Reserve Bank of Australia

Risk Management Unit

Incident Report Summary

Please submit Summary and Incident Report to RM Operational Risk

Title of Incident Report

Loss of laptop between Craigieburn and Head Office

Department(s) Compiling the Report

Note Issue

Contact Officer

Date of Incident	Date Incident Detected	Date RM Initially Notified	Date Report Submitted to RM
08-Nov-10	17-Nov-10	24-Nov-10	01-Dec-10

Summary description of the incident

ST requested that a faulty laptop in Craigieburn be returned to Head Office for repair. NI arranged through IN for courier service to collect the laptop from Craigieburn on 4/11/10 (consignment number The laptop was identified as missing on 17/11/10. last scanned the package on 8/11/10. When notified, undertook to investigate. The laptop was found at Greenacre, NSW on 23 November by a member of the public, who contacted the Bank. ST collected it on the same day. ´ were contacted and informed the laptop had been recovered.

Summary of cause

Incident caused by external courier. Investigation pending.

Brief description of impact

Please select the relevant impact(s)

Personnel health and safety	☐
Operational/System	☑
Financial	☑
Legal	☐
Reputational	☑

Description

Financial loss if the laptop was not recovered.
Reputational damage if sensitive information was stolen from the laptop. Mitigating this risk, however, the laptop hard drive was password protected and forensic analysis confirmed that the hard drive had not been accessed. RMU Category: Op/Physical Security/Safeguarding physical assets.

Severity of actual impact

Insignificant

Summary action plan

ST to inform once the laptop has been recovered (completed 23 November). Discuss the incident with to establish the procedural changes required to prevent the reoccurance of this incident (December 2010). IN to place packaging guidelines on the intranet for Bank-wide reference.

Estimated Completion Date

December 2010

Note: The Incident Report should include a reference to the risk(s) identified in the Department's risk register.

Is a change to the risk register required as a result of the incident?

No ☑

Yes ☐ ▶ Please select

Controls ☐ Risk Description ☐

Risk Ratings ☐ New Risk ☐

INCIDENT REPORT

LOSS OF LAPTOP BETWEEN CRAIGIEBURN AND HEAD OFFICE

ST requested that a faulty laptop in Craigieburn be returned to Head Office for repair. was engaged to courier the laptop. The laptop went missing, whilst in possession, prior to delivery to Head Office.

The Incident

NI Craigieburn staff requested Head Office Mail Room to arrange for courier service to collect faulty laptop from Craigieburn on 4 November 2010 (consignment number). The laptop was packaged in a padded laptop bag and then placed in a Toshiba laptop box that was previously used by ST to transport the laptop from Sydney to Craigieburn.

The laptop was identified as missing on 17 November 2010. was immediately contacted and they advised that while the laptop had reached the depot in Sydney, delivery to the Bank was delayed due to an incident on the road (enquiry reference number . also advised that couriered items are scanned on a daily basis and the laptop was last scanned on 8 November and therefore had not been tracked for nine days.

undertook to investigate and provided daily updates to NI. On 22 November, told the matter was escalated to security for security footage to be reviewed.

At 8am on 23 November, contacted to advise that the laptop had been found by a member of the public in Greenacre, NSW. The gentleman had contacted the Reserve Bank who in turn contacted ST. When found, the laptop was no longer in the outer shipping box. However, it was still in the laptop bag along with the power cord.

TNT was informed that the laptop had been found. ST has examined the laptop and has confirmed that the laptop does not appear to have been accessed. ST has also identified a number of files on the laptop.

Procedural Adherence

Head Office Mail Room arranged to use the Bank's preferred courier as per the procedures, and the hard drive was password protected. While the procedures for organising a courier were adhered to, NI staff were not aware of IN's packaging guidelines.

Risk Assessment

The incident may have led to the following risk impacts:

- Financial loss if the laptop was not recovered; and
- Reputational damage if sensitive information was stolen from the laptop. Mitigating this risk, however, the laptop hard drive was password protected.

Action Plan

- ST to inform once the laptop has been recovered (completed 23 November).
- Arrange a meeting between and (IN) and appropriate representatives to discuss how this incident occurred and what will be changed to ensure that the incident is not repeated (December 2010).
- Arrange for IN to make available their packaging guidelines (IN provided these guidelines to NI on 24 November. A further request to make these guidelines more widely available was made on 29 November).

