



MAY 09 2018

CONFIDENTIAL

File: 7820-20-GNWT-151-131

MR. MIKE AUMOND
DEPUTY MINISTER AND SECRETARY TO CABINET
EXECUTIVE AND INDIGENOUS AFFAIRS

Access to Information and Protection of Privacy Assessment

Enclosed is the above referenced Assessment.

We will schedule a follow-up in the future to determine the progress of the agreed upon Management Action Plan. However, we would appreciate an update by November 2018 on the status of the management action plan.

We would like to thank the staff in the Department for their assistance and co-operation during the audit. Should you have any questions, please contact me at (867) 767-9175, Ext. 15215.

T. Bob Shahi
Director, Internal Audit Bureau
Finance

Enclosure

- c. Mr. Jamie Koe, Chair, Audit Committee
Mr. Terence Courtoreille, Director, Corporate Services, Finance



EXECUTIVE AND INDIGENOUS AFFAIRS

Access to Information and Protection of Privacy Assessment

Internal Audit Bureau

May 2018



EXECUTIVE AND INDIGENOUS AFFAIRS

Access to Information and Protection of Privacy Assessment

May 2018

This report may be subject to request under the Access to Information and Protection of Privacy (ATIPP) Act.



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MR. MIKE AUMOND
DEPUTY MINISTER AND SECRETARY TO CABINET
EXECUTIVE AND INDIGENOUS AFFAIRS

Audit Report: Access to Information and Protection of Privacy Assessment
Audit Period: As of March 31, 2018

A. SCOPE AND OBJECTIVES

The Audit Committee approved the GNWT wide operational audit of Access to Information and Protection of Privacy (ATIPP) legislation that focused on privacy of information.

An assessment of Executive and Indigenous Affairs was part of the GNWT wide audit project. This report identifies issues specific to your department.

In assessing the privacy of information for all the departments, a number of recommendations impacted more than one department. These items were reported in the “*Corporate Privacy Report*” and forwarded to the Department of Justice for further action. A copy of this report forms part of the “*Corporate Privacy Report*”.

B. BACKGROUND

The 1996 ATIPP Act plays a critical part in maintaining government accountability and protecting the public’s personal information. The legislation

This report may be subject to request under the Access to Information and Protection of Privacy (ATIPP) Act.

treats all public bodies (i.e. – departments, boards, commissions, etc.) as separate entities. The GNWT currently employs a decentralized approach where each public body has a designated access and privacy coordinator. The Department of Justice Access and Privacy Office (APO) provides government-wide support and leadership to public bodies in complying with the *ATIPP Act*.

Crowe MacKay LLP was awarded a contract through the competitive Request for Proposal process that was evaluated by staff from APO and Internal Audit Bureau (IAB).

C. SUMMARY OF KEY FINDINGS AND RECOMMENDATIONS

The attached audit report, *“Department of Executive and Indigenous Affairs, Access to Information and Protection of Privacy Act (ATIPP) Part 2”*, made a number of observations and recommendations specific to your department (**Schedule I**). The management responses to the recommendations have been incorporated in the attached report.

The contractor assessed the compliance to *ATIPP Act* and Regulations as well as nine privacy principles for your department at three levels:

- **Assessed Maturity** based on the evidence provided by your department
- **Minimum Maturity** required to be compliance to *ATIPP Act* with a target date of 12 to 24 months
- **Desired Maturity** indicates maturity that would take over 24 months to achieve.

Overall, the privacy risk for your department was assessed to be “very low” requiring internal control capacity at “ad-hoc” level. This means that the risk could be managed by individuals assigned the tasks. The current capacity of the department was at the “repeatable”, more than what was required from risk perspective. No immediate action was necessary to address the assessed risk. Although not necessary from the assessed risk perspective, the department could document the privacy processes (defined level) and address privacy exceptions through monitoring (managed level). There was no compelling reason for the department to develop capacity beyond that stage (optimized level) (**Chart I refers**)

Some of the key recommendations made by the contractor were:

- Working with APO to develop and implement privacy policy
- Completing an inventory of personal information collected.

The action plan indicated by management should address the outstanding risks. The IAB will follow-up on the status of the management action plan after six months during our scheduled follow-up audits.

D. ACKNOWLEDGEMENT

We would like to thank the department staff for their assistance and co-operation throughout the audit.



T. Bob Shahi
Director, Internal Audit Bureau
Finance

Risk and Opportunity Assessment using Capacity Model

An effective Risk Management Program balances the capacity level of internal control (people, process, and technology) with organizational risk.

		Internal Control Capacity Level				
		Ad-hoc	Repeatable	Defined	Managed	Optimized
Privacy Risk Level	Very High					
	High					
	Medium					
	Low					
	Very Low					
		Not Compliant	Partially Compliant	Compliant	Fully Compliant	Perfectly Compliant
Compliance Classification						

Resources used to build capacity for compliance purpose but unnecessary to address privacy risk

 Risk Level and Internal Control Capacity Level are Matched.

DEPARTMENT OF EXECUTIVE AND INDIGENOUS AFFAIRS**ACCESS TO INFORMATION AND PROTECTION OF PRIVACY ACT (ATIPP) (PART 2)****Scope and Objectives**

The Government of the Northwest Territories (GNWT) issued a request for proposal, for an operational audit reviewing departmental compliance with Part 2 of the ACCESS to Information and Protection of Privacy Act (ATIPP or “the Act”). Crowe MacKay LLP (Crowe MacKay), being the successful proponent. The work was coordinated directly under the supervision of the Director, Internal Audit Bureau.

Testing of departments was based on the Generally Accepted Privacy Principles (GAPP) which incorporates 10 principles, each backed up by an objective and measurable criteria to determine risk and compliance within each department included in our scope. We reviewed key controls related to each of the principles, taking into account their associated criteria. This testing was conducted on current approaches to and compliance activities of each department.

Preliminary survey determined that the maturity of GNWT’s control environment related to Part 2: Protection of Privacy was less mature than that related to Part 1: Access to Information. Considering the less mature control environment likely in place for most departments, the focus of the audit was adjusted to be less compliance-based and more risk-based with a strong focus on the maturity levels denoted in the AICPA/CICA Privacy Maturity Model (Privacy Maturity Model) (**Appendix A refers**). We relied less on substantive testing of controls already in place and addressed the risks related to effectively establish a sound governance framework by the Access and Privacy Office as well as how each department interpreted this framework for departmental application. With regards to the integrity of information held in the custody of each department, the compilation of that personal information and the thought/opinions provided by each department of their control environment for appropriately protecting this personal information, this audit assessed what was being done in order to gain comfort and provide support for the opinions of each department where possible.

Departmental Background

The Department of Executive and Indigenous Affairs (“EIA”) meets its responsibilities through programs it offers through its divisions of:

- Aboriginal Consultation and Aboriginal Relations;
- Cabinet Communications and Protocol;
- Cabinet Secretariat;
- Corporate Communications;
- Directorate;
- Executive Council Offices;
- Implementation;
- Intergovernmental Relations;
- Legislation and House Planning;
- Negotiations;
- Policy, Planning and Communications;
- Priorities and Planning;
- Regional Operations;
- Secretary to Cabinet; and
- Women’s Advisory.

EIA’s collection of personal information is limited to its administration of expression of interest (“EI”) submissions for board appointments. EIA provides the information to the appropriate board or selection committee which is the intended recipient and as such EIA does not provide personal information to third parties.

The EI documents are managed in house and stored on a candidate database.

DEPARTMENT OF EXECUTIVE AND INDIGENOUS AFFAIRS

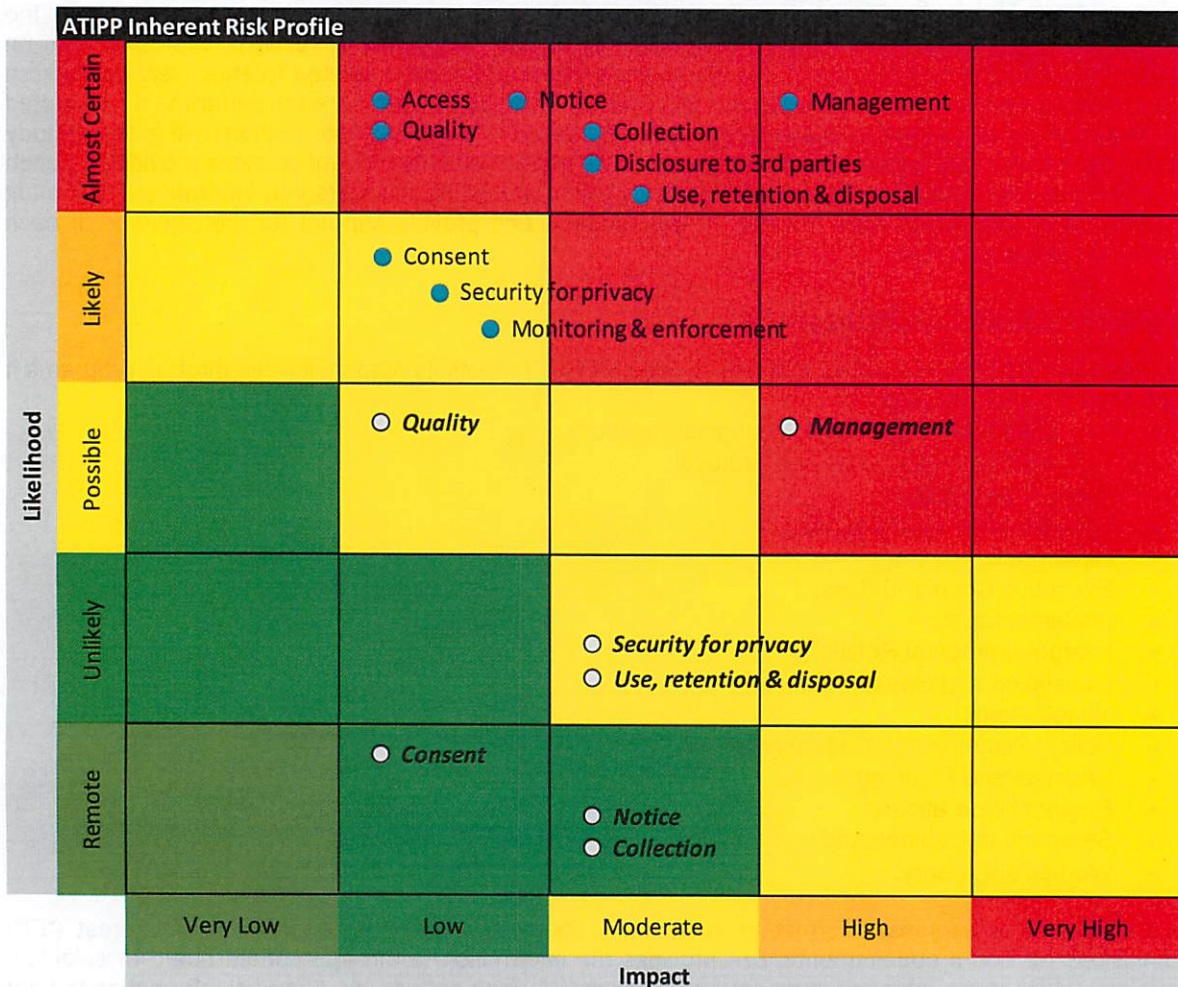
ACCESS TO INFORMATION AND PROTECTION OF PRIVACY ACT (ATIPP) (PART 2)

