

Breaches Log - 2020 / 2021

Appendix 1

Type of Breach	Number of Incidents	Summary of breach	Detail	Outcomes & Improvements
Regulatory Breaches Oct 20 to Sept 21				
Employer Late Payers	17	Late or non payment of contributions	6 employers have been late for more than 2 consecutive months. All but one has been resolved.	Support / training for employers
Employer Year End Data	20	Incorrect member data	Incorrect data supplied on iConnect throughout the year and at YE	Fine issued & training
5 Year Refund Breaches	415	Unable to pay refund within 5 year deadline	This was due either to no response from members or being unable to trace members	Address tracing project continues
Other Breaches	1	Disclosure	Pensions savings statement not issued to member for 2 years running resulting in member being unaware of tax charges	Process review
Data Breaches Nov 20 to Oct 21				
Reported to Information Governance	10	2 x incorrect addresses 2 x enveloping 3 x My Pension Online 1 x Employer Self Service	Employer provided incorrect address Member received own plus another member's benefit details Email address added to wrong member record & activation key sent which allowed member to access another member's record Email template updated incorrectly in upgrade to include member details rather than just acknowledgement Report ran by employer contained all active members rather than just employer's members	Process review /Employer training Staff awareness / training Resource considerations / process review Additional steps added to acceptance testing plan Report has been disabled

		1 x Globalscape 1 x email	Member details sent to wrong employer Additional recipient copied into email containing Password protected file and password	Staff awareness/training Process review / training
Reported to ICO	0			