Pension Services – OCC Cyber Security

Scope

This report provides an updated assessment of the high-level security posture of Pension Services systems and processes.

Including a technical review and vulnerability assessment of the following:

- "R Drive" – The Pension Services shared drive and operational file storage.
- Bottomline/PTX Server.

These services have not changed significantly since the last report and continue to rely primarily on externally hosted software managed by third-party providers. These continue to be checked on an annual basis for their security certifications to evidence compliance with expected standards. There are no concerns with any of the information provided or the wider security posture from these providers.

Summary

OCC IT have reviewed and verified the cyber security requirements detailed in the Pensions Regulator's General Code of Practice and are satisfied that appropriate controls are in place –
OCC maintains industry-standard cyber security controls, including robust technical measures, a comprehensive incident response plan, and regularly tested backups. Policies governing IT systems, data protection, and disaster recovery are reviewed annually, ensuring compliance with GDPR and the Data Protection Act. Staff complete mandatory training, and cyber security risks are actively managed through regular reviews and governance processes.

No critical security issues have been identified. All outstanding software vulnerabilities are in line with expected patching cycles and will be addressed as part of business-as-usual maintenance.

Vulnerabilities

This includes a check for any technical, software vulnerabilities, covering the Operating System and any supported applications.

- The "R Drive" has no significant security vulnerabilities.

- The Bottomline/PTX server has no outstanding vulnerabilities, following regular scheduled maintenance which took place on Sunday February 2nd, 2025.

Access Control

- Access to the R drive is marked as 'Restricted', subject to approval from Vicki Green and Mark Smith. 45 colleagues currently have access.

- Access to the 'PTX-DataIn' folder on the Bottomline/PTX server is restricted to the following individuals: Rachael Salsbury and Amy Middleton.

Outstanding actions

The opportunity to implement Single Sign-On for the Bottomline application is still being explored. This will simplify service access, enhance security, remove the manual 'leavers' process, and enable IT auditing. Real-time security checks will detect risks like 'impossible travel' and unusual access patterns.

This is awaiting technical details from the 3rd party, and implementation should be straightforward following planning and governance from IT. This is scheduled to take place in Q1 2025.