

Appendix 4

LB Hackney Pension Fund - Breaches Register											
Quarter	Date	Category (e.g. administration, contributions, funding, investment, criminal activity)	Employer / Org.	Description of breach	Cause of breach	Possible effect of breach and wider implications	Reaction of relevant parties to breach	Traffic Light System	Reported / Not reported (with justification if not reported and dates)	Outcome of report and/or investigations	Outstanding actions
Q4	Jan-19	Data Breach	Equiniti	NI number in subject line of email	Personal data item included in subject line of non-encrypted email	Including personal data in a non-secure email could compromise security of member's personal info	Breach recorded, NI no removed from subject line for future emails	G	Not reported	Breach recorded, NI no removed from subject line for future emails	Issue reminder re: email security
Q4	Jan-19	Contributions	Hackney (LBH)	HK221 received late	Late supporting documents due to staff member being on annual leave	Late supporting documents could affect member queries & ABS	Employer has been warned of breach	A	Not reported	Levy for £65 sent to LBH.	Monitor going forward and advise Dan Paul and Julie Stacey if breakdown is not received.
Q4	Jan-19	Contributions	Greenwich Leisure	Contributions payment received late	Employer has missed the prescribed period for contributions	Late contributions could affect member queries & ABS	Employer notified of regulations to provide contributions on time and warned of breach	A	Not reported	Payment of outstanding contributions and levies made in February 2019. Another Levy for £65 was raised in connection with January's breach.	Monitor going forward
Q4	Jan-19	Contributions	Peabody Trust (Previous name Family Mosaic)	HK221 received late	Late supporting documents	Late supporting documents could affect member queries & ABS	Employer has been warned of breach	A	Not reported	Third offence this year, £65 levy raised	New contact for peabody provided, not responding to
Q4	Feb-19	Contributions	Renaisi	Contributions payment received late	Employer has missed the prescribed period for contributions	Late contributions could affect member queries & ABS	Employer notified of regulations to provide contributions on time and warned of breach	G	Not reported	First offence; email sent	Monitor going forward
Q4	Mar-19	Contributions	Renaisi	HK221 received late	Late supporting documents	Late supporting documents could affect member queries & ABS	Employer notified of regulations to provide contributions on time and warned of breach	G	Not reported	First offence; email sent	Monitor going forward
Q4	Mar-19	Contributions	Peabody Trust (Previous name Family Mosaic)	HK221 received late	Late supporting documents	Late supporting documents could affect member queries & ABS	Employer has been warned of breach	A	Not reported	Fourth offence this year, £65 levy raised	
Q4	Mar-19	Contributions	Skidders	HK221 received late	Late supporting documents	Late supporting documents could affect member queries & ABS	Employer has been warned of breach	G	Not reported	First offence; email sent	Monitor going forward
Q4	Mar-19	Contributions	Strictly Education	HK221 received late	Late supporting documents	Late supporting documents could affect member queries & ABS	Employer has been warned of breach	G	Not reported	First offence; email sent	Monitor going forward