

Data Security Breach Incident Management Policy

Contents

1. Background
2. Aim
3. Definition
4. Scope
5. Responsibilities
6. Data Classification
7. Data Security Breach Reporting
8. Data Breach Management Plan
9. Authority
10. Review

1. Background

Data security breaches are increasingly common occurrences whether these are caused through human error or via malicious intent. As technology trends change and the creation of data and information grows, there are more emerging ways by which data can be breached. Thrive Recruitment needs to have in place a robust and systematic process for responding to any reported data security breach, to ensure it can act responsibly and protect its information assets as far as possible.

2. Aim

The aim of this policy is to standardise Thrive Recruitment's response to any reported data breach incident, and ensure that they are appropriately logged and managed in accordance with best practice guidelines.

By adopting a standardised consistent approach to all reported incidents it aims to ensure that:

- incidents are reported in a timely manner and can be properly investigated
- incidents are handled by appropriately authorised personnel
- incidents are recorded and documented
- the impact of the incidents are understood and action is taken to prevent further damage
- evidence is gathered, recorded and maintained in a form that will withstand internal and external scrutiny
- external bodies or data subjects are informed as required
- the incidents are dealt with in a timely manner and normal operations restored
- the incidents are reviewed to identify improvements in policies and procedures.

3. Definition

A data security breach is considered to be “any loss of, or unauthorised access to, data held by Thrive Recruitment”.

Examples of data security breaches may include:

- Loss or theft of data or equipment on which data is stored
- Unauthorised access to confidential data
- Equipment failure
- Human error
- Unforeseen circumstances such as a fire or flood
- Hacking attack
- ‘Blagging’ offences where information is obtained by deceit

For the purposes of this policy data security breaches include both confirmed and suspected incidents.

4. Scope

This policy applies to all information, regardless of format, and is applicable to all staff, visitors, contractors and data processors acting on behalf of Thrive Recruitment. It is to be read in conjunction with the Information Security and Data Protection Policy.

5. Responsibilities

- i. Information users: All information users are responsible for reporting actual, suspected, threatened or potential information security incidents and for assisting with investigations as required, particularly if urgent action must be taken to prevent further damage.
- ii. Contact Details: In the event of a breach Thrive Recruitment’s designated data controller should be contacted on 0161 823 3495

6. Data Classification

Data security breaches will vary in impact and risk depending on the content and the quantity of the data involved, therefore it is important that Thrive Recruitment is able to quickly identify the classification of the data and respond to all reported incidents in a timely and thorough manner. All reported incidents will need to include the appropriate data classification in order for assessment of risk to be conducted. Data classification referred to in this policy means the following approved Data Categories:

- i. Public Data: Information intended for public use, or information which can be made public without any negative impact for Thrive Recruitment.
- ii. Internal Data: Information regarding the day-to-day business and operations of Thrive Recruitment. Primarily for staff use, though some information may be useful to third parties who work with Thrive Recruitment.

- iii. Confidential Data: Information of a more sensitive nature for the business operations of Thrive Recruitment, e.g. client records. Access should be limited to only those people that need to know as part of their role within Thrive Recruitment.
- iv. Highly confidential Data: Information that, if released, will cause significant damage to Thrive Recruitment's business activities or reputation, or would lead to breach of the Data Protection Act e.g. candidate records. Access to this information should be highly restricted.

7. Breach Category

Data security breaches will also vary in impact and risk depending on the category of breach involved, therefore it is important that Thrive Recruitment is able to quickly identify the category of the data breach and respond to all reported incidents in a timely and thorough manner.

Where the data includes personal data, the reported incidents will need to include the data category in accordance with WP29 in order for assessment of risk to be conducted. Data categories referred to in this policy means the following approved Data Categories:

- i. Confidentiality breach: Where there is an unauthorised or accidental disclosure to personal data e.g. personal data is accessed by hackers
- ii. Availability breach: Where there is an unauthorised or accidental loss of access to personal data or destruction of that personal data e.g. where the data controller can no longer restore access to a candidate's personal data on a backup drive or where there has been a service attack or power cut that has resulted in personal data being temporarily or permanently unavailable
- iii. Integrity breach: Where there is an unauthorised or accidental modification of personal data e.g. an authorised person changing details of a candidate's personal data.

