

| Date | Category | Description of Breach | Cause of Breach | Regulation being breached | Effect of Breach & Wider Implications | Response to Breach | Referred to PFC | Referred to PB | Outcome of Referral to PFC & PB | Reported to Regulator | Progress Review 1 | Progress Review 2 | Progress Review 3 |
|------------|----------------|---|---|---------------------------|---|---|-----------------|----------------|---|-----------------------|-------------------|-------------------|-------------------|
| 31/08/2017 | Administration | Statutory deadline for issuing of Annual Benefit Statements not met for all eligible members | Large backlog meant we were unable to establish which category members should fall into at statement date. Year End queries still outstanding at issue date. | Reg 89 of LGPS Regs 2013 | 85.88% of Active members received a statement = 14.12% did not 94.51% of Deferred members received a statement = 5.49% did not | Large backlog means we do not yet know actual total eligible for a statement. Continue to reduce the backlog with targeted initiatives. Target is to have a controlled work throughput by end 2018. Continue to work through errors & queries & issue ABS when able to. Introduce monthly returns for our 2 largest employers by end of 2018 so that errors can be identified in real time rather than at year end. | 14/09/2017 | 19/01/2018 | Noted the position, no requirement to report. Creation of Breaches Log to record position. | N | 30/11/2017 | 28/02/2018 | 30/05/2018 |
| 08/11/2017 | Administration | Statutory deadline for issuing Personal Savings Statements not met for all members | Human error | | 2 members received statements after the 6/10/2017 deadline. 192 manual calculations undertaken and 56 statements issued. 3.5% of members affected | Statements issued immediately. Process under review by team leader. Checklist created and process will be audited in 2018 to ensure checklist being used and process being robustly followed | 22/02/2018 | 19/01/2018 | PB - Noted the position, no requirement to report. PFC - Noted the position, no requirement to report. | N | 30/04/2018 | 31/08/2018 | 30/09/2018 |
| 18/12/2017 | Administration | Incorrectly paid trivial commutation to a member who has benefits with another fund and had not commuted those benefits | Human error | | Member received benefits he wasn't entitled to. No other member affected. Payment is an unauthorised payment & must be reported to HMRC, resulting in tax liability at 55% for the member & additional tax for the scheme. | As soon as realised payment was unauthorised, informed member and reported to HMRC. Awaiting confirmation of scheme tax liability. | 22/02/2018 | 19/01/2018 | PB - Noted the position, no requirement to report. PFC - Noted the position, no requirement to report. | N - Reported to HMRC | | | |
| 31/08/2018 | Administration | Statutory deadline for issuing of Annual Benefit Statements not met for all eligible members | Year End queries still outstanding at issue date. | Reg 89 of LGPS Regs 2013 | 86.52% of Active members received a statement = 13.48% did not 99.76% of Deferred members received a statement = 0.24% did not | Backlog has been reduced so in a better position regarding correct eligibility for statements. Significant year end queries (2,398) have impacted statement production. Ers being chased for response. Continue to work through errors & queries & issue ABS when able to. Viability of monthly returns being investigated | 22/11/2018 | 11/10/2018 | PB - noted the position, agreed not to report this time but will in 2019. PFC - noted position, agreed not to report this time. | N | N/A | N/A | N/A |
| 31/08/2019 | Administration | Statutory deadline for issuing of Annual Benefit Statements not met for all eligible members | Year End queries still outstanding at issue date. Clarification on members not worked in year still outstanding at issue date. Manual calculation of Annual Allowance figures still outstanding at issue date. | Reg 89 of LGPS Regs 2013 | 100% of Deferred members received a statement. 95.69% of Active members received a statement. (1,342 members did not) | Analysis of the 1,342 unissued statements undertaken to identify and isolate reasons. Each group being worked through to identify what is required to enable statement to be produced. Number reduced to 329 as at 9 October, work will continue until end of year to further reduce number unissued. Final position: 329 unissued | 22/11/2019 | 03/10/2019 | PB - discussed position, noted improvement from 2018, requested further analysis by employer to identify whether an issue exists at individual employer level. Following provision of above information both PFC & PB agreed not to report this time. | N | 31/10/2019 | 30/11/2019 | 24/12/2019 |
