# Indicators for the *Coroners Act*,
## November 1, 2019 – August 2, 2022

## Part 1 – Privacy Indicators

**General Privacy Policies, Procedures and Practices**

| | Indicator | Answer |
|---|---|---|
| 1 | The dates that the privacy policies and procedures were reviewed by the prescribed entity since the prior review of the Information and Privacy Commissioner of Ontario (IPC). | Please see Appendix A |
| 2 | Whether amendments were made to existing privacy policies and procedures as a result of the review, and if so, a list of the amended privacy policies and procedures and, for each policy and procedure amended, a brief description of the amendments made. | |
| 3 | Whether new privacy policies and procedures were developed and implemented as a result of the review, and if so, a brief description of each of the policies and procedures developed and implemented. | |
| 4 | The date that each amended and newly developed privacy policy and procedure was communicated to agents and, for each amended and newly developed privacy policy and procedure communicated to agents, the nature of the communication.to agents. | |
| 5 | Whether communication materials available to the public and other stakeholders were amended as a result of the review, and if so, a brief description of the amendments. | |

## Collection

| | Indicator | Answer |
|---|---|---|
| 6 | The number of data holdings containing personal information (PI) maintained by the prescribed entity. | Total: 01 |
| 7 | The number of statements of purpose developed for data holdings containing PI. | Total: 01 |
| 8 | The number and a list of statements of purpose for data holdings containing PI that were reviewed since the prior review by the IPC. | Total: 01<br><br>Drug and Drug/Alcohol-related Deaths (DDARD)<br><br>DDARD contains data on drug and alcohol related deaths in Ontario.<br><br>The data are required to enable analytics and research into opioid mortality and non-opioid, substance-related mortalities in Ontario, in order to prevent further deaths. |
| 9 | Whether amendments were made to existing statements of purpose for data holdings containing PI as a result of the review, and if so, a list of the amended statements of purpose and, for each statement of purpose amended, a brief description of the amendments made. | No amendments were made to the statement of purpose |
| 10 | The number of section 52.1 (1) Agreements executed with the Chief Coroner from whom PI was collected since the prior review by the IPC. | Total executed agreements: 01<br><br>Total amendments to the agreement: 02 |

## Use

| | Indicator | Answer |
|---|---|---|
| 11 | The number of agents granted approval to access and use PI for purposes other than research | Total: 72<br>   DQIM: 27<br>   IT: 14<br>   R&A: 30<br>   Facilities: 1 |
| 12 | The number of requests received for the use of PI for research under section 52.1 of the Coroners Act since the prior review by the IPC. | Total: 0 |
| 13 | The number of requests for the use of PI for research purposes under section 52.1 of the Coroners Act that were granted and that were denied since the prior review by the IPC. | N/A |
| 14 | The number of requests received for the use of PI for research under section 4 of the regulation since the prior review by the IPC. | Total: 0 |

| | | |
|---|---|---|
| 15 | The number of requests for the use of PI for research purposes under section 4 of the regulation that were granted and that were denied since the prior review by the IPC. | N/A |

## Disclosure

| | Indicator | Answer |
|---|---|---|
| 16 | The number of requests received for the disclosure of PI for purposes other than research since the prior review by the IPC. | Total: 0 |
| 17 | The number of requests for the disclosure of PI for purposes other than research that were granted and that were denied since the prior review by the IPC. | N/A |
| 18 | The number of requests received for the disclosure of PI for research purposes since the prior review by the IPC. | Total: 0 |
| 19 | The number of requests for the disclosure of PI for research purposes that were granted and that were denied since the prior review by the IPC. | N/A |
| 20 | The number of Research Agreements executed with researchers to whom PI was disclosed since the prior review by the IPC. | Total: 0 |
| 21 | The number of requests received for the disclosure of de-identified and/or aggregate information for both research and other purposes since the prior review by the IPC. | Total: 0 |
| 22 | The number of acknowledgements or agreements executed by persons to whom de-identified and/or aggregate information was disclosed for both research and other purposes since the prior review by the IPC. | Total: 0 |

## Agreements with Third Party Service Providers

| | Indicator | Answer |
|---|---|---|
| 23 | The number of agreements executed with third party service providers with access to PI since the prior review by the IPC. | Total: 4 |

## Data Linkage

| | Indicator | Answer |
|---|---|---|
| 24 | The number and a list of data linkages of PI approved since the prior review by the IPC. | Total: 26<br><br>Please see Appendix B |

## Privacy Impact Assessments

| | Indicator | Answer |
|---|---|---|
| 25 | The number and a list of privacy impact assessments (PIAs) completed since the prior review of the IPC, and for each PIA:<br>• the data holding, information system, technology or program;<br>• the date of completion of the PIA;<br>• a brief description of each recommendation;<br>• the date each recommendation was addressed or is proposed to be addressed; and<br>• the manner in which each recommendation was addressed or is proposed to be addressed | Total: 03<br><br>Please see Appendix C |
| 26 | The number and a list of PIAs undertaken but not completed since the prior review by the IPC and the proposed date of completion | Total: 0 |
| 27 | The number and a list of PIAs that were not undertaken but for which PIAs will be completed and the proposed date of completion | Total: 0 |
| 28 | The number of determinations made since the prior review by the IPC that a PIA is not required and, for each determination, the data holding, information system, technology or program at issue and a brief description of the reasons for the determination | Total: 0 |
| 29 | The number and a list of PIAs reviewed since the prior review by the IPC and a brief description of any amendments made | See above details in Indicator #25 |

## Privacy Audit Program

| | Indicator | Answer |
|---|---|---|
| 30 | The dates of audits of agents granted approval to access and use PI since the prior review of the IPC, and for each audit conducted:<br>• a brief description of each recommendation made;<br>• the date each recommendation was addressed or is proposed to be addressed; and<br>• the manner in which each recommendation was addressed or is proposed to be addressed | Total: 03<br><br>Please see Appendix D |
| 31 | The number and a list of all other privacy audits completed since the prior review of the IPC, and for each audit:<br>• a description of the nature and type of audit conducted;<br>• the date of completion of the audit;<br>• a brief description of each recommendation made;<br>• the date each recommendation was addressed or is proposed to be addressed; and<br>• the manner in which each recommendation was addressed or is proposed to be addressed | Total: 0 |

## Privacy Breaches

| | Indicator | Answer |
|---|---|---|
| 32 | The number of notifications of privacy breaches or suspected privacy breaches received by the prescribed entity since the prior review by the IPC, | Total: 0 |
| 33 | With respect to each privacy breach or suspected privacy breach:<br>• the date that the notification was received;<br>• the extent of the privacy breach or suspected privacy breach;<br>• whether it was internal or external;<br>• the nature and extent of PI at issue;<br>• the date senior management was notified;<br>• the containment measures were implemented;<br>• the date(s) containment measures implemented;<br>• the date(s) that notification was provided to the Chief Coroner or any other persons or organizations;<br>• the date that the investigation was commenced;<br>• the date that the investigation was completed;<br>• a brief description of each recommendation made;<br>• the date each recommendation was addressed or is proposed to be addressed and;<br>• the manner in which each recommendation was addressed or is proposed to be addressed | N/A |

## Privacy Complaints

| | Indicator | Answer |
|---|---|---|
| 34 | The number of privacy complaints received since the prior review by the IPC, | Total: 0 |
| 35 | Of the privacy complaints received, the number of privacy complaints investigated since the prior review by the IPC, and with respect to each privacy complaint investigated:<br>• The date that the complaint was received;<br>• The nature of the privacy complaint;<br>• The date that the investigation was commenced;<br>• The date of the letter to the individual who made the privacy complaint in relation to the commencement of the investigation;<br>• The date that the investigation was completed;<br>• a brief description of each recommendation made;<br>• the date each recommendation was addressed or is proposed to be addressed;<br>• the manner in which each recommendation was addressed or is proposed to be addressed;<br>• the date of the letter to the individual who made the privacy complaint describing the nature and findings of the investigation and measures taken in response to the complaint; and<br>• the date the Chief Coroner was notified of the complaint and the results of the investigation. | N/A |

| 36 | Of the privacy complaints received, the number of privacy complaints not investigated since the prior review by the IPC, and with respect to each privacy complaint not investigated:<br>• The date the privacy complaint was received;<br>• The nature of the privacy complaint; and<br>• The date of the letter to the individual who made the privacy complaint and a brief description of the content of the letter. | N/A |
|---|---|---|

# Part 2 – Security Indicators – same indicators as PHIPA

## General Security Policies, Procedures and Practices

| | Indicator | Answer |
|---|---|---|
| 37 | The dates that the security policies and procedures were reviewed by the prescribed entity since the prior review by the IPC. | Please see Appendix A |
| 38 | Whether amendments were made to existing security policies and procedures as a result of the review, and if so, a list of the amended security policies and procedures and for each policy and procedures amended, a brief description of each of the amendments made. | |
| 39 | Whether new security policies and procedures were developed and implemented as a result of the review, and if so, a brief description of each of the policies and procedures developed and implemented. | |
| 40 | The date that each amended and newly developed security policy and procedure was communicated to agents, and each amended and newly developed security policy and procedure communicated to agents, the nature of the communication. | |
| 41 | Whether communication materials available to the public and other stakeholders were amended as a result of the review, and if so, a brief description of the amendments | |

## Physical Security

| | Indicator | Answer |
|---|---|---|
| 42 | The dates of audits of agents granted approval to access the premises and locations within the premises where records of PI are retained since the prior review by the IPC and for each audit:<br>• a brief description of each recommendation made;<br>• the date each recommendation was addressed or is proposed to be addressed; and<br>• the manner in which each recommendation was addressed or is proposed to be addressed | Physical Security Audit: 01<br><br>Please see Appendix E |

## Security Audit Program

| | Indicator | Answer |
|---|---|---|
| 43 | The dates of the review of system control and audit logs since the prior review by the IPC and a general description of the findings, if any, arising from the review of system control and audit logs. | Please see Appendix F |
| 44 | The number and a list of security audits completed since the prior review by the IPC and for each audit:<br>• a description of the nature and type of audit conducted;<br>• the date of completion of the audit;<br>• a brief description of each recommendation made;<br>• the date each recommendation was addressed or proposed to be addressed; and<br>• the manner in which each recommendation was addressed or is expected to be addressed | Total: 102<br><br>Please see Appendix F |

## Information Security Breaches

| | Indicator | Answer |
|---|---|---|
| 45 | The number of notifications of information security breaches or suspected information security breaches received by the prescribed entity since the prior review by the IPC. | Total security breaches: 01<br>Total security incidents: 14 |
| 46 | With respect to each information security breach or suspected privacy breach:<br>• the date that the notification was received;<br>• the extent of the information security breach or suspected information security breach;<br>• the nature and extent of PI at issue;<br>• the date that senior management was notified;<br>• the containment measures implemented;<br>• the date(s) that the containment measures implemented;<br>• date(s) that notification was provided to the Chief Coroner or other persons or any organizations;<br>• the date that the investigation was commenced;<br>• the date that the investigation was completed;<br>• a brief description of each recommendation made;<br>• the date each recommendation was addressed or is proposed to be addressed and;<br>• the manner in which each recommendation was addressed or is proposed to be addressed | Please see Appendix G |

# Part 3 – Human Resources Indicators

## Privacy Training and Awareness

| | Indicator | Answer |
|---|---|---|
| 47 | The number of agents who have received and who have not received initial privacy orientation since the prior review by the IPC. | Total: 0<br><br>**2023 clarification:** Please note privacy training as of August 2022 did not include content specifically related to the *Coroners Act*. Since then ICES has made these additions to the initial orientation and the annual privacy training, and is now in compliance. |
| 48 | The date of commencement of the employment, contractual or other relationship for agents who have yet to receive initial privacy orientation and the scheduled date of the initial privacy orientation | Please see Indicator 47 |
| 49 | The number of agents who have attended and who have not attended ongoing privacy training each year since the prior review by the IPC. | Please see Indicator 47 |
| 50 | The dates and number of communications to agents in relation to privacy since the prior review by the IPC and a brief description of each communication | Please see Appendix H |

## Security Training and Awareness

| | Indicator | Answer |
|---|---|---|
| 51 | The number of agents who have received and not received initial security orientation since the prior review by the IPC. | Total orientations received: 526<br><br>Total orientations not received: 0 |
| 52 | The date of commencement of employment, contractual or other relationship for agents that have yet to receive initial security orientation and the scheduled date of the initial privacy orientation. | N/A – all agents received initial security orientation |
| 53 | The number of agents who have attended and who have not attended ongoing security training each year since the prior review by the IPC. | **2019 annual training**<br>Annual training occurred prior to November 1, 2019<br><br>**2020 annual training**<br>Agents completed: 745<br>Agents not completed: 2<br><br>**2021 annual training**<br>Agents completed: 796<br>Agents not completed: 7<br><br>**2022 annual training**<br>Agents completed: 800 |

| | | Agents not completed: 3 |
|---|---|---|
| | | **2023 clarification:** 2022 total has been calculated to capture completion after August 2, 2022 because annual training was ongoing in August/September 2022 |
| 54 | The dates and number of communications to agents by the prescribed entity.in relation to information security since the prior review by the IPC. | Please see Appendix I |

## Confidentiality Agreements

| | Indicator | Answer |
|---|---|---|
| 55 | The number of agents who have executed and who have not executed Confidentiality Agreements each year since the prior review with the prescribed entity. | Total: 0<br><br>**2023 clarification:** Please note ICES' confidentiality agreement as of August 2022 did not include content specifically related to the *Coroners Act*. Since then ICES has made these additions to the confidentiality agreement signed by ICES Agents when onboarded and then on an annual basis afterward. |
| 56 | The date of commencement of the employment, contractual or other relationship for agents that have yet to execute the Confidentiality Agreement and the date by which the Confidentiality Agreement must be executed | Please see Indicator 55 |