Overview

Risk Profile

The inherent risk profile per the planning memo, detailed in the risk heatmap below, was provided to the department ATIPP Coordinator and privacy contacts during the department interview. The planning risk profile represents our view of the inherent risks for GNWT based on the IAB's risk rating criteria as applied to the AICPA/CICA Privacy Maturity Model Principles. The heatmap shows the initial inherent risk rating for each principle in regular black print as well as our applied rating based on the results of our department review in bold italics. Changes represent recognition of controls implemented by the department which serve to reduce risk. For example, a rating of ad hoc in relation to a principle area would result in no change in the risk map as no controls have yet been implemented. A rating higher in the maturity model will result in an adjustment to the heat map placement and an entry in the new locations denoted by bold and italics.

RISK HEATMAP



DEPARTMENT OF EXECUTIVE AND INDIGENOUS AFFAIRS

ACCESS TO INFORMATION AND PROTECTION OF PRIVACY ACT (ATIPP) (PART 2)

Compliance with ATIPP Part 2 Protection of Privacy

An assessment of compliance with the specific requirements of ATIPP legislation has been made. Further details of these compliance requirements are outlined in Appendix A. The table below has the assessment of compliance, and if relevant, an explanation for why the department is not compliant.

Based on the audit work performed the department is not fully compliant with ATIPP Part 2. Support for this is as follows:

Section	Compliance Assessment	Reason for Non-Compliance
Part 2: Division A – Collection of Personal Information		
40	COMPLIANT	
41 (1)	COMPLIANT	
41 (2) & (3)	COMPLIANT	
42	COMPLIANT	
Part 2: Division B – Use of Personal Information		
43	COMPLIANT	
44	COMPLIANT	
45	N/A	
46	N/A	
Part 2: Division C – Disclosure of Personal Information		
47	N/A	Information is not disclosed.
47.1	N/A	Information is not disclosed.
48	N/A	Information is not disclosed.
49	N/A	Information is not disclosed.
Regulations relating to disclosure of personal information		
5	COMPLIANT	
6	N/A	No formal examination noted.
8	N/A	No research agreement in place.

Maturity Rating against Privacy Maturity Model

Using the Privacy Maturity Model (**Appendix A refers**), the assessed maturity, minimum maturity and desired maturity are illustrated in the graph below.

Assessed Maturity Level – current level of maturity for the department based on the audit.

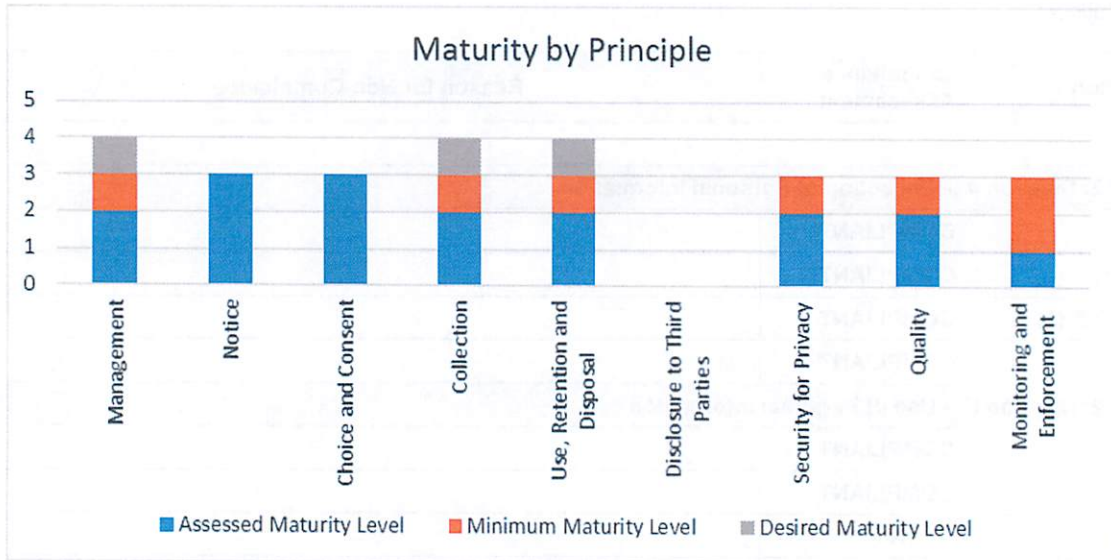
Minimum Maturity Level – In order to achieve this rating, the observations noted within this report must be addressed (short term timeframe 12-24 months).

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ACCESS TO INFORMATION AND PROTECTION OF PRIVACY ACT (ATIPP) (PART 2)

Desired Maturity Level – This level would be achieved via long term goals (>24 months) and should be part of long term planning if applicable to your department.

Please note that departments with data which has been assessed as lower risk are only required to reach the minimum maturity level. As EIA does not deal with higher risk data, this department is expected to work towards the minimum maturity level set out below.



Overall findings, including rating of the department against each privacy principle, is summarized in the following table:

Generally Accepted Privacy Principle	Assessed Maturity Level	Findings and Comments
<p>Management</p> <p>The department defines, documents, communicates and assigns accountability for its privacy policies and procedures</p>	Repeatable	<ul style="list-style-type: none"> Privacy policies have not been formally designed and documented. An inventory does not exist of the types of personal information and the related processes, systems, and third parties involved. ATIPP Coordinator duties has been assigned; this individual has taken extensive privacy training and has been involved with privacy training for GWNT in the past. Privacy impact assessments are not used as there are few processes that involve personal information and those that do are very simple. <p>See observations 1-2.</p>

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Generally Accepted Privacy Principle	Assessed Maturity Level	Findings and Comments
<p>Notice</p> <p>The department provides notice about its privacy policies and procedures and identifies the purposes for which personal information is collected, used, retained and disclosed</p>	Defined	<ul style="list-style-type: none"> A privacy policy has not been formally designed and documented to address notice to individuals. Notice is provided on forms used to collect personal information. <p><i>See observation 1.</i></p>
<p>Consent</p> <p>The department describes the choices available to the individual and obtains implicit or explicit consent with respect to the collection, use and disclosure of personal information.</p>	Defined	<ul style="list-style-type: none"> A privacy policy has not been formally designed and documented to address consent of individuals. Implicit consent and explicit consent is obtained on information collection forms when sensitive information is collected. <p><i>See observation 1.</i></p>
<p>Collection</p> <p>The department collects personal information only for the purposes identified in the notice</p>	Repeatable	<ul style="list-style-type: none"> A privacy policy has not been formally designed and documented to address collection of personal information. The type of personal information collected and the method of collection is known to the individual and the department discloses the collection of information through the use of cookies and that information could be acquired. There are informal and undocumented procedures to ensure collection of information is limited to that necessary for its purpose. The form used to collect candidate information was developed by the ATIPP Coordinator with privacy requirements taken into consideration. <p><i>See observation 1.</i></p>
<p>Use, retention and disposal</p> <p>The department limits the use of personal information to the purposes identified in the notice and for which the individual has provided implicit or explicit consent.</p>	Repeatable	<ul style="list-style-type: none"> A privacy policy has not been formally designed and documented to address use, retention and disposal. Although a procedures/process has not been documented to ensure information collected is only used for the purpose for which is was collected, as EI forms are the one significant type of personal information collected by the department, and these forms have been designed to collect data for one use, there is less chance of data being used for a different purpose than intended. A procedure/process has not been documented to ensure information collected is only used for the purpose for which is was collected. <p><i>See observation 1.</i></p>
Disclosure to third parties	NA	Information is not provided to third parties

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ACCESS TO INFORMATION AND PROTECTION OF PRIVACY ACT (ATIPP) (PART 2)

Generally Accepted Privacy Principle	Assessed Maturity Level	Findings and Comments
<p>The department discloses personal information to third parties only for the purposes identified in the notice and with the implicit or explicit consent of the individual.</p>		
<p>Security for privacy</p> <p>The department protects personal information against unauthorized access (both physical and logical).</p>	Repeatable	<ul style="list-style-type: none"> • A privacy policy has not been formally designed and documented to address security for privacy. The department has a security program in place to protect personal information from loss, misuse, unauthorized access, disclosure, alteration and destruction however the program is not formally documented. • Logical access to personal information is restricted by the department through the of the candidate database to store the EIs. Access to the database is limited to those who are involved the board processes. Information is therefore only available to those using it for the use for which is was collected. • Security measures exist over the transmission of data per office of the but are not formally designed and documented. • Tests of safeguards in place are not performed. <p><i>See observation 1.</i></p>
<p>Quality</p> <p>The department maintains accurate, complete and relevant personal information for the purposes identified in the notice.</p>	Repeatable	<ul style="list-style-type: none"> • A privacy policy has not been formally designed and documented to address quality to ensure personal information is complete and accurate for the purposes for which it is to be used and it is relevant to the purposes for which it is to be used. • The form used for collecting applicant data was developed by the ATIPP Coordinator and designed to collect information relevant to its use. <p><i>See observation 1.</i></p>
<p>Monitoring and enforcement</p> <p>The department monitors compliance with its privacy policies and procedures and has procedures to address privacy-related complaints and disputes.</p>	Ad Hoc	<ul style="list-style-type: none"> • A privacy policy has not been formally designed and documented to address monitoring and enforcement. • Monitoring and enforcement are not being done at present. <p><i>See observation 1.</i></p>

