

## Record of Breaches – 2019/20

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
31/08/2019	Administration	100% of annual benefit statements not issued by statutory deadline, 97.26% issued.	Non-compliance with statutory regulations	None received	Due to be reported to Pension Board on 02/10/2019	A revised procedure was introduced for 2019/20 as only 79.06% of ABS were issued by the deadline in 2018. The considerable increase in the number of ABS issued is a substantial improvement	N/A – Green breach
31/08/2019	Contributions	Employees & employers contributions not received by the 19 <sup>th</sup> of the month following the month in which they were deducted as follows:	Non-compliance with Pensions Act 1995 and payments not made within the prescribed period set out	None received	Not reported. Reason for late payments was due to the employers procedures/ administration function and not due to an inability to	For the period April to July 2019 it took an average of 14.34 days to receive late payments. This is an improvement on 2018/19	N/A – Green breach with improvement plan continuing

		<table border="1"> <tr> <th colspan="2">2019/20</th> </tr> <tr> <td>2018/19 outstanding amount</td> <td>£285,097.85</td> </tr> <tr> <td>Payments received after 19/04/2019 in relation to 2018/19</td> <td>£31,587.99</td> </tr> <tr> <td></td> <td>£253,509.86</td> </tr> </table> <table border="1"> <tr> <th colspan="2">2019/20</th> </tr> <tr> <th colspan="2">Late Payments</th> </tr> <tr> <td>1-10 days late</td> <td>22</td> </tr> <tr> <td>11-30 days late</td> <td>9</td> </tr> <tr> <td>1-3 months late</td> <td>4</td> </tr> <tr> <td>4-7 months late</td> <td>1</td> </tr> <tr> <td>8-11 months late</td> <td>-</td> </tr> <tr> <td>12+ months late</td> <td>-</td> </tr> <tr> <td></td> <td>36</td> </tr> </table> <p>Value received late £541,304.33</p> <table border="1"> <tr> <th colspan="2">Outstanding Payments</th> </tr> <tr> <td>April</td> <td>9</td> </tr> <tr> <td>May</td> <td>9</td> </tr> <tr> <td>June</td> <td>9</td> </tr> <tr> <td>July</td> <td>42</td> </tr> <tr> <td></td> <td>91</td> </tr> </table> <p>Value outstanding £258,397.05  Plus 2018/19 £253,509.86  Total outstanding £511,906.91</p>	2019/20		2018/19 outstanding amount	£285,097.85	Payments received after 19/04/2019 in relation to 2018/19	£31,587.99		£253,509.86	2019/20		Late Payments		1-10 days late	22	11-30 days late	9	1-3 months late	4	4-7 months late	1	8-11 months late	-	12+ months late	-		36	Outstanding Payments		April	9	May	9	June	9	July	42		91	in the Service Level Agreement	make payment or cash flow problems		
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\*New breaches since the previous meeting should be highlighted