## Termination or Cessation

| | Indicator | Answer |
|---|---|---|
| 57 | The number of notifications received from agents since the prior review by the IPC related to termination of their employment, contractual or other relationship with the prescribed entity. | Total: 119 |

# Part 4 – Organizational Indicators

**Risk Management**

| | Indicator | Answer |
|---|---|---|
| 58 | The dates that the corporate risk register was reviewed the prescribed entity since the prior review by the IPC. | **2021**<br>March 31<br>April 29<br>May 31<br>June 28<br>July 20<br>September 12<br>October 4<br>October 28<br>November 24<br>December 15<br><br>**2022**<br>January 25<br>February 16<br>March 31<br>May 30<br>June 3 |
| 59 | Whether amendments were made to the corporate risk register as a result of the review, and if so, a brief description of the amendments made | The Corporate Risk Register (Enterprise and Department) was reviewed monthly in 2021.<br><br>The Risk Register/Dashboard is now reviewed on a quarterly basis by the Enterprise Risk Management Committee; the Executive Team; and the Finance, Audit, and Risk Committee.<br><br>On a monthly basis, and as needed, the Risk Register is reviewed and risks are added/closed/amended as necessary. |

**Business Continuity and Disaster Recovery**

| | Indicator | Answer |
|---|---|---|
| 60 | The dates that the business continuity and disaster recovery plan was tested since the prior review by the IPC. | 6/01/2020: This was a successful disaster recovery test of:<br>• Research Analytical Environment<br>• Citrix<br>• Intranet<br>• Internal SharePoint<br>• Network Shares<br>• Axway<br>• Microsoft Identity Manager<br><br>18/11/2021: This was a successful disaster recovery test of:<br>• Research Analytical Environment<br>• Citrix<br>• Intranet<br>• Internal SharePoint<br>• Network Shares<br>• Axway<br>• Microsoft Identity Manager<br><br>07/12/2021: Successful test of ICES CIRP through a tabletop exercise |
| 61 | Whether amendments were made to the business continuity and disaster recovery plan as a result of the testing, and if so, a brief description of the amendments made | 6/01/2020: No amendments required<br><br>18/11/2021<br>1. Storage Recovery<br>  - Script of the DR runbook to mount the volumes and junction path has been updated to remove volumes no longer in use.<br>2. Access Shared Drives Select<br>  - After users log in to DR Pulse Secure VPN, the users cannot connect to the Shared drives. Steps were added to the DR runbook to troubleshoot and resolve this issue.<br>3. The user is unable to log in to Axway.<br>  - Steps are added in the DR runbook to ensure the tester/user is part of the sftgroup in AD.<br><br>07/12/2021:<br>The tabletop exercise was conducted on December 7, 2021. This exercise was organized and led by a law firm and the resulting recommendations are considered privileged and confidential. At a high level, we can report that the recommendations included: to make certain updates to the Cyber Incident Response Plan ("CIRP") (regarding contact information for ICES team members and relevant vendors), and the escalation procedure, as well as to address certain communications and public relations needs between the senior leadership and our stakeholders, and mature processes related to certain legal requirements. We will be tackling each of the recommendations and then test our progress through another tabletop exercise in Fall 2022. |

# Appendix A – Privacy and Security Policies, Standards, and Procedures (as of August 2, 2022)

**Statement by ICES as of August 2, 2022:**

On October 29, 2021, we informed the IPC via a formal letter that since early 2021 we have been working on an initiative to complete a comprehensive review of the full suite of privacy and security policies and procedures (the "Policy Refresh Project") to support our compliance with PHIPA and the Manual for Review and Approval of Prescribed Persons and Prescribed Entities (the "Manual"). This work started with building out ICES' Policy Framework and Governance Policy to establish a clearer hierarchy of policy documentation (policies, procedures, standards, templates, tools) and to clarify roles and responsibilities. The different departments across ICES involved in data management and access were involved in reviewing their respective policies and procedures to ensure alignment with: the new ICES policy framework; existing operations/practices; requirements from the Manual; direction from the IPC in previous reviews; internal recommendations (e.g. from privacy or security assessments or audits); and industry best practices (e.g. NIST's Cybersecurity Framework). Through this exercise, we aimed to modernize, streamline, and better harmonize ICES' entire privacy and security policy suite (the "Policy Suite"). The entire Policy Suite was reviewed and revised as needed.

Although we expected the project to be completed by June 2022, we are slightly delayed. We have completed most drafts and we are now in the process of mitigating any inconsistencies, ensuring defined terms are captured accurately and preparing a comprehensive chart that links sections within the Policy Suite to the Manual. We need to roll out the updated Policy Suite in one unified process and are on track to bring the Policy Suite to the Operations Committee for their review and the Change Management Board for final sign-off in September 2022. The table below aims to capture our work over the past 1 ½ years.

**Statement by ICES as of September 15, 2023:**

Please note the table below was revised to capture the implementation of the Policy Suite in September 2022, as well as capture the titles of policies, standards, and procedures in 2023, if they were revised.

# Appendix A – Privacy and Security Policies, Standards, and Procedures
## (as of August 2, 2022)

| | Name | Review Date / Date of Implementation | Amendment or New Document | Description of Amendments or New Content | Date of Communication to ICES Agents | Nature of Communication | Public Communication Materials Amended |
|---|---|---|---|---|---|---|---|
| **Governance** | | | | | | | |
| 01 | **Privacy and Security Governance and Accountability Framework Policy** | September 2022 | Amended | Revised or combined title(s) from: <br><br>• Privacy Framework and Governance Policy<br>• Security Framework and Governance Policy<br><br>Incorporated content from previous ICES policies, standards, and procedures (including Coroners Act content):<br><br>• Privacy Framework and Governance Policy<br>• Security Framework and Governance Policy<br>• Privacy Policy in Respect of its Status as a Prescribed Entity – Coroners Act<br><br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br><br>• Privacy policy in respect of its status as a prescribed person or prescribed entity<br><br>Administrative and organizational improvements<br><br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | Updated ICES website |
| 02 | **Information Classification Standard** | September 2022 | New | Updated framework for classification of ICES Data<br><br>Administrative and organizational improvements<br><br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |

# Appendix A – Privacy and Security Policies, Standards, and Procedures
## (as of August 2, 2022)

| | Name | Review Date / Date of Implementation | Amendment or New Document | Description of Amendments or New Content | Date of Communication to ICES Agents | Nature of Communication | Public Communication Materials Amended |
|---|---|---|---|---|---|---|---|
| 03 | **Ongoing Review of Privacy and Security Policies, Procedures, Practices and Exceptions Policy**<br><br>(2023 Title) Ongoing Review of Privacy and Security Policies, Standards, Procedures, Practices and Exceptions Policy | September 2022 | Amended | Incorporated content from previous ICES policies, standards, and procedures (including Coroners Act content):<br>• Policy for Ongoing Review of Privacy Policies and Procedures — Coroners Act<br><br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Policy and procedures for ongoing review of privacy policies, procedures and practices<br>• Policy and procedures for ongoing review of security policies, procedures and practices<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | Updated ICES website |
| 04 | **Ongoing Review of Privacy and Security Policies, Procedures, Practices and Exceptions Procedure** | September 2022 | Amended | Incorporated content from previous ICES policies, standards, and procedures (including Coroners Act content):<br>• Policy for Ongoing Review of Privacy Policies and Procedures — Coroners Act<br><br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Policy and procedures for ongoing review of privacy policies, procedures and practices<br>• Policy and procedures for ongoing review of security policies, procedures and practices<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |

# Appendix A – Privacy and Security Policies, Standards, and Procedures (as of August 2, 2022)

| | Name | Review Date / Date of Implementation | Amendment or New Document | Description of Amendments or New Content | Date of Communication to ICES Agents | Nature of Communication | Public Communication Materials Amended |
|---|---|---|---|---|---|---|---|
| 05 | **ICES Agent Policy** | September 2022 | Amended | Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Policy and procedures for limiting agent access to and use of personal health information<br>• Policy and procedures for limiting agent access to and use of personal information<br>• Log of agents granted approval to access and use personal health information<br>• Log of agents granted approval to access and use personal information<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | Updated ICES website |
| 06 | **Third Party Service Provider Use of PHI/PI Policy** | September 2023 | Amended | Incorporated content from previous ICES policies, standards, and procedures (including Coroners Act content):<br>• Policy for Executing Agreements with Third Party Service Providers in Respect of Personal Information – Coroners Act<br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Policy and procedures for executing agreements with third party service providers in respect of personal health information<br>• Policy and procedures for executing agreements with third party service providers in respect of personal information<br>• Template agreement for all third party service providers<br>• Log of agreements with third party service providers<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | Updated ICES website |

# Appendix A – Privacy and Security Policies, Standards, and Procedures
# (as of August 2, 2022)

| | Name | Review Date / Date of Implementation | Amendment or New Document | Description of Amendments or New Content | Date of Communication to ICES Agents | Nature of Communication | Public Communication Materials Amended |
|---|---|---|---|---|---|---|---|
| 07 | **Privacy Policy** | September 2023 | Amended | Incorporated content from previous ICES policies, standards, and procedures (including Coroners Act content):<br>• Privacy Policy in Respect of its Status as a Prescribed Entity – Coroners Act<br><br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Privacy policy in respect of its status as a prescribed person or prescribed entity<br>• List of data holdings containing personal health information<br>• List of data holdings containing personal information<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | Updated ICES website |
| 08 | **Transparency of Privacy and Security Policies, Procedures and Practices Policy** | September 2022 | Amended | Incorporated content from previous ICES policies, standards, and procedures (including Coroners Act content):<br>• Policy on the Transparency of Privacy Policies and Procedures – Coroners Act<br><br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Policy on the transparency of privacy policies, procedures and practices<br><br>Administrative improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | Updated ICES website |

# Appendix A – Privacy and Security Policies, Standards, and Procedures (as of August 2, 2022)

| | Name | Review Date / Date of Implementation | Amendment or New Document | Description of Amendments or New Content | Date of Communication to ICES Agents | Nature of Communication | Public Communication Materials Amended |
|---|---|---|---|---|---|---|---|
| **COLLECTION** | | | | | | | |
| 09 | **Collection of ICES Data Policy** | September 2022 | Amended | Revised or combined title(s) from:<br><br>• Collection of Personally Identifiable Information Policy<br><br>Incorporated content from previous ICES policies, standards, and procedures (including Coroners Act content):<br>• Collection of Personally Identifiable Information Policy<br>• Collection of Personal Information – Coroners Act<br>• Privacy Policy in Respect of its Status as a Prescribed Entity – Coroners Act<br><br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Policy and procedures for the collection of personal health information<br>• Policy and procedures for the collection of personal information<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | Updated ICES website |
| 10 | **Primary Data Collection Standard** | September 2022 | New | Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 11 | **Primary Data Collection Procedure** | September 2022 | Amended | Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |

# Appendix A – Privacy and Security Policies, Standards, and Procedures
## (as of August 2, 2022)

| | Name | Review Date / Date of Implementation | Amendment or New Document | Description of Amendments or New Content | Date of Communication to ICES Agents | Nature of Communication | Public Communication Materials Amended |
|---|---|---|---|---|---|---|---|
| 12 | **Secure Transfer of PHI/PI Procedure**<br><br>(2023 Title) Secure Collection, Disclosure, and Transfer of PHI/PI Procedure) | September 2022 | Amended | Revised or combined title(s) from:<br>• Secure Transfer of PII Procedure<br><br>Incorporated content from previous ICES policies, standards, and procedures (including Coroners Act content):<br>• Secure Transfer of PII Procedure<br>• Receiving Data from External Sources Procedure<br>• Privacy Policy in Respect of its Status as a Prescribed Entity – Coroners Act<br><br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Policy and procedures for secure transfer of records of personal health information<br>• Policy and procedures for secure transfer of records of personal information<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 13 | **Privacy Impact Assessment Policy** | September 2022 | Amended | Incorporated content from previous ICES policies, standards, and procedures (including Coroners Act content):<br>• Collection of Personally Identifiable Information Procedures<br>• Privacy Impact Assessment Policy – Coroners Act<br><br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Privacy impact assessment policy and procedures<br>• Log of privacy impact assessments<br>• Policy and procedures for the collection of personal health information<br>• Policy and procedures for the collection of personal information<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure: | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | Updated ICES website |

| | Name | Review Date / Date of Implementation | Amendment or New Document | Description of Amendments or New Content | Date of Communication to ICES Agents | Nature of Communication | Public Communication Materials Amended |
|---|---|---|---|---|---|---|---|
| | | | | • Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | | | |
| 14 | **Privacy Impact Assessment Review and Analysis for ICES Projects Procedure** | September 2022 | Amended | Revised title from:<br>• Project PIA Review Procedure<br><br>Incorporated content from previous ICES policies, standards, and procedures (including Coroners Act content):<br>• Collection of Personally Identifiable Information Procedures<br>• Privacy Impact Assessment Policy – Coroners Act<br><br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Privacy impact assessment policy and procedures<br>• Log of privacy impact assessments<br>• Policy and procedures for the collection of personal health information<br>• Policy and procedures for the collection of personal information<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 15 | **Privacy Impact Assessment Review and Analysis Procedure** | September 2022 | Amended | Incorporated content from previous ICES policies, standards, and procedures (including Coroners Act content):<br>• Collection of Personally Identifiable Information Procedures<br>• Privacy Impact Assessment Policy – Coroners Act | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter | N/A |