DEPARTMENT OF EXECUTIVE AND INDIGENOUS AFFAIRS

ACCESS TO INFORMATION AND PROTECTION OF PRIVACY ACT (ATIPP) (PART 2)

Observations and Recommendations

Observation 1

Privacy policy has not been designed and documented

- The personal information collected by the department is very limited.
- A privacy policy has not been documented for the department

Risk Profile:

Risk Impact	Without a documented privacy policy, consistent direction cannot be given to departmental personnel which results in inconsistent or non-compliance with ATIPP legislation.
Risk Responsibility	Deputy Minister
Risk Mitigation Support	Delegated ATIPP Coordinator and of the office of the GNWT Access and Privacy Office

Recommendations:

We recommend that:

- The Department of Justice develop a GNWT-wide privacy policy and associated guidelines.
- The department should work with Justice to ensure that departmental processes and procedures are set up to allow the department to meet the overarching policy and guidelines.
- This one policy should address requirements as set out within the ATIPP Act, and ensure the privacy principles are sufficiently addressed to meet minimum maturity requirements.

Management Response:

Action Plan	Completion Date:
EIA will be happy to work with DOJ to develop a GNWT-wide policy	To be determined by DOJ

Observation 2

An inventory of personal information collected does not exist

- The personal information collected by the department is very limited but personal information is collected by the department.
- Systems involved in collection and storage of personnel information are not documented.

Risk Profile:

Risk Impact	Without an inventory of personal information, it is not possible for the department to ensure that all areas containing personal information are adequately protected under ATIPP.
Risk Responsibility	Assistant Deputy Minister Priorities and Planning
Risk Mitigation Support	Delegated ATIPP Coordinator and office of the GNWT Access and Privacy Office

Recommendations:

We recommend that:

- An inventory of the types of personal information and the related processes, systems, and third parties involved be created and submitted to the ATIPP Coordinator for consolidation into a global department inventory. A review of all areas should then take place to ensure compliance processes and procedures are in place.

DEPARTMENT OF EXECUTIVE AND INDIGENOUS AFFAIRS

ACCESS TO INFORMATION AND PROTECTION OF PRIVACY ACT (ATIPP) (PART 2)

Management Response:

Action Plan	Completion Date:
<p>A recommendation will be made that EIA stop the practice of accepting expression of interest on the board's website. The public demand for this service falls far below original expectations and other options are available to interested parties. After this information is disposed of there will be no other personal information held by EIA and therefore no need for an inventory.</p>	<p>N/A</p>

Responses were provided by Alan Cash.

AICPA/CICA Privacy Maturity Model

March 2011



Appendix A

Notice to Reader

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Appendix A

AICPA/CICA Privacy Maturity Model

Acknowledgements

The AICPA and CICA appreciate the contributions of the volunteers who devoted significant time and effort to this project. The institutes also acknowledge the support that the following organization has provided to the development of the Privacy Maturity Model:



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Appendix A

AICPA/CICA Privacy Maturity Model

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AICPA/CICA Privacy Maturity Model User Guide

1 INTRODUCTION

Privacy related considerations are significant business requirements that must be addressed by organizations that collect, use, retain and disclose personal information about customers, employees and others about whom they have such information. **Personal information** is information that is about, or can be related to, an identifiable individual, such as name, date of birth, home address, home telephone number or an employee number. Personal information also includes medical information, physical features, behaviour and other traits.

Privacy can be defined as the rights and obligations of individuals and organizations with respect to the collection, use, retention, disclosure, and disposal of personal information.

Becoming privacy compliant is a journey. Legislation and regulations continue to evolve resulting in increasing restrictions and expectations being placed on employers, management and boards of directors. Measuring progress along the journey is often difficult and establishing goals, objectives, timelines and measurable criteria can be challenging. However, establishing appropriate and recognized benchmarks, then monitoring progress against them, can ensure the organization's privacy compliance is properly focused.

2 AICPA/CICA PRIVACY RESOURCES

The American Institute of Certified Public Accountants (AICPA) and the Canadian Institute of Chartered Accountants (CICA) have developed tools, processes and guidance based on **Generally Accepted Privacy Principles (GAPP)** to assist organizations in strengthening their privacy policies, procedures and practices. GAPP and other tools and guidance such as the AICPA/CICA Privacy Risk Assessment Tool, are available at www.aicpa.org/privacy and www.cica.ca/privacy.

Generally Accepted Privacy Principles (GAPP)

Generally Accepted Privacy Principles has been developed from a business perspective, referencing some but by no means all significant local, national and international privacy regulations. GAPP converts complex privacy requirements into a single privacy objective supported by 10 privacy principles. Each principle is supported by objective, measurable criteria (73 in all) that form the basis for effective management of privacy risk and compliance. Illustrative policy requirements, communications and controls, including their monitoring, are provided as support for the criteria.

GAPP can be used by any organization as part of its privacy program. GAPP has been developed to help management create an effective privacy program that addresses privacy risks and obligations as well as business opportunities. It can also be a useful tool to boards and others charged with governance and the provision of oversight. It includes a definition of privacy and an explanation of why privacy is a business issue and not solely a compliance issue. Also illustrated are how these principles can be applied to outsourcing arrangements and the types of privacy initiatives that can be undertaken for the benefit of organizations, their customers and related persons.

The ten principles that comprise GAPP:

- **Management.** The entity defines, documents, communicates and assigns accountability for its privacy policies and procedures.
- **Notice.** The entity provides notice about its privacy policies and procedures and identifies the purposes for which personal information is collected, used, retained and disclosed.
- **Choice and consent.** The entity describes the choices available to the individual and obtains implicit or explicit consent with respect to the collection, use and disclosure of personal information.
- **Collection.** The entity collects personal information only for the purposes identified in the notice.
- **Use, retention and disposal.** The entity limits the use of personal information to the purposes identified in the notice and for which the individual has provided implicit or explicit consent. The entity retains personal information for only as long as necessary to fulfill the stated purposes or as required by law or regulations and thereafter appropriately disposes of such information.
- **Access.** The entity provides individuals with access to their personal information for review and update.
- **Disclosure to third parties.** The entity discloses personal information to third parties only for the purposes identified in the notice and with the implicit or explicit consent of the individual.

- **Security for privacy.** The entity protects personal information against unauthorized access (both physical and logical).
- **Quality.** The entity maintains accurate, complete and relevant personal information for the purposes identified in the notice.
- **Monitoring and enforcement.** The entity monitors compliance with its privacy policies and procedures and has procedures to address privacy-related complaints and disputes.

Since GAPP forms the basis for the Privacy Maturity Model (PMM), an understanding of GAPP is required. In addition, an understanding of the entity's privacy program and any specific privacy initiatives is also required. The reviewer should also be familiar with the privacy environment in which the entity operates, including legislative, regulatory, industry and other jurisdictional privacy requirements.

Privacy Maturity Model

Maturity models are a recognized means by which organizations can measure their progress against established benchmarks. As such, they recognize that:

- becoming compliant is a journey and progress along the way strengthens the organization, whether or not the organization has achieved all of the requirements;
- in certain cases, such as security-focused maturity models, not every organization, or every security application, needs to be at the maximum for the organization to achieve an acceptable level of security; and
- creation of values or benefits may be possible if they achieve a higher maturity level.

The AICPA/CICA Privacy Maturity Model¹ is based on GAPP and the Capability Maturity Model (CMM) which has been in use for almost 20 years.

The PMM uses five maturity levels as follows:

1. Ad hoc – procedures or processes are generally informal, incomplete, and inconsistently applied.
2. Repeatable – procedures or processes exist; however, they are not fully documented and do not cover all relevant aspects.

¹ This model is based on Technical Report, CMU/SEI-93TR-024 ESC-TR-93-177, "Capability Maturity Model SM for Software, Version 1.1," Copyright 1993 Carnegie Mellon University, with special permission from the Software Engineering Institute. Any material of Carnegie Mellon University and/or its Software Engineering Institute contained herein is furnished on an "as-is" basis. Carnegie Mellon University makes no warranties of any kind, either expressed or implied, as to any matter including, but not limited to, warranty of fitness for purpose or merchantability, exclusivity, or results obtained from use of material. Carnegie Mellon University does not make any warranty of any kind with respect to freedom from patent, trademark, or copyright infringement. This model has not been reviewed nor is it endorsed by Carnegie Mellon University or its Software Engineering Institute. Capability Maturity Model, CMM, and CMMI are registered in the U.S. Patent and Trademark Office by Carnegie Mellon University.

3. Defined – procedures and processes are fully documented and implemented, and cover all relevant aspects.
4. Managed – reviews are conducted to assess the effectiveness of the controls in place.
5. Optimized – regular review and feedback are used to ensure continuous improvement towards optimization of the given process.

In developing the PMM, it was recognized that each organization's personal information privacy practices may be at various levels, whether due to legislative requirements, corporate policies or the status of the organization's privacy initiatives. It was also recognized that, based on an organization's approach to risk, not all privacy initiatives would need to reach the highest level on the maturity model.

Each of the 73 GAPP criteria is broken down according to the five maturity levels. This allows entities to obtain a picture of their privacy program or initiatives both in terms of their status and, through successive reviews, their progress.

3 ADVANTAGES OF USING THE PRIVACY MATURITY MODEL

The PMM provides entities with a useful and effective means of assessing their privacy program against a recognized maturity model and has the added advantage of identifying the next steps required to move the privacy program ahead. The PMM can also measure progress against both internal and external benchmarks. Further, it can be used to measure the progress of both specific projects and the entity's overall privacy initiative.