| 09/04/2020 | Administration | A member's leaver statement was incorrectly sent to the wrong member. | Due to Covid 19 printing and posting process had to be changed whereby 1 person was responsible for printing for the whole team. Human error. | Data Protection Act 2018 | Accidental disclosure of personal data for 1 member to another. It is highly unlikely that the recipient knows the person whose information was disclosed. | Recipient was asked to either destroy or return the information. Process and working practice was reviewed and changes put in place. Instructions issued to the staff responsible for printing and posting. | 11/09/2020 | 09/07/2020 | PB - July meeting, noted position, agreed not to report. PFC - September meeting, noted position, agreed not to report. | N | 31/10/2020 | N/A | N/A |
| 11/05/2020 | Administration | A member's retirement statement was incorrectly sent to the wrong member. | Due to Covid 19 printing and posting process had to be changed whereby 1 person was responsible for printing for the whole team. Human error. | Data Protection Act 2018 | Accidental disclosure of personal data for 1 member to another. It is highly unlikely that the recipient knows the person whose information was disclosed. | Recipient was asked to either destroy or return the information. Process and working practice was reviewed and changes put in place. Instructions issued to the staff responsible for printing and posting. | 11/09/2020 | 09/07/2020 | PB - July meeting, noted position, agreed not to report. PFC - September meeting, noted position, agreed not to report. | N | 31/10/2020 | N/A | N/A |
| 15/05/2020 | Administration | A member's letter was incorrectly sent to the wrong member along with their own letter. | Due to Covid 19 printing and posting process had to be changed whereby 1 person was responsible for printing for the whole team. Human error. | Data Protection Act 2018 | Accidental disclosure of personal data for 1 member to another. It is highly unlikely that the recipient knows the person whose information was disclosed. | Recipient was asked to either destroy or return the information. Process and working practice was reviewed and changes put in place. Instructions issued to the staff responsible for printing and posting. | 11/09/2020 | 09/07/2020 | PB - July meeting, noted position, agreed not to report. PFC - September meeting, noted position, agreed not to report. | N | 31/10/2020 | N/A | N/A |
| 15/05/2020 | Administration | A member's calculation print was incorrectly sent to the wrong member. | Due to Covid 19 printing and posting process had to be changed whereby 1 person was responsible for printing for the whole team. Human error. | Data Protection Act 2018 | Accidental disclosure of personal data for 1 member to another. It is highly unlikely that the recipient knows the person whose information was disclosed. | Recipient was asked to either destroy or return the information. Process and working practice was reviewed and changes put in place. Instructions issued to the staff responsible for printing and posting. | 11/09/2020 | 09/07/2020 | PB - July meeting, noted position, agreed not to report. PFC - September meeting, noted position, agreed not to report. | N | 31/10/2020 | N/A | N/A |
| 26/05/2020 | Administration | A pensioner received a payslip which belonged to another pensioner. | Due to Covid 19 printing and posting process had to be changed whereby 1 person was responsible for printing for the whole team. Human error. | Data Protection Act 2018 | Accidental disclosure of personal data for 1 member to another. It is highly unlikely that the recipient knows the person whose information was disclosed. | Recipient was asked to either destroy or return the information. Process and working practice was reviewed and changes put in place. Instructions issued to the staff responsible for printing and posting. | 11/09/2020 | 09/07/2020 | PB - July meeting, noted position, agreed not to report. PFC - September meeting, noted position, agreed not to report. | N | 31/10/2020 | N/A | N/A |
| 27/05/2020 | Administration | A member received a letter meant for a solicitor dealing with the death of another member. | Due to Covid 19 printing and posting process had to be changed whereby 1 person was responsible for printing for the whole team. Human error. | Data Protection Act 2018 | Accidental disclosure of personal data for 1 member to another. It is highly unlikely that the recipient knows the person whose information was disclosed. | Recipient was asked to either destroy or return the information. Process and working practice was reviewed and changes put in place. Instructions issued to the staff responsible for printing and posting. | 11/09/2020 | 09/07/2020 | PB - July meeting, noted position, agreed not to report. PFC - September meeting, noted position, agreed not to report. | N | 31/10/2020 | N/A | N/A |
