

CURRENT BREACHES OF THE LAW

Reference	01	Date recorded	11/3/2016	Date breach resolved	Ongoing
Category	Administration	Owner	H Burnham	Reported to TPR	No
Description and cause of breach	Notification of deferred benefit entitlement for those who have left the scheme not sent within the legally prescribed timescale. Whilst it is acknowledged that there are a number of these breaches there is no detail yet available regarding numbers affected.				
Possible effect and wider implications	The impact of the breach will vary dependant on the individuals concerned but as a minimum will mean they do are not fully aware of the benefits they will eventually become entitled to.				
Reaction to breach	Still trying to identify cases. Backlog project put in place including using external resource (Mercers) to assist with rectifying the situation as soon as possible. Methods of internal working reviewed to focus on older cases including greater focus on identifying cases and monitoring.				
Outcome of report and/ or investigations	Ongoing.				
Outstanding actions	Information being collated to quantify deferred benefit notifications over 2 months late together with reasons why there is a delay and what steps are being taken to prevent a recurrence of the breach.				

Reference	02	Date recorded	11/3/2016	Date breach resolved	Ongoing
Category	Administration	Owner	H Burnham	Reported to TPR	No
Description and cause of breach	There is a potential Admitted Body which is due to become one of our employers with effect from January 2016. Since having dialogue with the company in question it transpired that 2 members TUPE transferred over to this company in December 2014 and therefore the body should have arranged access to the LGPS from that date. We were not made aware of this. Instead the company got the individuals to sign and enter into their Auto Enrolment Scheme, and subsequently are now wanting them to join the LGPS.				
Possible effect and wider implications	Unclear until legal advice received but it is possible these members will miss out on approximately 1 year's LGPS benefits.				
Reaction to breach	We are taking legal advice on how next to proceed.				
Outcome of report and/ or investigations	Ongoing				
Outstanding actions	Legal advice is being sought to determine an equitable solution.				