# Appendix A – Privacy and Security Policies, Standards, and Procedures
## (as of August 2, 2022)

| | Name | Review Date / Date of Implementation | Amendment or New Document | Description of Amendments or New Content | Date of Communication to ICES Agents | Nature of Communication | Public Communication Materials Amended |
|---|---|---|---|---|---|---|---|
| | | | | Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Privacy impact assessment policy and procedures<br>• Log of privacy impact assessments<br>• Policy and procedures for the collection of personal health information<br>• Policy and procedures for the collection of personal information<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | | the week of implementation | |
| 16 | **Contract Policy** | September 2022 | Amended | Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 17 | **Execution of Data Sharing Agreement Standard** | September 2022 | Amended | Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Template Data Sharing Agreement<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |

# Appendix A – Privacy and Security Policies, Standards, and Procedures (as of August 2, 2022)

| | Name | Review Date / Date of Implementation | Amendment or New Document | Description of Amendments or New Content | Date of Communication to ICES Agents | Nature of Communication | Public Communication Materials Amended |
|---|---|---|---|---|---|---|---|
| 18 | **Data Sharing Review and Execution Procedure** | September 2022 | Amended | Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Policy and procedures for the execution of data sharing agreements<br>• Log of data sharing agreements<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | Updated ICES website |
| 19 | **Contract Review Procedure** | September 2022 | Amended | Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Policy and procedures for the execution of data sharing agreements<br>• Policy and procedures for the execution of a section 52.1(1) agreement<br>• Log of data sharing agreements<br>• Log of section 52.1(1) agreements<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 20 | **Execution of a section 52.1(1) Agreement** | September 2022 | Amended | Revised or combined title(s) from:<br>• Policy for the Execution of a Section 52.1(1) Agreement – Coroners Act<br><br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Policy and procedures for the execution of a section 52.1(1) agreement<br>• Template section 52.1(1) agreement<br>• Log of section 52.1(1) agreements<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure: | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | Updated ICES website |

# Appendix A – Privacy and Security Policies, Standards, and Procedures
## (as of August 2, 2022)

| | Name | Review Date / Date of Implementation | Amendment or New Document | Description of Amendments or New Content | Date of Communication to ICES Agents | Nature of Communication | Public Communication Materials Amended |
|---|---|---|---|---|---|---|---|
| | | | | • Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | | | |
| 21 | **Statements of Purpose for Data Holdings Containing PHI/PI Policy** | September 2022 | Amended | Revised or combined title(s) from:<br>• Statements of Purpose for Data Holdings Containing Personally Identifiable Information (PII) Policy<br><br>Incorporated content from previous ICES policies, standards, and procedures (including Coroners Act content):<br>• Statements of Purpose for Data Holdings Containing Personal Information — Coroners Act<br><br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Policy and procedures for statements of purpose for data holdings containing personal health information<br>• Policy and procedures for statements of purpose for data holdings containing personal information<br>• Statements of purpose for data holdings containing personal health information<br>• Statements of purpose for data holdings containing personal information<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | Updated ICES website |
| 22 | **Statements of Purpose for Data Holdings Containing PHI/PI Procedure** | September 2022 | Amended | Revised or combined title(s) from:<br>• Statements of Purpose for Data Holdings Containing PII Procedures<br><br>Incorporated content from previous ICES policies, standards, and procedures (including Coroners Act content):<br>• Statements of Purpose for Data Holdings Containing Personal Information — Coroners Act | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter | N/A |

# Appendix A – Privacy and Security Policies, Standards, and Procedures (as of August 2, 2022)

| | Name | Review Date / Date of Implementation | Amendment or New Document | Description of Amendments or New Content | Date of Communication to ICES Agents | Nature of Communication | Public Communication Materials Amended |
|---|---|---|---|---|---|---|---|
| | | | | Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Policy and procedures for statements of purpose for data holdings containing personal health information<br>• Policy and procedures for statements of purpose for data holdings containing personal information<br>• Statements of purpose for data holdings containing personal health information<br>• Statements of purpose for data holdings containing personal information<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | | the week of implementation | |
| 23 | **Segregation of Personal Information Policy** | September 2022 | Amended | Revised or combined title(s) from:<br>• Policy for the Segregation of Personal Information – Coroners Act<br><br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Policy and procedures for the segregation of personal information<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | Updated ICES website |

# Appendix A – Privacy and Security Policies, Standards, and Procedures
## (as of August 2, 2022)

| | Name | Review Date / Date of Implementation | Amendment or New Document | Description of Amendments or New Content | Date of Communication to ICES Agents | Nature of Communication | Public Communication Materials Amended |
|---|---|---|---|---|---|---|---|
| | **USE** | | | | | | |
| 24 | **Use of ICES Data Policy** | September 2022 | Amended | Incorporated content from previous ICES policies, standards, and procedures (including Coroners Act content): <br><br>• Privacy Policy in Respect of its Status as a Prescribed Entity – Coroners Act <br>• Policy for Limiting Agent Access to and Use of Personal Information – Coroners Act <br>• Policy for the Use of Personal Information for Research – Coroners Act <br>• Policy for the Linkage of Records of Personal Information – Coroners Act <br><br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum: <br><br>• Policy and procedures for limiting agent access to and use of personal health information <br>• Policy and procedures for limiting agent access to and use of personal information <br>• Log of agents granted approval to access and use personal health information <br>• Log of agents granted approval to access and use personal information <br>• Policy and procedures for the linkage of records of personal health information <br>• Policy and procedures for the linkage of records of personal information <br>• Log of approved linkages of records of personal health information <br>• Log of approved linkages of records of personal information <br>• Policy and procedures for the use of personal health information for research <br>• Policy and procedures for the use of personal information for research <br>• Log of approved uses of personal health information for research <br>• Log of approved uses of personal information for research <br><br>Administrative and organizational improvements <br><br>• Distributed content that is most appropriate within the policy, standard, and/or procedure: <br>• Added numerical classification system and formatting structure to improve mapping to controls <br>• Simplified language for clarity regarding ICES Agent obligations <br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet <br><br>Announced in ICES internal eNewsletter the week of implementation | Updated ICES website |

# Appendix A – Privacy and Security Policies, Standards, and Procedures (as of August 2, 2022)

| | Name | Review Date / Date of Implementation | Amendment or New Document | Description of Amendments or New Content | Date of Communication to ICES Agents | Nature of Communication | Public Communication Materials Amended |
|---|---|---|---|---|---|---|---|
| 25 | **Use of ICES Data Standard** | September 2022 | New | Incorporated content from previous ICES policies, standards, and procedures (including Coroners Act content):<br><br>• Protection of ICES Data Policy<br>• Policy for Limiting Agent Access to and Use of Personal Information – Coroners Act<br><br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br><br>• Policy and procedures for limiting agent access to and use of personal health information<br>• Policy and procedures for limiting agent access to and use of personal information<br><br>Administrative and organizational improvements<br><br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 26 | **Analytic Environment Screen Sharing Standard** | September 2022 | Amended | Administrative and organizational improvements<br><br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 27 | **Dataset Creation Plan Procedure** | September 2022 | Amended | Administrative and organizational improvements<br><br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 28 | **Feasibility Analysis Procedure** | September 2022 | Amended | Administrative and organizational improvements<br><br>• Distributed content that is most appropriate within the policy, standard, and/or procedure: | September 30, 2022 | Posted on ICES Intranet | N/A |

# Appendix A – Privacy and Security Policies, Standards, and Procedures (as of August 2, 2022)

| | Name | Review Date / Date of Implementation | Amendment or New Document | Description of Amendments or New Content | Date of Communication to ICES Agents | Nature of Communication | Public Communication Materials Amended |
|---|---|---|---|---|---|---|---|
| | | | | • Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | | Announced in ICES internal eNewsletter the week of implementation | |
| 29 | **Management of Data Covenantors Procedure** | September 2022 | Amended | Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 30 | **Utilizing IDAVE for Cleaning OLIS Free-text Test Results Procedure** | September 2022 | Amended | Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 31 | **Creating Coded Data at ICES Procedure** | September 2022 | Amended | Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 32 | **RAE-DSH - Creating Datasets for Other Level Users Procedure** | September 2022 | Amended | Revised or combined title(s) from:<br>• RAE Procedures - Creating Datasets for Level 2 and 3 Users<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |

# Appendix A – Privacy and Security Policies, Standards, and Procedures
## (as of August 2, 2022)

| | Name | Review Date / Date of Implementation | Amendment or New Document | Description of Amendments or New Content | Date of Communication to ICES Agents | Nature of Communication | Public Communication Materials Amended |
|---|---|---|---|---|---|---|---|
| 33 | **RAE-DSH – Sharing Project Datasets Procedure** | September 2022 | Amended | Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 34 | **RAE – User Home Drive Procedure** | September 2022 | Amended | Revised or combined title(s) from:<br>• RAE Procedures – User Home Drive<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 35 | **RAE-DSH – Project Data Folder Access Procedure** | September 2022 | Amended | Revised or combined title(s) from:<br>• RAE Procedures - Project Data Folder Access<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 36 | **Project Transfer Procedure** | September 2022 | Amended | Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 37 | **Project T: Drive Folder Creation Procedure** | September 2022 | Amended | Administrative and organizational improvements | September 30, 2022 | Posted on ICES Intranet | N/A |

# Appendix A – Privacy and Security Policies, Standards, and Procedures (as of August 2, 2022)

| | Name | Review Date / Date of Implementation | Amendment or New Document | Description of Amendments or New Content | Date of Communication to ICES Agents | Nature of Communication | Public Communication Materials Amended |
|---|---|---|---|---|---|---|---|
| | | | | • Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | | Announced in ICES internal eNewsletter the week of implementation | |
| 38 | **Case List Review and Distribution Procedure** | September 2022 | Amended | Revised or combined title(s) from:<br>• Case List Request and Distribution Procedures<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 39 | **Managing and Accessing Physical or Paper Charts and Media Procedure** | September 2022 | Amended | Revised or combined title(s) from:<br>• Managing Paper Charts and Documents Procedures<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 40 | **Abstractor Onboarding and Offboarding Procedure** | September 2022 | Amended | Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 41 | **RAE-DSH User Activation and Deactivation Procedure** | September 2022 | Amended | Revised or combined title(s) from:<br>• RAE-DSH Procedures - Onboarding and Offboarding<br><br>Administrative and organizational improvements | September 30, 2022 | Posted on ICES Intranet | N/A |

# Appendix A – Privacy and Security Policies, Standards, and Procedures
## (as of August 2, 2022)

| | Name | Review Date / Date of Implementation | Amendment or New Document | Description of Amendments or New Content | Date of Communication to ICES Agents | Nature of Communication | Public Communication Materials Amended |
|---|---|---|---|---|---|---|---|
| | | | | • Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | | Announced in ICES internal eNewsletter the week of implementation | |
| 42 | **Knowledge User Procedure** | September 2022 | Amended | Revised or combined title(s) from:<br><br>• ICES Knowledge User Procedure – ICES Projects<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 43 | **De-Identification and Aggregation Policy** | September 2022 | Amended | Incorporated content from previous ICES policies, standards, and procedures (including Coroners Act content):<br>• Privacy Policy in Respect of its Status as a Prescribed Entity – Coroners Act (retired in 2022)<br>• Policy with Respect to De-identification and Aggregation – Coroners Act<br><br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Policy and procedures with respect to de-identification and aggregation<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | Updated ICES website |

# Appendix A – Privacy and Security Policies, Standards, and Procedures (as of August 2, 2022)

| | Name | Review Date / Date of Implementation | Amendment or New Document | Description of Amendments or New Content | Date of Communication to ICES Agents | Nature of Communication | Public Communication Materials Amended |
|---|---|---|---|---|---|---|---|
| 44 | **RAE-DSH - Creating and Sharing Aggregate Data (Summary Output) Procedure** | September 2022 | Amended | Revised or combined title(s) from:<br>• RAE-DSH Creating and Sharing Summary Output Procedures<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 45 | **Re-Identification Risk Assessment Procedure** | September 2022 | Amended | Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| | **Disclosure** | | | | | | |
| 46 | **Disclosure of ICES Data for Purposes Other than Research Policy** | September 2022 | Amended | Incorporated content from previous ICES policies, standards, and procedures (including Coroners Act content):<br>• Privacy Policy in Respect of its Status as a Prescribed Entity – Coroners Act<br>• Policy for Disclosure of Personal Information for Purposes other than Research – Coroners Act<br><br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Policy and procedures for disclosure of personal health information for purposes other than research<br>• Policy and procedures for disclosure of personal information for purposes other than research.<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | Updated ICES website |

# Appendix A – Privacy and Security Policies, Standards, and Procedures
## (as of August 2, 2022)

| | Name | Review Date / Date of Implementation | Amendment or New Document | Description of Amendments or New Content | Date of Communication to ICES Agents | Nature of Communication | Public Communication Materials Amended |
|---|---|---|---|---|---|---|---|
| | | | | • Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | | | |
| 47 | **Disclosure of ICES Data for Research Purposes and Execution of Research Agreements Policy** | September 2022 | Amended | Incorporated content from previous ICES policies, standards, and procedures (including Coroners Act content):<br>• Privacy Policy in Respect of its Status as a Prescribed Entity – Coroners Act<br>• Policy for Disclosure of Personal Information for Research Purposes and the Execution of Research Agreements – Coroners Act<br><br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Policy and procedures for disclosure of personal health information for research purposes and the execution of research agreements<br>• Policy and procedures for disclosure of personal information for research purposes and the execution of research agreements<br>• Template research agreement<br>• Log of research agreements<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | Updated ICES website |
| 48 | **Data Verification and Transfer Request Procedure** | September 2022 | Amended | Revised or combined title(s) from:<br>• Verifying and Posting Risk-Reduced Coded Data to IDAVE Procedures<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 49 | **Cohort Disclosure Procedure** | September 2022 | Amended | Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure: | | | |