4 USING THE PRIVACY MATURITY MODEL

The PMM can be used to provide:

- the status of privacy initiatives
- a comparison of the organization's privacy program among business or geographical units, or the enterprise as a whole
- a time series analysis for management
- a basis for benchmarking to other comparable entities.

To be effective, users of the PMM must consider the following:

- maturity of the entity's privacy program
- ability to obtain complete and accurate information on the entity's privacy initiatives
- agreement on the Privacy Maturity assessment criteria
- level of understanding of GAPP and the PMM.

Getting Started

While the PMM can be used to set benchmarks for organizations establishing a privacy program, it is designed to be used by organizations that have an existing privacy function and some components of a privacy program. The PMM provides structured means to assist in identifying and documenting current privacy initiatives, determining status and assessing it against the PMM criteria.

Start-up activities could include:

- identifying a project sponsor (Chief Privacy Officer or equivalent)
- appointing a project lead with sufficient privacy knowledge and authority to manage the project and assess the findings
- forming an oversight committee that includes representatives from legal, human resources, risk management, internal audit, information technology and the privacy office
- considering whether the committee requires outside privacy expertise
- assembling a team to obtain and document information and perform the initial assessment of the maturity level
- managing the project by providing status reports and the opportunity to meet and assess overall progress
- providing a means to ensure that identifiable risk and compliance issues are appropriately escalated
- ensuring the project sponsor and senior management are aware of all findings
- identifying the desired maturity level by principle and/or for the entire organization for benchmarking purposes.

Document Findings against GAPP

The maturity of the organization's privacy program can be assessed when findings are:

- documented and evaluated under each of the 73 GAPP criteria
- reviewed with those responsible for their accuracy and completeness
- reflective of the current status of the entity's privacy initiatives and program. Any plans to implement additional privacy activities and initiatives should be captured on a separate document for use in the final report.

As information on the status of the entity's privacy program is documented for each of the 73 privacy criteria, it should be reviewed with the providers of the information and, once confirmed, reviewed with the project committee.

Assessing Maturity Using the PMM

Once information on the status of the entity's privacy program has been determined, the next task is to assess that information against the PMM.

Users of the PMM should review the descriptions of the activities, documents, policies, procedures and other information expected for each level of maturity and compare them to the status of the organization's privacy initiatives.

In addition, users should review the next-higher classification and determine whether the entity could or should strive to reach it.

It should be recognized that an organization may decide for a number of reasons not to be at maturity level 5. In many cases a lower level of maturity will suffice. Each organization needs to determine the maturity level that best meets their needs, according to its circumstances and the relevant legislation.

Once the maturity level for each criterion has been determined, the organization may wish to summarize the findings by calculating an overall maturity score by principle and one for the entire organization. In developing such a score, the organization should consider the following:

- sufficiency of a simple mathematical average; if insufficient, determination of the weightings to be given to the various criteria
- documentation of the rationale for weighting each criterion for use in future benchmarking.

5 PRIVACY MATURITY MODEL REPORTING

The PMM can be used as the basis for reporting on the status of the entity's privacy program and initiatives. It provides a means of reporting status and, if assessed over time, reporting progress made.

In addition, by documenting requirements of the next-higher level on the PMM, entities can determine whether and when they should initiate new privacy projects to raise their maturity level. Further, the PMM can identify situations where the maturity level has fallen and identify opportunities and requirements for remedial action.

Privacy maturity reports can be in narrative form; a more visual form can be developed using graphs and charts to indicate the level of maturity at the principle or criterion level.

The following examples based on internal reports intended for management use graphical representations.

Figure 1 - Privacy Maturity Report by GAPP Principle

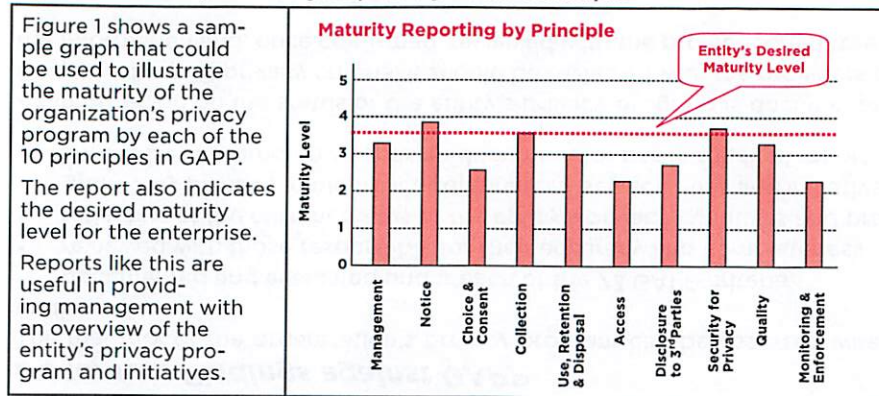


Figure 2 - Maturity Report by Criteria within a Specific GAPP Principle

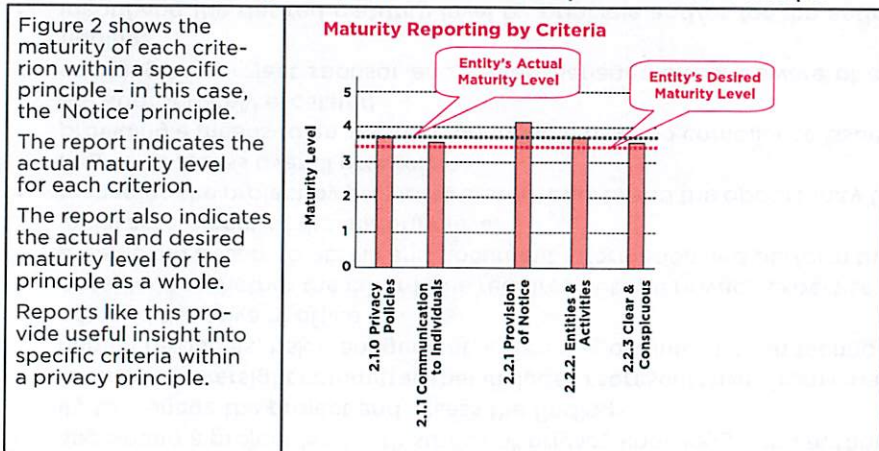
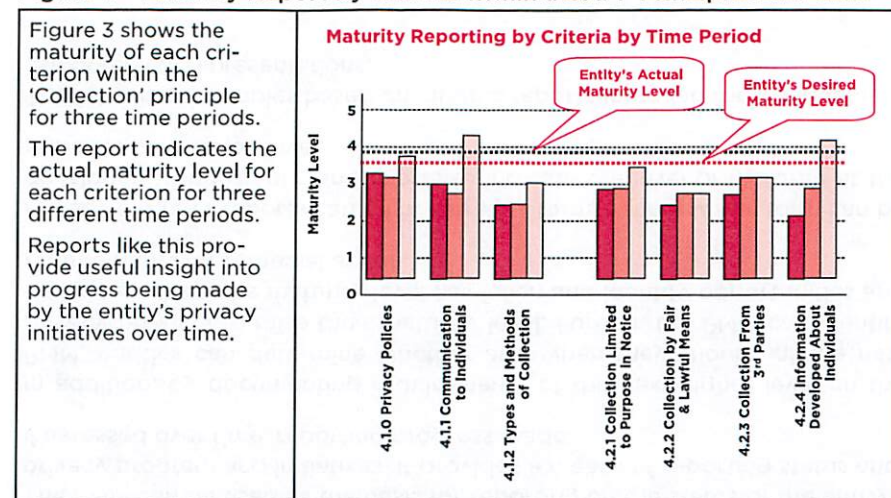


Figure 3 - Maturity Report by Criteria within a GAPP Principle Over Time



6 SUMMARY

The AICPA/CICA Privacy Maturity Model provides entities with an opportunity to assess their privacy initiatives against criteria that reflect the maturity of their privacy program and their level of compliance with Generally Accepted Privacy Principles.

The PMM can be a useful tool for management, consultants and auditors and should be considered throughout the entity's journey to develop a strong privacy program and benchmark its progress.

AICPA/CICA PRIVACY MATURITY MODEL¹

Based on Generally Accepted Privacy Principles (GAPP)²

GAPP - 73 CRITERIA	CRITERIA DESCRIPTION	MATURITY LEVELS				
		AD HOC	REPEATABLE	DEFINED	MANAGED	OPTIMIZED
MANAGEMENT (14 criteria)	The entity defines, documents, communicates, and assigns accountability for its privacy policies and procedures.					
Privacy Policies (1.1.0)	The entity defines and documents its privacy policies with respect to notice; choice and consent; collection; use, retention and disposal; access; disclosure to third parties; security for privacy; quality; and monitoring and enforcement.	Some aspects of privacy policies exist informally.	Privacy policies exist but may not be complete, and are not fully documented.	Policies are defined for: notice, choice and consent; collection; use, retention and disposal; access; disclosure; security for privacy; quality; and monitoring and enforcement.	Compliance with privacy policies is monitored and the results of such monitoring are used to reinforce key privacy messages.	Management monitors compliance with policies and procedures concerning personal information. Issues of non-compliance are identified and remedial action taken to ensure compliance in a timely fashion.
Communication to Internal Personnel (1.1.1)	Privacy policies and the consequences of non-compliance with such policies are communicated, at least annually, to the entity's internal personnel responsible for collecting, using, retaining and disclosing personal information. Changes in privacy policies are communicated to such personnel shortly after the changes are approved.	Employees may be informed about the entity's privacy policies; however, communications are inconsistent, sporadic and undocumented.	Employees are provided guidance on the entity's privacy policies and procedures through various means; however, formal policies, where they exist, are not complete.	The entity has a process in place to communicate privacy policies and procedures to employees through initial awareness and training sessions and an ongoing communications program.	Privacy policies and the consequences of non-compliance are communicated at least annually; understanding is monitored and assessed.	Changes and improvements to messaging and communications techniques are made in response to periodic assessments and feedback. Changes in privacy policies are communicated to personnel shortly after the changes are approved.

