# Appendix A: Personal Data Breach Report Form

This form must be completed to report suspected and actual personal data breach incidents.

This form can be completed by anyone with knowledge of the incident.

This form should be completed as soon as a personal data breach has been identified.

Where possible please identify the date and time of events.

Please email the completed form to the Data Protection & Freedom of Information Officer ([dpfio@uco.ac.uk](mailto:dpfio@uco.ac.uk)) immediately.

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| --- | --- |
| INCIDENT DETAILS |  |
| Person reporting the breach: |  |
| Date and time of breach occurring to best of knowledge: |  |
| Nature of breach e.g., theft, disclosed in error, technical problems, etc.: |  |
| Description of how breach occurred: |  |
| Number of people whose data is affected: |  |
| Full description of personal data involved (without identifiers): |  |
| How sensitive is the data? | *Data may be defined as sensitive if it is of a personal nature (such as health records, criminal offence data) or could be misused (such as bank account details).* |
| How secure is the data? | *Consider whether the data is protected in any way and whether there are safeguards in place to mitigate its loss, e.g., backups or copies.* |
| Has a formal complaint from any individual affected by this breach been received? If so, provide details: |  |
| Has there been any media coverage of the incident? If so, please provide details: |  |
| INITIAL RISK ASSESSMENT |  |
| Initial risk assessment of breach (to be completed by DPFIO in line with Table 1): | *It is not necessarily the case that the bigger risks will accrue from the loss of large amounts of data but is certainly an important determining factor in the overall risk assessment.*  *Whether individuals affected are staff, customers, clients or suppliers, for example, will to some extent determine the level of risk posed by the breach.*  *Is there a risk to public health or loss of public confidence in an important service the UCO provides?* |
| CONTAINMENT / RECOVERY |  |
| Containment / recovery action taken including whether and how much the data has been retrieved, contained or remains lost / disclosed: |  |
| As a result of this incident, is any other personal data exposed to similar vulnerabilities? If so, what steps have been taken to address this? |  |
| Is there any evidence to date that the personal data involved in this incident has been inappropriately processed or further disclosed? If so, please provide details: |  |
| What actions have been taken to mitigate risks to individuals’ rights and freedoms: | *For example, if individuals’ bank details have been lost, consider contacting the banks themselves for advice on anything they can do to help you prevent fraudulent use.* |
| RISK ASSESSMENT FOLLOWING INVESTIGATION |  |
| Describe the risk to affected individuals’ rights and freedoms following investigation of the breach: | *Consider:*  *Risks to physical safety or reputation, of financial loss or a combination of these and other aspects of their life.*  *Sensitive data could mean very little to an opportunistic laptop thief while the loss of apparently trivial snippets of information could help a determined fraudster build up a detailed picture of other people.*  *If data has been stolen, it could be used for purposes which are harmful to the individuals to whom the data relate; if it has been damaged, this poses a different type and level of risk.* |
| NOTIFICATION |  |
| Have all affected individuals been informed? If not, state why. |  |
| Has the ICO been notified? If not, state why: |  |
| Have relevant third parties been notified? If not, state why: |  |
| EVALUATION / RESPONSE |  |
| Identify any weaknesses in the systems, policies or procedures breached either by audit recommendations or anecdotal evidence: |  |
| Have information governance policies and procedures been breached? How? Who? |  |
| Have individuals involved in causing the breach completed regular data protection training? If so, when? If not, why? |  |
| Actions identified for avoiding similar incidents: |  |