Research and Development
Note Issue Department
29 November 2010

\\\san2\bsgdata\ni\risk control\risk management\incident reports\2010 11 23 - missing laptop.docx

Reserve Bank of Australia

Risk Management Unit

Incident Report Summary

Please submit Summary and Incident Report to RM Operational Risk

Title of Incident Report

Accidental loss of information

Department(s) Compiling the Report

Contact Officer

Date of Incident	Date Incident Detected	Date RM Initially Notified	Date Report Submitted to RM
23-Nov-10	23-Nov-10	24-Nov-10	06-Dec-10

Summary description of the incident

A folder containing information prepared for a meeting was accidently left on the boot of the office car while we were preparing to leave the car park of We were advised by a passing motorist that we had dropped the folder when we had joined traffic. On return to the car park we found papers scattered over the road and wind gusts had taken some of the papers 100 metres up the road. We spent one hour searching for papers along the road. Most of the scattered documents were located.

Summary of cause

Staff member was distracted and did not notice folder on the boot of the car.

Brief description of impact

Please select the relevant impact(s)

- Personnel health and safety ☑
- Operational/System ☐
- Financial ☐
- Legal ☐
- Reputational ☑

Description

Staff collected scattered material from the road (paying due care and attention to physical safety).

While most information was recovered, two documents have been lost which contain confidential information. We suspect that these documents have fallen into storm water drains.

Severity of actual impact

Moderate

Summary action plan

In response to this incident we plan to take only limited confidential information to future meetings.

Estimated Completion Date

NA

Note: The Incident Report should include a reference to the risk(s) identified in the Department's risk register.

Is a change to the risk register required as a result of the incident?

- No ☑
- Yes ☐ ▶ Please select
  - Controls ☐
  - Risk Ratings ☐
  - Risk Description ☐
  - New Risk ☐

RISK MANAGEMENT

INCIDENT REPORT: ACCIDENTAL LOSS OF INFORMATION

Description

Around 1pm on 23 November 2010, documents (three pages) were lost The incident occurred during a visit attended by two staff members.

A folder containing information prepared for a meeting was accidently left on the boot of the office car while the staff were preparing to leave the car park of The staff member involved was distracted and did not notice folder on the boot of the car.

Staff were advised by a passing motorist that material had fallen from the car when they had joined traffic. On return to the car park staff found papers scattered over the road and wind gusts had taken some of the papers 100 metres up the road. The staff spent one hour searching for papers along the road Most of the scattered documents were located.

Impact

The potential impact of this incident could have been significant. However, staff were able to recover most of the information which had been lost. Staff collected scattered material from the road and surrounding properties paying due care and attention to physical safety.

While most information was recovered, two documents have been lost which contain confidential company-specific information. Other documents of a non-confidential nature were found lying at the bottom of a storm water drain. Staff suspect that the confidential documents have also fallen into storm water drains, resulting in a moderate reputational risk to the Bank.

Risk Register

This incident relates to 01 in the risk register.

No changes are required as this risk is already captured under Control Description Procedures well understood by staff.

Business Impact Assessment

This incident relates to EC-5. No changes are required.

Action Plan

Staff will review the need to take confidential information on visits.

6 December 2010

Reserve Bank of Australia

Risk Management Unit

Incident Report Summary

Please submit Summary and Incident Report to RM Operational Risk

Title of Incident Report

Loss of Personal iPad Containing a Bank Presentation

Department(s) Compiling the Report

Note Issue

Contact Officer

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Date of Incident	Date Incident Detected	Date RM Initially Notified	Date Report Submitted to RM
26-Nov-10	26-Nov-10	01-Dec-10	01-Dec-10

Summary description of the incident

On 26 November 2010, following a cancelled flight from Melbourne to Sydney, personal iPad was lost. The iPad contained a copy of the presentation gave to the ICCOS Conference, along ~~with~~ the agenda/itinerary and a work program.

Summary of cause

While having an electronic copy of the presentation and work program on personal iPad is not prohibited by the Bank, it does highlight a security risk. The risk could have been mitigated somewhat if the iPad had been locked.

Brief description of impact

Please select the relevant impact(s)

- Personnel health and safety ☐
- Operational/System ☑
- Financial ☐
- Legal ☐
- Reputational ☐

Description

Effort in arranging a remote wipe of the iPad to return the device to a clean state.

RMU Category: Op/ Information/Disclosure.

Severity of actual impact

Insignificant

Summary action plan

1. iPad's with Bank-related information be locked; and
2. continues to monitor Qantas lost property and the status of the iPad wipe.

Estimated Completion Date

December 2010

Note: The Incident Report should include a reference to the risk(s) identified in the Department's risk register.

Is a change to the risk register required as a result of the incident?

- No ☑
- Yes ☐ Please select
  - Controls ☐
  - Risk Ratings ☐
  - Risk Description ☐
  - New Risk ☐

INCIDENT REPORT

LOSS OF PERSONAL IPAD CONTAINING A BANK PRESENTATION

On 26 November 2010, following a cancelled flight from Melbourne to Sydney, personal iPad was lost. The iPad contained a copy of the presentation gave to the ICCOS Conference, along with the agenda/itinerary and a work program.

