

Information Security Incident Reporting Form

Email completed forms as soon as possible to dpo@nwleicestershire.gov.uk

Provide as much information as you can, but do not delay sending in the form.

For **urgent incidents** (e.g. virus infection), phone the ICT Helpdesk immediately: (01530) 454 718

GENERAL DETAILS	
Incident number:	
Department/Section:	Asset Management
Reporting officer:	Assistant Surveyor
Investigated by:	Dodds
Contact number:	01530 454635
Date form completed:	23/03/2020
Date of incident:	20/03/2020
Location of incident	Norman Court
ABOUT THE INCIDENT	
Incident description. What has happened?	10 letters for different tenants and different addresses were sent to one address – Contractor Dodds sent the letters out by mistake.
How was the incident identified?	Contractor Dodd's sending letters to tenants for electrical testing programme. Tenant came into reception to tell us he had received these letters. He brought them all in to the office which have since been destroyed.
What information does it relate to? e.g. a file containing details of 100 service users name, address, direct debit details.	Tenant name and addresses x 10
What medium was the information held on? <ul style="list-style-type: none"> - Paper - USB stick - laptop, etc 	Paper
If electronic, was the data encrypted?	N/A
Dealing with the current incident: Please list initial actions: <ul style="list-style-type: none"> - Who has been informed? - What has been done? 	Contract supervisor, AM manager and AM Supervisor alerted.
Are further actions planned? If so, what?	New member of staff working at Dodd made the error. Training has been provided since.
Have the staff involved in the security incident done any Data Protection Training?	Unknown – contractor Further training has now been provided, it was a new starter that sent out the letters.

If so, what and when? (Please list)	Unknown – contractor	
Preventing a recurrence: Has any action been taken to prevent recurrence?	Unknown Further training provided	
Are further actions planned? If so, what?	Further training Breach contained as all letters have been retrieved and destroyed.	
1.	Was any data lost or compromised in the incident? e.g. loss of an encrypted laptop will not actually have compromised any information, unless e.g. the user was logged in when they lost it.	No
2.	Was personal data lost or compromised? This is data about living individuals such as service users, Councillors or employees. This could be a breach of the Data Protection Act 2018.	Yes
3.	If yes, was <u>sensitive</u> personal data compromised? This is data relating to health, ethnicity, sexual life, trade union membership, political or religious beliefs, potential or actual criminal offences. This could be a serious breach of the Data Protection Act 2018.	No
4.	Was adult social care, health or public health data involved?	No
5.	What is the number of people whose data was affected by the incident?	10
6.	Is the data breach <u>unlikely</u> to result in a <u>risk</u> to the individual/individuals? Physically, materially, or morally? Example - physical harm, fraud, reputation, financial loss,	Unlikely
7.	Did people affected by the incident give the information to the Council in confidence? (i.e. with an expectation that it would be kept confidential)	No
8.	Is there a risk that the incident could lead to damage to individuals e.g. via identity theft/ fraud? e.g. loss of bank details, NI numbers etc.	Potentially
9.	Could the incident damage an individual's reputation, or cause hurt, distress or humiliation e.g. loss of medical records, disciplinary records etc.?	No
10.	Can the incident have a serious impact on NWLDC's reputation?	Yes
11.	Has any similar incident happened before in the section?	Unknown/no
12.	Please confirm you have contacted HR for advice regarding this incident.	Yes
13	If this incident involves the loss or theft of IT Equipment please confirm you have logged a call on the ICT Help & Support Portal on your desktop?	N/A

FURTHER ACTION: (to be completed by Business Improvement Team)	
Completed by:	Sophie Wood
Is further action required?	No
Have data subjects been informed?	No
Have key stakeholders been informed?	No
Have control weaknesses been highlighted and recommendations made?	Unknown
Has sufficient and appropriate action been taken?	Emailed contract managers Letters destroyed Further training provided
Does the incident need reporting to Caldicott Guardian/SIRO?	No
Does the incident need reporting to the ICO?	No

Does the incident need reporting to IT Security Manager?	Yes
Has the Incident Log been updated?	Yes
Further investigation undertaken by:-	Nicola Taylor
Date incident closed:-	30.03.20

1. It is not known who completed the error, so I would recommend the on-line Data Protection training for the whole team.		
2. I do not recommend reporting the incident to the ICO as they are spasmodic incidents. However if trends analysis sees an increase of these errors, then it may have to be a future consideration.		
3. The issue seems to involve operatives not being able to leave their workstations when printing documents, as they need to be ready to take the next call. Printing is left in the back office and documents are put into envelopes when someone is available to carry out the task. I recommend that this process is reviewed, and if possible to have additional printers installed next to desks to minimise the risk of incorrect correspondence being issued and improve efficiencies.		

Evidence from Recommendations	Further Actions	Yes/No

Please contact DPO for any further information:

Nicola Taylor

Data Protection Officer

dataprotectionofficer@nwleicestershire.gov.uk