

Appendix 1
Breaches Log - 2023/2024

Type of Breach	Number of Incidents	Summary of Breach	Detail	Outcomes and Improvements
Regulatory Breaches Oct 23 to Oct 24				
Employer Late Payers	25	Late or non payment of contributions	4 employers have been late for more than 2 consecutive months	Support/training for employers
Employer Year End Data	2	Late or incorrect data submitted	1 employer now left the Fund and 1 employer invoiced for additional cost of rework due to the incorrect data submission	Invoice settled for additional cost
5 Year Refund Breaches	438	Unable to pay refund within 5 year deadline	Due to no response from members or the inability to trace members	Member tracing continues
Regulatory KPIS not met		In some cases regulatory KPIs have not been met in respect of administration processes	See administration report for more details	see administration report for more details
Material Regulatory Breach	0			
Data Breaches Oct 23 to Oct 24				
Reported to Information Governance	7	2 x email 3 x enveloping 2 x member record updated incorrectly	Personal data sent by email to the incorrect recipient(s) in error Documents intended for one member sent to another via post Wrong member records updated or records updated with incorrect data via employer returns or manual corrections	Training and support to team members provided, including refresher training and bespoke training sessions Stop on bulk printing remains in place Procedure notes are being reviewed to ensure all consistency across teams
Reported to ICO	0	No breach met the threshold for reporting to the ICO		