¹ This model is based on Technical Report, CMU/SEI-93TR-024 ESC-TR-93-177, "Capability Maturity Model SM for Software, Version 1.1," Copyright 1993 Carnegie Mellon University, with special permission from the Software Engineering Institute. Any material of Carnegie Mellon University and/or its Software Engineering Institute contained herein is furnished on an "as-is" basis. Carnegie Mellon University makes no warranties of any kind, either expressed or implied, as to any matter including, but not limited to, warranty of fitness for purpose or merchantability, exclusivity, or results obtained from use of material. Carnegie Mellon University does not make any warranty of any kind with respect to freedom from patent, trademark, or copyright infringement. This model has not been reviewed nor is it endorsed by Carnegie Mellon University or its Software Engineering Institute. © Capability Maturity Model, CMM, and CMMI are registered in the U.S. Patent and Trademark Office by Carnegie Mellon University.

² Published by the American Institute of Certified Public Accountants (AICPA) and Canadian Institute of Chartered Accountants (CICA)

Appendix A

AICPA/CICA Privacy Maturity Model

GAPP - 73		MATURITY LEVELS				
CRITERIA	CRITERIA DESCRIPTION	AD HOC	REPEATABLE	DEFINED	MANAGED	OPTIMIZED
MANAGEMENT (14 criteria) cont.		The entity defines, documents, communicates, and assigns accountability for its privacy policies and procedures.				
Responsibility and Accountability for Policies (1.1.2)	Responsibility and accountability are assigned to a person or group for developing, documenting, implementing, enforcing, monitoring and updating the entity's privacy policies. The names of such person or group and their responsibilities are communicated to internal personnel.	Management is becoming aware of privacy issues but has not yet identified a key sponsor or assigned responsibility. Privacy issues are addressed reactively.	Management understands the risks, requirements (including legal, regulatory and industry) and their responsibilities with respect to privacy. There is an understanding that appropriate privacy management is important and needs to be considered. Responsibility for operation of the entity's privacy program is assigned; however, the approaches are often informal and fragmented with limited authority or resources allocated.	Defined roles and responsibilities have been developed and assigned to various individuals / groups within the entity and employees are aware of those assignments. The approach to developing privacy policies and procedures is formalized and documented.	Management monitors the assignment of roles and responsibilities to ensure they are being performed, that the appropriate information and materials are developed and that those responsible are communicating effectively. Privacy initiatives have senior management support.	The entity (such as a committee of the board of directors) regularly monitors the processes and assignments of those responsible for privacy and analyzes the progress to determine its effectiveness. Where required, changes and improvements are made in a timely and effective fashion.
Review and Approval (1.2.1)	Privacy policies and procedures, and changes thereto, are reviewed and approved by management.	Reviews are informal and not undertaken on a consistent basis.	Management undertakes periodic review of privacy policies and procedures; however, little guidance has been developed for such reviews.	Management follows a defined process that requires their review and approval of privacy policies and procedures.	The entity has supplemented management review and approval with periodic reviews by both internal and external privacy specialists.	Management's review and approval of privacy policies also include periodic assessments of the privacy program to ensure all changes are warranted, made and approved; if necessary, the approval process will be revised.
Consistency of Privacy Policies and Procedures with Laws and Regulations (1.2.2)	Policies and procedures are reviewed and compared to the requirements of applicable laws and regulations at least annually and whenever changes to such laws and regulations are made. Privacy policies and procedures are revised to conform with the requirements of applicable laws and regulations.	Reviews and comparisons with applicable laws and regulations are performed inconsistently and are incomplete.	Privacy policies and procedures have been reviewed to ensure their compliance with applicable laws and regulations; however, documented guidance is not provided.	A process has been implemented that requires privacy policies to be periodically reviewed and maintained to reflect changes in privacy legislation and regulations; however, there is no proactive review of legislation.	Changes to privacy legislation and regulations are reviewed by management and changes are made to the entity's privacy policies and procedures as required. Management may subscribe to a privacy service that regularly informs them of such changes.	Management assesses the degree to which changes to legislation are reflected in their privacy policies.

GAPP - 73 CRITERIA	CRITERIA DESCRIPTION	MATURITY LEVELS				
		AD HOC	REPEATABLE	DEFINED	MANAGED	OPTIMIZED
MANAGEMENT (14 criteria) cont.	The entity defines, documents, communicates, and assigns accountability for its privacy policies and procedures.					
Personal Information Identification and Classification (1.2.3)	The types of personal information and sensitive personal information and the related processes, systems, and third parties involved in the handling of such information are identified. Such information is covered by the entity's privacy and related security policies and procedures.	The identification of personal information is irregular, incomplete, inconsistent, and potentially out of date. Personal information is not adequately addressed in the entity's privacy and related security policies and procedures. Personal information may not be differentiated from other information.	Basic categories of personal information have been identified and covered in the entity's security and privacy policies; however, the classification may not have been extended to all personal information.	All personal information collected, used, stored and disclosed within the entity has been classified and risk rated.	All personal information is covered by the entity's privacy and related security policies and procedures. Procedures exist to monitor compliance. Personal information records are reviewed to ensure appropriate classification.	Management maintains a record of all instances and uses of personal information. In addition, processes are in place to ensure changes to business processes and procedures and any supporting computerized systems, where personal information is involved, result in an updating of personal information records. Personal information records are reviewed to ensure appropriate classification.
Risk Assessment (1.2.4)	A risk assessment process is used to establish a risk baseline and, at least annually, to identify new or changed risks to personal information and to develop and update responses to such risks.	Privacy risks may have been identified, but such identification is not the result of any formal process. The privacy risks identified are incomplete and inconsistent. A privacy risk assessment has not likely been completed and privacy risks not formally documented.	Employees are aware of and consider various privacy risks. Risk assessments may not be conducted regularly, are not part of a more thorough risk management program and may not cover all areas.	Processes have been implemented for risk identification, risk assessment and reporting. A documented framework is used and risk appetite is established. For risk assessment, organizations may wish to use the AICPA/CICA Privacy Risk Assessment Tool.	Privacy risks are reviewed annually both internally and externally. Changes to privacy policies and procedures and the privacy program are updated as necessary.	The entity has a formal risk management program that includes privacy risks which may be customized by jurisdiction, business unit or function. The program maintains a risk log that is periodically assessed. A formal annual risk management review is undertaken to assess the effectiveness of the program and changes are made where necessary. A risk management plan has been implemented.
Consistency of Commitments with Privacy Policies and Procedures (1.2.5)	Internal personnel or advisers review contracts for consistency with privacy policies and procedures and address any inconsistencies.	Reviews of contracts for privacy considerations are incomplete and inconsistent.	Procedures exist to review contracts and other commitments for instances where personal information may be involved; however, such reviews are informal and not consistently used.	A log of contracts exists and all contracts are reviewed for privacy considerations and concerns prior to execution.	Existing contracts are reviewed upon renewal to ensure continued compliance with the privacy policies and procedures. Changes in the entity's privacy policies will trigger a review of existing contracts for compliance.	Contracts are reviewed on a regular basis and tracked. An automated process has been set up to flag which contracts require immediate review when changes to privacy policies and procedures are implemented.

Appendix A

AICPA/CICA Privacy Maturity Model

GAPP - 73 CRITERIA	CRITERIA DESCRIPTION	MATURITY LEVELS				
		AD HOC	REPEATABLE	DEFINED	MANAGED	OPTIMIZED
MANAGEMENT (14 criteria) cont.	The entity defines, documents, communicates, and assigns accountability for its privacy policies and procedures.					
Infrastructure and Systems Management (1.2.6)	<p>The potential privacy impact is assessed when new processes involving personal information are implemented, and when changes are made to such processes (including any such activities outsourced to third parties or contractors), and personal information continues to be protected in accordance with the privacy policies. For this purpose, processes involving personal information include the design, acquisition, development, implementation, configuration, modification and management of the following:</p> <ul style="list-style-type: none"> • Infrastructure • Systems • Applications • Web sites • Procedures • Products and services • Data bases and information repositories • Mobile computing and other similar electronic devices <p>The use of personal information in process and system test and development is prohibited unless such information is anonymized or otherwise protected in accordance with the entity's privacy policies and procedures.</p>	Changes to existing processes or the implementation of new business and system processes for privacy issues is not consistently assessed.	Privacy impact is considered during changes to business processes and/or supporting application systems; however, these processes are not fully documented and the procedures are informal and inconsistently applied.	The entity has implemented formal procedures to assess the privacy impact of new and significantly changed products, services, business processes and infrastructure (sometimes referred to as a privacy impact assessment). The entity uses a documented systems development and change management process for all information systems and related technology employed to collect, use, retain, disclose and destroy personal information.	Management monitors and reviews compliance with policies and procedures that require a privacy impact assessment.	Through quality reviews and other independent assessments, management is informed of the effectiveness of the process for considering privacy requirements in all new and modified processes and systems. Such information is analyzed and, where necessary, changes made.

GAPP - 73 CRITERIA	CRITERIA DESCRIPTION	MATURITY LEVELS				
		AD HOC	REPEATABLE	DEFINED	MANAGED	OPTIMIZED
MANAGEMENT (14 criteria) cont.	The entity defines, documents, communicates, and assigns accountability for its privacy policies and procedures.					
Privacy Incident and Breach Management (1.2.7)	<p>A documented privacy incident and breach management program has been implemented that includes, but is not limited to, the following:</p> <ul style="list-style-type: none"> • Procedures for the identification, management and resolution of privacy incidents and breaches • Defined responsibilities • A process to identify incident severity and determine required actions and escalation procedures • A process for complying with breach laws and regulations, including stakeholder breach notification, if required • An accountability process for employees or third parties responsible for incidents or breaches with remediation, penalties or discipline, as appropriate • A process for periodic review (at least annually) of actual incidents to identify necessary program updates based on the following: <ul style="list-style-type: none"> — Incident patterns and root cause — Changes in the internal control environment or external requirements (regulation or legislation) • Periodic testing or walkthrough process (at least on an annual basis) and associated program remediation as needed 	Few procedures exist to identify and manage privacy incidents; however, they are not documented and are applied inconsistently.	Procedures have been developed on how to deal with a privacy incident; however, they are not comprehensive and/or inadequate employee training has increased the likelihood of unstructured and inconsistent responses.	A documented breach management plan has been implemented that includes: accountability, identification, risk assessment, response, containment, communications (including possible notification to affected individuals and appropriate authorities, if required or deemed necessary), remediation (including post-breach analysis of the breach response) and resumption.	A walkthrough of the breach management plan is performed periodically and updates to the program are made as needed.	The internal and external privacy environments are monitored for issues affecting breach risk and breach response, evaluated and improvements are made. Management assessments are provided after any privacy breach and analyzed; changes and improvements are made.