# Appendix A – Privacy and Security Policies, Standards, and Procedures
# (as of August 2, 2022)

| | Name | Review Date / Date of Implementation | Amendment or New Document | Description of Amendments or New Content | Date of Communication to ICES Agents | Nature of Communication | Public Communication Materials Amended |
|---|---|---|---|---|---|---|---|
| | | | | • Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | | | |
| 50 | **Third Party Research Data Disclosure Procedure** | September 2022 | Amended | Revised or combined title(s) from:<br>• Third Party Research (Data Access) Procedure<br><br>Incorporated content from previous ICES policies, standards, and procedures (including Coroners Act content):<br>• Protection of ICES Data Policy<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 51 | **Project Intake, Adjudication, and Initiation Procedure** | September 2022 | Amended | Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 52 | **Third Party Research Analysis and Reporting Procedure** | September 2022 | Amended | Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |

# Appendix A – Privacy and Security Policies, Standards, and Procedures
## (as of August 2, 2022)

| | Name | Review Date / Date of Implementation | Amendment or New Document | Description of Amendments or New Content | Date of Communication to ICES Agents | Nature of Communication | Public Communication Materials Amended |
|---|---|---|---|---|---|---|---|
| | **Checks / Compliance / Remediation** | | | | | | |
| 53 | **Privacy and Security Audit Policy** | September 2022 | Amended | Revised or combined title(s) from:<br>• Privacy Audit and Monitoring Policy<br>• Security Audit and Monitoring Policy<br><br>Incorporated content from previous ICES policies, standards, and procedures (including Coroners Act content):<br>• Privacy Audit and Monitoring Policy<br>• Security Audit and Monitoring Policy<br>• Policy in Respect of Privacy Audits – Coroners Act<br><br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Policy and procedures in respect of privacy audits<br>• Log of privacy audits<br>• Policy and procedures in respect of security audits<br>• Log of security audits<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | Updated ICES website |
| 54 | **Security Audit Standard** | September 2022 | New | Incorporated content from previous ICES policies, standards, and procedures (including Coroners Act content):<br>• Security Audit and Monitoring Policy<br>• Security Audit Procedure<br><br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Policy and procedures in respect of security audits<br>• Log of security audits | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |

# Appendix A – Privacy and Security Policies, Standards, and Procedures
## (as of August 2, 2022)

| | Name | Review Date / Date of Implementation | Amendment or New Document | Description of Amendments or New Content | Date of Communication to ICES Agents | Nature of Communication | Public Communication Materials Amended |
|---|---|---|---|---|---|---|---|
| | | | | Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | | | |
| 55 | **Privacy and Security Audit Procedure**<br><br>(2023 title) Compliance Audit Procedure | September 2022 | Amended | Revised or combined title(s) from:<br>• Privacy Audit Procedure<br><br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Policy and procedures in respect of privacy audits<br>• Log of privacy audits<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 56 | **Annual Audit Schedule Procedure**<br><br>(2023 title) Compliance Audit Procedure | September 2022 | Amended | Incorporated content from previous ICES policies, standards, and procedures (including Coroners Act content):<br>• Privacy Audit Procedure<br><br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Policy and procedures in respect of privacy audits<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |

# Appendix A – Privacy and Security Policies, Standards, and Procedures
## (as of August 2, 2022)

| | Name | Review Date / Date of Implementation | Amendment or New Document | Description of Amendments or New Content | Date of Communication to ICES Agents | Nature of Communication | Public Communication Materials Amended |
|---|---|---|---|---|---|---|---|
| 57 | **Privacy Incident and Privacy Breach Management Policy** | September 2022 | Amended | Revised or combined title(s) from:<br><br>• Privacy Incident Management Policy<br><br>Incorporated content from previous ICES policies, standards, and procedures (including Coroners Act content):<br>• Policy for Privacy Breach Management – Coroners Act<br><br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Policy and procedures for privacy breach management<br>• Log of privacy breaches<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | Updated ICES website |
| 58 | **Privacy Incident and Privacy Breach Management Procedure** | September 2022 | Amended | Incorporated content from previous ICES policies, standards, and procedures (including Coroners Act content):<br>• Policy for Privacy Breach Management – Coroners Act<br><br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Policy and procedures for privacy breach management<br>• Log of privacy breaches<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |

# Appendix A – Privacy and Security Policies, Standards, and Procedures
## (as of August 2, 2022)

| | Name | Review Date / Date of Implementation | Amendment or New Document | Description of Amendments or New Content | Date of Communication to ICES Agents | Nature of Communication | Public Communication Materials Amended |
|---|---|---|---|---|---|---|---|
| 59 | **Privacy Remediation Management Standard** | September 2022 | Amended | Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br><br>• Policy and procedures for privacy breach management<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 60 | **Privacy Inquiries and Privacy Complaints Policy** | September 2022 | Amended | Revised or combined title(s) from:<br>• Privacy Information, Inquiries, and Complaints Policy<br><br>Incorporated content from previous ICES policies, standards, and procedures (including Coroners Act content):<br>• Policy for Privacy Complaints and Privacy Inquires – Coroners Act<br>• Privacy Policy in Respect of its Status as a Prescribed Entity – Coroners Act<br><br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Policy and procedures for privacy complaints<br>• Log of privacy complaints<br>• Policy and procedures for privacy inquiries<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | Updated ICES website |
| 61 | **Privacy Inquiries and Privacy Complaints Procedure** | September 2022 | Amended | Incorporated content from previous ICES policies, standards, and procedures (including Coroners Act content):<br>• Policy for Privacy Complaints and Privacy Inquires – Coroners Act<br>• Privacy Policy in Respect of its Status as a Prescribed Entity – Coroners Act | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter | N/A |

# Appendix A – Privacy and Security Policies, Standards, and Procedures (as of August 2, 2022)

| | Name | Review Date / Date of Implementation | Amendment or New Document | Description of Amendments or New Content | Date of Communication to ICES Agents | Nature of Communication | Public Communication Materials Amended |
|---|---|---|---|---|---|---|---|
| | | | | Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum: <br>• Policy and procedures for privacy complaints <br>• Log of privacy complaints <br>• Policy and procedures for privacy inquiries <br><br>Administrative and organizational improvements <br>• Distributed content that is most appropriate within the policy, standard, and/or procedure: <br>• Added numerical classification system and formatting structure to improve mapping to controls <br>• Simplified language for clarity regarding ICES Agent obligations <br>• Updated and aligned Glossary Terms | | the week of implementation | |
| **Security** | | | | | | | |
| 62 | **Information Security Policy** | September 2022 | New | Incorporated content from previous ICES policies, standards, and procedures (including Coroners Act content): <br>• Security Framework & Governance Policy <br><br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum: <br>• Information Security Policy <br><br>Administrative and organizational improvements <br>• Distributed content that is most appropriate within the policy, standard, and/or procedure: <br>• Added numerical classification system and formatting structure to improve mapping to controls <br>• Simplified language for clarity regarding ICES Agent obligations <br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet <br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 63 | **Logical Access Management Standard** | September 2022 | New | Incorporated content from previous ICES policies, standards, and procedures (including Coroners Act content): <br>• Accounts Management Policy <br>• Remote Access Policy <br>• Password Policy | September 30, 2022 | Posted on ICES Intranet <br><br>Announced in ICES internal eNewsletter | N/A |

# Appendix A – Privacy and Security Policies, Standards, and Procedures
## (as of August 2, 2022)

| | Name | Review Date / Date of Implementation | Amendment or New Document | Description of Amendments or New Content | Date of Communication to ICES Agents | Nature of Communication | Public Communication Materials Amended |
|---|---|---|---|---|---|---|---|
| | | | | Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Policy and procedures relating to passwords<br>• Policy and procedures for secure retention of records of personal health information on mobile devices<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | | the week of implementation | |
| 64 | **Privileged and Service Account Provisioning Procedure** | September 2022 | New | Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 65 | **Account Onboarding Procedure** | September 2022 | New | Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 66 | **Password Compromise Procedure** | September 2022 | New | Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |

# Appendix A – Privacy and Security Policies, Standards, and Procedures
## (as of August 2, 2022)

| | Name | Review Date / Date of Implementation | Amendment or New Document | Description of Amendments or New Content | Date of Communication to ICES Agents | Nature of Communication | Public Communication Materials Amended |
|---|---|---|---|---|---|---|---|
| 67 | **Account Audits Procedure** | September 2022 | New | Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 68 | **Physical and Environmental Security Standard** | September 2022 | Amended | Incorporated content from previous ICES policies, standards, and procedures (including Coroners Act content):<br>• Physical Security Policy<br>• Visitors Policy<br><br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Policy and procedures for ensuring physical security of personal health information<br>• Log of agents with access to the premises of the prescribed person or prescribed entity<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 69 | **Physical Security Procedure (ICES Central)** | September 2022 | Amended | Incorporated content from previous ICES policies, standards, and procedures (including Coroners Act content):<br>• Physical Security Procedure<br>• Visitor Procedure<br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Policy and procedures for ensuring physical security of personal health information | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |

# Appendix A – Privacy and Security Policies, Standards, and Procedures
## (as of August 2, 2022)

| | Name | Review Date / Date of Implementation | Amendment or New Document | Description of Amendments or New Content | Date of Communication to ICES Agents | Nature of Communication | Public Communication Materials Amended |
|---|---|---|---|---|---|---|---|
| | | | | Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | | | |
| 70 | **Media Destruction Procedure (ICES Central)** | September 2022 | New | Incorporated content from previous ICES policies, standards, and procedures (including Coroners Act content):<br>• Information Media Destruction SOP<br><br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Policy and procedures for secure disposal of records of personal health information<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 71 | **Operational Security Standard** | September 2022 | New | Revised or combined title(s) from:<br>• Infrastructure Hardening<br><br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Information Security Policy<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |

# Appendix A – Privacy and Security Policies, Standards, and Procedures
## (as of August 2, 2022)

| | Name | Review Date / Date of Implementation | Amendment or New Document | Description of Amendments or New Content | Date of Communication to ICES Agents | Nature of Communication | Public Communication Materials Amended |
|---|---|---|---|---|---|---|---|
| 72 | **Security Assessment Procedure** | September 2022 | New | Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 73 | **Cryptography Management Standard** | September 2022 | Amended | Revised or combined title(s) from:<br>• Encryption Policy<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 74 | **Mobile Device Management Standard** | September 2022 | Amended | Revised or combined title(s) from:<br>• Protecting PHI on Mobile Devices Policy<br><br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Policy and procedures for secure retention of records of personal health information on mobile devices<br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 75 | **Backup and Restoration Standard** | September 2022 | Amended | Revised or combined title(s) from:<br>• Data Backup Policy | September 30, 2022 | Posted on ICES Intranet | N/A |

# Appendix A – Privacy and Security Policies, Standards, and Procedures
## (as of August 2, 2022)

| | Name | Review Date / Date of Implementation | Amendment or New Document | Description of Amendments or New Content | Date of Communication to ICES Agents | Nature of Communication | Public Communication Materials Amended |
|---|---|---|---|---|---|---|---|
| | | | | Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Policy and procedures for back-up and recovery of records of personal health Information<br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | | Announced in ICES internal eNewsletter the week of implementation | |
| 76 | **System Acquisition, Development, and Application Security Standard** | September 2022 | Amended | Revised or combined title(s) from:<br>• Information System Acquisition, Development, and Maintenance Policy<br><br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Information Security Policy<br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 77 | **Log Management Standard** | September 2022 | Amended | Revised or combined title(s) from:<br>• System Control and Audit Log Policy<br><br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Policy and procedures for maintaining and reviewing system control and audit logs<br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure: | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |

# Appendix A – Privacy and Security Policies, Standards, and Procedures
## (as of August 2, 2022)

| | Name | Review Date / Date of Implementation | Amendment or New Document | Description of Amendments or New Content | Date of Communication to ICES Agents | Nature of Communication | Public Communication Materials Amended |
|---|---|---|---|---|---|---|---|
| | | | | • Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | | | |
| 78 | **Information Handling Standard** | September 2022 | Amended | Incorporated content from previous ICES policies, standards, and procedures (including Coroners Act content):<br>• ICES Data Management Policy<br>• ICES Data Management Standard<br>• Document Shredding Policy<br><br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Policy and procedures for secure retention of records of personal health information<br>• Policy and procedures for secure transfer of records of personal health information<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 79 | **Secure Disposal Standard** | September 2022 | New | Incorporated content from previous ICES policies, standards, and procedures (including Coroners Act content):<br>• Privacy Policy in Respect of its Status as a Prescribed Entity – Coroners Act<br><br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Policy and procedures for secure disposal of records of personal health information<br><br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |

