

### 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
62	2019-20	April, May and June 19	Automatic payment of refund after 5 years for post 2014 leavers	Members have been contacted requesting bank details in order to pay refunds, however, no reply has been received from the scheme members. April - 3 members & total refunds = £145.90, May - 5 members & total refunds = £126.58, June - 6 members and total refund = £64.55	No	Amber	No Report	The National Technical Group has recommended to the SAB that the regulations in respect of refunds is amended and reflects the position prior to April 2014.
63	2019-20	19/5/19	PSD	April (£2,475) PSD payment not received until 18/06/2019 - 27 days late. <b>Cause:</b> Clerk on annual leave. <b>Effect:</b> Payment has now been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.
64	2019-20	22/6/19	Contributions	May contributions (£3,162.83) received 11 days late. <b>Cause:</b> Clerk still trying to sort out payroll software issue. <b>Effect:</b> Payment has now been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.
65	2019-20	19/6/19	Contributions	May contributions (£2,410.87) received 10/07/2019 - 21 days late. <b>Cause:</b> Clerk was on leave and thought cheques has been sent. <b>Effect:</b> Payment has now been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.
66	2019-20	19/6/19	Contributions	May contributions (£1,158.97) received 10/07/2019 - 27 days late. <b>Cause:</b> Clerk was on leave and thought cheques has been sent. <b>Effect:</b> Payment has now been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.
67	2019-20	22/7/19	Contributions	June contributions (£3,006.61) received 3 days late. <b>Cause:</b> Clerk thought payment had been made as 2 submissions had been done this year but one was relating to last year. <b>Effect:</b> Payment has now been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.
68	2019-20	July, August and September 19	Automatic payment of refund after 5 years for post 2014 leavers	Members have been contacted requesting bank details in order to pay refunds, however, no reply has been received from the scheme members. July - 16 members & total refunds = £431.16, August - 15 members & total refunds = £1100.86, September - 9 members and total refunds = £172.98	No	Amber	No Report	The National Technical Group has recommended to the SAB that the regulations in respect of refunds is amended and reflects the position prior to April 2014. Following from their July 19 meeting, SAB are in the process of making recommendations to MHCLG
69	2019-20	22/8/19	PSD	July 19 (£450) Past Service Deficit payment not received until 2/09/2019 - 11 days late. <b>Cause:</b> Finance Officer forgot to make payment. <b>Effect:</b> Contributions have now been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.
70	2019-20	22/8/19	Contributions	July contributions not yet received. <b>Cause:</b> Clerk on compassionate leave. <b>Effect:</b> Contributions not yet received-payment will be made shortly	No	Amber	No Report	There are no long term implications associated with this breach. Contributions not yet received
71	2019-20	22/9/19	Contributions	August contributions not yet received. <b>Cause:</b> Clerk on compassionate leave. <b>Effect:</b> Contributions not yet received-payment will be made shortly	No	Amber	No Report	There are no long term implications associated with this breach. Contributions not yet received
72	2019-20	22/9/19	Contributions	August Contributions (£1,444.24) received 9 days late. <b>Cause:</b> Online banking was not properly authorised therefore payment did not leave account. <b>Effect:</b> payment has now been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.
73	2019-20	22/10/19	Contributions	September contributions not yet received. <b>Cause:</b> Clerk on compassionate leave but has now been in contact <b>Effect:</b> Contributions not yet received-payment will be made shortly	No	Amber	No Report	There are no long term implications associated with this breach. Contributions not yet received
74	2019-20	22/10/19	PSD	July-September PSD payment not yet received. Accountant has advised that a new clerk has been appointed and she will liase with her to arrange payment. <b>Effect:</b> PSD has now been paid in full	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now received

75	2019-20	1/10/19	Automatic payment of refund after 5 years for post 2014 leavers	Members have been contacted requesting bank details in order to pay refunds, however, no reply has been received from the scheme members. October - 12 members & total refunds = £907.54	No	Amber	No Report	The National Technical Group has recommended to the SAB that the regulations in respect of refunds is amended and reflects the position prior to April 2014. Following from their July 19 meeting, SAB are in the process of making recommendations to MHCLG
76	2019-20	22/11/19	Contributions	July - October contributions received 19/12/2019. <b>Cause:</b> Clerk on compassionate leave but has now been in contact <b>Effect:</b> All payments now up to date	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.
77	2019-20	22/12/19	PSD	November PSD payment (£450) received 11 days late. <b>Cause:</b> Clerk forgot to make payment. <b>Effect:</b> Payment has now been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.
78	2019-20	22/1/20	Contributions	October - December qtr contributions received 13 days late. <b>Cause:</b> Clerk responsible didn't receive payment information until mid January which coincided with the clerk being on annual leave. <b>Effect:</b> Payment has now been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.
79	2019-20	19/1/20	Contributions	December contributions received 9 days late. <b>Cause:</b> Cheque posted but received late. <b>Effect:</b> Payment has now been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.
80	2019-20	19/1/20	Contributions	December contributions received 9 days late. <b>Cause:</b> Cheque posted but received late. <b>Effect:</b> Payment has now been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.
81	2019-20	November 19, December 19 and January 20	Automatic payment of refund after 5 years for post 2014 leavers	Members have been contacted requesting bank details in order to pay refunds, however, no reply has been received from the scheme members. November - 5 members & total refunds = £375.21, December - 13 members & total refunds = £491.01, January - 12 members and total refund = £718.90	No	Amber	No Report	The National Technical Group has recommended to the SAB that the regulations in respect of refunds is amended and reflects the position prior to April 2014.
82	2019-20	22/1/20	Contributions	December contributions received 1 day late. <b>Cause:</b> Clerk responsible for payment was on sick leave. <b>Effect:</b> Payment has not been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.
83	2019-20	19/1/20	Contributions	October - December qtr contributions received 1 day late. <b>Cause:</b> Cheque was posted on the 14.1.20 but not received until 20.1.20. <b>Effect:</b> Payment has now been received	No	Amber	No Report	There are no long term implications associated with this breach. Contributions now up to date.