Appendix A

AICPA/CICA Privacy Maturity Model

GAPP - 73 CRITERIA	CRITERIA DESCRIPTION	MATURITY LEVELS				
		AD HOC	REPEATABLE	DEFINED	MANAGED	OPTIMIZED
MANAGEMENT (14 criteria) cont.	The entity defines, documents, communicates, and assigns accountability for its privacy policies and procedures.					
Supporting Resources (1.2.8)	Resources are provided by the entity to implement and support its privacy policies.	Resources are only allocated on an "as needed" basis to address privacy issues as they arise.	Privacy procedures exist; however, they have been "developed" within small units or groups without support from privacy specialists.	Individuals with responsibility and/or accountability for privacy are empowered with appropriate authority and resources. Such resources are made available throughout the entity.	Management ensures that adequately qualified privacy resources are identified and made available throughout the entity to support its various privacy initiatives.	Management annually reviews its privacy program and seeks ways to improve the program's performance, including assessing the adequacy, availability and performance of resources.
Qualifications of Internal Personnel (1.2.9)	The entity establishes qualifications for personnel responsible for protecting the privacy and security of personal information and assigns such responsibilities only to those personnel who meet these qualifications and have received the necessary training.	The entity has not formally established qualifications for personnel who collect, use, disclose or otherwise handle personal information.	The entity has some established qualifications for personnel who collect, disclose, use or otherwise handle personal information, but are not fully documented. Employees receive some training on how to deal with personal information.	The entity defines qualifications for personnel who perform or manage the entity's collection, use and disclosure of personal information. Persons responsible for the protection and security of personal information have received appropriate training and have the necessary knowledge to manage the entity's collection, use and disclosure of personal information.	The entity has formed a nucleus of privacy-qualified individuals to provide privacy support to assist with specific issues, including training and job assistance.	The entity annually assesses the performance of their privacy program, including the performance and qualifications of their privacy-designated specialists. An analysis is performed of the results and changes or improvements made, as required.
Privacy Awareness and Training (1.2.10)	A privacy awareness program about the entity's privacy policies and related matters, and specific training for selected personnel depending on their roles and responsibilities, are provided.	Formal privacy training is not provided to employees; however some knowledge of privacy may be obtained from other employees or anecdotal sources.	The entity has a privacy awareness program, but training is sporadic and inconsistent.	Personnel who handle personal information have received appropriate privacy awareness and training to ensure the entity meets obligations in its privacy notice and applicable laws. Training is scheduled, timely and consistent.	An enterprise-wide privacy awareness and training program exists and is monitored by management to ensure compliance with specific training requirements. The entity has determined which employees require privacy training and tracks their participation during such training.	A strong privacy culture exists. Compulsory privacy awareness and training is provided. Such training requires employees to complete assignments to validate their understanding. When privacy incidents or breaches occur, remedial training as well as changes to the training curriculum is made in a timely fashion.

GAPP - 73 CRITERIA	CRITERIA DESCRIPTION	MATURITY LEVELS				
		AD HOC	REPEATABLE	DEFINED	MANAGED	OPTIMIZED
MANAGEMENT (14 criteria) cont.	The entity defines, documents, communicates, and assigns accountability for its privacy policies and procedures.					
Changes in Regulatory and Business Requirements (1.2.11)	<p>For each jurisdiction in which the entity operates, the effect on privacy requirements from changes in the following factors is identified and addressed:</p> <ul style="list-style-type: none"> – Legal and regulatory – Contracts, including service-level agreements – Industry requirements – Business operations and processes – People, roles, and responsibilities – Technology <p>Privacy policies and procedures are updated to reflect changes in requirements.</p>	<p>Changes in business and regulatory environments are addressed sporadically in any privacy initiatives the entity may contemplate. Any privacy-related issues or concerns that are identified only occur in an informal manner.</p>	<p>The entity is aware that certain changes may impact their privacy initiatives; however, the process is not fully documented.</p>	<p>The entity has implemented policies and procedures designed to monitor and act upon changes in the business and/or regulatory environment. The procedures are inclusive and employees receive training in their use as part of an enterprise-wide privacy program.</p>	<p>The entity has established a process to monitor the privacy environment and identify items that may impact its privacy program. Changes are considered in terms of the entity's legal, contracting, business, human resources and technology.</p>	<p>The entity has established a process to continually monitor and update any privacy obligations that may arise from changes to legislation, regulations, industry-specific requirements and business practices.</p>
NOTICE (5 criteria)	The entity provides notice about its privacy policies and procedures and identifies the purposes for which personal information is collected, used, retained, and disclosed.					
Privacy Policies (2.1.0)	<p>The entity's privacy policies address providing notice to individuals.</p>	<p>Notice policies and procedures exist informally.</p>	<p>Notice provisions exist in privacy policies and procedures but may not cover all aspects and are not fully documented.</p>	<p>Notice provisions in privacy policies cover all relevant aspects and are fully documented.</p>	<p>Compliance with notice provisions in privacy policies and procedures is monitored and the results of such monitoring are used to reinforce key privacy messages.</p>	<p>Management monitors compliance with privacy policies and procedures relating to notice. Issues of non-compliance are identified and remedial action taken to ensure compliance.</p>
Communication to Individuals (2.1.1)	<p>Notice is provided to individuals regarding the following privacy policies: purpose; choice/consent; collection; use/retention/disposal; access; disclosure to third parties; security for privacy; quality; and monitoring/enforcement.</p> <p>If personal information is collected from sources other than the individual, such sources are described in the notice.</p>	<p>Notice to individuals is not provided in a consistent manner and may not include all aspects of privacy, such as purpose; choice/consent; collection; use, retention and disposal; access; disclosure; security for privacy; quality; and monitoring/enforcement.</p>	<p>Notice is provided to individuals regarding some of the following privacy policies at or before the time of collection: purpose; choice/consent; collection; use, retention and disposal; access; disclosure; security for privacy; quality; and monitoring/enforcement.</p>	<p>Notice is provided to individuals regarding all of the following privacy policies at or before collection and is documented: purpose; choice/consent; collection; use, retention and disposal; access; disclosure; security for privacy; quality; and monitoring/enforcement.</p>	<p>Privacy policies describe the consequences, if any, of not providing the requested information and indicate that certain information may be developed about individuals, such as buying patterns, or collected from other sources.</p>	<p>Changes and improvements to messaging and communications techniques are made in response to periodic assessments and feedback.</p>

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AICPA/CICA Privacy Maturity Model

GAPP - 73 CRITERIA	CRITERIA DESCRIPTION	MATURITY LEVELS				
		AD HOC	REPEATABLE	DEFINED	MANAGED	OPTIMIZED
NOTICE (5 criteria) cont.	The entity provides notice about its privacy policies and procedures and identifies the purposes for which personal information is collected, used, retained, and disclosed.					
Provision of Notice (2.2.1)	Notice is provided to the individual about the entity's privacy policies and procedures (a) at or before the time personal information is collected, or as soon as practical thereafter, (b) at or before the entity changes its privacy policies and procedures, or as soon as practical thereafter, or (c) before personal information is used for new purposes not previously identified.	Notice may not be readily accessible nor provided on a timely basis.	Notice provided to individuals is generally accessible but is not provided on a timely basis. Notice may not be provided in all cases when personal information is collected or used for new purposes.	The privacy notice is documented, readily accessible and available, provided in a timely fashion and clearly dated.	The entity tracks previous iterations of the privacy policies and individuals are informed about changes to a previously communicated privacy notice. The privacy notice is updated to reflect changes to policies and procedures.	The entity solicits input from relevant stakeholders regarding the appropriate means of providing notice and makes changes as deemed appropriate. Notice is provided using various techniques to meet the communications technologies of their constituents (e.g. social media, mobile communications, etc).
Entities and Activities Covered (2.2.2)	An objective description of the entities and activities covered by privacy policies is included in the privacy notice.	The privacy notice may not include all relevant entities and activities.	The privacy notice describes some of the particular entities, business segments, locations, and types of information covered.	The privacy notice objectively describes and encompasses all relevant entities, business segments, locations, and types of information covered.	The entity performs a periodic review to ensure the entities and activities covered by privacy policies are updated and accurate.	Management follows a formal documented process to consider and take appropriate action as necessary to update privacy policies and the privacy notice prior to any change in the entity's business structure and activities.
Clear and Conspicuous (2.2.3)	The privacy notice is conspicuous and uses clear language.	Privacy policies are informal, not documented and may be phrased differently when orally communicated.	The privacy notice may be informally provided but is not easily understood, nor is it easy to see or easily available at points of data collection. If a formal privacy notice exists, it may not be clear and conspicuous.	The privacy notice is in plain and simple language, appropriately labeled, easy to see, and not in small print. Privacy notices provided electronically are easy to access and navigate.	Similar formats are used for different and relevant subsidiaries or segments of an entity to avoid confusion and allow consumers to identify any differences. Notice formats are periodically reviewed for clarity and consistency.	Feedback about improvements to the readability and content of the privacy policies are analyzed and incorporated into future versions of the privacy notice.

