

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

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.
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: Dual authorisation process introduced-has had some problems with it . 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.
25	2017-18	22/11/17	Employers Contributions	October ERS contributions not received until 1/12/17 - 9 days late. Cause: due to the reorganisation of the payment making process within the department that normally makes the payment. Effect: Contributions have now been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.
26	2017-18	22/11/17	Contributions	October contributions not received until 5/12/17 - 13 days late. Cause: Finance Officer off sick, person covering didn't make payment. Effect: Contributions have now been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.
27	2017-18	22/12/2017	Contributions	November contributions not received until 15/01/2018 - 24 days late. Cause: Finance Officer & other key members of staff off sick. 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.
28	2017-18	22/1/18	Contributions	December contributions not received until 24/01/2018 - 2 days late. Cause: Finance Officer off sick. 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.
29	2017-18	22/1/18	Contributions	December contributions not received until 7/2/2018 - 16 days late. Cause: Swim Narberth pool has been closed to staff for the past 3 months as major renovation work going on, manager had to contact committee to make payment. Effect: Contributions have now been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.
30	2017-18	19/1/18	Contributions (chq)	December contributions not received until 06/02/2018 - 18 days late. Cause: Clerk in hospital for previous 3 weeks-his job is not covered when he is ill. 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.
31	2017-18	22/1/18	PSD	December contributions not received until 30/01/2018 - 8 days late. Cause: Online banking issues (see attached 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.
32	2017-18	19/1/18	Contributions (chq)	December contributions not received until 22/01/2018 - 3 days late. Cause: Delay in getting second signatory to sign cheque. 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.
33	2017-18	22/1/18	PSD	December contributions not received until 23/01/2018 - 1 day late. Cause: Finance Officer on compassionate leave. Effect: Contributions have now been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.
34	2017-18	22/2/18	Contributions	January contributions not yet received but payment will be received by end of w/e 9/3/18. Cause: Officer didn't inform Finance Dept to make payment and was then on leave. Effect: Contributions will be received by end of w/e 9/3/18	No	Amber	No Report	There are no long term implications associated with this breach caused by human error.