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| **For ATIP use** |
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**PRIVACY BREACH REPORT AND RISK ASSESSMENT**

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| --- |
| **Privacy statement:** Personal information in this report is collected under the authority of the *Financial Administration Act* and/or the *National Defence Act*.The information is required to report and investigate privacy and security breaches, and to ensure that vulnerabilities are identified and the risk of future occurrences is reduced. Personal information is protected and only used and disclosed in accordance with the *Privacy Act*, and as described in personal information bank PSU 939 [Security Incidents and Privacy Breaches](http://www.infosource.gc.ca/emp/emp03-eng.asp#psu939). Under the Act, individuals have right of access to, and correction of, their personal information, and the right to file a complaint to the Privacy Commissioner of Canada regarding the handling of their personal information. For more information consult the [*Info Source*](http://www.infosource.gc.ca/). |

**Instructions:**

1. Upon discovery of an actual or suspected privacy breach that involves personal information, the **Office of Primary Interest (OPI)** must contain the breach and immediately report it in accordance with the Canadian Forces Morale and Welfare Services (CFMWS) Privacy Breach Protocol*.*
2. The OPI must promptly send this report to the CFMWS National Manager Access to Information and Privacy Program (NM ATIP) at [ATIP.AIPRP@cfmws.com](mailto:ATIP.AIPRP@cfmws.com).

Part I can be sent separately prior to submitting the other parts.

Part II is to be sent as soon as possible following discovery.

NM ATIP can assist you in completing the report.

1. The NM ATIP will liaise with the OPI contact or other designated individual and with Security, as appropriate, and will also advise the CFMWS Vice-President Corporate Services (VP CorpSvcs).

**PART I: PRIVACY BREACH REPORT**

**Contact information:**

|  |  |
| --- | --- |
| **Date reported to ATIP** | YYYY-MM-DD |
| **ATIP contact** | Rachelle Delage  CFMWS NM ATIP  4210, Labelle St, Ottawa, ON K1A 0K2  [ATIP.AIPRP@cfmws.com](mailto:ATIP.AIPRP@cfmws.com), 613-943-0018 |
| **OPI contact** | Name  Title  Address  Email, telephone |
| **Other contacts, if applicable** (i.e. Security, internal investigation, other) | Name  Title  Address  Email, telephone |

**Details of the incident:**

|  |  |
| --- | --- |
| **Date of the breach** | YYYY-MM-DD |
| **Description of the breach** (e.g. cause, technological issues involved, location, geographical area affected, and discovery) | *What happened, how it happened, when and how discovered, etc.* |
| **Number of affected individual(s)** |  |
| **Status of individuals affected** (e.g. employees, contractors, public, clients) |  |
| **Do parties know each other?** (e.g. co-workers, ex-spouses) |  |
| **How broadly had the personal information been disclosed?** |  |
| **Has any other organization been notified of the breach? If so, when?** (e.g. law enforcement, other) |  |
| **Is there any other investigation related to the breach?** (e.g. security, criminal) |  |

**Actions anticipated or taken following the breach:**

|  |  |
| --- | --- |
| **Measures taken to stop/ contain the breach** | *Complete the* ***Privacy breach checklist*** |
| **Has the information been recovered? If not, explain what steps are being taken.** |  |
| **Have affected individuals been notified of the breach and of their right to complain to the Office of the Privacy Commissioner, or will they be notified?** (e.g. by letter, telephone) |  |
| **Measures contemplated or being taken to prevent a recurrence** (e.g. training, new policies or procedures) |  |