| 31/08/2020 | Administration | Statutory deadline for issuing of Annual Benefit Statements not met for all eligible members | Year End queries still outstanding at issue date. Manual calculation of Annual Allowance figures still outstanding at issue date. Issues with data quality, suppressed statements until data corrected and accurate statements can be issued. | Reg 89 of LGPS Regs 2013 | 100% of Deferred members received a statement. 94.21% of Active members received a statement. (1,784 members did not) | Analysis of the 1,784 unissued statements undertaken to identify and isolate reasons. Each group being worked through to identify what is required to enable statement to be produced. Number reduced to 274 as at 20 October, work will continue until end of year to further reduce number unissued. | 27/11/2020 | 29/10/2020 | PB - Oct meeting, noted position, agreed not to report. PFC - Nove meeting, noted position, agreed not to report. | N | 31/10/2020 | 30/11/2020 | 31/12/2020 |
| 30/11/2020 | Administration | A member contacted us to advise she had received the starter pack for another member but with her address on it. The member also advised there were 2 other members affected. | Employer submitted starter file and the data has been mixed up for a number of members, address 26 records, date of birth 11 records, payroll no 21 records, date joined 8 records and school name 18 wrong | Data Protection Act 2018 | Accidental disclosure of personal data for a number of members to another member. It is highly likely that the recipient knows the person whose information was disclosed. The 3 original members had discussed it. | Reported to Veritau. They assessed it as Low risk level and did not need to be reported to the ICO. Data sent back to employer to provide corrected information. Employer advised we have reported the data breach and we've asked for clarification of what process changes they have made to prevent it recurring. Replacement starter packs issued with correct details on and covering letter advising reason for disclosure and contact details for employer. | 05/03/2021 | 14/01/2021 | PB - Recognised the issue was an employer one rather than a Fund one. PFC - Recommended no report required | N | N/A | N/A | N/A |
| 05/10/2020 | Administration | Failure to issue 3 members with annual Pension Saving Statements (PSS) in the relevant years. One member was missing a PSS for the 18/19 year, one was missing a PSS for 16/17 and one was missing a PSS for 16/17, 17/18, 18/19 & 19/20. | There are two main causes as follows: missing data and staff not realising a statement should have been issued when the record was recalculated. | Finance Act 2004 | When the member receives a PSS they have to declare the tax liability to HMRC via an annual tax return. They can elect to either pay the tax charge via a Scheme Pays option or directly to HMRC. Because the PSS haven't been issued members are now late submitting to HMRC. We are aware of members who have ignored the information we have sent for a number of years, when they do contact HMRC they are advised to just pay what is due. There appear to be no penalties applied. Because we haven't advised members at the correct time they have been unable to take action to mitigate the impact in subsequent years. Members in this position often switch to the 50/50 section to reduce their pension accrual. A penalty of up to £300 for failure to provide the required information on time may be levied on NYPF when we resubmit our annual returns for the relevant years. | We have issued the relevant PSS to all 3 members and have had discussions with them regarding the actions they now need to take. We have struggled to establish how to report the breach to HMRC but will resubmit the annual HMRC returns for the relevant years. We will then respond to HMRC accordingly. We have reviewed our internal processes and are taking steps to educate the wider team and address some of the issues at source rather than waiting until year end. A targeted working group will be established in the summer to address the backlog of changes we get each year. This will involve training a small number of staff on the whole Annual Allowance process, what it is, why it's important, the impact on affected members and how to update and maintain records correctly. This taskforce will take responsibility for updating member records. Once knowledge is established and embedded further staff will be trained until the whole team knows what is expected. | 05/03/2021 | 14/01/2021 | PB - Require further information on mitigating actions taken to prevent recurrence before reaching a decision about reporting to IPR. Confirmed by email 01/03/2021 no need to report to IPR. PFC - Recommended no report required | N | 30/04/2021 | 30/06/2021 | 31/08/2021 |
| 05/02/2021 | Administration | A member contacted us to advise she had received a transfer letter addressed to another member enclosed with her own letter. | Member of staff on post duty that day did not follow the agreed process put in place to prevent breaches from happening. | Data Protection Act 2018 | Accidental disclosure of personal data for 1 member to another. It is highly unlikely that the recipient knows the person whose information was disclosed. | Recipient was asked to destroy the information. Process and working practice was reviewed to ensure it remained relevant. Staff were reminded of the correct process. Individual member of staff was spoken to personally to stress importance of following the correct process. | | 08/04/2021 | PB - | | | | |