8. Data Security Breach Reporting

Confirmed or suspected data security breaches should be reported promptly to Thrive Recruitment's designated data controller should be contacted on 0161 823 3495, email: security@thriverecruitment.co.uk. The report should include full and accurate details of the incident including who is reporting the incident and what classification of data is involved. Where possible the incident report form should be completed as part of the reporting process. See **Appendix 1**.

Once a data breach has been reported an initial assessment will be made to establish the severity of the breach. See **Appendix 2**.

All data security breaches will be centrally logged to ensure appropriate oversight in the types and frequency of confirmed incidents for management and reporting purposes.

9. Data Breach Management Plan

The management response to any reported data security breach will involve the following four elements. See **Appendix 3** for suggested checklist.

A. Containment and Recovery

- B. Assessment of Risks
- C. Consideration of Further Notification
- D. Evaluation and Response

Each of these four elements will need to be conducted in accordance with the checklist for Data Security Breaches. An activity log recording the timeline of the incident management should also be completed. See **Appendix 4**.

10. Authority

Staff, contractors, consultants, visitors and guests who act in breach of this policy, or who do not act to implement it, may be subject to disciplinary procedures or other appropriate sanctions.

11. Review

The Directors of Thrive Recruitment will monitor the effectiveness of this policy and carry out regular reviews of all reported breaches.

Appendix 1: Incident Report Form

Description of the Data Breach:	
Time and Date breach was identified and by whom	
Who is reporting the breach: Telephone/Email	
Classification of data breached i. Public Data ii. Internal Data iii. Confidential Data iv. Highly confidential Data	
Category of data breach i. Confidentiality breach ii. Availability breach iii. Integrity breach	
Volume of data involved	
Confirmed or suspected breach?	
Is the breach contained or ongoing?	
If ongoing what actions are being taken to recover the data	
Who has been informed of the breach	
Any other relevant information	

Email form to security@thriverecruitment.co.uk and contact Thrive Recruitment's designated data controller on 0161 823 3495. Advise the controller that a Data Security Breach report form is being sent.

Received by:	
---------------------	--

Date/Time	

Appendix 2: Evaluation of Incident Severity

The severity of the incident will be assessed based upon the following criteria:

High Criticality: Major Incident

- Highly Confidential/Confidential Data
- Confidentiality breach
- Breach involves > 1000 individuals
- External third party data involved
- Significant or irreversible consequences
- Likely media coverage
- Immediate response required regardless of whether it is contained or not
- Requires significant response beyond normal operating procedures

Example:

Hack of Thrive Recruitment data files

Moderate Criticality: Serious Incident

- Confidential Data
- Confidentiality breach
- Breach involves personal data of more than 50 individuals
- Significant inconvenience will be experienced by individuals impacted
- Incident may not yet be contained
- Incident does not require immediate response
- Incident response may require notification to 3rd Parties

Example:

Loss of encrypted device containing confidential or highly confidential data

Low Criticality: Minor Incident

- Internal Confidential Data
- Availability/Integrity breach
- Small number of individuals involved
- Reputational risk to Thrive Recruitment low
- Inconvenience may be suffered by individuals impacted
- Loss of data is contained/encrypted
- Incident can be responded to during working hours

Example:

Email sent to wrong recipient or files deleted without backup

Appendix 3: Data Breach Checklists

- A. Containment and Recovery
- B. Assessment of Risks
- C. Consideration of Further Notification
- D. Evaluation and Response

Step	Action	Notes
A	Containment and Recovery:	To contain any breach, to limit further damage as far as possible and to seek to recover any lost data.
1	Data Controller to ascertain the severity of the breach and determine if any personal data is involved.	See Appendix 2
2	Identify the cause of the breach and whether the breach has been contained? Ensure that any possibility of further data loss is removed or mitigated as far as possible	Establish what steps can or need to be taken to contain the breach from further data loss. This may involve actions such as taking systems offline or restricting access to systems to a very small number of staff until more is known about the incident.
3	Determine whether anything can be done to recover any losses and limit any damage that may be caused	E.g. physical recovery of data/equipment, or where data corrupted, through use of back-ups.
4	Where appropriate, the Data Controller to inform the police.	E.g. stolen property, fraudulent activity, offence under Computer Misuse Act.
5	Ensure all key actions and decisions are logged and recorded on the timeline.	

