

Breaches Log

Appendix 1

Date Identified	Pensions Administration or Employer (if applicable)	Relevant Dates	Description	Red, Amber or Green	Actions Taken	Long Term Effects	Open or Closed with Date	Reported to Committee Y/N + date	Reported to Board Y/N + date	Responsible Officer
6 th August 2018	Pensions Admin	Aug 18	Upon submission of a data sheet to the charity "give as you earn" to inform them of payments being made on behalf of scheme members, details of additional unrelated individuals were erroneously included in the spreadsheet. This monthly return included 61 people's details who pay for private healthcare through same pension sacrifice mechanism with name, payroll number and NI numbers and were copied in error into this sheet sent to the charity.		The charity were emailed explaining the error asking them to delete the previous email and a further email has been sent with the correct information. The charity has confirmed by email that all data has been deleted (email dated 16/08/18). Preventative action taken has been to implement a new checking process by a different team member prior to submission.	None	Closed	N	N	Brian Smith
31 Aug 2018	Employer	31 st August 2018	Employer, Gildredge House failed to provide EOY return by 31/8/18 preventing ability to issue ABS.		Gildredge House data received 30 August, and once queries were resolved was completed 6 September. ABS for all 40 members affected was produced on 20 th September. Employees written to on 29 th August informing them they will not receive an ABS until later in September.	None	Closed	Y – 24 Sep	Y – 10 Sep	Brian Smith
03 Sep 2018	Pensions Admin	31 st August 2018	Some Active member annual benefit statements ranging over a number of employers were not issued prior to the statutory deadline of 31/8/2018. Failure to complete validation on certain records was identified after the deadline		Since identification was made, immediate and urgent action was taken to correct the affected records. This was completed on 20 th Sept and the 1,500 ABS's were produced on 21 st Sept by a mix of on line invitations to those members registered for self serve and by paper copies for the	None	Closed	Y – 24 Sep	Y – 10 Sep	Brian Smith

			resulting in approx. 1,500 records being incomplete which meant these individuals ABS failed to be produced.		remainder.						
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