# Appendix A – Privacy and Security Policies, Standards, and Procedures (as of August 2, 2022)

| | Name | Review Date / Date of Implementation | Amendment or New Document | Description of Amendments or New Content | Date of Communication to ICES Agents | Nature of Communication | Public Communication Materials Amended |
|---|------|------|------|------|------|------|------|
| | | | | • Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | | | |
| 80 | **Destruction of ICES Data Procedure** | September 2022 | Amended | Revised or combined title(s) from:<br>• Destruction of ICES Data SOP<br><br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Policy and procedures for secure disposal of records of personal health information<br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 81 | **Patch and Vulnerability Management Standard** | September 2022 | Amended | Revised or combined title(s) from:<br>• Patch Management Policy<br><br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Policy and procedures for patch management<br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 82 | **Patch and Vulnerability Management Procedure** | September 2022 | Amended | Revised or combined title(s) from:<br>• Vulnerability Advisory Procedure<br><br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Policy and procedures for patch management | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter | N/A |

# Appendix A – Privacy and Security Policies, Standards, and Procedures
## (as of August 2, 2022)

| | Name | Review Date / Date of Implementation | Amendment or New Document | Description of Amendments or New Content | Date of Communication to ICES Agents | Nature of Communication | Public Communication Materials Amended |
|---|---|---|---|---|---|---|---|
| | | | | Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | | the week of implementation | |
| 83 | **User Awareness Procedure** | September 2022 | New | Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 84 | **ICES Data Retention Schedule Standard** | September 2022 | Amended | Revised or combined title(s) from:<br>• Record Retention Schedule Policy<br><br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Policy and procedures for secure retention of records of personal health information<br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |
| 85 | **Acceptable Use Policy** | September 2022 | Amended | Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Policy and procedures on the acceptable use of technology | September 30, 2022 | Posted on ICES Intranet | N/A |

# Appendix A – Privacy and Security Policies, Standards, and Procedures
## (as of August 2, 2022)

| | Name | Review Date / Date of Implementation | Amendment or New Document | Description of Amendments or New Content | Date of Communication to ICES Agents | Nature of Communication | Public Communication Materials Amended |
|---|---|---|---|---|---|---|---|
| | | | | Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | | Announced in ICES internal eNewsletter the week of implementation | |
| 86 | **Cybersecurity Incident Management Standard**<br><br>(2023 title: Security Incident Management Standard) | September 2022 | Amended | Revised or combined title(s) from:<br>• Security Incident Management Policy<br><br>Improved compliance by incorporating exact text of the IPC Manual and/or IPC Addendum:<br>• Policy and procedures for information security breach management<br>• Log of information security breaches<br>Administrative and organizational improvements<br>• Distributed content that is most appropriate within the policy, standard, and/or procedure:<br>• Added numerical classification system and formatting structure to improve mapping to controls<br>• Simplified language for clarity regarding ICES Agent obligations<br>• Updated and aligned Glossary Terms | September 30, 2022 | Posted on ICES Intranet<br><br>Announced in ICES internal eNewsletter the week of implementation | N/A |

# Appendix B – Data Linkages of Personal Information (as of August 2, 2022)

| No. | Project Title | Data Linkages | | |
|-----|---------------|---------------|---|---|
| 1 | Opioid agonist therapy retention and outcomes in First Nations | CPDB<br>IPDB<br>DIN<br>LHIN<br>PCCF<br>REF<br>DAD | NACRS<br>ODB<br>OHIP<br>OMHRS<br>SDS<br>ASTHMA<br>COPD | HIV<br>ODD<br>RPDB<br>NMS<br>IRS<br>DDARD |
| 2 | Describing the circumstances surrounding opioid-related toxicity deaths among individuals with a recent experience of homelessness: a deep dive | CPDB<br>IPDB<br>PCCF<br>REF<br>DAD<br>NACRS<br>NRS<br>ODB<br>OHIP | OMHRS<br>SDS<br>ASTHMA<br>CHF<br>COPD<br>DEMENTIA<br>HIV<br>HYPER<br>ODD | ORAD<br>CONTACT<br>RPDB<br>NMS<br>PCPOP<br>C19INTGR<br>CCM_s45<br>CHC<br>DDARD |
| 3 | Contributions of stimulants and varying modes of drug use to opioid-related deaths during the COVID-19 pandemic | DIN<br>LHIN<br>PCCF | REF<br>ODB<br>RPDB | NMS<br>DDARD |
| 4 | Health system evaluation of the gap in treatment for the delivery of opioid agonist treatments in Ontario | DIN<br>LHIN<br>PCCF<br>AVGPRICE<br>ESTSOB<br>CCRS<br>DAD<br>HCD<br>NACRS<br>NRS | ODB<br>OHIP<br>OMHRS<br>SDS<br>CENSUS<br>CONTACT<br>POP<br>RPDB<br>ADP<br>CAPE | GAPP<br>OCCI<br>OHCAS<br>NMS<br>PCPOP<br>CHC<br>ONMARG<br>IPDB<br>DDARD<br>PROUD cohort |
| 5 | Effectiveness of medications for opioid use disorder | CPDB<br>IPDB<br>DIN<br>LHIN<br>PCCF<br>REF<br>DAD | NACRS<br>ODB<br>OHIP<br>OMHRS<br>SDS<br>HIV<br>CENSUS | CONTACT<br>POP<br>RPDB<br>OLIS<br>NMS<br>TRIM<br>DDARD |

| No. | Project Title | Data Linkages | | |
|---|---|---|---|---|
| 6 | Observing, Understanding, and Telling stories at end of Life for Opioid Use Disorder patients (OUTLOUD): A mixed-methods study | IPDB<br>DIN<br>LHIN<br>PCCF<br>REF<br>CCRS<br>DAD<br>HCD<br>NACRS<br>NRS<br>ODB | OHIP<br>OMHRS<br>RAICA<br>RAIHC<br>ASTHMA<br>CHF<br>COPD<br>HIV<br>HYPER<br>MOMBABY<br>OCCC<br>ODD | OMID<br>ORAD<br>CENSUS<br>RPDB<br>ADP<br>NMS<br>ORGD<br>NDFP<br>DDARD<br>ONMARG<br>CIC |
| 7 | Patterns of Use of Novel Treatments for Opioid Use Disorder in Ontario | CPDB<br>IPDB<br>DIN<br>LHIN<br>PCCF<br>REF<br>DAD | NACRS<br>ODB<br>OHIP<br>OMHRS<br>SDS<br>HIV<br>CENSUS | CONTACT<br>POP<br>RPDB<br>NMS<br>ONMARG<br>CHC<br>DDARD |
| 8 | Describing the Opioid Crisis Among Métis Nation of Ontario Citizens | DIN<br>PCCF<br>NACRS<br>ODB<br>POP | RPDB<br>NMS<br>MNO<br>REF<br>OHIP | CONTACT<br>ONMARG<br>OTR<br>OCR<br>DDARD |
| 9 | Characteristics of opioid-related deaths in Ontario during COVID-19 | IPDB<br>DIN<br>LHIN<br>PCCF<br>REF<br>DAD<br>NACRS | OHIP<br>SDS<br>CONTACT<br>RPDB<br>NMS<br>DDARD | CPDB<br>ODB<br>OMHRS<br>HIV<br>OTR<br>CHC |

| No. | Project Title | Data Linkages | | |
|-----|---------------|---------------|---|---|
| 10 | REACH - Opioid Indicators Among Veterans in Ontario | IPDB<br>DIN<br>LHIN<br>PCCF<br>REF<br>INST<br>CCRS<br>DAD<br>HCD<br>NACRS | NRS<br>ODB<br>OHIP<br>OMHRS<br>SDS<br>ASTHMA<br>CHF<br>COPD<br>HIV<br>ODD | OMID<br>ORAD<br>CENSUS<br>CONTACT<br>RPDB<br>ONMARG<br>NMS<br>ORGD<br>OCR<br>DDARD |
| 11 | Changing patterns of opioid agonist therapy use and associated outcomes during the COVID-19 pandemic in Ontario | IPDB<br>DIN<br>DAD<br>NACRS<br>ODB<br>OHIP | OMHRS<br>HIV<br>RPDB<br>NMS<br>CPDB<br>LHIN | PCCF<br>REF<br>COPD<br>ODD<br>CENSUS<br>OLIS<br>DDARD |
| 12 | Assessment of a Structured Hydromorphone Prescribing Program in Ontario | CPDB<br>IPDB<br>DIN<br>DAD<br>NACRS<br>ODB | OHIP<br>OMHRS<br>RPDB<br>ONMARG<br>NMS<br>OCR | LHIN<br>PCCF<br>COPD<br>HIV<br>ALR<br>DDARD |
| 13 | First Nations Opioid Surveillance | DIN<br>PCCF<br>REF<br>DAD<br>NACRS<br>ODB | OHIP<br>CONTACT<br>RPDB<br>OHCAS<br>OTR<br>NMS | OCR<br>IRS<br>IRS<br>DDARD<br>IOFNCOMM |
| 14 | Impact of an emergency safer drug supply program on health service use and associated costs | CPDB<br>IPDB<br>DIN<br>PCCF<br>INST<br>AVGPRICE<br>ESTSOB<br>CCRS<br>DAD | HCD<br>NACRS<br>NRS<br>ODB<br>OHIP<br>OMHRS<br>SDS<br>ASTHMA<br>CHF | COPD<br>HIV<br>HYPER<br>CENSUS<br>RPDB<br>ADP<br>NMS<br>DDARD |

| No. | Project Title | Data Linkages | | |
|---|---|---|---|---|
| 15 | Patterns of Medication and Healthcare Use among Construction Industry Workers who Died of an Opioid-Related Toxicity in Ontario | CPDB<br>IPDB<br>DIN<br>LHIN<br>PCCF<br>REF | DAD<br>NACRS<br>ODB<br>OHIP<br>OMHRS<br>SDS | HIV<br>CENSUS<br>RPDB<br>OTR<br>NMS<br>CHC<br>DDARD |
| 16 | New Opioid Use and Risk of Dose Escalation in Adults with IDD | CPDB<br>IPDB<br>DIN<br>DAD<br>NACRS<br>OHIP | OMHRS<br>SDS<br>ASTHMA<br>CHF<br>COPD<br>HYPER | ODD<br>RPDB<br>CAPE<br>NMS<br>OCR<br>DDARD |
| 17 | Provincial Evaluation of Safer Supply Programs in Ontario: measuring population outcomes and healthcare costs | CPDB<br>IPDB<br>DIN<br>LHIN<br>PCCF<br>INST<br>ESTSOB<br>CCRS<br>DAD<br>HCD | NACRS<br>NRS<br>ODB<br>OHIP<br>OMHRS<br>SDS<br>ASTHMA<br>CHF<br>COPD<br>HIV | HYPER<br>CENSUS<br>RPDB<br>ADP<br>ONMARG<br>NMS<br>ALR<br>OCR<br>AVGPRICE<br>DDARD |
| 18 | ODPRN NMS Persistence on Opioid Agonist Therapy | IPDB<br>DIN<br>LHIN<br>PCCF<br>REF<br>CORR<br>DAD | NACRS<br>ODB<br>OHIP<br>SDS<br>HYPER<br>ODD<br>CONTACT | RPDB<br>OLIS<br>OMHRS<br>COPD<br>ODD<br>ASTHMA<br>DDARD |
| 19 | Chronic medical conditions and perinatal mental illness | IPDB<br>DAD<br>NACRS<br>OHIP<br>OMHRS<br>SDS<br>ASTHMA<br>CHF<br>HIV | HYPER<br>MOMBABY<br>OCC<br>ODD<br>OMID<br>CENSUS<br>RPDB<br>CIC<br>OCR | PCCF<br>COPD<br>ORAD<br>CONTACT<br>CAPE<br>ADP<br>OLIS<br>ONMARG<br>DDARD |

| No. | Project Title | Data Linkages | | |
|-----|---------------|---------------|---|---|
| 20 | Opioid-related death following lumbar spinal fusion surgery | DIN<br>PCCF<br>REF<br>INST<br>DAD | NACRS<br>ODB<br>OHIP<br>SDS<br>CENSUS | RPDB<br>NMS<br>ORGD<br>DDARD |
| 21 | Surveillance of circumstances related to prescription and health service use prior to opioid-related deaths | IPDB<br>LHIN<br>PCCF<br>REF<br>DAD<br>NACRS<br>ODB<br>OHIP | OMHRS<br>SDS<br>ASTHMA<br>CHF<br>COPD<br>HYPER<br>ODD<br>OMID | CENSUS<br>CONTACT<br>POP<br>RPDB<br>OTR<br>NMS<br>DDARD |
| 23 | Dose pattern characteristics associated with relapse following buprenorphine/naloxone treatment in adults with opioid use disorder | IPDB<br>DAD<br>NACRS | OHIP<br>OMHRS<br>RPDB | NMS<br>DDARD |
| 24 | The relationship between opioid prescribing and opioid-related mortality: a nested case-control study | CPDB<br>IPDB<br>DIN<br>LHIN<br>PCCF<br>REF<br>CCRS<br>DAD | NACRS<br>ODB<br>OHIP<br>OMHRS<br>SDS<br>ASTHMA<br>CHF<br>COPD | HIV<br>CENSUS<br>CONTACT<br>POP<br>RPDB<br>NMS<br>DDARD |
| 25 | Opioid toxicity deaths across ethno-racial groups in Ontario | DIN<br>LHIN<br>PCCF<br>REF<br>DAD | NACRS<br>ODB<br>OHIP<br>OMHRS<br>SDS | RPDB<br>NMS<br>CHC<br>DDARD |
| 26 | Drug interactions between fentanyl, hydromorphone and oxycodone with CYP3AR inhibiting macrolides | DIN<br>PCCF<br>REF<br>CCRS<br>DAD<br>NACRS<br>ODB<br>OHIP | OMHRS<br>SHS<br>ASTHMA<br>CHF<br>COPD<br>HYPER<br>ODD | CONTACT<br>POP<br>RPDB<br>NMS<br>ALR<br>OCR<br>DDARD |

