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| **C:\Users\catrionamartin\Downloads\UCC Logo RGB_NEW.jpg PERSONAL DATA BREACH REPORT FORM**  |
| * **Use this form to report any suspected or actual breach of personal data.**
* **If you discover a data security breach involving personal data, notify your Head of School/Unit immediately.**
* **Complete Section 1 of this form in conjunction with your Head of School/Unit and email it to** **gdpr@ucc.ie** **without delay.**
* **PLEASE NOTE: The University must report data breaches to the Data Protection Commission within 72 hours of discovering the breach so prompt action is essential.**
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| **SECTION 1: NOTIFICATION OF DATA BREACH** | **TO BE COMPLETED BY HEAD OF SCHOOL/UNIT OR PERSON REPORTING INCIDENT** |
| **Name and job title of person reporting incident:** |  |
| **School/Unit:** |  |
| **Contact details of person reporting incident (email address, telephone number):** |  |
| **Head of School/Unit (if different from above):*****NOTE: Please ensure that your Head of School/Unit is fully informed of this incident*** |  |
| **When did the breach initially occur?** | Date: Click or tap to enter a date.Time: Is this an estimated time? Yes [ ]  No [ ]  |
| **Is the breach ongoing?** | Yes [ ]  No [ ] If you selected “No”, when did the breach end? Click or tap to enter a date. Comments:  |
| **Have you secured/retrieved/restored the breached data?**  | Yes ☐ No ☐ |
| **If data was lost, do you have a backup copy?** | Yes ☐ No ☐ Not applicable ☐ |
| **When did you become aware of the breach?**  | Date: Click or tap to enter a date.Time:  |
| **If you became aware of the breach more than 72 hours ago, please give reasons for the delay in reporting the incident:** |  |
| **How were you made aware of the breach? (e.g. notified by an affected individual, staff member realised that the breach had occurred, etc.)** |  |
| **Does the breach involve a data processor/s? (i.e. a third party acting on behalf of UCC)** | Yes [ ]  No [ ] If you selected “Yes”, please insert name/s and address/es of data processor/s: |
| **What is the nature of this breach? Please tick all applicable box(es):** | [ ]  loss of device/equipment (encrypted) [ ]  loss of device/equipment (unencrypted)[ ]  theft of device/equipment (encrypted)[ ]  theft of device/equipment (encrypted)[ ]  Loss or destruction of personal data (accidental) [ ]  Loss or destruction of personal data (deliberate)[ ]  loss of paper records[ ]  theft of paper records[ ]  breach of physical security (e.g. break-in to room or cabinet containing personal data)[ ]  hacking incident[ ]  social engineering attack (e.g. phishing, vishing, smishing incident)[ ]  virus, ransomware, denial-of-service or other attack on IT systems or network[ ]  unauthorised access to data/inappropriate access controls[ ]  email and/or attachments sent to incorrect recipient(s)[ ]  email sent to mailing list without using BCC function[ ]  Processing error[ ]  System maintenance - end of life, software development, system configuration [ ]  Inappropriate disposal of equipment/assets [ ] Inappropriate disposal of paper[ ]  other – not listed above, please elaborate below: |
| **Description of incident (please provide full details of what happened):** |  |
| **What was the cause of the breach? i.e. How did the incident occur? (e.g. employee error or omission, intentional unauthorised access)**  |  |
| **How many individuals (data subjects) are affected, if known?** |  |
| **How many records were affected, if known?** |  |
| **What identifying details relating to individuals were disclosed (e.g. names, dates of birth, contact details, PPS numbers, exam results, etc.)?** |  |
| **Were any of the following special categories of personal data disclosed?** | [ ]  racial or ethnic origin[ ]  political opinions[ ]  religious or philosophical beliefs[ ]  trade union membership[ ]  data concerning health[ ]  data concerning a person’s sex life or sexual orientation[ ]  genetic data[ ]  biometric data[ ]  other – not listed above, please elaborate here:[ ]  No special categories of personal data were disclosed |
| **Were vulnerable individuals affected (e.g. patients, children, people with disabilities)?** | Yes [ ]  No [ ]  If yes, please provide details: |
| **Were any details relating to criminal convictions or offences disclosed?**  | Yes [ ]  No [ ] If yes, please provide details: |
| **Is the data bound by any contractual security arrangements e.g. to research sponsors?** | Yes [ ]  No [ ] If yes, please provide details: |
| **Does the breach involve cross-border processing of personal data? Are individuals (data subjects) in another country likely to be affected?** | Yes [ ]  No [ ] If yes please provide details: |
| **Describe the action(s) taken to respond to the breach at the time it was discovered:** |  |
| **What technical or organisational measures were in place before the breach to prevent such an incident (e.g. staff training, access controls, encrypted laptop/device, other technical measures, etc.)?** |  |
| **What deficiencies in these technical or organisational measures have you identified as a result of this breach?** |  |
| **In your view, what are the potential consequences for the individual(s) as a result of this data breach? (e.g. loss of privacy, reputational damage)** |  |

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| **For University use:** |
| **Report received by Information Compliance Manager on (date & time):**  |  |