Incident

In preparation for his trip to the ICCOS Conference in Malaysia, copied the presentation onto his personal iPad, to provide an opportunity for preparation on the flight. In addition, the itinerary, and agenda were loaded, along with a copy of some work program ideas (Attachment One).

On 26 November, travelled to the NNPDC to escort a visitor from the on a tour. flight back was at 1730, but due to weather delays, the plane stayed on the tarmac until it was cancelled around 2100. When disembarking the plane, it appears that left the iPad on the plane.

Remedial Action

On discovering the iPad was missing, returned to the gate, but no staff were available to assist. then arranged for a remote wipe of his iPad, which is designed to return the device to a clean state. The wipe will occur when the iPad is next connected to a wifi network. As at 8am on 30 November, the iPad had not been connected. contacted Qantas lost property in Melbourne and Sydney on 29 November, but the device had not been handed in (lost property does not open on weekends).

Procedural Adherence

While having an electronic copy of the presentation and work program on personal iPad is not prohibited by the Bank, it does highlight a security risk. The risk could have been mitigated somewhat if the iPad had been locked.

Risk Assessment

The material on the iPad is in a PDF format, and could be copied from the device and circulated. The presentation was given to a commercial and central bank audience, and copies of the presentation in PDF format will be distributed to delegates. The dissemination of the agenda/itinerary pose few risks. The work program does not contain confidential information, but does show ideas that DP staff are considering.

Action Plan

It is recommended that:

- iPad's with Bank-related information be locked; and
- continues to monitor Qantas lost property and the status of the iPad wipe.

Note Issue
30 November 2010

Graph – Similar to the processing graph in presentation but can we estimate total processing (CIT plus RBA). Can we base it on lodgements?

Diary note – Can we get a picture of movements to / from CITs by banks and RBA?

Graph – Banknotes destroyed per capita versus banknotes in circulation per capita.

You need to do a presentation for Five to ten minutes focusing on the strategic objectives / achievements of our commercialised model.

- Stacking issue –

Has specified a forecast model where currency is a function of prices and GDP? How does this compare to the simple growth rate assumptions

Diary Note : Literature search

(1) Examine possibility If there is a problem then the charge applies back to the previous audit!!!

Should we segregate new banknotes out of VCH, ie only payout on banknotes have been processed.

Reserve Bank of Australia

Risk Management Unit

Incident Report Summary

Please submit Summary and Incident Report to RM Operational Risk

Title of Incident Report

Loss of Bank Document Containing Sensitive Information

Department(s) Compiling the Report

Note Issue

Contact Officer

Date of Incident	Date Incident Detected	Date RM Initially Notified	Date Report Submitted to RM
07-Feb-11	07-Feb-11	28-Feb-11	28-Feb-11

Summary description of the incident

On 7 February 2011, a Bank document containing sensitive information was carried onboard a flight from Sydney to Melbourne by and was lost in transit.

Summary of cause

While carrying and reading work-related documents outside of the Bank premises is not prohibited by the Bank, it does highlight a security risk.

Brief description of impact

Please select the relevant impact(s)

- Personnel health and safety ☐
- Operational/System ☑
- Financial ☐
- Legal ☐
- Reputational ☐

Description

Notwithstanding the effort spent in trying to retrieve the document, the risk of the paper ending up in the hands of a person who might benefit directly from the information is considered to be low.

This incident relates to risk #NG02 'Inappropriate or unintentional disclosure of confidential information' in the NI risk register.

Severity of actual impact

Minor

Summary action plan

No specific action items arose from the incident. However, the incident provides an opportunity to review the policy which permits staff to travel with documents containing sensitive information. At the very least, Bank staff will be reminded that care should be taken when carrying and reading work-related documents during travel.

Estimated Completion Date

N/A

Note: The Incident Report should include a reference to the risk(s) identified in the Department's risk register.

Is a change to the risk register required as a result of the incident?

- No ☑
- Yes ☐ ▶ Please select
  - Controls ☐
  - Risk Ratings ☐
  - Risk Description ☐
  - New Risk ☐

INCIDENT REPORT

LOSS OF BANK DOCUMENT CONTAINING SENSITIVE INFORMATION

On 7 February 2011, a Bank document containing sensitive information was carried onboard an aircraft by and lost in transit.

Incident

During the flight from Sydney to Melbourne on the way to NPA, accessed his bag a number of times to read several Bank documents. When the aircraft reached its destination, checked his bag and realised that one draft discussion paper that he had read, was missing. searched the pocket attached to the seat in front, as well as the surrounding areas (seats and floor), but could not locate the paper.

