

Breaches Log

Appendix 2

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
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 resulting in approx. 1,500 records being incomplete which meant these individuals ABS failed to be produced.		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 remainder.	None	Closed	Y – 24 Sep	Y – 10 Sep	Brian Smith
20 th December 2018	Pensions Admin	31 st August 2018	It has been identified that there was an issue with the end of year admin process for 1 employer (Care Outlook Ltd) in 2017/18. The employer entered leave dates on the annual return and as a result the members under this employer were moved to leaver status on the pension's admin system. Therefore, they have not received an Annual Benefit Statement for 2017/18. A query was sent to the employer in question, however no response was ever received and this was never chased/escalated.	Red	Upon identification of the issue the 6 members impacted were moved back to active status. Annual Benefit Statements have not yet been sent to these members as an issue with pensionable remuneration has been identified and raised with the employer.	None	Open			Clare Chambers