# 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 or 416-736-2100 x40706.

**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** **(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.

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| --- |
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