

## Reporting Suspected or Confirmed Privacy Breaches

**Consult *Reporting Privacy Breaches: Guidelines for York University Units* before completing this form.**

Contact the Information and Privacy Coordinator at [info.privacy@yorku.ca](mailto:info.privacy@yorku.ca) or 415-736-2100 x20359.

**NOTE:** To fill in this form and save a copy for your records, open the form in Adobe Acrobat Pro X or later (free to York faculty and staff on the York Computing website). You may open the form in Adobe Reader but you cannot save the form – fill in and print only.

Ensure that the necessary details of the incident and any corrective actions are documented in **Steps 1 to 3** below, to aid in the investigation and corrective action (Step 4) by the Information and Privacy Office (IPO).

### General Information

Name and title of unit manager in charge of assessment and investigation:

Date of incident:

Location of incident:

When and how incident was discovered:

What happened (brief description):

### Step 1: Contain

Have the records concerned been retrieved or access to them stopped?  Yes  No

Can you confirm that no copies have been made or retained by the individual(s) concerned who were not authorized to receive the information?  Yes  No

Provide contact information for individual receiving unauthorized information (for any required follow-up action – if more than one individual, attach details in separate sheet)

Name:  Phone:  Email:

Address:

If a system was breached, date the system was shut down:

Computer access codes or authorizations revoked or changed on:

Identify and describe any weaknesses in physical or electronic security:

Corrective actions recommended:

### Step 2 Assess the Risks

#### Personal Information

What personal information was involved? List the data elements:

Format of records:

Was information encrypted, anonymized or otherwise not easily accessible?  Yes  No

Describe the physical or technical security measures in place at the time of the breach:

Sensitivity of personal information:  High  Medium  Low

In general, the more sensitive the personal information, the greater the harm to individuals from a privacy breach. Note that these are general examples only; content also determines sensitivity.

**High** – e.g. health, financial, student or employment information, especially in combination

**Medium** – e.g. opinion material

**Low** – e.g. name and address only

#### Cause and extent of the breach

Cause of breach:

Risk of ongoing or further exposure of the information:  High  Medium  Low

Is this breach:  an isolated incident  the result of a systemic problem

Describe the incident in full:

Number of individuals whose personal information is affected by the breach:

Affected individuals or groups:  students  employees  external  others,

describe:

**Foreseeable harm**

Is there foreseeable harm from the breach?  Yes  No  I don't know

**Harm to individuals**

risk to physical security  financial loss  identity theft  damage to reputation/relationships

other, describe:

**Harm to York University**

loss of trust in institution  damage to University reputation  financial losses or exposure  legal proceedings

other – describe:

**Harm to Public**

risk to public health  risk to public safety  other – describe:

**Step 3: Notify Affected Individuals**

Depending on the circumstances, notifications could include some or all of the following – see the **Privacy Breach Guidelines** for details.

Have all affected individuals been notified as to:

Description of breach  Yes  No

The specifics of the information inappropriately accessed, collected, used or disclosed  Yes  No

Steps taken so far to address the breach  Yes  No

Future steps planned to prevent further privacy breaches  Yes  No

Additional information, if required, about how individuals can protect themselves  Yes  No

Contact information for individual (include position title) within the University to answer questions or provide further information  Yes  No

Date(s) of notification:

Form of notification:  letter  in person  telephone  email  other – describe:

If all affected individuals have not been notified, please explain:

Report completed by (name, unit, position title):

Date:

**Send completed Privacy Breach Report Form (paper) to the Information and Privacy Office in 1050 Kaneff Tower, or by email to [info.privacy@yorku.ca](mailto:info.privacy@yorku.ca) (PDF). If sending by email, save this form with a new name and attach to email. PDF form requires Adobe Acrobat Pro X or later.**

**IMPORTANT NOTE:** Limit distribution of the completed Privacy Breach Report Form to only those individuals who need to be informed about the incident as part of their duties and responsibilities.

**Step 4: Investigate and Correct**

For Information and Privacy Office use only.