

Breaches Log

Date Identified	Pensions Administration or Employer (if applicable)	Relevant Dates	Description	Red, Amber or Green	Actions Taken	Long Term Effects	Open or Closed with Date	Reported to Committee Y/N + date	Reported to Board Y/N + date	Responsible Officer
September 2016	Pensions Admin	31 August 2016	The Annual Benefit statements for active ESCC members were sent out after the statutory deadline of 31 August 2016. (They were sent 13 September 2016)	Green	Annual statements will be online from 2017 and are expected to be available by 31 August 2017.	None	Closed (December 2016)	Y - 30 November 2016	Y – 3 November 2016	Graham Devenish, Jason Bailey
December 2016	Pensions Admin	15 December 2016	A file containing 5 members personal details was inadvertently sent to an internal Orbis mailbox and received by a number of internal staff. The file was not sent externally.	Green	A notice was sent immediately to all recipients on the internal list to delete the file. Information Governance were informed for completeness but have not required any further action to be taken. The mailbox has been deleted to minimise the risk of this human error recurring.	None	Closed	N	N	Graham Devenish

September 2017	Pensions Admin	31 August 2017	The Annual Benefit statements for deferred ESCC members were sent out after the statutory deadline of 31 August 2017. (They were sent 11 September 2017)	Amber	Business Operations intends to produce statements for deferred members earlier in the financial year in 2018 (June) to avoid any risk of missing the statutory deadline.	None	Open – pending outcome of breach report	Y – 27 Nov 2017	Y – 7 Nov 2017	Jason Bailey
September 2017	Pensions Admin	31 August 2017	A proportion (7%) of active members did not receive their Annual Benefit statements by 31 August 2017 as a result of missing information from employers.	Amber	Business Operations will introduce a more rigorous monitoring and escalation process with employers for 2018 to ensure year end returns and associated queries are resolved well in advance of 31 August 2017	None	Open – pending outcome of breach report	Y – 27 Nov 2017	Y – 7 Nov 2017	Jason Bailey

Dec 2017	Pensions Admin	8 Dec 2017	A notification of deferred benefits statement was issued to the wrong member.	Green	Member has accepted written apology and destroyed statement issued in error. Team reminded of importance of checking enclosures. Information Governance notified.	None	Closed – Information Governance advised no further action required.	TBC	TBC	Jason Bailey
----------	----------------	------------	---	-------	---	------	---	-----	-----	--------------