**Additional information:**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Context** | | | | |
| **Type of personal information** | | | | |
| Name  Biographical information  Biometric information  Citizenship status  Contact information  Credit information  Criminal checks/history  Date of birth  Date of death  Educational information  Employment equity information | | Employee identification  Employee personnel information  Financial information  Medical information  Physical attributes  Place of birth  Place of death  Signature  Social Insurance Number  Other identification numbers  Other: | | |
| **Sensitivity of the information** (If unsure, consult Security) | | | | |
| Protected A  (Low sensitive – injury) | Protected B  (Particularly sensitive –serious injury) | | Protected C  (Extremely sensitive – life threatening and/or extremely grave injury) | |
| **Format of the information**  Paper (mail, sensitive waste, etc.)  Electronic (email, website, database, laptop, tablet, USB key, CD-ROM, etc.)  Other   |  | | --- | | Details: | | | | | |
| **Security measures in place at the time of the breach**  Technical (encryption, password, etc.)  Physical (locks, alarm systems, etc.)  Organizational (security clearances, policies, training, contractual provisions, etc.)   |  | | --- | | Details: | | | | | |
| **Expectation of the affected individual(s)**  Is there a privacy statement? Is it clear and comprehensive (e.g., does it list the statutory authority for the collection, the right to refuse, and the right of access and correction)?  Was the use and disclosure in accordance with the purpose of initial collection (e.g., statistical, program administration)?  Was consent given to preclude some or all types of disclosure? (Note that consent does not replace authority to collect.)  Are there disclosure provisions to third parties (e.g., is there a commitment not to disclose information unless authorized)?  Are disclosures accurately reflected in a Personal Information Bank published in *Info Source*?  Other   |  | | --- | | Details: | | | | | |
| **Individual(s) affected by the breach – Attach list if necessary**  (Name and coordinates, or PRI or other identifier, if applicable)  *To be provided in paper copy only, if required.* | | | | |
| **Individual(s) directly involved in the breach – Attach list if necessary**  (Name and coordinates of witness(es), investigator, what was their role in the breach and how they were involved.)  *Do not include name of individual(s) who may have caused the breach.*  *To be provided in paper copy only, if required.* | | | | |
| **Additional information / comments:** | | | | |
|  | | | | |
| **Follow-up** | | | | | |
| The OPI has determined that the privacy breach has been addressed internally, with no follow-up required. | | | | | Date closed:  YYYY-MM-DD |
| NM ATIP agrees with OPI and file closed. | | | | | Date closed:  YYYY-MM-DD |
| ***Parts II and III to be completed if risk assessment required*** | | | | | |

**PART II: RISK ASSESSMENT**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **A: Risk impact to the individual(s)** | | | | | |
| 1. **Financial Loss**   Identity theft or fraud  Inconvenience due to changing financial arrangements  Loss of wages or of job or employment opportunities (loss of promotion)  Loss of business opportunities  Increased cost or loss of insurance  Pension loss  Other: | | | | | |
| **Impact rating** | | | | | |
| N/A | Negligible | Low | Moderate | High | Severe | |
| **Probability** | | | | | |
| N/A | Unlikely | Rare | Likely | Very likely | Almost certain |
| **Comments:** | | | | | |
| 1. **Health**   Physical safety (security risk)  Physiological impact (loss of sleep, stomach problems, heart attack, long-term medication regime)  Psychological impact (stress, breakdown of relationships)  Other: | | | | | |
| **Impact rating** | | | | | |
| N/A | Negligible | Low | Moderate | High | Severe | |
| **Probability** | | | | | |
| N/A | Unlikely | Rare | Likely | Very likely | Almost certain |
| **Comments:** | | | | | |
| 1. **Reputation**   Hurt, humiliation or embarrassment  Discrimination  Loss of professional standing  Loss of personal standing  Other: | | | | | |
| **Impact rating** | | | | | |
| N/A | Negligible | Low | Moderate | High | Severe | |
| **Probability** | | | | | |
| N/A | Unlikely | Rare | Likely | Very likely | Almost certain |
| **Comments:** | | | | | |
| 1. **Legal**   Civil charges  Criminal charges  Fines  Imprisonment  Possible application of foreign laws  (potential for disclosure to a foreign government for unrelated use)  Other: | | | | | |
| **Impact rating** | | | | | |
| N/A | Negligible | Low | Moderate | High | Severe | |
| **Probability** | | | | | |
| N/A | Unlikely | Rare | Likely | Very likely | Almost certain |
| **Comments:** | | | | | |
|  | | | | | | |
| **B: Risk impact to the institution** | | | | | | |
| 1. **Reputation**   Call for the resignation of the minister and/or departmental officials  Scrutiny by parliamentary officials  Increased public scrutiny (Question Period)  Criticism by central agencies  Funding revisited  Internal investigation  Loss of public trust  National embarrassment  Public inquiry  Investigation and/or audit by OPC  Other: | | | | | | |
| **Impact rating** | | | | | | |
| N/A | Negligible | Low | Moderate | High | Severe | |
| **Probability** | | | | | | |
| N/A | Unlikely | Rare | Likely | Very likely | Almost certain | |
| **Comments:** | | | | | |
| 1. **Financial**   Loss of funding for program(s) or activity  Reallocation of resources and assets  Changes to Program Activity Architecture  Other: | | | | | | |
| **Impact rating** | | | | | | |
| N/A | Negligible | Low | Moderate | High | Severe | |
| **Probability** | | | | | | |
| N/A | Unlikely | Rare | Likely | Very likely | Almost certain | |
| **Comments:** | | | | | |
| 1. **Legal**   Lawsuit or fines  Other: | | | | | | |
| **Impact rating** | | | | | | |
| N/A | Negligible | Low | Moderate | High | Severe | |
| **Probability of occurrence** | | | | | | |
| N/A | Unlikely | Rare | Likely | Very likely | Almost certain | |
| **Comments:** | | | | | |
| 1. **National Interest**   Threat to public health  Threat to public safety  Threat to national security  Negative impact on federal-provincial-territorial relations  Negative impact on international relations  Other: | | | | | | |
| **Impact rating** | | | | | | |
| N/A | Negligible | Low | Moderate | High | Severe | |
| **Probability** | | | | | | |
| N/A | Unlikely | Rare | Likely | Very likely | Almost certain | |
| **Comments:** | | | | | |
| 1. **Operations**   Will the breach result in:  Decrease in uptake of services  Decrease in staff morale resulting in decreased productivity and increased turnover  Calls for replacing the minister or head  Sanction or firing of employees  Program redesign or cancellation  Relocation of employees  Increased administration and overhead  Interruption of service delivery  Increased public scrutiny negatively affecting business operations  Other: | | | | | | |
| **Impact rating** | | | | | | |
| N/A | Negligible | Low | Moderate | High | Severe | |
| **Probability** | | | | | | |
| N/A | Unlikely | Rare | Likely | Very likely | Almost certain | |
| **Comments:** | | | | | |