B	Assessment of Risks	To identify and assess the ongoing risks that may be associated with the breach.
6	What type and volume of data is involved?	Data Classification/volume of individual data/ breach category etc
6	How sensitive is the data?	Sensitive personal data? By virtue of definition within Data Protection Act (e.g. health record) or sensitive because of what might happen if misused (banking details).
8	What has happened to the data?	E.g. 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.
9	If the data was lost/stolen, were there any protections in place to prevent access/misuse?	E.g. encryption of data/device.
10	If the data was damaged/corrupted /lost, were there protections in place to mitigate the impact of the loss?	E.g. back-up tapes/copies.
11	How many individuals' personal data are affected by breach?	
12	Who are the individuals whose data has been compromised?	Customers, clients or suppliers?
15	What could the data tell a third party about the individual? Could it be misused?	Consider this regardless of what has happened to the data. 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.
16	Is there actual/potential harm that could come to any individuals?	E.g. are there risks to: <ul style="list-style-type: none"> • physical safety; • emotional wellbeing; • reputation; • finances; • identify (theft/fraud from release of non-public identifiers); • or a combination of these and other private aspects of their life?
17	Are there wider consequences to consider?	E.g. a risk to public health
18	Are there others who might advise on risks/courses of action?	Contact ICO for guidance if in working hours E.g. If individuals' passport details have been lost, consider contacting The Immigration

		Dept. themselves for advice on anything they can do to help you prevent fraudulent use.
C	Consideration of Further Notification	Notification is to enable individuals who may have been affected to take steps to protect themselves or allow the regulatory bodies to perform their functions.
19	Are there any legal, contractual or regulatory requirements to notify?	
20	Can notification help Thrive Recruitment meet its security obligations under the seventh data protection principle?	E.g. prevent any unauthorised access, use or damage to the information or loss of it.
21	Can notification help the individual?	Could individuals act on the information provided to mitigate risks (e.g. by changing a password or monitoring their account)?
22	If a large number of people are affected, or there are very serious consequences, inform the Information Commissioner's Office.	
23	Consider the dangers of 'over notifying'.	Not every incident will warrant notification "and notifying a whole 2 million strong customer base of an issue affecting only 2,000 customers may well cause disproportionate enquiries and work".
24	Consider whom to notify, what you will tell them and how you will communicate the message.	<ul style="list-style-type: none"> • There are a number of different ways to notify those affected so consider using the most appropriate one. Always bear in mind the security of the medium as well as the urgency of the situation. • Include a description of how and when the breach occurred and what data was involved. Include details of what has already been done to respond to the risks posed by the breach. • When notifying individuals give specific and clear advice on the steps they can take to protect themselves and also what the institution is willing to do to help them. • Provide a way in which they can contact us for further information or to ask questions about what has occurred (e.g. a contact name, helpline number or a web page).
25	Consult the ICO guidance on when and how to notify it about breaches.	Where there is little risk that individuals would suffer significant detriment, there is no need to report. There should be a presumption to

		report to the ICO within 72hrs where a confidentiality breach has occurred
25	Consult the ICO guidance on when and how to notify it about breaches.	Where there is little risk that individuals would suffer significant detriment, there is no need to report. There should be a presumption to report to the ICO where a large volume of personal data is concerned and there is a real risk of individuals suffering some harm. Cases must be considered on their own merits and there is no precise rule as to what constitutes a large volume of personal data. Guidance available from http://www.ico.gov.uk/for_organisations/data_protection/the_guide/principle_7.aspx
26	Consider, as necessary, the need to notify any third parties who can assist in helping or mitigating the impact on individuals.	E.g. police, insurers, professional bodies, funders, trade unions, website/system owners, bank/credit card companies

D	Evaluation and Response	To evaluate the effectiveness of Thrive Recruitment's response to the breach.
27	Establish where any present or future risks lie.	
28	Consider the data and contexts involved.	E.g. what data is held, its extent, sensitivity, where and how it is stored, how long it is kept.
29	Consider and identify any weak points in existing security measures and procedures.	E.g. in relation to methods of storage and/or transmission, use of storage devices, levels of access, systems/network protections.
30	Consider and identify any weak points in levels of security awareness/training.	Fill any gaps through training or tailored advice.
31	Report on findings and implement recommendations.	

Appendix 4: Timeline of Incident Management

Date/Time	Owner/Activity	Conclusion