For the period 1 April 2011 to 1 April 2014, based on the information security incident records held by Information Assurance:

1. The number of council personnel that have been convicted for breaches of the Data Protection Act.

0

1. The number of Council personnel that have had their employment terminated for breaches of the Data Protection Act.

0

1. The number of council personnel that have been disciplined internally but have not been prosecuted for breaches of the Data Protection Act.

4

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| --- | --- | --- | --- | --- | --- | --- |
| **Case ID** | **Incident** | **Data involved** | **Action taken - staffing** | **Additional responses** |  |  |
| Ref 22-2011 | Letter sent to wrong address | Benefit proof documents | Disciplined internally. | Reminder to staff to adhere to mailing procedures. |  |  |
| Ref 22-2013 | Letter sent to wrong address | Customer information. | Verbal warning. | Additional process checks introduced. |  |  |
| Ref 32-2013 | Mistaken identity - information given to wrong person by telephone. | Benefits claim information. | Verbal warning. | Spot checks of phone call recordings by manager to ensure Data Protection compliance. |  |  |
| Ref 70-2013 | Benefit letter sent to wrong address. | Benefit letter. | Verbal warning. |  |  |  |

1. The number council personnel that have resigned during disciplinary procedures.

1

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Case ID** | **Incident** | **Data involved** | **Action taken - staffing** | **Additional responses** |
| Ref 37-2011 | Obtaining customer contact details via a Leicester City Council system for non work related purposes | Customer telephone number | Staff member suspended pending disciplinary process. |  |

1. The number of instances where a breach has not led to any disciplinary action.

145

(Earlier statistics did not differentiate as clearly between security incidents and Data Protection breaches, so this figure is higher than the actual Data Protection breaches which have occurred).