of contributions owed for September 2020	Contributions for September due 22/10/2020 were not received. The Employer has not previously breached in 2020/21 . Cause: Due to an administration oversight Effect: The contributions have not been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/10/2020 payment not received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	18/11/2020	Approve	
423	2020/21	September	22/10/2020	Contributions	Late payment of contributions owed for September 2020	Contributions for September due 22/10/2020 were not received. The Employer has not previously breached in 2020/21 . Cause: Due to an administration oversight Effect: The contributions have not been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/10/2020 payment not received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	18/11/2020	Approve	
424	2020/21	September	22/10/2020	Contributions	Late payment of contributions owed for September 2020	Contributions for September due 22/10/2020 were not received. The Employer has not previously breached in 2020/21 . Cause: Due to an administration oversight Effect: The contributions have not been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/10/2020 payment not received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	18/11/2020	Approve	

Breach Number	YEAR	QTR	Date of Breach /		Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		
			Likely Breach	Failure Type								EDN Issued to LPB	LPB Responses	
425	2020/21	September	22/10/2020	Contributions	Late payment of contributions owed for September 2020	Contributions for September due 22/10/2020 were not received. The Employer has not previously breached in 2020/21. Cause: Due to an administration oversight Effect: The contributions have not been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/10/2020 payment not received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	18/11/2020	Approve
426	2020/21	September	22/10/2020	Contributions	Late payment of contributions owed for September 2020	Contributions for September due 22/10/2020 were not received. The Employer has not previously breached in 2020/21. Cause: Due to an administration oversight Effect: The contributions have not been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/10/2020 payment not received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	18/11/2020	Approve
427	2020/21	September	22/10/2020	Contributions	Late payment of contributions owed for September 2020	Contributions for September due 22/10/2020 were not received on time- received 06/11/20-15 days late. The Employer has not previously breached in 2020/21. Cause: Due to an administration oversight Effect: The contributions have been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/10/2020 payment received 06/11/2020	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	18/11/2020	Approve
428	2020/21	October	22/11/2020	Contributions	Late payment of contributions owed for October 2020	Contributions for October due 22/11/2020 were not received. The Employer has previously breached in 2020/21 - Breaches 378, 399, 409 and 417 Cause: Due to Covid-19 Effect: The contributions have not been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/11/2020 payment not received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	12/01/2021	
429	2020/21	October	22/11/2020	Contributions	Late payment of contributions owed for October 2020	Contributions for October due 22/11/2020 were not received on time- received 14/12/2020-22 days late. The Employer has not previously breached in 2020/21. Cause: Due to an administrative oversight Effect: The contributions have been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/11/2020 payment received 14/12/2020	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	12/01/2021	
430	2020/21	October	22/11/2020	Contributions	Late payment of contributions owed for October 2020	Contributions for October due 22/11/2020 were not received on time- received 26/11/2020-4 days late- . The Employer has not previously breached in 2020/21. Cause: Due to an administrative oversight Effect: The contributions have been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/11/2020 payment received 26/11/2020	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	12/01/2021	
431	2020/21	October	22/11/2020	Contributions	Late payment of contributions owed for October 2020	Contributions for October due 22/11/2020 were not received on time- received 23/11/2020-1 day late. The Employer has previously breached in 2020/21. Breach 401. Cause: Due to an administrative oversight Effect: The contributions have been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/11/2020 payment received 23/11/2020	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	12/01/2021	
432	2020/21	October	22/11/2020	Contributions	Late payment of contributions owed for October 2020	Contributions for October due 22/11/2020 were not received on time- received 24/11/20- 2 days late. The Employer has previously breached in 2020/21 - breach number 427. Cause: Due to an administration oversight Effect: The contributions have been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/11/2020 payment received 24/11/2020	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	12/01/2021	
433	2020/21	October		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 10/12/2019, the member should have received the deferred holding letter by 09/02/2020, however the holding letter was sent on 28/02/2020. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance, the record was initially treated as a refund although it became apparent that member held LGPS service elsewhere. The refund was subsequently aborted on before a deferment was set up. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).		Notified member left 10/12/2019, holding letter sent 28/02/2020	Green	NO	N/A	There are no long term implications associated with this breach.	12/01/2021	