**PART III: RISK ASSESSMENT SUMMARY AND RECOMMENDATIONS**

The determination of an overall risk level is based on the highest of the impact ratings identified in part II A and B. ***Part III to be completed by ATIP.***

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **A: Risk impact to the individual(s)—Summary** | | | | | | | | | | | |
| **Category** | | | | | | | | | | | |
| Financial | | | Health | | | | Reputation | | | Legal | |
| **Overall risk level** | | | | | | | | | | | |
| N/A | Negligible | | | Low | | Moderate | | | High | | Severe |
|  | | | | | | | | | | | |
| **B: Risk impact to the institution—Summary** | | | | | | | | | | | |
| **Category** | | | | | | | | | | | |
| Reputation | | Financial | | | Legal | | | Nat’l interest | | | Operational |
| **Overall risk level** | | | | | | | | | | | |
| N/A | Negligible | | | Low | | Moderate | | | High | | Severe |
|  | | | | | | | | | | | |
| **C: ATIP recommendations** | | | | | | | | | | | |
| **Notification – External** | | | | | | | | | | | |
| Affected individual(s) | | | | OPC and TBS | | | | | Other(s): | | |
| No external notification (explain why): | | | | | | | | | | | |
| **Notification – Internal** | | | | | | | | | | | |
| Security (always) | | | | DGMWS | | | | | CDS and/or CMP | | |
| IM/IT | | | | Division Head | | | | | Minister’s office | | |
| Legal Advisor | | | | Public Affairs | | | | | Other(s): | | |
| **Additional recommendations / comments**  Training, education and awareness sessions  Review of internal policies or procedures  Improvements to infrastructure and systems  Privacy impact assessment (PIA)  New or revised Personal Information Bank (PIB)  Review of privacy notice and consent statement  Follow-up audit  Other: | | | | | | | | | | | |

**RISK MATRIX**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  |  | **Probability of occurrence** | | | | |
|  |  | **Rare**  **(Very infrequent)** | **Unlikely**  **(Infrequent)** | **Likely**  **(Occasional)** | **Very Likely**  **(Frequent)** | **Almost certain (Continuous)** |
| **Impact rating** | **Severe** | **Significant** | **Major** | **High** | **Severe** | **Severe** |
| **High** | **Moderate** | **Significant** | **Major** | **High** | **Severe** |
| **Moderate** | **Low** | **Moderate** | **Significant** | **Major** | **High** |
| **Low** | **Negligible** | **Low** | **Moderate** | **Significant** | **Major** |
| **Negligible** | **Negligible** | **Negligible** | **Low** | **Moderate** | **Significant** |

