<u>Appendix 1</u> Wiltshire Pension Fund Internal Audit Report – September 2020 Data Protection Survey Results

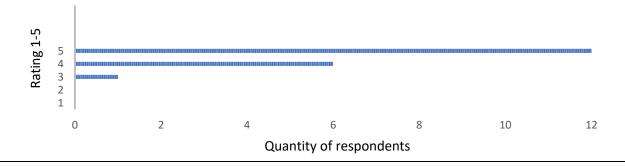


The survey was distributed to 25 employees of the Fund, and there were 19 respondents.

6 of the respondents represented the Benefits team, and 6 represented the Systems and Data team. The remaining respondents did not provide their team's name and are classed as 'other respondents' within our analysis below.

We asked respondents to signify their level of confidence in their understanding of their data protection roles and responsibilities, by providing a rating between 1-5 (1 being "Not confident" and 5 "Highly confident").

HOW CONFIDENT ARE YOU GENERALLY IN UNDERSTANDING YOUR ROLE AND RESPONSIBILITIES TO PROTECT THE PERSONAL DATA YOU PROCESS FOR THE FUND?



Average result:

4.6/5

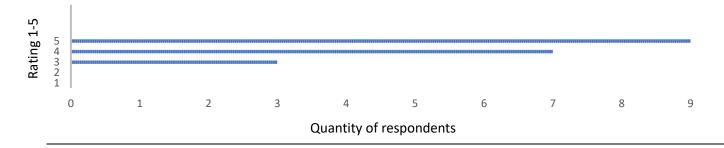
In respect of the Benefits team, their average response was 4.2/5, and the Systems and Data team averaged 4.8/5 for this question. The other respondents returned 4.7/5 on average.

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We asked how respondents would rate their understanding of what constitutes a data protection breach, and when they should be reported to management. Again, a rating system of 1-5 was used.

HOW WOULD YOU RATE YOUR UNDERSTANDING OF WHAT CONSTITUTES A DATA PROTECTION BREACH, AND WHEN THIS SHOULD BE REPORTED TO MANAGEMENT?



Average result:

4.3/5

In respect of the Benefits team, their average response was 4.2/5, and the Systems and Data team averaged 4.7/5 for this question. The other respondents returned 4.1/5 on average.

We asked who respondents would report a data breach to in the first instance. 10 respondents highlighted that they would report a data breach to their Line Managers in the first instance (these being the Benefits Manager, System and Data Manager or the Heads of Pension Fund and Relations and of Investments), with 8 respondents confirming that they would report breaches to the Governance and Performance Manager. One respondent confirmed that they would email the dataprotection@wiltshirepensionfund.co.uk address, to inform of a data breach, which we believe is monitored by the Governance and Performance Manager.

We asked if any training in respect of data protection had been requested over and above the required 4 modules, and if it had been requested, whether it had been received. If this was not applicable to the respondent, they were asked to reply "N/A". Most respondents responded "N/A". Two stated "Yes" indicating that further training to the 4 modules had been provided. One respondent stated "No", indicating that they have requested further data protection training, but this has not yet been received. The respondent who stated "No" to this question was categorised as an "other respondent".

In respect of whether employees are confident that a breach would be handled appropriately should they report one, the respondents returned a unanimous "Yes", indicating a high level of trust and confidence in the Fund's handling of breaches. This also indicates a low level of risk that employees would not report a breach if they identified one.