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AICPA/CICA Privacy Maturity Model

GAPP - 73 CRITERIA	CRITERIA DESCRIPTION	MATURITY LEVELS				
		AD HOC	REPEATABLE	DEFINED	MANAGED	OPTIMIZED
CHOICE and CONSENT (7 criteria)	The entity describes the choices available to the individual and obtains implicit or explicit consent with respect to the collection, use, and disclosure of personal information.					
Privacy Policies (3.1.0)	The entity's privacy policies address the choices to individuals and the consent to be obtained.	Choice and consent policies and procedures exist informally.	Choice and consent provisions in privacy policies and procedures exist but may not cover all aspects, and are not fully documented.	Choice and consent provisions in privacy policies and procedures cover all relevant aspects and are fully documented.	Compliance with choice and consent provisions in privacy policies and procedures is monitored and the results of such monitoring are used to reinforce key privacy messages.	Management monitors compliance with privacy policies and procedures relating to choice and consent. Issues of non-compliance are identified and remedial action taken to ensure compliance.
Communication to Individuals (3.1.1)	Individuals are informed about (a) the choices available to them with respect to the collection, use, and disclosure of personal information, and (b) that implicit or explicit consent is required to collect, use, and disclose personal information, unless a law or regulation specifically requires or allows otherwise.	Individuals may be informed about the choices available to them; however, communications are inconsistent, sporadic and undocumented.	The entity's privacy notice describes in a clear and concise manner some of the following: 1) choices available to the individual regarding collection, use, and disclosure of personal information, 2) the process an individual should follow to exercise these choices, 3) the ability of, and process for, an individual to change contact preferences and 4) the consequences of failing to provide personal information required.	The entity's privacy notice describes, in a clear and concise manner, all of the following: 1) choices available to the individual regarding collection, use, and disclosure of personal information, 2) the process an individual should follow to exercise these choices, 3) the ability of, and process for, an individual to change contact preferences and 4) the consequences of failing to provide personal information required.	Privacy policies and procedures are reviewed periodically to ensure the choices available to individuals are updated as necessary and the use of explicit or implicit consent is appropriate with regard to the personal information being used or disclosed.	Changes and improvements to messaging and communications techniques and technologies are made in response to periodic assessments and feedback.
Consequences of Denying or Withdrawing Consent (3.1.2)	When personal information is collected, individuals are informed of the consequences of refusing to provide personal information or of denying or withdrawing consent to use personal information for purposes identified in the notice.	Individuals may not be informed consistently about the consequences of refusing, denying or withdrawing.	Consequences may be identified but may not be fully documented or consistently disclosed to individuals.	Individuals are informed about the consequences of refusing to provide personal information or denying or withdrawing consent.	Processes are in place to review the stated consequences periodically to ensure completeness, accuracy and relevance.	Processes are implemented to reduce the consequences of denying consent, such as increasing the granularity of the application of such consequences.

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AICPA/CICA Privacy Maturity Model

GAPP - 73 CRITERIA	CRITERIA DESCRIPTION	MATURITY LEVELS				
		AD HOC	REPEATABLE	DEFINED	MANAGED	OPTIMIZED
CHOICE and CONSENT (7 criteria) cont.	The entity describes the choices available to the individual and obtains implicit or explicit consent with respect to the collection, use, and disclosure of personal information.					
Implicit or Explicit Consent (3.2.1)	Implicit or explicit consent is obtained from the individual at or before the time personal information is collected or soon after. The individual's preferences expressed in his or her consent are confirmed and implemented.	Consent is neither documented nor consistently obtained at or before collection of personal information.	Consent is consistently obtained, but may not be documented or obtained in a timely fashion.	Consent is obtained before or at the time personal information is collected and preferences are implemented (such as making appropriate database changes and ensuring that programs that access the database test for the preference). Explicit consent is documented and implicit consent processes are appropriate. Processes are in place to ensure that consent is recorded by the entity and referenced prior to future use.	An individual's preferences are confirmed and any changes are documented and referenced prior to future use.	Consent processes are periodically reviewed to ensure the individual's preferences are being appropriately recorded and acted upon and, where necessary, improvements made. Automated processes are followed to test consent prior to use of personal information.
Consent for New Purposes and Uses (3.2.2)	If information that was previously collected is to be used for purposes not previously identified in the privacy notice, the new purpose is documented, the individual is notified and implicit or explicit consent is obtained prior to such new use or purpose.	Individuals are not consistently notified about new proposed uses of personal information previously collected.	Individuals are consistently notified about new purposes not previously specified. A process exists to notify individuals but may not be fully documented and consent might not be obtained before new uses.	Consent is obtained and documented prior to using personal information for purposes other than those for which it was originally collected.	Processes are in place to ensure personal information is used only in accordance with the purposes for which consent has been obtained and to ensure it is not used if consent is withdrawn. Monitoring is in place to ensure personal information is not used without proper consent.	Consent processes are periodically reviewed to ensure consent for new purposes is being appropriately recorded and acted upon and where necessary, improvements made. Automated processes are followed to test consent prior to use of personal information.
Explicit Consent for Sensitive Information (3.2.3)	Explicit consent is obtained directly from the individual when sensitive personal information is collected, used, or disclosed, unless a law or regulation specifically requires otherwise.	Explicit consent is not consistently obtained prior to collection of sensitive personal information.	Employees who collect personal information are aware that explicit consent is required when obtaining sensitive personal information; however, the process is not well defined or fully documented.	A documented formal process has been implemented requiring explicit consent be obtained directly from the individual prior to, or as soon as practically possible, after collection of sensitive personal information.	The process is reviewed and compliance monitored to ensure explicit consent is obtained prior to, or as soon as practically possible, after collection of sensitive personal information.	For procedures that collect sensitive personal information and do not obtain explicit consent, remediation plans are identified and implemented to ensure explicit consent has been obtained.

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GAPP - 73 CRITERIA	CRITERIA DESCRIPTION	MATURITY LEVELS				
		AD HOC	REPEATABLE	DEFINED	MANAGED	OPTIMIZED
CHOICE and CONSENT (7 criteria) cont.	The entity describes the choices available to the individual and obtains implicit or explicit consent with respect to the collection, use, and disclosure of personal information.					
Consent for Online Data Transfers To or From an Individual's Computer or Other Similar Electronic Devices (3.2.4)	Consent is obtained before personal information is transferred to/from an individual's computer or similar device.	Consent is not consistently obtained before personal information is transferred to/from another computer or other similar device.	Software enables an individual to provide consent before personal information is transferred to/from another computer or other similar device.	The application is designed to consistently solicit and obtain consent before personal information is transferred to/from another computer or other similar device and does not make any such transfers if consent has not been obtained. Such consent is documented.	The process is reviewed and compliance monitored to ensure consent is obtained before any personal information is transferred to/from an individual's computer or other similar device.	Where procedures have been identified that do not obtain consent before personal information is transferred to/from an individual's computer or other similar device, remediation plans are identified and implemented.
COLLECTION (7 criteria)	The entity collects personal information only for the purposes identified in the notice.					
Privacy Policies (4.1.0)	The entity's privacy policies address the collection of personal information.	Collection policies and procedures exist informally.	Collection provisions in privacy policies and procedures exist but might not cover all aspects, and are not fully documented.	Collection provisions in privacy policies cover all relevant aspects of collection and are fully documented.	Compliance with collection provisions in privacy policies and procedures is monitored and the results of such monitoring are used to reinforce key privacy messages.	Management monitors compliance with privacy policies and procedures relating to collection. Issues of non-compliance are identified and remedial action taken to ensure compliance.
Communication to Individuals (4.1.1)	Individuals are informed that personal information is collected only for the purposes identified in the notice.	Individuals may be informed that personal information is collected only for purposes identified in the notice; however, communications are inconsistent, sporadic and undocumented.	Individuals are informed that personal information is collected only for the purposes identified in the notice. Such notification is generally not documented.	Individuals are informed that personal information is collected only for the purposes identified in the notice and the sources and methods used to collect this personal information are identified. Such notification is available in written format.	Privacy policies are reviewed periodically to ensure the areas related to collection are updated as necessary.	Changes and improvements to messaging and communications methods and techniques are made in response to periodic assessments and feedback.

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AICPA/CICA Privacy Maturity Model

GAPP - 73 CRITERIA	CRITERIA DESCRIPTION	MATURITY LEVELS				
		AD HOC	REPEATABLE	DEFINED	MANAGED	OPTIMIZED
COLLECTION (7 criteria) cont.	The entity collects personal information only for the purposes identified in the notice.					
Types of Personal Information Collected and Methods of Collection (4.1.2)	The types of personal information collected and the methods of collection, including the use of cookies or other tracking techniques, are documented and described in the privacy notice.	Individuals may be informed about the types of personal information collected and the methods of collection; however, communications are informal, may not be complete and may not fully describe the methods of collection.	The types of personal information collected and the methods of collection, including the use of cookies or other tracking techniques, are neither fully documented nor fully described in the privacy notice.	The types of personal information collected and the methods of collection, including the use of cookies or other tracking techniques, are fully documented and fully described in the privacy notice. The notice also discloses whether information is developed or acquired about individuals, such as buying patterns. The notice also describes the consequences if the cookie is refused.	Management monitors business processes to identify new types of personal information collected and new methods of collection to ensure they are described in the privacy notice.	The privacy notice is reviewed regularly and updated in a timely fashion to describe all the types of personal information being collected and the methods used to collect them.
Collection Limited to Identified Purpose (4.2.1)	The collection of personal information is limited to that necessary for the purposes identified in the notice.	Informal and undocumented procedures are relied upon to ensure collection is limited to that necessary for the purposes identified in the privacy notice.	Policies and procedures, may not: <ul style="list-style-type: none"> • be fully documented; • distinguish the personal information essential for the purposes identified in the notice; • differentiate personal information from optional information. 	Policies and procedures that have been implemented are fully documented to clearly distinguish the personal information essential for the purposes identified in the notice and differentiate it from optional information. Collection of personal information is limited to information necessary for the purposes identified in the privacy notice.	Policies and procedures are in place to periodically review the entity's needs for personal information.	Policies, procedures and business processes are updated due to changes in the entity's needs for personal information. Corrective action is undertaken when information not necessary for the purposes identified is collected.