**Appendix C: Privacy Impact Assessments
(as of August 2, 2022)**

| Name | New ICES Data Holding DDARD | | |
|---|---|---|---|
| PIA Ref | **PIA-242** | PIA Completion Date | **October 25, 2019** |
| Brief description of activities contemplated in PIA | | | |
| <ul><li>Collection of data from the Chief Coroner as a prescribed entity for the purpose of research, data analysis or the compilation of statistical information by ICES related to opioid mortality in Ontario</li></ul> | | | |
| Recommendation / Finding | | Amend the PIA, as necessary, if ICES receives recommendations from the IPC as the IPC reviews to determine if to approve ICES as a prescribed entity. | |
| The date the recommendation/finding was addressed or is proposed to be addressed | | No amendments required | |
| The manner in which the recommendation / finding was addressed or is proposed to be addressed | | December 31, 2019 | |

| Name | New ICES Data Holding DDARD | | |
|---|---|---|---|
| PIA Ref | **PIA-242** | PIA Completion Date | **March 15, 2022** |
| Brief description of activities contemplated in PIA | | | |
| <ul><li>Expand the scope of purpose to also include research, data analysis, or compilation of statistical information related to non-opioid substance-related mortalities (including deaths related to benzodiazepine and alcohol toxicity)</li></ul> | | | |
| Recommendation / Finding | | None | |
| The date the recommendation/finding was addressed or is proposed to be addressed | | N/A | |
| The manner in which the recommendation / finding was addressed or is proposed to be addressed | | N/A | |

| Name | New ICES Data Holding DDARD | | |
|---|---|---|---|
| PIA Ref | **PIA-242** | PIA Completion Date | **March 29, 2022** |
| Brief description of activities contemplated in PIA | | | |
| <ul><li>Expand collection of data to include data related to acute non-opioid and/or alcohol toxicity death records, to support the expansion of purposes</li></ul> | | | |
| Recommendation / Finding | | None | |
| The date the recommendation/finding was addressed or is proposed to be addressed | | N/A | |
| The manner in which the recommendation / finding was addressed or is proposed to be addressed | | N/A | |

| Privacy audit | Description | Date completed | Recommendation(s) | Date recommendation(s) was or is proposed to be addressed | Action(s) taken or proposed to be taken to address recommendation(s) |
|---|---|---|---|---|---|
| **Audits of Agents Granted Access** | | | | | |
| A. Project Data Access Review | An audit was conducted to confirm that data accessed in project folder is consistent with the Dataset Creation Plan (DCP) and Privacy Impact Assessment (PIA)<br><br>To confirm datasets on both documents match and have the appropriate oversight | June 30, 2022 | 1. Provide reminders to ICES Agents that all datasets used in a project should be selected on the project PIA and captured on the DCP, and only those datasets should be accessed on the RAE.<br>2. Remind staff to Use the Tool to identify datasets associated with ICES macros.<br>3. Remind ICES Agents to submit PIA amendment when an existing project needs to access additional datasets. | Results and recommendation were presented at a departmental meeting on November 15, 2021. Reminders and instructions are ongoing. | Ongoing reminders and instructions are provided through staff training materials, project kick-off meetings, and researcher orientation. |
| B. Project Data Access Review | An audit was conducted to confirm that data accessed in project folder is consistent with the Dataset Creation Plan (DCP) and Privacy Impact Assessment (PIA) | Nov 21, 2021 | 1. Provide reminders to ICES Agents that all datasets used in a project should be selected on the project PIA and captured on the DCP, and only those datasets should be accessed on the RAE.<br>2. Remind staff to Use the Tool to identify datasets associated with ICES macros.<br>3. Remind ICES Agents to submit PIA amendment when an existing project needs to access additional datasets. | Results and recommendation were presented at a departmental meeting on November 15, 2021. Reminders and instructions are ongoing. | 1. Ongoing reminders and instructions are provided through staff training materials, project kick-off meetings, and researcher orientation.<br>2. Draft report underway outlining the methodology/criteria.<br>3. Ongoing communication through staff training materials at departmental meetings moving forward. |
| C. Annual Project Membership Verification | An audit was conducted to confirm that only users who require access to data for the purposes of their projects remain as members of the project data folder. | June 1, 2021 | Develop a process to identify projects that are closed. | August 31, 2022 and ongoing | 1. DQIM has created a process and identified projects for closure, and IT is working on automating process of project archival.<br>2. Once first round of closures complete, process will be transformed to a formal procedure which will allow departments to provide lists directly to IT of eligible projects for archival |

**Appendix E – Physical Security Audit (as of August 2, 2022)**

| | |
|---|---|
| **Audit** | Physical Agent Access Review |
| **Description** | An audit was conducted to confirm compliance with ICES' Physical Security Policy.<br>The scope included:<br>1. Individuals who act as Agents on behalf of ICES and have access to High and Max physical security zones<br>2. External 3rd parties who maintain access to High and Max physical security zones |
| **Date Completed** | March 1, 2021 |
| **Recommendation(s)** | 1. Perform a fulsome review of onboarding physical access and ensure there is an explicit dependency on a completed ACA/COI.<br>2. Perform a fulsome review of HR offboarding procedures and ensure physical access cards are disabled upon termination of employment.<br>3. Limit 3rd party access to a defined period of time and disable once access is no longer required.<br>4. Promptly disable lost/stolen cards after being reported, and review recent access card activity. |
| **Date recommendation(s) was or is proposed to be addressed** | Feb 28, 2023 |
| **Action(s) taken or proposed to be taken to address recommendation(s)** | 1. Perform a fulsome review of onboarding physical access and ensure there is an explicit dependency on a completed ACA/COI.<br>2. Perform a fulsome review of HR offboarding procedures and ensure physical access cards are disabled upon termination of employment.<br>3. 3rd party access should be limited to a defined period of time and disabled once access is no longer required.<br>4. Lost/stolen cards should be disabled promptly after being reported, and a review of recent access card activity should be completed. |

## Appendix F - Security Audits (as of August 2, 2022)

| Type of Audit | Description of Security Audit | Audit Date Completed |
|---|---|---|
| Penetration Test | Third Party Red Team Assessment | 6/3/2022 |
| Penetration Test | Third Party Vulnerability Assessment and Penetration Test | 2/12/2021 |
| Penetration Test | Third Party Vulnerability Assessment and Penetration Test | 7/13/2020 |
| Penetration Test | Third Party Vulnerability Assessment and Penetration Test | 4/16/2021 |
| Penetration Test | Third Party Vulnerability Assessment and Penetration Test | 10/29/2020 |
| Threat Risk Assessment | Internal Threat Risk Assessment | 11/12/2021 |
| Threat Risk Assessment | Internal Threat Risk Assessment | 7/16/2021 |
| Threat Risk Assessment | Third Party Threat Risk Assessment | 7/5/2020 |
| Security Assessment | Security Assessment | 6/20/2022 |
| Security Assessment | Security Assessment | 6/15/2022 |
| Security Assessment | Security Assessment | 6/20/2022 |
| Security Assessment | Security Assessment | 7/19/2022 |

The table below represents the complete list of findings from those audits included in the table above.

| # | Description of Security Audit | Finding Completion Date | Recommendation(s) | Actions taken or proposed to be taken to address recommendation(s) | Status |
|---|---|---|---|---|---|
| 1 | Third Party Red Team Assessment | 9/30/2022 | Recommendations have not been provided in this document in order to avoid external threats to ICES systems. | Actions taken or proposed to be taken to address recommendations have not been provided in this document in order to avoid external threats to ICES systems. | Timeline status for addressing recommendations has not been identified in this document in order to avoid external threats to ICES systems. |
| 2 | Third Party Threat Risk Assessment | 6/30/2020 | | | |
| 3 | Third Party Threat Risk Assessment | 10/31/2022 | | | |
| 4 | Third Party Red Team Assessment | 12/31/2022 | | | |
| 5 | Third Party Threat Risk Assessment | 11/19/2020 | | | |
| 6 | Third Party Vulnerability Assessment and Penetration Test | 9/30/2022 | | | |
| 7 | Third Party Vulnerability Assessment and Penetration Test | 9/30/2022 | | | |
| 8 | Third Party Vulnerability Assessment and Penetration Test | 9/30/2022 | | | |
| 9 | Third Party Vulnerability Assessment and Penetration Test | 10/31/2022 | | | |
| 10 | Third Party Vulnerability Assessment and Penetration Test | 5/31/2021 | | | |
| 11 | Third Party Vulnerability Assessment and Penetration Test | 9/2/2021 | | | |
| 12 | Third Party Vulnerability Assessment and Penetration Test | 6/22/2021 | | | |
| 13 | Third Party Vulnerability Assessment and Penetration Test | 8/30/2021 | | | |
| 14 | Third Party Vulnerability Assessment and Penetration Test | Asset Owner/Custodian is reviewing finding to determine timelines | | | |
| 15 | Third Party Vulnerability Assessment and Penetration Test | 2/28/2023 | | | |
| 16 | Third Party Vulnerability Assessment and Penetration Test | 2/28/2023 | | | |
| 17 | Third Party Vulnerability Assessment and Penetration Test | 8/30/2021 | | | |
| 18 | Third Party Red Team Assessment | Asset Owner/Custodian is reviewing finding to determine timelines | | | |
| 19 | Third Party Red Team Assessment | Asset Owner/Custodian is reviewing finding to determine timelines | | | |
| 20 | Third Party Red Team Assessment | Asset Owner/Custodian is reviewing finding to determine timelines | | | |
| 21 | Third Party Vulnerability Assessment and Penetration Test | 7/8/2021 | | | |
| 22 | Third Party Threat Risk Assessment | 6/30/2020 | | | |
| 23 | Third Party Threat Risk Assessment | 12/24/2021 | | | |
| 24 | Third Party Threat Risk Assessment | 12/24/2021 | | | |
| 25 | Third Party Threat Risk Assessment | 9/30/2022 | | | |
| 26 | Third Party Threat Risk Assessment | 4/8/2022 | | | |
| 27 | Third Party Threat Risk Assessment | 6/23/2021 | | | |
| 28 | Third Party Threat Risk Assessment | 9/30/2022 | | | |
| 29 | Third Party Threat Risk Assessment | 11/2/2021 | | | |
| 30 | Third Party Threat Risk Assessment | Asset Owner/Custodian is reviewing finding to determine timelines | | | |
| 31 | Third Party Threat Risk Assessment | 6/30/2020 | | | |
| 32 | Third Party Threat Risk Assessment | 10/31/2022 | | | |
| 33 | Third Party Threat Risk Assessment | 5/1/2021 | | | |
| 34 | Third Party Vulnerability Assessment and Penetration Test | 9/30/2022 | | | |
| 35 | Third Party Vulnerability Assessment and Penetration Test | 9/30/2022 | | | |
| 36 | Internal Threat Risk Assessment | 9/30/2022 | | | |

