

| 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 | Comments |
|-----------|---------------------------|---|---|---|---|----------------------|---|---------------------|----------|
| 01-Oct-17 | Administration Immaterial | Failure of the scheme employer (not the Council) to obtain a report from a Registered Medical Practitioner (IRMP). Failure of employer to decide whether to refer the employee to an Independent IRMP and 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 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 of £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. | | |
| Aug-19 | Administration | Failure to produce 100% of Annual Benefit Statement notifications | Members and former members do not receive 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. | 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. | 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. | | Not reported. Only 3.36% for active and 2% for deferred members not issued. The issues are being addressed so that notifications can be sent. | | |
| Aug-20 | Administration | Failure to produce 100% of Annual Benefit Statement notifications | Members and former members do not receive 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. | Error reports identified members without statements which the technical team checked. There was an error suppressing ABS for members over age 65 and under NPA. The technical team issued 98.69% of the statements due. They are continuing to work on the remainder. | The matter was not referred to the Pensions Regulator. All the issues were identified through error reports and are being resolved. Statements have been or are being sent to all individuals where a statement was required. | | Not reported. Only 2.12% for active and 0.27% for deferred members not issued. The issues are being addressed so that notifications can be sent. | | |