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Low Risk Zone** | **Medium-Risk Zone** | **High-Risk Zone** |

| **POTENTIAL IMPACTS TO THE INSTITUTION** | | | | | |
| --- | --- | --- | --- | --- | --- |
| **Impact rating** | **Reputation and relationships with clients and the public** | **Legal and policy compliance** | **National interest, public safety and security** | **Operations and capacity to deliver programs** | **Financial resources and assets** |
| **Severe**  Event consequences require the organization to make a large-scale, long-term realignment of operations, objectives or finances | Complete loss of public trust  Embarrassment for the minister or the government | Non-compliance with various Government of Canada laws or policies may result in substantial legal liabilities or penalties (civil or criminal) and/or imprisonment | Extensive impacts on federal-provincial-territorial and/or international relationships, resulting in threats to public safety and security  National security put in jeopardy | Consequences threaten survival of program and organization  Service interruption of more than six months | Loss, error or omission of greater than $25 million, or greater than 25 per cent of total managed funds |
| **High**  Event consequences can be endured by the organization but could result in significant impact | Significant loss of client group trust  Public outcry for removal of the minister and/or departmental officials  Subject to an audit and/or investigation by the Office of the Privacy Commission (OPC)  Strong criticism by central agencies  Scrutiny by a parliamentary committee | Non-compliance with Government of Canada laws or policies may result in significant legal liabilities or penalties (civil or criminal), such as a lawsuit | Substantial impact to federal-provincial-territorial and/or international relationships  Substantial impact on public safety and security | Consequences threaten survival and continued effective functioning of the program, or require intervention by senior management or by elected representatives  Service interruption of one to six months | Loss, error or omission of between $15 million to $25 million, or between 25 per cent and 15 per cent of total managed funds |
| **Moderate**  Event consequences can be absorbed with proper management to minimize the impact | Some loss of client group trust  Media outcry for replacement of the minister and/or departmental officials  Moderate criticism by central agencies | Non-compliance with Government of Canada laws or policies, which may result in limited legal liabilities or penalties (civil or criminal), such as a lawsuit | Disruption to federal-provincial-territorial and/or international relationships  Moderate impact on public safety and security | Consequences do not threaten the program, but administering the program could be subject to significant review or change in operation  Service interruption of up to a month | Loss, error or omission of between $5 million to $15 million, or between 15 per cent and 5 per cent of total managed funds |
| **Low**  Event consequences can be absorbed with managed effort | Setback in building of client group trust  Negative media attention  May be subject to an investigation by OPC  Minor criticism by central agencies and/or OPC | Non-compliance with Government of Canada policies without legal liabilities or penalties (civil or criminal) | Minor disruptions to federal-provincial-territorial relationships  Minimal impact on public health and security | Consequences threaten efficiency or effectiveness of some aspects of the program but can be dealt with internally  Service interruption of one day to one week | Loss, error or omission of between $1 million to $5 million, or between 1 per cent and 5 per cent of total managed funds |
| **Negligible**  Event consequences can be absorbed through normal activity | No relationship damage  Some unfavourable media attention  Some unfavourable observation by central agencies and/or OPC | Non-compliance with Government of Canada policies without legal liabilities or penalties (civil or criminal) | Negligible impact on federal-provincial-territorial relationships  Negligible impact on public safety and security | Consequences are dealt with through routine operations  Service interruption of less than a single day | Loss, error or omission of less than $1 million, or less than 1 per cent of total managed funds |

**NOTIFICATIONS REQUIREMENTS**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Breach impact** | **Division Head** | **VP**  **CorpServ** | **DGMWS** | **CDS and/or CMP** | **Minister’s office** | **OPC and TBS** | **Affected individuals** |
| **Low** | May be informed | May be informed | May be informed | May be informed | May be informed | May be informed | **Must** be informed  (within 5 working days) |
| **Moderate** | **Must** be informed | **Must** be informed |
| **High** | **Must** be informed | **Must** be informed | **Must** be informed | **Must** be informed | **Must** be informed  (NM ATIP to determine timing) |
| **Severe** |
|  |  |  |  |  |  |  |  |
| **Responsibility** | OPI | NM ATIP | VP CS | DGMWS | DGMWS via CDS and/or CMP | NM ATIP | OPI |
| **Form of notification** | Verbal | Verbal | Verbal | Verbal and/or Briefing Note | Briefing Note | *Privacy Act* Breach Report by email | Letter |