

SYPA Record of Breaches

Year	Ref	Date Identified	Type of Breach (e.g. personal data, contributions, criminal activity, etc)	Description	Action Taken in Response to Breach	Possible Impact (Red/Amber/Green)	Date Reported to Local Pension Board or Authority	Reported to Pensions Regulator or other statutory body (e.g. ICO)?	Reported to Data Protection Officer?	Details of any follow up actions taken/required or wider implications	Breach Open/Closed
2019/20	27	19/07/2019	Personal Data	Employer submitted bulk file which included personal data for employees not in the LGPS.	Notified employer of their error and asked them to exercise care.	Green	17/10/2019 (LPB)	NO	NO	All data sent in error deleted from SYPA systems.	Open pending any Board comments
2019/20	28	24/07/2019	Personal Data	Correspondence issued to member at old address. Monthly data file from employer had old address.	Apologised to member and updated address.	Green	17/10/2019 (LPB)	NO	NO	Employer advised to update address.	Open pending any Board comments
2019/20	29	24/07/2019	Personal Data	Data query sent to wrong employer.	Employer advised to delete data.	Green	17/10/2019 (LPB)	NO	NO	Individual error. Unlikely to recur.	Open pending any Board comments
2019/20	30	16/08/2019	Personal Data	Joiner letter sent to member at work address, not home.	Apologised to member.	Green	17/10/2019 (LPB)	NO	NO	Process map amended to reduce risk of recurrence.	Open pending any Board comments
2019/20	31	03/09/2019	Personal Data	Incorrect death certificate issued by GRO.	Deleted from member record.	Green	17/10/2019 (LPB)	NO	NO	None. Error not caused by SYPA.	Open pending any Board comments
2019/20	32	04/09/2019	Personal Data	Member noticed street number was incorrect on their record.	Updated and apologised to member.	Green	17/10/2019 (LPB)	NO	NO	N/A.	Open pending any Board comments
2019/20	33	09/09/2019	Personal Data	Correspondence issued to member at wrong address. Monthly data file from employer had wrong address.	Apologised to member and updated address.	Green	17/10/2019 (LPB)	NO	NO	Employer advised to update address.	Open pending any Board comments
2019/20	34	10/09/2019	Personal Data	Member's partner had registered for their online account without consent.	Locked down account and ensured member only had access to security settings.	Green	17/10/2019 (LPB)	NO	NO	N/A. For member to pursue action if they wish.	Open pending any Board comments
2019/20	35	16/09/2019	Personal Data	Retirement survey issued electronically with email addresses visible to all recipients.	Apologised to members affected and confirmed procedural change.	Green	17/10/2019 (LPB)	NO	NO	All such emails will be sent via a mail merge process in future to avoid risk of recurrence.	Open pending any Board comments