Remedial Action

Several attempts to retrieve the paper were unsuccessful. As soon as disembarked from the aircraft, he unloaded the contents of his bag to check whether the paper had slipped in between other documents. then went to the baggage claim area with a view to querying the passenger who was seated next to him (who also had a handful of documents on board); however, the attempt to locate the passenger was unsuccessful. returned to the gate to seek the assistance of airport crew, who went into the aircraft to conduct a brief search. On 8 and 11 February, enquired with the Qantas Melbourne Lost & Found Property Office, and on 10 February, the Sydney and Perth offices, given that the aircraft had also flown to these cities subsequent to the incident.

Procedural Adherence

While carrying and reading work-related documents outside of the Bank premises is not prohibited by the Bank, it does highlight a security risk. The risk could have been mitigated had not accessed multiple documents at the same time during the flight.

Risk Assessment

Although the draft discussion paper does not contain highly sensitive Bank information, or any third party confidential information, it does present an evolution of ideas. However, given the environment and circumstances under which the incident occurred, the risk of the paper ending up in the hands of a person who might benefit directly from the information is considered to be low.

Action Plan

No specific action items arose from this incident. However, the incident provides an opportunity to review the policy which permits staff to travel with documents containing sensitive information. At the very least, Bank staff will be reminded that care should be taken when carrying and reading work-related documents during travel.

Note Issue Department
25 February 2011

Risk Management Unit

Incident Report Summary

Please submit Summary and Incident Report to RM Operational Risk

Title of Incident Report

Loss of RBA Blackberry 30/03/2011

Department(s) Compiling the Report

Economic Group

Contact Officer

Date of Incident	Date Incident Detected	Date RM Initially Notified	Date Report Submitted to RM
30-Mar-11	30-Mar-11	31-Mar-11	07-Apr-11

Summary description of the incident

was transferring from a flight at Bangkok to check in . In leaving the plane quickly for the next flight he left his Blackberry on the flight. Within ten minutes he realised and notified s (as he wasn't allowed back to the plane). reported the Blackberry couldn't be located.

Summary of cause

Blackberry was left on a plane.

Brief description of impact

Please select the relevant impact(s)

- Personnel health and safety ☐
- Operational/System ☑
- Financial ☑
- Legal ☐
- Reputational ☐

Description

Minor risk of access to RBA mail and intranet, or use of phone, as the Blackberry was password protected (including to make calls). Phone was disconnected within hours. The loss of equipment was estimated as $700.

Severity of actual impact

Insignificant

Summary action plan

None

Estimated Completion Date

Closed

Note: The Incident Report should include a reference to the risk(s) identified in the Department's risk register.

Is a change to the risk register required as a result of the incident?

- No ☑
- Yes ☐ ▶ Please select
  - Controls ☐
  - Risk Ratings ☐
  - Risk Description ☐
  - New Risk ☐

Loss of RBA Blackberry – 30 March 2011

1. Executive Summary

A Blackberry was left by on flight TG 478 from Sydney to Bangkok, departing at 1625 on Tuesday 29 March 2011 and arriving into Bangkok at 2155.

2. Sequence of Events

took his RBA blackberry with him to attend a conference
In his rush to check in for the connecting flight (one km from the arrival gate) he left his blackberry on the Thai flight. A few minutes after getting off he realized he had left it but he couldn't go back. asked airport staff to check on the plane and was told it wasn't there. emailed at 3am on 30 March to report the loss. It was reported to ST Service Desk and Travel Department at 9.15 on 30 March. ST put a hold on the number so the phone could not be used unless they reactivated it. The loss was reported to Risk Management Unit on 31 March.

Also on 31 March contacted Thai Airways Customer Service who investigated and wrote back on 1 April to say the phone had not been found or handed in at lost property. ST was notified on 4 April that the phone was officially lost.

3. Symptoms

Loss discovered by after leaving the plane in Bangkok Airport.

4. Impact

Access to the RBA internet through the Blackberry was protected by password. Access to the phone was at risk for the few hours before ST put a stop on the phone number.

5. Cause

RBA Blackberry left on the plane.

6. Issues

The Bank is not insured for loss of equipment such as this. The loss to the Bank is estimated as $700.

7. Risks and Business Impact Analysis

With the Blackberry password protection there is minimal business risk.

This risk relates to Risk 10 – Unauthorised use/ theft of data, by internal and external users. It is not envisaged that this risk should be changed or that any new risks should be added to the register.

This incident is not related to any process in the BIA.

8. Recommendations

Maintain current policy of password controls for RBA Blackberries.

9. Action Plan

None.

10. Distribution List

11. Sign Off

Head of Economic Research Department