

| Date | Category | Description and cause of breach | Possible effect of breach and wider implications | Reaction of relevant parties to the breach | Reported/Not reported (with justification if not reported and dates) | Traffic light colour | Outcome of report and or investigations | Outstanding actions |
|-----------|----------------------------------|--|---|--|---|----------------------|--|---------------------|
| 09-Apr-15 | Administration Immaterial | Failure of the Scheme employer (not the Council) to obtain a report from an Registered Medical Practitioner (IRMP). Failure of employer to decide whether to refer the employee to an Independent IRMP and to make a decision within a reasonable timescale. Failure to make a decision on their entitlement under reg 35. Failure to notify the member of any decisions made. | Failure of the employer to follow the correct procedures in relation to the LGPS has prevented timely and appropriate action under the regulations. | Member contacted the Pensions Team on 9 April 2015. Deferred benefits sent out until 26 April 2017. Internal Dispute Resolution Procedure application received on 19 January 2018. | The matter was referred to the Pensions Ombudsman. No referral has been made to The Pensions Regulator. | | Stage 1 complaint upheld on 1 May 2018. Compensation payment £500.00 made 28 March 2019 for failure to notify benefits within required timescales. Stage 2 complaint upheld on 1 November 2019. Pension Ombudsman has closed the case as the member has now settled with her employer. | |

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| Aug-19 | Administration | Failure to produce 100% of Annual Benefit Statement notifications | <p>Members and former members do not receive have up to date information on the value of their LGPS benefits affecting their ability to make informed decisions around pension provision. Non-compliance with LGPS regulations timescales. Member has been unable to check personal data is complete and accurate or that the correct contributions have been credited.</p> | <p>Error reports identified members without statements which the technical team checked. Some had not required a statement as they had not passed an increase date. The remainder had the issues resolved and statements were sent out.</p> | <p>The matter was not referred to The Pensions Regulator. All the issues were identified through error reports and resolved. Statements were sent to all individuals where a statement was required. No further action was needed.</p> | | <p>Not reported. Only 3.36% for active members and 2% for deferred members not issued. The issues are being addressed so that notifications can be sent.</p> |
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