

TRAC Submission Response

Name of Application	
Primary Contact	
Contact Email	
Date Submitted	
Date(s) Reviewed	

RISK PROFILE: – **Low Risk**

– **Medium Risk**, Minor Issues (see notes)

– **High Risk**, Major Issues (see notes)

Disclaimer

Purpose of Technology Risk Assessment:

The purpose of Technology Risk Assessments (TRA) is to provide for the organization the due diligence required to ensure that software, hardware, and data-provisioning initiatives are adequately protected, and/or that the risks involved are understood and accepted by the required stakeholders within Western University.

This document constitutes an *opinion* from the Technology Risk Assessment Committee (TRAC) based on an in-depth assessment and is to be used for advisory purposes within the organizational, divisional, departmental, and unit contexts. This assessment is for submitters to better understand where risks might exist within the solution across a variety of vectors. This *document is not a decision or an approval of a given project*, but rather an articulation of the risks associated.

PLEASE NOTE:

Solutions that are categorized as **LOW RISK** should move forward accordingly and this document may be used where required or requested.

For TRAC submissions assessed at **MEDIUM RISK** or **HIGH RISK** levels within a **Research** context, the PI should be made aware of the potential risks identified through the process to ultimately decide on next steps. In some cases Research Ethics may need to be contacted by the PI to ensure the solution is still aligned to that process.

Within **Operations**, solutions identified through the TRAC process as **MEDIUM RISK** or **HIGH RISK** should at least produce a conversation amongst the submission team about how to mitigate and ultimately accept risks associated with the project. Awareness and approval to move forward at the VP/AVP level is required for these higher risk profiles.

The TRAC process establishes a risk level. Processes such as contract negotiation, privacy impact assessments, and ecommerce configurations fall outside the scope of TRAC, but may be informed by it.

THE TRAC DOCUMENT OR PROCESS DOES NOT ABSOLVE UNITS OR INDIVIDUALS OF OVERALL RESPONSIBILITY – RISKS THAT ARE ACCEPTED ARE STILL RISKS.

Western Technology Services / Cyber Security Review

Reviewed By:

Title:

Date:

Risk Assessment Applicability for Area Represented: – YES – NO

Overall Risk Level (check box): – **Low Risk** – **Medium Risk**, Minor Issues (see notes) – **High Risk**, Major Issues (see notes)

Assessment Criteria	Review Notes	Risks	Recommendations
Routing			
Context			
IT Components			
Cyber Security Components			
IT Privacy Components			
Authentication Methodology / Process			
Data Transfer Process			
Data Protection			
Access Management			
Disaster Recovery / Backup Recovery			
Accessibility			
Issue Notification			
Vendor Support			
	Minor	Medium	Major
Evaluation Notes			
Recommended Next Steps			
Additional Feedback			

Privacy Officer Review

Reviewed By:

Title:

Date:

Risk Assessment Applicability for Area Represented: – YES – NO

Overall Risk Level (check box): – **Low Risk** – **Medium Risk**, Minor Issues (see notes) – **High Risk**, Major Issues (see notes)

Assessment Criteria	Review Notes	Risks	Recommendations
Nature of Data / PII			
Privacy Policy			
Ownership of Data			
Transmission of Data			
Contract (Privacy Terms only)			
Notice (breach, etc)			
Retention of Information			
Destruction of Information			
Statutory Compliance			
	Minor	Medium	Major
Evaluation Notes			
Recommended Next Steps			
Additional Feedback			

Legal Counsel Review

Reviewed By:

Title:

Date:

Risk Assessment Applicability for Area Represented: – YES – NO

Overall Risk Level (check box): – Low Risk – Medium Risk, Minor Issues (see notes) – High Risk, Major Issues (see notes)

Assessment Criteria	Review Notes	Risks	Recommendations
Deliverable			
Proposed Contract			
Confidentiality			
Information Ownership			
Insurance			
Indemnity			
Term & Termination			
Other			
	Minor	Medium	Major
Evaluation Notes			
Recommended Next Steps			
Additional Feedback			

Bank Card Committee Review

Reviewed By:

Title:

Date:

Risk Assessment Applicability for Area Represented: – YES – NO

Overall Risk Level (check box): – **Low Risk** – **Medium Risk**, Minor Issues (see notes) – **High Risk**, Major Issues (see notes)

Assessment Criteria	Review Notes	Risks	Recommendations
E-Commerce Process			
E-Commerce Service Providers			
Payment Card Data			
PCI Compliance			
Merchant Accounts			
Contract Terms			
	Minor	Medium	Major
Evaluation Notes			
Recommended Next Steps			
Additional Feedback			

Procurement Review

Reviewed By:

Title:

Date:

Risk Assessment Applicability for Area Represented: – YES – NO

Overall Risk Level (check box): – **Low Risk** – **Medium Risk**, Minor Issues (see notes) – **High Risk**, Major Issues (see notes)

Assessment Criteria	Review Notes	Risks	Recommendations
Estimated Value			
Potential Additional Cost Concerns (hidden, unforeseen)			
	Minor	Medium	Major
Evaluation Notes			
Recommended Next Steps			
Additional Feedback			

Audit Review

Reviewed By:

Title:

Date:

Risk Assessment Applicability for Area Represented: – YES – NO

Overall Risk Level (check box): – Low Risk – Medium Risk, Minor Issues (see notes) – High Risk, Major Issues (see notes)

Assessment Criteria	Review Notes	Risks	Recommendations
Procurement			
E-Commerce			
Cyber Security & IT			
Privacy			
Legal			
	Monitoring Required?	Assurance Required?	
Summary			
Recommended Next Steps			
Additional Feedback			