

Master trust authorisation

Significant event (j) notification form

About this form

Master trusts: notifying us of a significant event (j)

A significant event (j) is a failure of the systems and processes used in running the scheme, which has a significant adverse effect on the security or quality of data, or on service delivery.

Use this form to notify us about the significant event (j). Before completing this form, read our guidance on significant event duties for master trusts: <https://www.thepensionsregulator.gov.uk/en/master-trust-pension-schemes/supervision-of-master-trusts/significant-event-duties-for-master-trusts>

You must notify us of a significant event (j) as soon as reasonably practicable once you become aware of it. This should be within one working day of you becoming aware of the failure. You can find information about the timing of notification in paragraph 379 of our code of practice 15.

If the scheme has experienced multiple related events, please submit one form. If the events are not related, please use separate forms for each significant event (j).

If the notification form or any additional documents contain sensitive information, you may want to protect them with a password. If so, ensure you email us the password separately.

This form is interactive so can either be:

- ▶ completed electronically and emailed to your supervisor, or
- ▶ printed, completed by hand (please use block capitals) and posted to:
**Master Trust Supervision, The Pensions Regulator, Telecom House,
125 to 135 Preston Road, Brighton BN1 6AF**

Please note

We will use the information you give us to exercise our functions. We might also contact you for more details. It is advised to keep a copy of the completed form for your records.

Your details

Your name	
Email address	

Scheme details

Master trust name	
Pension Scheme Registry number	

Notifying us of a significant event (j)

Use the guidance on our website to fill in the sections below based on the significant event (j) that has occurred. For all questions:

- ▶ You must complete all relevant sections of the form with all available information.
- ▶ If you don't know the answer to a question, write 'unknown at present – expect to confirm by [date].'
- ▶ If a question doesn't apply, write 'Not applicable – no further information to provide.'

Timing

1	Date of significant event (or the planned event) (dd/mm/yy)	
2	Date you became aware of the significant event (dd/mm/yy)	
3	Date issue was first raised by any person in the scheme or a service provider to the scheme (dd/mm/yy)	
4	Date the trustee was first informed that the master trust could be or was impacted (dd/mm/yy)	
5	If you have not notified us of the significant event (j) within one working day of becoming aware, explain why:	

Overview

High-level overview

6	Nature of error at a high level (administration, investment, governance, cyber, communications, data management, member portals, digital applications or other)
7	Process involved (for example, fund switch, issuing statutory communications, transfers out, investment of contributions, data storage)
8	Underlying cause of the significant event (j) (human error, technology or system error, governance error, lack of resourcing, process failure or other)
9	Service provider at which the significant event (j) occurred (if relevant)

Detailed overview

10	Full description of the significant event (j) (including whether it is also a breach of law)
11	Description of the implications or impact of the significant event (j)

Member impact, detriment and communication

12	Members impacted	
	a. Total number of members impacted	
	b. Number of members affected split by active and/or deferred members	
	c. If relevant, describe the members impacted by any other readily identifiable category (for example, related to a particular employer or fund)	
13	Actual or potential non-financial detriment (whilst unremedied):	
14	If there is or could be the potential for financial detriment to members whilst unremedied:	
	a. Estimated total detriment:	
	b. Average detriment per member:	
	c. Greatest detriment suffered by any one member:	
	d. Explanation of approach used to calculate detriment including any modelling or assumptions applied including reference to any relevant policy:	
15	e. Total cost to remedy including cost of advice and who will meet those costs:	
	Describe what communication (if any) will be made to impacted members or employers about this significant event (j):	

Remediation

16	For each step, confirm the estimated timing of the remedial action and whether this action is already completed or is planned:
	a. Describe what steps you will take or have taken to prevent this issue occurring again or worsening (for example, system or process changes):
	b. Describe any actions you have taken or will take to remedy any impact suffered so far. Confirm if these actions will restore members to their original position as if the error never happened. If applicable, explain how you will remedy any impacted members who have already left the scheme and any related tracing efforts:
	c. Describe what steps you will take to gain assurance that preventative measures will be or are effective:

**Notification on behalf of other scheme trustees,
scheme funders or scheme strategists**

We encourage all scheme trustees, scheme funders, scheme strategists or other relevant persons (where applicable) to notify us of a significant event (j) using one form. Confirm below on whose behalf you are making the notification.

Name	Role in relation to scheme

Declaration

Please tick to confirm:

The information you have provided is true and correct to the best of your knowledge and belief	
You understand that providing us with false or misleading information may affect your authorisation status	

Contact details for person making notification

Full name	
Role in relation to scheme	Scheme trustee Scheme funder Scheme strategist Other (Please specify)
Role within your organisation	
Organisation name	
Contact address including postcode	
Contact email address	
Contact telephone number	
Date form completed (dd/mm/yy)	

Contact details (decision-maker if different from person making notification)

Full name	
Role in relation to scheme	Scheme trustee Scheme funder Scheme strategist Other (Please specify)
Role within your organisation	
Organisation name	
Contact address including postcode	
Contact email address	
Contact telephone number	
Date form completed (dd/mm/yy)	

Data protection statement

The Pensions Regulator (TPR) is a data controller for the purposes of the General Data Protection Regulation (GDPR) and the Data Protection Act 2018. We process personal data held by us for the purpose of the exercise of any of our statutory functions and objectives. We may also process personal data under other legislation such as the Fraud Act. This includes, for the avoidance of doubt, taking regulatory or enforcement action for breaches of any of this legislation.

We will only store your personal data for as long as our retention schedule allows. During this time, you may be able to exercise certain rights in relation to your personal data such as the right to access, objection and data portability. If you feel that we have handled your personal data in a manner inconsistent with your rights, you may lodge a complaint with the Information Commissioner's Office (ICO).

If you have any questions about how we handle your personal data please contact our Data Protection Officer (DPO) by email at: **dpa@tpr.gov.uk** or write to us at **Telecom House, 125-135 Preston Road, Brighton, BN1 6AF**. Further information on how your personal data is used, kept secure and your rights can be found by reading our **privacy notice**.

Any information, including any third party data, supplied to TPR may be used (including further disclosure) in connection with any of our statutory functions. TPR may check information it receives about you with what it already holds on its records. This includes information that you have provided as well as that given by others, such as government departments. We will not give information to anyone outside TPR unless the law allows us to do so.

How to contact us

Telecom House
125-135 Preston Road
Brighton
BN1 6AF

<https://www.thepensionsregulator.gov.uk/>

<https://trusteetoolkit.thepensionsregulator.gov.uk/>

Free online learning for trustees

<https://education.thepensionsregulator.gov.uk/>

Pensions education portal



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