

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	38	03/02/20	Personal Data	Tell Us Once facility provided incorrect NI number data match resulting in unnecessary letter to Next of Kin of deceased	Apologised to NoK.	Green	23/07/2020 (LPB)	NO	NO	Contacted HMRC for clarification of correct NI number	Open pending any Board comments
2019/20	39	03/02/20	Personal Data	Request for payment of AVC fund sent to wrong provider	Asked AVC provider to destroy letter.	Green	23/07/2020 (LPB)	NO	NO	No wider actions as data routinely shared with AVC providers. Issue addressed with staff member.	Open pending any Board comments
2019/20	40	25/02/20	Personal Data	Royal Mail Recorded Delivery signing book not returned by Royal Mail. Contains Names, Addresses and NI Numbers.	Contacted both Facilities Management and Royal Mail but neither was able to locate.	Green	23/07/2020 (LPB)	NO	NO	Only Name and Address to be recorded in future entries to minimise risk if book is lost.	Open pending any Board comments
2020/21	41	15/04/20	Personal Data	Transfer documentation issued to wrong address as incorrect address held on Admin system.	Apologised to member.	Amber	23/07/2020 (LPB)	NO	NO	Investigation identified a systems issue with indicator for 'linked' members set incorrectly since implementation. All cases now identified and corrected and settings corrected going forward.	Open pending any Board comments
2020/21	42	01/05/20	Personal Data	Claim form issued to Next of Kin with incorrect Name and NI number.	Apologised to NoK and asked them to destroy claim form.	Green	23/07/2020 (LPB)	NO	NO	Individual error - training issue resolved.	Open pending any Board comments
2020/21	43	17/06/20	Personal Data	Correspondence issued to wrong Next of Kin as a result of an error by the Tell Us Once facility.	Apologised to NoK and asked them to destroy correspondence.	Green	23/07/2020 (LPB)	NO	NO	Tell Us Once contacted to advice them of their error.	Open pending any Board comments

Year	Ref	Date Identified	Description of Cybersecurity Incident	Action Taken in Response to Incident	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	Incident Open/Closed
2020/21	CS1	07/04/20	When browsing the Web via Internet Explorer, staff member encountered a 'PopUp' requesting username and password to be entered. Details were not input.	As a precaution, user's password was reset and scans run - results all negative as expected.	23/07/2020 (LPB)	NO	NO	Incident highlights susceptibility of Internet Explorer. Project commenced to phase out IE and replace with Edge for improved security.	Closed
2020/21	CS2	24/06/20	Staff member entered email address and network password on a site following receipt of phishing email.	Re-set user's password and checked for network breach - none identified. User advised to change passwords on all accounts and not use existing one at all.	23/07/2020 (LPB)	NO	NO	Notification to all staff to be aware of phishing emails. Offending Email address added to blocked list.	Closed