

Breaches Report

| Breach Number | Year | Date of Breach / Likely Breach | Failure Type | A description of the breach (including relevant dates), its cause and effect, including the reasons it is, or is not, believed to be of material significance | Been reported to tPR before | RAG Status | Report to tPR | Actions taken to rectify the breach. A brief descriptions of any longer term implications and actions required to prevent similar types of breaches recurring in the future |
|---------------|---------|--|---------------------|---|-----------------------------|------------|---------------|---|
| 1 | 2016-17 | 22/11/16 22/12/16 | Contributions | Oct EES (£1,139.27) & Nov ERS (£2,897.77) contributions not received until 24/11/16 & 26/12/16 respectively - 3 & 6 days late. Cause: EES - not contacted, received within 3 days, ERS - miscommunication internally within departments Effect: Contributions now been received | No | Amber | No Report | There are no long term implications associated with this breach. Contributions now up to date |
| 2 | 2016-17 | 22/5/16 22/6/16 | Contributions | April (£17,067.42) & May (£16,700.40) contributions not received until 3/6/16 & 24/6/16 respectively - 12 & 2 days late. Cause: Inadequate system in place Effect: Contributions now been received and subsequent months paid on time | No | Amber | No Report | There are no long term implications associated with this breach. The employer has paid contributions on time since June |
| 3 | 2016-17 | 22/5/16 22/6/16 22/7/16 | Contributions (PSD) | April, May & June (£3,999.99) Past Service Deficit payment not received until 3/6/16, 30/6/16 & 28/7/16 respectively - 12, 8 and 6 days late. Cause: Internal issues, now resolved Effect: Contributions now been received and subsequent months paid on time | No | Amber | No Report | There are no long term implications associated with this breach. The employer has paid contributions on time since July |
| 4 | 2016-17 | 22/5/16 22/6/16 22/7/16 22/9/16 | Contributions (PSD) | April, May, June & September (£377) Past Service Deficit payment not received until 25/7/16, 25/7/16, 25/7/16 & 5/10/16 respectively - 64, 33, 3 and 13 days late. Cause: Staff changes and banking issues Effect: Contributions now been received and subsequent months paid on time | No | Amber | No Report | There are no long term implications associated with this breach. The employer has paid contributions on time since September |
| 5 | 2016-17 | 19/7/16 | Contributions | Apr - June (£452.58) quarterly contributions not received until 30/8/16 - 42 days late. Cause: The cheque had gone lost, new cheque issued once we managed to get hold of her Effect: Contributions now been received and next quarters paid on time | No | Amber | No Report | There are no long term implications associated with this breach. The employer has paid the last quarterly contributions on time |
| 6 | 2016-17 | 19/10/16 | Contributions | July - September (£6,102.79) quarterly contributions not received until 1/11/16 - 13 days late. Cause: On annual leave, no cover Effect: Contributions now been received | No | Amber | No Report | There are no long term implications associated with this breach. Contributions up to date |
| 7 | 2016-17 | 19/10/16 | Contributions | September (£1,203.40) contributions not received until 26/10/16 - 7 days late. Cause: On annual leave, no cover Effect: Contributions now been received and subsequent months paid on time | No | Amber | No Report | There are no long term implications associated with this breach. The employer has paid contributions on time since October |
| 8 | 2016-17 | 22/10/16 | Contributions | September (£591.73) contributions not received until 31/10/16 - 9 days late. Cause: On annual leave, no cover Effect: Contributions now been received and subsequent months paid on time | No | Amber | No Report | There are no long term implications associated with this breach. The employer has paid contributions on time since October |
| 9 | 2016-17 | 22/11/16 | Contributions (PSD) | October (£525) Past Service Deficit payment not received until 28/11/16 - 7 days late. Cause: On annual leave, no cover Effect: Contributions now been received | No | Amber | No Report | There are no long term implications associated with this breach. Contributions now up to date |
| 10 | 2016-17 | 19/1/17 | Contributions | December (£2,492.10) contributions not received until 30/1/17 - 11 days late. Cause: Usual employee on annual leave, left for a colleague to action but not done Effect: Contributions now been received | No | Amber | No Report | There are no long term implications associated with this breach. Contributions now up to date |