| | | | Recommendations have not been provided in this document in order to avoid external threats to ICES systems. | Actions taken or proposed to be taken to address recommendations have not been provided in this document in order to avoid external threats to ICES systems. | Timeline status for addressing recommendations has not been identified in this document in order to avoid external threats to ICES systems. |
|---|---|---|---|---|---|
| 37 | Third Party Red Team Assessment | 8/5/2022 | | | |
| 38 | Third Party Vulnerability Assessment and Penetration Test | 10/31/2022 | | | |
| 39 | Third Party Vulnerability Assessment and Penetration Test | 6/23/2021 | | | |
| 40 | Third Party Vulnerability Assessment and Penetration Test | 9/30/2022 | | | |
| 41 | Third Party Vulnerability Assessment and Penetration Test | 12/31/2022 | | | |
| 42 | Third Party Vulnerability Assessment and Penetration Test | Finding is as designed | | | |
| 43 | Third Party Vulnerability Assessment and Penetration Test | 8/20/2021 | | | |
| 44 | Third Party Vulnerability Assessment and Penetration Test | 2/28/2023 | | | |
| 45 | Third Party Vulnerability Assessment and Penetration Test | 6/23/2021 | | | |
| 46 | Third Party Vulnerability Assessment and Penetration Test | 1/25/2021 | | | |
| 47 | Third Party Vulnerability Assessment and Penetration Test | Finding, predates tracking. Confirmed closed. | | | |
| 48 | Third Party Vulnerability Assessment and Penetration Test | 8/26/2021 | | | |
| 49 | Third Party Vulnerability Assessment and Penetration Test | 2/1/2022 | | | |
| 50 | Third Party Vulnerability Assessment and Penetration Test | Asset Owner/Custodian is reviewing finding to determine timelines | | | |
| 51 | Third Party Vulnerability Assessment and Penetration Test | Asset Owner/Custodian is reviewing finding to determine timelines | | | |
| 52 | Third Party Vulnerability Assessment and Penetration Test | 9/9/2021 | | | |
| 53 | Third Party Vulnerability Assessment and Penetration Test | 12/20/2021 | | | |
| 54 | Third Party Vulnerability Assessment and Penetration Test | Asset Owner/Custodian is reviewing finding to determine timelines | | | |
| 55 | Third Party Vulnerability Assessment and Penetration Test | 11/10/2021 | | | |
| 56 | Third Party Vulnerability Assessment and Penetration Test | 1/25/2021 | | | |
| 57 | Third Party Vulnerability Assessment and Penetration Test | Asset Owner/Custodian is reviewing finding to determine timelines | | | |
| 58 | Third Party Vulnerability Assessment and Penetration Test | Asset Owner/Custodian is reviewing finding to determine timelines | | | |
| 59 | Internal Threat Risk Assessment | 11/12/2021 | | | |
| 60 | Third Party Vulnerability Assessment and Penetration Test | 11/10/2021 | | | |
| 61 | Third Party Vulnerability Assessment and Penetration Test | 6/23/2021 | | | |
| 62 | Third Party Vulnerability Assessment and Penetration Test | 9/9/2021 | | | |
| 63 | Third Party Vulnerability Assessment and Penetration Test | Asset Owner/Custodian is reviewing finding to determine timelines | | | |
| 64 | Third Party Vulnerability Assessment and Penetration Test | Asset Owner/Custodian is reviewing finding to determine timelines | | | |
| 65 | Third Party Vulnerability Assessment and Penetration Test | Asset Owner/Custodian is reviewing finding to determine timelines | | | |
| 66 | Third Party Vulnerability Assessment and Penetration Test | Asset Owner/Custodian is reviewing finding to determine timelines | | | |
| 67 | Third Party Vulnerability Assessment and Penetration Test | Asset Owner/Custodian is reviewing finding to determine timelines | | | |
| 68 | Third Party Vulnerability Assessment and Penetration Test | Asset Owner/Custodian is reviewing finding to determine timelines | | | |
| 69 | Third Party Vulnerability Assessment and Penetration Test | 6/23/2021 | | | |
| 70 | Third Party Vulnerability Assessment and Penetration Test | Asset Owner/Custodian is reviewing finding to determine timelines | | | |
| 71 | Third Party Vulnerability Assessment and Penetration Test | Asset Owner/Custodian is reviewing finding to determine timelines | | | |
| 72 | Third Party Vulnerability Assessment and Penetration Test | Asset Owner/Custodian is reviewing finding to determine timelines | | | |
| 73 | Third Party Vulnerability Assessment and Penetration Test | Asset Owner/Custodian is reviewing finding to determine timelines | | | |
| 74 | Third Party Vulnerability Assessment and Penetration Test | Asset Owner/Custodian is reviewing finding to determine timelines | | | |
| 75 | Third Party Vulnerability Assessment and Penetration Test | Asset Owner/Custodian is reviewing finding to determine timelines | | | |
| 76 | Third Party Vulnerability Assessment and Penetration Test | Asset Owner/Custodian is reviewing finding to determine timelines | | | |
| 77 | Third Party Vulnerability Assessment and Penetration Test | 8/5/2022 | | | |
| 78 | Third Party Vulnerability Assessment and Penetration Test | Asset Owner/Custodian is reviewing finding to determine timelines | | | |
| 79 | Third Party Vulnerability Assessment and Penetration Test | Asset Owner/Custodian is reviewing finding to determine timelines | | | |
| 80 | Third Party Vulnerability Assessment and Penetration Test | Asset Owner/Custodian is reviewing finding to determine timelines | | | |

| | | | | | |
|---|---|---|---|---|---|
| 81 | Third Party Vulnerability Assessment and Penetration Test | 4/8/2022 | Recommendations have not been provided in this document in order to avoid external threats to ICES systems. | Actions taken or proposed to be taken to address recommendations have not been provided in this document in order to avoid external threats to ICES systems. | Timeline status for addressing recommendations has not been identified in this document in order to avoid external threats to ICES systems. |
| 82 | Third Party Vulnerability Assessment and Penetration Test | Asset Owner/Custodian is reviewing finding to determine timelines | | | |
| 83 | Third Party Vulnerability Assessment and Penetration Test | Asset Owner/Custodian is reviewing finding to determine timelines | | | |
| 84 | Third Party Vulnerability Assessment and Penetration Test | 8/5/2022 | | | |
| 85 | Third Party Vulnerability Assessment and Penetration Test | Asset Owner/Custodian is reviewing finding to determine timelines | | | |
| 86 | Third Party Vulnerability Assessment and Penetration Test | 2/1/2022 | | | |
| 87 | Third Party Vulnerability Assessment and Penetration Test | Asset Owner/Custodian is reviewing finding to determine timelines | | | |
| 88 | True Positive Information Security Incident | 5/12/2021 | | | |
| 89 | True Positive Information Security Incident | 4/29/2021 | | | |
| 90 | True Positive Information Security Incident | 5/5/2021 | | | |
| 91 | True Positive Information Security Incident | 5/14/2021 | | | |
| 92 | True Positive Information Security Incident | 8/12/2021 | | | |
| 93 | True Positive Information Security Incident | 9/23/2021 | | | |
| 94 | True Positive Information Security Incident | 10/14/2021 | | | |
| 95 | True Positive Information Security Incident | 1/25/2022 | | | |
| 96 | True Positive Information Security Incident | 2/10/2022 | | | |
| 97 | True Positive Information Security Incident | 2/28/2022 | | | |
| 98 | True Positive Information Security Incident | 3/30/2022 | | | |
| 99 | True Positive Information Security Incident | 4/1/2022 | | | |
| 100 | True Positive Information Security Incident | 4/7/2022 | | | |
| 101 | True Positive Information Security Incident | 6/2/2022 | | | |
| 102 | True Positive Information Security Incident | 7/27/2022 | | | |

**Appendix G - Information Security Incidents and Security Breaches**
**(as of August 2, 2023)**

| | The date that the notification was received | The date that the investigation was commenced | The date that senior management was notified | The date(s) that the containment measures were implemented | The date that the investigation was completed | The date(s) that notification was provided to the health information custodians or any other organizations | The extent of the information security breach or suspected information security breach | The nature and extent of PHI/PI at issue | The containment measures implemented | A brief description of each recommendation made | The date each recommendation was addressed or is proposed to be addressed | The manner in which each recommendation was addressed or is proposed to be addressed. |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | 2021-04-14 | 2021-04-14 | 2021-04-14 | 2021-04-14 | 2021-05-12 | NA - No PHI/PI involved | The extent of the information security breach or suspected information security breach have not been provided in this document in order to avoid external threats to ICES systems. | NA - No PHI/PI involved | The containment measures implemented have not been provided in this document in order to avoid external threats to ICES systems. | Recommendations have not been provided in this document in order to avoid external threats to ICES systems. | The date each recommendation was addressed or is proposed to be addressed have not been provided in this document in order to avoid external threats to ICES systems. | Actions taken or proposed to be taken to address recommendations have not been provided in this document in order to avoid external threats to ICES systems. |
| 2 | 2021-04-28 | 2021-04-28 | Senior management is not notified of Low severity incidents (with HR issues as an exception) | 2021-04-29 | 2021-04-29 | NA - No PHI/PI involved | | NA - No PHI/PI involved | | | | |
| 3 | 2021-05-05 | 2021-05-05 | 2021-05-05 | 2021-05-05 | 2021-05-05 | NA - No PHI/PI involved | | NA - No PHI/PI involved | | | | |
| 4 | 2021-05-14 | 2021-05-14 | Senior management is not notified of Low severity incidents (with HR issues as an exception) | 2021-05-14 | 2021-05-14 | NA - No PHI/PI involved | | NA - No PHI/PI involved | | | | |
| 5 | 2021-08-10 | 2021-08-10 | Senior management is not notified of Low severity incidents (with HR issues as an exception) | 2021-08-12 | 2021-08-12 | NA - No PHI/PI involved | | NA - No PHI/PI involved | | | | |
| 6 | 2021-09-23 | 2021-09-23 | Senior management is not notified of Low severity incidents (with HR issues as an exception) | 2021-09-23 | 2021-09-23 | NA - No PHI/PI involved | | NA - No PHI/PI involved | | | | |
| 7 | 2021-10-06 | 2021-10-06 | 2021-10-06 | 2021-10-06 | 2021-10-14 | NA - No PHI/PI involved | | NA - No PHI/PI involved | | | | |
| 8 | 2022-01-25 | 2022-01-25 | Senior management is not notified of Low severity incidents (with HR issues as an exception) | 2022-01-25 | 2022-01-25 | NA - No PHI/PI involved | | NA - No PHI/PI involved | | | | |
| 9 | 2022-02-10 | 2022-02-10 | 2022-02-10 | 2022-02-10 | 2022-02-10 | NA - No PHI/PI involved | | NA - No PHI/PI involved | | | | |
| 10 | 2022-02-28 | 2022-02-28 | Senior management is not notified of Low severity incidents (with HR issues as an exception) | 2022-02-28 | 2022-02-28 | NA - No PHI/PI involved | | NA - No PHI/PI involved | | | | |
| 11 | 2022-03-30 | 2022-03-30 | Senior management is not notified of Low severity incidents (with HR issues as an exception) | 2022-03-30 | 2022-03-30 | NA - No PHI/PI involved | | NA - No PHI/PI involved | | | | |
| 12 | 2022-04-01 | 2022-04-01 | 2022-04-02 | 2022-04-01 | 2022-04-01 | NA - No PHI/PI involved | | NA - No PHI/PI involved | | | | |
| 13 | 2022-04-07 | 2022-04-07 | Senior management is not notified of Low severity incidents (with HR issues as an exception) | 2022-04-07 | 2022-04-07 | NA - No PHI/PI involved | | NA - No PHI/PI involved | | | | |
| 14 | 2022-05-26 | 2022-05-26 | 2022-05-26 | 2022-05-26 | 2022-06-02 | NA - No PHI/PI involved | | NA - No PHI/PI involved | | | | |
| 15 | 2022-06-07 | 2022-06-07 | 2022-06-07 | 2022-06-07 | 2022-07-27 | NA - No PHI/PI involved | | NA - No PHI/PI involved | | | | |

## Appendix H - Privacy Awareness Communications

| # | Date | Provider | Audience | Subject |
|---|------|----------|----------|---------|
| 1 | 4/29/2022 | eNewsletter | All Staff | New ICES Coroners Act privacy policy in respect of its status as a prescribed entity |
| 2 | 6/24/2022 | eNewsletter | All Staff | ICES officially a prescribed entity under the Coroners Act |

## Appendix I - Security Awareness Communications (as of August 2, 2022)

| # | Date | Provider | Audience | Type | Subject |
|---|------|----------|----------|------|---------|
| 1 | 12/1/2019 | Cybersecurity | All Staff | Memo | Screen sharing applications reminder |
| 2 | 1/10/2020 | Cybersecurity | All Staff | Newsletter | January 2020 Security Awareness newsletter |
| 3 | 1/14/2020 | Cybersecurity | IT Staff | Security Advisory | VMware Tools workaround addresses a local privilege escalation vulnerability (CVE-2020-3941) |
| 4 | 2/12/2020 | KnowBe4 | All Staff | Training | Security Awareness Training |
| 5 | 2/14/2020 | Cybersecurity | All Staff | Newsletter | February 2020 Security Awareness newsletter |
| 6 | 3/6/2020 | Cybersecurity | All Staff | Newsletter | March 2020 Security Awareness newsletter |
| 7 | 4/3/2020 | Cybersecurity | All Staff | Newsletter | April 2020 Security Awareness newsletter |
| 8 | 5/8/2020 | Cybersecurity | All Staff | Newsletter | May 2020 Security Awareness newsletter |
| 9 | 6/5/2020 | Cybersecurity | All Staff | Newsletter | June 2020 Security Awareness newsletter |
| 10 | 7/17/2020 | Cybersecurity | All Staff | Newsletter | Cybersecurity newsletter |
| 11 | 8/7/2020 | Cybersecurity | All Staff | Newsletter | August 2020 Security Awareness newsletter |
| 12 | 10/1/2020 | Cybersecurity | All Staff | Memo | Message from Chief Privacy and Legal Officer about Cybersecurity Awareness Month |
| 13 | 10/2/2020 | Cybersecurity | All Staff | Memo | Cybersecurity Awareness Month |
| 14 | 10/9/2020 | KnowBe4 | All Staff | Memo | Cybersecurity Awareness Month - week 2 |
| 15 | 10/16/2020 | KnowBe4 | All Staff | Memo | Cybersecurity Awareness Month - week 3 (Password best practices) |
| 16 | 10/23/2020 | KnowBe4 | All Staff | Memo | Cybersecurity Awareness Month - week 4 |
| 17 | 10/30/2020 | KnowBe4 | All Staff | Memo | Cybersecurity Awareness Month - week 5 (spot the phish) |
| 18 | 12/16/2020 | Cybersecurity | All Staff | Memo | Phishing Awareness |
| 19 | 12/18/2020 | KnowBe4 | All Staff | Training | Phishing Awareness Training |
| 20 | 12/18/2020 | Cybersecurity | All Staff | Memo | Cybersecurity awareness at ICES |
| 21 | 12/21/2020 | KnowBe4 | All Staff | Phishing Simulation | O365 Maintenance |
| 22 | 1/18/2021 | KnowBe4 | All Staff | Phishing Simulation | Contact Information (HTML Attachment) |
| 23 | 2/4/2021 | Cybersecurity | IT Staff | Security Advisory | Zero Day Vulnerability in Google Chrome |
| 24 | 2/15/2021 | KnowBe4 | All Staff | Phishing Simulation | Uploaded Document to Google Docs (credential theft) |
| 25 | 2/24/2021 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in Mozilla Firefox and Thunderbird Could Allow for Arbitrary Code Execution |
| 26 | 2/26/2021 | Cybersecurity | IT Staff | Security Advisory | VMware vCenter Server Remote Code Execution Vulnerability |
| 27 | 3/4/2021 | Cybersecurity | IT Staff | Security Advisory | Active Exploitation of Microsoft Exchange Vulnerabilities |
| 28 | 3/4/2021 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in Adobe Products Could Allow for Arbitrary Code Execution |
| 29 | 3/7/2021 | Cybersecurity | IT Staff | Security Advisory | Print Spooler Remote Code Execution Vulnerability |
| 30 | 3/15/2021 | KnowBe4 | All Staff | Phishing Simulation | March 2021 - Link |
| 31 | 3/15/2021 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in Google Chrome Could Allow for Arbitrary Code Execution |
| 32 | 4/1/2021 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in Google Chrome Could Allow for Arbitrary Code Execution |