| **Reference Number:** | **DSB/year/000 | ABCD20XX.XX** |
| **SECTION 2: RISK ASSESSMENT** | **TO BE COMPLETED BY INFORMATION COMPLIANCE MANAGER IN CONSULTATION WITH HEAD OF SCHOOL/UNIT** |
| **SCALE OF DATA BREACH:** |  |  |
| **Assessment of SCALE of data lost/disclosed:**(based on how much data has been lost/disclosed, how many people were affected, how many records were lost/disclosed)? | Risk Assessment:1. VERY LOW [ ] 2. LOW [ ] 3. MEDIUM [ ] 4. HIGH [ ] 5. VERY HIGH [ ]  | Reason for score: |
| **SENSITIVITY OF DATA BREACH:** |  |  |
| **Please provide details of any types of information that fall into any of the following high risk categories:** |  |
| **Special category data** (as defined in GDPR) relating to living, identifiable individuals: | [ ]  racial or ethnic origin[ ]  political opinions[ ]  religious or philosophical beliefs[ ]  trade union membership[ ]  data concerning health[ ]  data concerning a person’s sex life or sexual orientation[ ]  genetic data[ ]  biometric data[ ]  other If you have ticked any of the above, please provide details of the type of data below: |
| Data relating to criminal offences or convictions | Yes [ ]  No [ ] If yes, please provide details: |
| Information that could be used to commit identity fraud such as personal bank account and other financial information and national identifiers, such as Personal Public Service Numbers (PPSNs) and copies of passports and visas; | Yes [ ]  No [ ] If yes please provide details: |
| Personal information relating to vulnerable adults and children; | Yes [ ]  No [ ] If yes please provide details: |
| Detailed profiles of individuals including information about work performance, salaries or personal life that would cause significant damage or distress to that person if disclosed;  | Yes [ ]  No [ ] If yes please provide details: |
| Spreadsheets of marks or grades obtained by students, information about individual cases of student discipline or sensitive negotiations which could adversely affect individuals. | Yes [ ]  No [ ] If yes, please provide details: |
| Security information that would compromise the safety of individuals if disclosed. | Yes [ ]  No [ ] If yes, please provide details: |
| **Assessment of SENSITIVITY of data lost/disclosed:** | Risk Assessment:1. VERY LOW [ ] 2. LOW [ ] 3. MEDIUM [ ] 4. HIGH [ ] 5. VERY HIGH [ ]  | Reason for score: |
| **CONSEQUENCES OF DATA BREACH:** |  |
| **Could the breach have adverse consequences for the affected individuals? Will it adversely affect their rights and freedoms?** | Yes [ ]  No [ ] If yes, please explain: |
| **Is the data bound by any contractual security arrangements e.g. to research sponsors?** | Yes [ ]  No [ ] If yes, please give details: |
| **Assessment of CONSEQUENCES of data lost/disclosed:** | Risk Assessment:1. VERY LOW [ ] 2. LOW [ ] 3. MEDIUM [ ] 4. HIGH [ ] 5. VERY HIGH [ ]  | Reason for score: |
| **OVERALL RISK ASSESSMENT:** | Risk Assessment:1. VERY LOW [ ] 2. LOW [ ] 3. MEDIUM [ ] 4. HIGH [ ] 5. VERY HIGH [ ]  | Reason for score: |
| **Category of incident (1, 2a, 2b or 3):** **(as defined in UCC’s** [**Emergency Management & Business Continuity Plan**](https://uccireland.sharepoint.com/sites/OCLAPolicies/Shared%20Documents/Forms/AllItems.aspx?id=%2Fsites%2FOCLAPolicies%2FShared%20Documents%2FEmergency%20Planning%20and%20Business%20Continuity%20Management%2FEmergency%20Management%20and%20Business%20Continuity%20Plan%20%2D%20FINAL%20%2D%20June%202021%2Epdf&parent=%2Fsites%2FOCLAPolicies%2FShared%20Documents%2FEmergency%20Planning%20and%20Business%20Continuity%20Management)**)** | 1 [ ] 2a [ ] 2b [ ] 3 [ ]  |
| **If level 2b or level 3, date escalated to the University’s Emergency Management Team (EMT)?** |  |
| **SECTION 3: ACTION TAKEN / NOTIFICATION** | **TO BE COMPLETED BY INFORMATION COMPLIANCE MANAGER** |
| Please **provide details of any measures you have put in place** in order to mitigate the impact of this personal data breach on the rights and freedoms of affected data subjects |  |
| Please provide **details of any measures which will be put in place** in order to mitigate the impact of this personal data breach on the rights and freedoms of affected data subjects, and the expected implementation date |  |
| Please provide **details of any** **technical or organisational measures** **which you have put in place following this breach** in order to ensure the appropriate security of personal data against such a personal data breach reoccurring |  |
| **Was incident reported to other *internal* stakeholders (provide details and dates)?** | Yes [ ]  No [ ] If yes, please elaborate here: |
| **Is notification to the Data Protection Commission required?** | Yes [ ]  No [ ] Provide reasons for decision below: |
| **Has the Data Protection Commission been notified of this incident?** | Yes [ ]  No [ ] If ‘Yes’, specify date: Click or tap to enter a date. |
| **Is notification to the affected data subjects required?** | Yes [ ]  No [ ] Provide reasons for decision below: |
| **Have affected data subjects been informed?** | Yes [ ]  No [ ] If ‘Yes’, specify date: Click or tap to enter a date.How were they informed (e.g. by email, post, newspaper): |
| **Was incident reported to Gardaí?** | Yes [ ]  No [ ]  If yes, please specify date reported:Reason for decision to report to Gardaí: |
| **Was incident reported to other external regulators/stakeholders?** | Yes [ ]  No [ ]  If ‘Yes’, please specify and provide reason for decision: |