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| 11 | 2016-17 | 19/1/17 | Contributions (PSD) | December (£91) Past Service Deficit payment not received until 14/2/17 - 26 days late. Cause: Due to staff changes, MCNPT have had problems getting 2 new authorised signatories for online payments. Effect: Contributions now been received-payment has been made up until 31/3/17 | No | Amber | No Report | There are no long term implications associated with this breach. Contributions now up to date. |
| 12 | 2016-17 | 17/2/17 | Contributions | January (£578.17) contributions not received until 24/02/2017 - 2 days late. Cause: payment overlooked by staff. Effect: Contributions have now been received | No | Amber | No Report | There are no long term implications associated with this breach. Contributions now up to date. |
| 13 | 2016-17 | 17/3/17 | Contributions | February (£106,820.56) contributions not received until 29/03/2017 - 7 days late. Cause: Accountancy Manager on sick leave - payment overlooked by other staff . Effect: Contributions have now been received | No | Amber | No Report | There are no long term implications associated with this breach. Contributions now up to date. |
| 14 | 2016-17 | 17/3/17 | Contributions (PSD) | February (£1,333.33) Past Service Deficit payment not received until 24/03/2017 - 7 days late. Cause: Finance Manager forgot to do payment. Effect: Contributions have now been received | No | Amber | No Report | There are no long term implications associated with this breach. Contributions now up to date. |
| 15 | 2016-17 | 22/4/17 | Contributions | March (£2,626.38) contributions not received until 25/04/2017 - 3 days late (BACS). Cause: Finance Officers were not at work when payment was due to be made (see email). Effect: Contributions have now been received | No | Amber | No Report | There are no long term implications associated with this breach. Contributions now up to date. |
| 16 | 2016-17 | 19/4/17 | Contributions | March (£1,438.04) contributions not received until 21/04/2017 - 2 days late. Cause: The only person who can process the payment was on leave during April (see email). Effect: Contributions have now been received | No | Amber | No Report | There are no long term implications associated with this breach. Contributions now up to date. |
| 17 | 2017-18 | 19/7/17 | Contributions | June (£1,664.93) contributions not received until 24/07/2017 - 5 days late. Cause: Received late due to Royal Mail. Clerk states that payment was sent to us before 19th of month (payment is normally received early-see email). Effect: Contributions have now been received | No | Amber | No Report | There are no long term implications associated with this breach. Contributions now up to date. |
| 18 | 2017-18 | 19/7/17 | Contributions | June (£1,462.27) contributions not received until 20/07/2017 - 1 day late. Cause: Email received 14/07/2017 informing us that the payment will be late due to them moving to Pay Connect and 1 employee was late returning a form. Effect: Contributions have now been received | No | Amber | No Report | There are no long term implications associated with this breach. Contributions now up to date. |
| 19 | 2017-18 | 22/7/17 | Contributions (PSD) | April-June (£4,181) Past Service Deficit payment not received until 28/07/2017 - 6 days late. Cause: Finance Officer off sick and works part-time. Effect: Contributions have now been received | No | Amber | No Report | There are no long term implications associated with this breach. Contributions now up to date. |
| 20 | 2017-18 | 22/7/17 | Contributions (PSD) | June (£550) Past Service Deficit payment not received until 25/07/2017 - 3 days late. Cause: Finance Officer was on leave (see email). Effect: Contributions have now been received | No | Amber | No Report | There are no long term implications associated with this breach. Contributions now up to date. |
| 21 | 2017-18 | 22/9/17 | Contributions | August contributions not received until 6/10/2017 - 14 days late. Cause: Internet banking has been unavailable due to change of account number with bank. Effect: Contributions have now been received | No | Amber | No Report | There are no long term implications associated with this breach. Contributions now up to date. |
| 22 | 2017-18 | 19/10/17 | Contributions | September contributions not received until 23/10/2017 - 4 days late. Cause: Linked to a late payment of salaries. Effect: Contributions have now been received | No | Amber | No Report | There are no long term implications associated with this breach. Contributions now up to date. |

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| 23 | 2017-18 | 22/10/17 | Contributions | September contributions not received until 23/10/2017 - 1 day late. Cause: Didn't complete all stages for online banking therefore payment didn't leave the account. Effect: Contributions have now been received | No | Amber | No Report | There are no long term implications associated with this breach. Contributions now up to date. |
| 24 | 2017-18 | 22/10/17 | Contributions (PSD) | July-September quarter contributions payment not received until 27/10/2017 - 5 days late. Cause: email sent on 26.10.17 asking for reason for late payment but no reply as yet. Effect: Contributions have now been received | No | Amber | No Report | There are no long term implications associated with this breach. Contributions now up to date. |