## Appendix I - Security Awareness Communications (as of August 2, 2022)

| # | Date | Provider | Audience | Type | Subject |
|---|------|----------|----------|------|---------|
| 33 | 4/15/2021 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in Google Chrome Could Allow for Arbitrary Code Execution |
| 34 | 4/19/2021 | KnowBe4 | All Staff | Phishing Simulation | You have received a fax (Attachment) |
| 35 | 4/20/2021 | Cybersecurity | IT Staff | Security Advisory | Out-of-Cycle Advisory Pulse Connect Secure RCE Vulnerability |
| 36 | 5/11/2021 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in Google Chrome Could Allow for Arbitrary Code Execution |
| 37 | 5/12/2021 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in Mozilla Firefox and Thunderbird Could Allow for Arbitrary Code Execution |
| 38 | 5/12/2021 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in Adobe Products Could Allow for Arbitrary Code Execution |
| 39 | 5/15/2021 | Cybersecurity | All Staff | Memo | Cybersecurity Awareness: Drive-by-Downloads |
| 40 | 5/17/2021 | KnowBe4 | All Staff | Phishing Simulation | Microsoft Teams: Documents Shared via Teams |
| 41 | 5/26/2021 | Cybersecurity | All Staff | Memo | Vulnerabilities in several Apple products – Update Now! |
| 42 | 5/26/2021 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in VMware vCenter Server Could Allow for Remote Code Execution |
| 43 | 6/8/2021 | Cybersecurity | IT Staff | Security Advisory | Multiple vulnerabilities have been discovered in Citrix ADC |
| 44 | 6/9/2021 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in Google Chrome Could Allow for Arbitrary Code Execution |
| 45 | 6/10/2021 | Cybersecurity | All Staff | Memo | Cybersecurity Awareness: Reporting Phishing Emails |
| 46 | 6/18/2021 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in Google Chrome Could Allow for Arbitrary Code Execution |
| 47 | 6/28/2021 | KnowBe4 | All Staff | Phishing Simulation | Important message about your Grocery Delivery order |
| 48 | 7/13/2021 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in Adobe Products Could Allow for Arbitrary Code Execution |
| 49 | 7/13/2021 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in Mozilla Firefox Could Allow for Arbitrary Code Execution |
| 50 | 7/16/2021 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in Google Chrome Could Allow for Arbitrary Code Execution |
| 51 | 7/19/2021 | KnowBe4 | All Staff | Phishing Simulation | Google Drive: Security Update |
| 52 | 7/20/2021 | Cybersecurity | IT Staff | Security Advisory | Java CPU July 2021 Java SE vulnerability |
| 53 | 8/2/2021 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in the Pulse Secure VPN Appliance Could Allow Remote Code Execution |
| 54 | 8/3/2021 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in Google Chrome Could Allow for Arbitrary Code Execution |
| 55 | 8/10/2021 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in Mozilla Firefox Could Allow for Arbitrary Code Execution |
| 56 | 8/16/2021 | KnowBe4 | All Staff | Phishing Simulation | Microsoft Teams: Accept Invitation - Staff Meeting via Teams |
| 57 | 9/1/2021 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in Google Chrome Could Allow for Arbitrary Code Execution |
| 58 | 9/8/2021 | Cybersecurity | IT Staff | Security Advisory | Palo Alto Networks has published 5 new Security Advisories |
| 59 | 9/8/2021 | Cybersecurity | IT Staff | Security Advisory | A Vulnerability in Microsoft MSHTML Could Allow for Remote Code Execution. |
| 60 | 9/8/2021 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in Mozilla Firefox and Thunderbird Could Allow for Arbitrary Code Execution |
| 61 | 9/14/2021 | KnowBe4 | All Staff | Phishing Simulation | LinkedIn: Your password was successfully reset |
| 62 | 9/14/2021 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in Apple Products Could Allow for Remote Code Execution |
| 63 | 9/14/2021 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in Adobe Products Could Allow for Arbitrary Code Execution |
| 64 | 9/14/2021 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in Google Chrome Could Allow for Remote Code Execution |

# Appendix I - Security Awareness Communications (as of August 2, 2022)

| # | Date | Provider | Audience | Type | Subject |
|---|------|----------|----------|------|---------|
| 65 | 9/21/2021 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in VMware vCenter Server Could Allow for Remote Code Execution |
| 66 | 9/24/2021 | Cybersecurity | IT Staff | Security Advisory | A Vulnerability in Google Chrome Could Allow for Arbitrary Code Execution |
| 67 | 9/28/2021 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in Microsoft Edge Could Allow for Arbitrary Code Execution |
| 68 | 9/30/2021 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in Google Chrome Could Allow for Arbitrary Code Execution |
| 69 | 10/1/2021 | Cybersecurity | All Staff | Memo | Cybersecurity Awareness Month |
| 70 | 10/8/2021 | Cybersecurity | All Staff | Memo | Cybersecurity Awareness Month – Week 1 update  Connect to the VPN weekly |
| 71 | 10/12/2021 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in Adobe Products Could Allow for Arbitrary Code Execution |
| 72 | 10/15/2021 | Cybersecurity | All Staff | Memo | Cybersecurity Awareness Month – Week 2 update |
| 73 | 10/18/2021 | KnowBe4 | All Staff | Phishing Simulation | Invoice [[random_number_6]] (PDF Attachment) |
| 74 | 10/19/2021 | Cybersecurity | All Staff | Presentation | Cybersecurity Awareness Month |
| 75 | 10/22/2021 | Cybersecurity | All Staff | Memo | Cybersecurity Awareness Month – Week 3 update |
| 76 | 10/29/2021 | Cybersecurity | All Staff | Memo | Cybersecurity Awareness Month – Week 4 update |
| 77 | 11/3/2021 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in Mozilla Firefox Could Allow for Arbitrary Code Execution |
| 78 | 11/5/2021 | Cybersecurity | IT Staff | Security Advisory | Buffer Overflow Vulnerability When Connecting to Portal or Gateway |
| 79 | 11/9/2021 | Cybersecurity | IT Staff | Security Advisory | CVE-2021-22955 - Unauthenticated denial of service |
| 80 | 11/10/2021 | Cybersecurity | IT Staff | Security Advisory | VMware vCenter Server IWA privilege escalation vulnerability (CVE-2021-22048) |
| 81 | 11/13/2021 | Cybersecurity | IT Staff | Security Advisory | Advisory: Palo Alto Networks has published new Security Advisories |
| 82 | 11/16/2021 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in Google Chrome Could Allow for Arbitrary Code Execution |
| 83 | 11/22/2021 | KnowBe4 | All Staff | Phishing Simulation | Notification from Server Email Solutions |
| 84 | 12/2/2021 | KnowBe4 | All Staff | Training | Phishing Awareness Training |
| 85 | 12/10/2021 | Cybersecurity | IT Staff | Security Advisory | Apache Log4j Remote Code Execution Vulnerability (CVE-2021-44228) in VMware Horizon |
| 86 | 12/10/2021 | Cybersecurity | IT Staff | Security Advisory | Apache Log4j Remote Code Execution Vulnerability (CVE-2021-44228) in VMware vCenter |
| 87 | 12/10/2021 | Cybersecurity | IT Staff | Security Advisory | Apache Log4j2 vulnerability (Log4shell) |
| 88 | 12/10/2021 | Cybersecurity | IT Staff | Security Advisory | Apache Log4j2 vulnerability (Log4shell) |
| 89 | 12/14/2021 | Cybersecurity | All Staff | Presentation | Cybersecurity holiday update |
| 90 | 12/14/2021 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in Adobe Products could allow for Arbitrary Code Execution. |
| 91 | 12/14/2021 | Cybersecurity | IT Staff | Security Advisory | Critical Patches Issued for Microsoft Products, December 14, 2021 |
| 92 | 12/14/2021 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in Google Chrome Could Allow for Arbitrary Code Execution |
| 93 | 12/21/2021 | KnowBe4 | All Staff | Phishing Simulation | Starbucks: Share the Merry |
| 94 | 1/5/2022 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in Google Chrome Could Allow for Arbitrary Code Execution |
| 95 | 1/11/2022 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in Adobe Products could allow for Arbitrary Code Execution. |

## Appendix I - Security Awareness Communications (as of August 2, 2022)

| # | Date | Provider | Audience | Type | Subject |
|---|------|----------|----------|------|---------|
| 96 | 1/12/2022 | Cybersecurity | IT Staff | Security Advisory | Multiple vulnerabilities for agent 7.3.1. and older. |
| 97 | 1/17/2022 | Cybersecurity | IT Staff | Security Advisory | CCCS Alert AL22-001 Wiper Malware Targeting Ukrainian Organizations for publishing |
| 98 | 1/24/2022 | KnowBe4 | All Staff | Phishing Simulation | Canada Post: Delivery Attempt Was Made |
| 99 | 1/26/2022 | Cybersecurity | IT Staff | Security Advisory | A Vulnerability in Polkit's pkexec Component Could Allow For Local Privilege Escalation |
| 100 | 2/15/2022 | Cybersecurity | All Staff | Presentation | Phishing Identification |
| 101 | 2/15/2021 | Cybersecurity | IT Staff | Security Advisory | vCenter Server updates address arbitrary file read vulnerability in the vSphere Web Client (CVE-2021-21980) |
| 102 | 2/15/2022 | Cybersecurity | IT Staff | Security Advisory | VMware ESXi, Workstation, and Fusion updates address multiple security vulnerabilities |
| 103 | 2/23/2022 | KnowBe4 | All Staff | Phishing Simulation | Microsoft 365: Your message couldn't be delivered. |
| 104 | 3/1/2022 | Cybersecurity | IT Staff | Security Advisory | VMware Tools for Windows update addresses an uncontrolled search path vulnerability |
| 105 | 3/2/2022 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in Google Chrome Could Allow for Arbitrary Code Execution |
| 106 | 3/14/2022 | KnowBe4 | All Staff | Phishing Simulation | Microsoft Exchange: Recent Password Leak |
| 107 | 3/14/2022 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in Schneider Electric APC Smart-UPS Could Allow for Remote Code Execution |
| 108 | 3/14/2022 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in Veeam Backup & Replication Could Allow for Remote Code Execution |
| 109 | 3/16/2022 | Cybersecurity | All Staff | Presentation | Phishing Identification |
| 110 | 3/23/2022 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in Adobe Products Could Allow for Arbitrary Code Execution |
| 111 | 3/29/2022 | Cybersecurity | IT Staff | Security Advisory | VMware vCenter Server updates address an information disclosure vulnerability (CVE-2022-22948) |
| 112 | 4/4/2022 | Cybersecurity | IT Staff | Security Advisory | A Vulnerability in Google Chrome Could Allow for Arbitrary Code Execution |
| 113 | 4/6/2022 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities inMozilla Firefox and Firefox ESR Could Allow for Remote Code Execution |
| 114 | 4/12/2022 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in Google Chrome Could Allow for Arbitrary Code Execution |
| 115 | 4/18/2022 | KnowBe4 | All Staff | Phishing Simulation | COVID-19 Omicron PCR Test |
| 116 | 4/27/2022 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in Google Chrome Could Allow for Arbitrary Code Execution |
| 117 | 5/16/2022 | KnowBe4 | All Staff | Phishing Simulation | Changes to your health benefits |
| 118 | 5/19/2022 | Cybersecurity | All Staff | Memo | Vulnerabilities in several Apple products – Update Now! |
| 119 | 5/31/2022 | Cybersecurity | IT Staff | Security Advisory | A Vulnerability in Microsoft Support Diagnostic Tool (MSDT) Could Allow for Arbitrary Code Execution |
| 120 | 6/1/2022 | Cybersecurity | All Staff | Memo | Vulnerability in Microsoft Windows (Follina) |
| 121 | 6/1/2022 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in Mozilla Products Could Allow for Arbitrary Code Execution |
| 122 | 6/13/2022 | KnowBe4 | All Staff | Phishing Simulation | Re: Case #5012130 Password Change |
| 123 | 6/21/2022 | Cybersecurity | All Staff | Presentation | VPN<br>Phishing Identification |
| 124 | 7/7/2022 | Cybersecurity | IT Staff | Security Advisory | Multiple Vulnerabilities in Google Chrome Could Allow for Arbitrary Code Execution |
| 125 | 7/12/2022 | Cybersecurity | IT Staff | Security Advisory | Critical Patches Issued for Microsoft Products |

**Appendix I - Security Awareness Communications (as of August 2, 2022)**

| # | Date | Provider | Audience | Type | Subject |
|---|------|----------|----------|------|---------|
| 126 | 7/18/2022 | Cybersecurity | All Staff | Phishing Simulation | Change Your Microsoft 365 Password Immediately |
| 127 | 7/22/2022 | Cybersecurity | IT Staff | Security Advisory | Critical pacthes issued for multiple apple products |
| 128 | 7/23/2022 | Cybersecurity | IT Staff | Security Advisory | VMware vCenter Server IWA privilege escalation vulnerability (CVE-2021-22048) |