434	2020/21	October		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund in April 2015, the member should have received the deferred holding letter by July 2015, however the holding letter was sent on 07/01/2020. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance the leaver process was not completed until 10/12/2019 as the member hadn't been picked up on the corresponding leaver spreadsheet in 2015, so the deferred holding letter was not produced until Jan 2020. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are currently in the process of transferring their benefits out of the scheme.		Notified member left April 2015, holding letter sent 07/01/2020	Green	NO	N/A	There are no long term implications associated with this breach.	12/01/2021	

Breach Number	YEAR	QTR	Date of Breach /		Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		
			Likely Breach	Failure Type								EDN Issued to LPB	LPB Responses	
435	2020/21	October		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 05/03/2020. Holding letter should have been sent by 04/05/2020, however deferment options were sent 15/10/2020. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance, the record was initially treated as a refund and the record was preserved for a transfer out. However, correspondence relating to pension wasn't issued. Member didn't respond to the follow-up documentation and so that record was set back to active before being deferred. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).		Notified member left 05/03/2020, holding letter sent 15/10/2020	Green	NO	N/A	There are no long term implications associated with this breach.	12/01/2021	
436	2020/21	October		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund in 13/12/2019, the member should have received the deferred holding letter by 12/02/2020, however the holding letter was sent on 07/10/2020. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance the leaver process was not completed until 23/09/2020 as the processor had a number of queries regarding the member's LGPS50 entires. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are currently in the process of transferring their benefits out of the scheme.		Notified member left 13/12/2019, holding letter sent 07/10/2020	Green	NO	N/A	There are no long term implications associated with this breach.	12/01/2021	
437	2020/21	November	22/12/2020	Contributions	Late payment of contributions owed for November 2020	Contributions for November due 22/12/2020 were not received. The Employer has previously breached in 2020/21 - Breaches 378, 399, 409, 417 and 428. Cause: Due to Covid-19 Effect: The contributions have not been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/12/2020 payment not received	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the employer has confirmed that the contributions will be paid. The Fund will continue to liaise with the employer as required.	12/01/2021	
438	2020/21	November	22/12/2020	Contributions	Late payment of contributions owed for November 2020	Contributions for November due 22/12/2020 were not received on time, received 06/01/2021- 15 days late. The Employer has not previously breached in 2020/21. Cause: Due to an administration oversight Effect: The contributions have been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/12/2020 payment received - 06/01/2021	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	12/01/2021	
439	2020/21	November	22/12/2020	Contributions	Late payment of contributions owed for November 2020	Contributions for November due 22/12/2020 were not received on time, received 06/01/2021- 15 days late. The Employer has not previously breached in 2020/21. Cause: Due to an administration oversight Effect: The contributions have been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/12/2020 payment received - 06/01/2021	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	12/01/2021	
440	2020/21	November	22/12/2020	Contributions	Late payment of contributions owed for November 2020	Contributions for November due 22/12/2020 were not received on time, received 06/01/2021- 15 days late. The Employer has not previously breached in 2020/21. Cause: Due to an administration oversight Effect: The contributions have been paid into the fund and the Employer has been reminded of their obligations to the fund.	NO	Due 22/12/2020 payment received - 06/01/2021	Green	NO	N/A	There are no long term implications associated with this breach. Although the employer paid late on this occasion the contributions due have been received.	12/01/2021	
441	2020/21	November		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 17/02/2020, the member should have received the deferred holding letter by 16/04/2020, however the holding letter was sent on 06/05/2020. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance, the record was initially treated as a retirement quote, although it became apparent that member had joined another LGPS and so an automatic transfer was required. The quote was subsequently aborted before a deferment was set up for the transfer out. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).		Notified member left 17/02/2020, holding letter sent 06/05/2020	Green	NO	N/A	There are no long term implications associated with this breach.	12/01/2021	
442	2020/21	November		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 21/11/2019, the member should have received the deferred holding letter by 20/01/2020, however the holding letter was sent on 28/02/2020. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance the leaver process was not completed until 14/01/2020, so the deferred holding letter was not produced until Feb 2020. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are currently in the process of transferring their benefits out of the scheme.		Notified member left 21/11/2019, holding letter sent 28/02/2020	Green	NO	N/A	There are no long term implications associated with this breach.	12/01/2021	

