

Record of Breaches – 2018/19

Date	Category (e.g. administration, contributions, funding, investment, criminal activity)	Description and cause of breach	Possible effect of breach and wider implications	Reaction of relevant parties to breach	Reported / Not reported (with justification if not reported and dates)	Outcome of report and/or investigations	Outstanding actions
31/08/2018	Administration	100% of annual benefit statements not issued by statutory deadline, 79.06% issued.	Non-compliance with statutory regulations	None received	Reported to Pension Board on 10/10/2018	Two employers provided inaccurate data leading to the delay in issuing ABS for their employees as revised returns were required. One employer had provided inaccurate Final Pay (2008 definition). By 31 January 2019, 99.09% of ABS had been issued. A revised procedure has been introduced for 2018/19	N/A – Green breach with improvement plan in place

						whereby the receipt of annual returns and the quality of the data provided is reviewed immediately. A resource proposal was agreed with one of the employers which has significantly reduced historical data queries																												
31/03/2019	Contributions	<p>Employees & employers contributions not received by the 19th of the month following the month in which they were deducted as follows:</p> <table border="1"> <thead> <tr> <th colspan="3">2018/19</th> </tr> <tr> <th colspan="3">Late Payments</th> </tr> </thead> <tbody> <tr> <td>1-10 days late</td> <td>69</td> <td></td> </tr> <tr> <td>11-30 days late</td> <td>33</td> <td></td> </tr> <tr> <td>1-3 months late</td> <td>19</td> <td></td> </tr> <tr> <td>4-7 months late</td> <td>28</td> <td></td> </tr> <tr> <td>8-11 months late</td> <td>17</td> <td></td> </tr> <tr> <td>12+ months late</td> <td>3</td> <td></td> </tr> <tr> <td></td> <td>169</td> <td></td> </tr> </tbody> </table> <p>Value received late £1,131,911.40</p>	2018/19			Late Payments			1-10 days late	69		11-30 days late	33		1-3 months late	19		4-7 months late	28		8-11 months late	17		12+ months late	3			169		Non-compliance with Pensions Act 1995 and payments not made within the prescribed period set out in the Service Level Agreement	Employers who did not make payments within the prescribed timeframe were contacted and late payments addressed under the Pension Administration Strategy	Not reported. Reason for late payments was due to the employers procedures/ administration function and not due to an inability to make payment or cash flow problems	For the period April to September 2018 it took an average of 92.27 days to receive late payments. From October 2018 to March 2019 (post the introduction of the breaches log & revised procedure) the average to receive late payments reduced to 31.29 days.	N/A – Green breach with improvement plan continuing
2018/19																																		
Late Payments																																		
1-10 days late	69																																	
11-30 days late	33																																	
1-3 months late	19																																	
4-7 months late	28																																	
8-11 months late	17																																	
12+ months late	3																																	
	169																																	

		Outstanding Payments						
		April	9					
		May	8					
		June	8					
		July	6					
		August	6					
		September	6					
		October	6					
		November	7					
		December	7					
		January	7					
		February	8					
		March	13					
			91					
		Value outstanding £285,097.85						