

**Breaches Log - 2021 / 2022**

**Appendix 1**

<b>Type of Breach</b>	<b>Number of Incidents</b>	<b>Summary of breach</b>	<b>Detail</b>	<b>Outcomes &amp; Improvements</b>
<b>Regulatory Breaches Oct 21 to Sept 22</b>				
Employer Late Payers	27	Late or non payment of contributions	13 employers have been late for more than 2 consecutive months. All but one has been resolved.	Support / training for employers
Employer Year End Data	Tba	Late or incorrect data submitted	Employers Relations Team working through late returns to decide if any fines will be issued	TBA
5 Year Refund Breaches	435	Unable to pay refund within 5 year deadline	This was due either to no response from members or being unable to trace members	Member tracing continues
Other Breaches	1	Disclosure	Pensions savings statement not issued to member by deadline. Process to update annual allowance page on system was not carried out correctly when member left scheme.	Reminder of process provided
<b>Data Breaches Oct 21 to Sept 22</b>				
Reported to Information Governance	13	3 x email breach 2 x incorrect member record update 1 x member record not updated 7 x enveloping error	Personal data sent by email in error 1 Address/1 email updated on incorrect record Post sent to member's old address Letter or form enclosed with incorrect member's letter	Training and support to team members provided  Printing & enveloping process changed
Reported to ICO	0			