Breach Number	YEAR	QTR	Date of Breach / Likely Breach	Failure Type	Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		
												EDN Issued to LPB	LPB Responses	
443	2020/21	November		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 03/04/2020, the member should have received notification by 02/06/2020, however notification was sent on 17/06/2020. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance, the record was initially treated as a refund although the processor had to contact another LGPS to confirm whether member held service within their scheme. By the time an answer had been received, the 2 months had elapsed. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).		Notified member left 03/04/2020, notification sent 17/06/2020	Green	NO	N/A	There are no long term implications associated with this breach.	12/01/2021	
444	2020/21	November		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund in July 2016, the member should have received notification by September 2016, however notification was sent on 07/01/2020. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance, a leaver spreadsheet was submitted by the employer in July 2016 as standard, although this specific member was overlooked. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).		Notified member left July 2016, notification sent 07/01/2020	Green	NO	N/A	There are no long term implications associated with this breach.	12/01/2021	
445	2020/21	November		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund on 21/11/2019, the member should have received notification by 20/01/2020, however notification was sent on 05/08/2020. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance, the record was initially treated as a refund although the processor had to contact another LGPS to confirm whether member held service within their scheme. By the time an answer had been received, the 2 months had elapsed. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).		Notified member left 21/11/2019, notification sent 05/08/2020	Green	NO	N/A	There are no long term implications associated with this breach.	12/01/2021	
446	2020/21	November		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund in February 2016, the member should have received notification by April 2016, however notification was sent on 22/10/2019. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance, the leaver form was received in Feb 2016, although a leaver process was not set up/completed until Sept 2019 Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).		Notified member left Feb 2016, notification sent 22/10/2019	Green	NO	N/A	There are no long term implications associated with this breach.	12/01/2021	
447	2020/21	November		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund in April 2018, the member should have received notification by June 2018, however notification was sent on 04/07/2018. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance the leaver notification was received in April 2018, although the leaver process was not completed until June 2018, so the deferred holding letter was not produced until July 2018. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).		Notified member left April 2018, notification sent 04/07/2018	Green	NO	N/A	There are no long term implications associated with this breach.	12/01/2021	
448	2020/21	November		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund in Feb 2019, the member should have received notification by April 2019, however notification was sent on 28/02/2020. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance, a leaver spreadsheet was submitted by the employer in Feb 2019 as standard, although this specific member was overlooked. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).		Notified member left Feb 2019, notification sent 28/02/2020	Green	NO	N/A	There are no long term implications associated with this breach.	12/01/2021	

Breach Number	YEAR	QTR	Date of Breach /		Nature of the Breach	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;	Has this issue been reported before	Relevant Dates	RAG Status	Report to tPR Recommendation	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.		
			Likely Breach	Failure Type								EDN Issued to LPB	LPB Responses	
449	2020/21	November		Administration	Late Notification of options upon leaving	Notification of the member leaving employment was received by the Fund in Aug 2017, the member should have received notification by October 2017, however notification was sent on 14/08/2019. Cause: The initial leaver process requires completion in order to determine whether a deferred or refund process is applicable. The relevant option form can only be sent once it is known whether the member is eligible for a deferred pension or a refund of contributions. The leaver process is created once the leave date is known, in this instance, the fund did not receive a starter form for this role so we had to wait on this before a record could be set up/notification could be issued. Effect: The member was not informed of their option to transfer/defer within 2 months whilst their LGPS service was clarified, however, the member has now received the correct option letter. The impact on the member is minimal, as they are still able to transfer their pension benefits out of the LGPS, up until 12 months prior to their State Pension Age (SPA).		Notified member left Aug 2017, notification sent 14/08/2019	Green	NO	N/A	There are no long term implications associated with this breach.	12/01/2021	