

PENALTY MATRIX: REQUIREMENT TO COMPLETE MANAGEMENT DIARY NOT MET

Severity	Extent	Duration	Consequences of non-compliance			
			Initial action	If not rectified within 1 st agreed timeframe (4 weeks)	If still not rectified within 2 nd agreed timeframe (further 4 weeks)	Re-occurrence
<u>Low</u> Options completed, but not to acceptable standard	<u>Low</u> ≤10%	Rectifiable within 4 weeks	Warning letter	Reduce amount due for option in question by 40%	Withhold payment for the option	Reduce amount due for option in question by 80%
	<u>Medium</u> >10% ≤50%	Rectifiable within 4 weeks	Warning letter	Reduce amount due for option in question by 60%	Withhold payment for the option	Withhold payment for the option for the scheme year
	<u>High</u> >50%	Rectifiable within 4 weeks	Warning letter	Reduce amount due for option in question by 90%	Withhold payment for the option	Withhold payment for the option for the scheme year
<u>Medium</u> Options completed to acceptable standard but some options absent	<u>Low</u> ≤10%	Rectifiable within 4 weeks	Reduce amount due for option in question by 50%	Withhold payment for the option	Payment for option already withheld	Withhold payment for the option for the scheme year
	<u>Medium</u> >10% ≤50%	Rectifiable within 4 weeks	Reduce amount due for option in question by 70%	Withhold payment for the option	Payment for option already withheld	Withhold payment for the option for the scheme year
	<u>High</u> >50%	Not rectifiable	Withhold payment for the option	Not applicable as payment for option already withheld	Not applicable as payment for option already withheld	Withhold payment for the option for the scheme year
<u>High</u> Diary not completed at all	<u>High</u> 100%	Not rectifiable	Withhold payment for the option and recover previous payments for the option in question	Not applicable as payment for option already withheld	Not applicable as payment for option already withheld	Withdraw option from the contract and recover previous payments made