

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

Privacy Breach Report Form – Units

CONFIDENTIAL

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.