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GAPP - 73 CRITERIA	CRITERIA DESCRIPTION	MATURITY LEVELS				
		AD HOC	REPEATABLE	DEFINED	MANAGED	OPTIMIZED
COLLECTION (7 criteria) cont.		The entity collects personal information only for the purposes identified in the notice.				
Collection by Fair and Lawful Means (4.2.2)	Methods of collecting personal information are reviewed by management before they are implemented to confirm that personal information is obtained (a) fairly, without intimidation or deception, and (b) lawfully, adhering to all relevant rules of law, whether derived from statute or common law, relating to the collection of personal information.	Informal procedures exist limiting the collection of personal information to that which is fair and lawful; however, they may be incomplete and inconsistently applied.	Management may conduct reviews of how personal information is collected, but such reviews are inconsistent and untimely. Policies and procedures related to the collection of personal information are either not fully documented or incomplete.	Methods of collecting personal information are reviewed by management before they are implemented to confirm that personal information is obtained (a) fairly, without intimidation or deception, and (b) lawfully, adhering to all relevant rules of law, whether derived from statute or common law, relating to the collection of personal information.	Methods of collecting personal information are periodically reviewed by management after implementation to confirm personal information is obtained fairly and lawfully.	Complaints to the entity are reviewed to identify where unlawful or deceptive practices exist. Such complaints are reviewed, analyzed and changes to policies and procedures to correct such practices are implemented.
Collection from Third Parties (4.2.3)	Management confirms that third parties from whom personal information is collected (that is, sources other than the individual) are reliable sources that collect information fairly and lawfully.	Limited guidance and direction exist to assist in the review of third-party practices regarding collection of personal information.	Reviews of third-party practices are performed but such procedures are not fully documented.	The entity consistently reviews privacy policies, collection methods, and types of consents of third parties before accepting personal information from third-party data sources. Clauses are included in agreements that require third-parties to collect information fairly and lawfully and in accordance with the entity's privacy policies.	Once agreements have been implemented, the entity conducts a periodic review of third-party collection of personal information. Corrective actions are discussed with third parties.	Lessons learned from contracting and contract management processes are analyzed and, where appropriate, improvements are made to existing and future contracts involving collection of personal information involving third parties.
Information Developed About Individuals (4.2.4)	Individuals are informed if the entity develops or acquires additional information about them for its use.	Policies and procedures informing individuals that additional information about them is being collected or used are informal, inconsistent and incomplete.	Policies and procedures exist to inform individuals when the entity develops or acquires additional personal information about them for its use; however, procedures are not fully documented or consistently applied.	The entity's privacy notice indicates that, if applicable, it may develop and/or acquire information about individuals by using third-party sources, browsing, e-mail content, credit and purchasing history. Additional consent is obtained where necessary.	The entity monitors information collection processes, including the collection of additional information, to ensure appropriate notification and consent requirements are complied with. Where necessary, changes are implemented.	The entity's privacy notice provides transparency in the collection, use and disclosure of personal information. Individuals are given multiple opportunities to learn how personal information is developed or acquired.

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AICPA/CICA Privacy Maturity Model

GAPP - 73		MATURITY LEVELS				
CRITERIA	CRITERIA DESCRIPTION	AD HOC	REPEATABLE	DEFINED	MANAGED	OPTIMIZED
USE, RETENTION AND DISPOSAL (5 criteria)	The entity limits the use of personal information to the purposes identified in the notice and for which the individual has provided implicit or explicit consent. The entity retains personal information for only as long as necessary to fulfill the stated purposes or as required by law or regulations and thereafter appropriately disposes of such information.					
Privacy Policies (5.1.0)	The entity's privacy policies address the use, retention, and disposal of personal information.	Procedures for the use, retention and disposal of personal information are ad hoc, informal and likely incomplete.	Use, retention and disposal provisions in privacy policies and procedures exist but may not cover all aspects, and are not fully documented.	Use, retention and disposal provisions in privacy policies and procedures cover all relevant aspects and are fully documented.	Compliance with use, retention and disposal provisions in privacy policies and procedures is monitored.	Management monitors compliance with privacy policies and procedures relating to use, retention and disposal. Issues of non-compliance are identified and remedial action taken to ensure compliance in a timely fashion.
Communication to Individuals (5.1.1)	Individuals are informed that personal information is (a) used only for the purposes identified in the notice and only if the individual has provided implicit or explicit consent, unless a law or regulation specifically requires otherwise, (b) retained for no longer than necessary to fulfill the stated purposes, or for a period specifically required by law or regulation, and (c) disposed of in a manner that prevents loss, theft, misuse or unauthorized access.	Individuals may be informed about the uses, retention and disposal of their personal information; however, communications are inconsistent, sporadic and undocumented.	Individuals are informed about the use, retention and disposal of personal information, but this communication may not cover all aspects and is not fully documented. Retention periods are not uniformly communicated.	Individuals are consistently and uniformly informed about use, retention and disposal of personal information. Data retention periods are identified and communicated to individuals.	Methods are in place to update communications to individuals when changes occur to use, retention and disposal practices.	Individuals' general level of understanding of use, retention and disposal of personal information is assessed. Feedback is used to continuously improve communication methods.
Use of Personal Information (5.2.1)	Personal information is used only for the purposes identified in the notice and only if the individual has provided implicit or explicit consent, unless a law or regulation specifically requires otherwise.	The use of personal information may be inconsistent with the purposes identified in the notice. Consent is not always obtained consistently.	Policies and procedures regarding the use of information have been adopted; however, they are not documented and may not be consistently applied.	Use of personal information is consistent with the purposes identified in the privacy notice. Consent for these uses is consistently obtained. Uses of personal information throughout the entity are in accordance with the individual's preferences and consent.	Uses of personal information are monitored and periodically reviewed for appropriateness. Management ensures that any discrepancies are corrected on a timely basis.	The uses of personal information are monitored and periodically assessed for appropriateness; verifications of consent and usage are conducted through the use of automation. Any discrepancies are remediated in a timely fashion. Changes to laws and regulations are monitored and the entity's policies and procedures are amended as required.

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GAPP - 73 CRITERIA	CRITERIA DESCRIPTION	MATURITY LEVELS				
		AD HOC	REPEATABLE	DEFINED	MANAGED	OPTIMIZED
USE, RETENTION AND DISPOSAL (5 criteria) cont.	The entity limits the use of personal information to the purposes identified in the notice and for which the individual has provided implicit or explicit consent. The entity retains personal information for only as long as necessary to fulfill the stated purposes or as required by law or regulations and thereafter appropriately disposes of such information.					
Retention of Personal Information (5.2.2)	Personal information is retained for no longer than necessary to fulfill the stated purposes unless a law or regulation specifically requires otherwise.	The retention of personal information is irregular and inconsistent.	Policies and procedures for identifying retention periods of personal information have been adopted, but may not be fully documented or cover all relevant aspects.	The entity has documented its retention policies and procedures and consistently retains personal information in accordance with such policies and practices.	Retention practices are periodically reviewed for compliance with policies and changes implemented when necessary.	The retention of personal information is monitored and periodically assessed for appropriateness, and verifications of retention are conducted. Such processes are automated to the extent possible. Any discrepancies found are remediated in a timely fashion.
Disposal, Destruction and Redaction of Personal Information (5.2.3)	Personal information no longer retained is anonymized, disposed of or destroyed in a manner that prevents loss, theft, misuse or unauthorized access.	The disposal, destruction and redaction of personal information is irregular, inconsistent and incomplete.	Policies and procedures for identifying appropriate and current processes and techniques for the appropriate disposal, destruction and redaction of personal information have been adopted but are not fully documented or complete.	The entity has documented its policies and procedures regarding the disposal, destruction and redaction of personal information, implemented such practices and ensures that these practices are consistent with the privacy notice.	The disposal, destruction, and redaction of personal information are consistently documented and periodically reviewed for compliance with policies and appropriateness.	The disposal, destruction, and redaction of personal information are monitored and periodically assessed for appropriateness, and verification of the disposal, destruction and redaction conducted. Such processes are automated to the extent possible. Any discrepancies found are remediated in a timely fashion.
ACCESS (8 criteria)	The entity provides individuals with access to their personal information for review and update.					
Privacy Policies (6.1.0)	The entity's privacy policies address providing individuals with access to their personal information.	Informal access policies and procedures exist.	Access provisions in privacy policies and procedures exist but may not cover all aspects, and are not fully documented.	Access provisions in privacy policies and procedures exist but may not cover all aspects, and are not fully documented.	Compliance with access provisions in privacy policies and procedures is monitored.	Management monitors compliance with privacy policies and procedures relating to access. Issues of non-compliance are identified and remedial action taken to ensure compliance.

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GAPP - 73 CRITERIA	CRITERIA DESCRIPTION	MATURITY LEVELS				
		AD HOC	REPEATABLE	DEFINED	MANAGED	OPTIMIZED
ACCESS (8 criteria) cont.	The entity provides individuals with access to their personal information for review and update.					
Communication to Individuals (6.1.1)	Individuals are informed about how they may obtain access to their personal information to review, update and correct that information.	Individuals may be informed about how they may obtain access to their personal information; however, communications are inconsistent, sporadic and undocumented.	Individuals are usually informed about procedures available to them to access their personal information, but this communication process may not cover all aspects and is not fully documented. Update and correction options may not be uniformly communicated.	Individuals are usually informed about procedures available to them to access their personal information, but this communication process may not cover all aspects and is not fully documented. Update and correction options may not be uniformly communicated.	Processes are in place to update communications to individuals when changes occur to access policies, procedures and practices.	The entity ensures that individuals are informed about their personal information access rights, including update and correction options, through channels such as direct communication programs, notification on statements and other mailings and training and awareness programs for staff. Management monitors and assesses the effects of its various initiatives and seeks to continuously improve methods of communication and understanding.
Access by Individuals to their Personal Information (6.2.1)	Individuals are able to determine whether the entity maintains personal information about them and, upon request, may obtain access to their personal information.	The entity has informal procedures granting individuals access to their information; however, such procedures are not documented and may not be consistently applied.	Some procedures are in place to allow individuals to access their personal information, but they may not cover all aspects and may not be fully documented.	Procedures to search for an individual's personal information and to grant individuals access to their information have been documented, implemented and cover all relevant aspects. Employees have been trained in how to respond to these requests, including recording such requests.	Procedures are in place to ensure individuals receive timely communication of what information the entity maintains about them and how they can obtain access. The entity monitors information and access requests to ensure appropriate access to such personal information is provided. The entity identifies and implements measures to improve the efficiency of its searches for an individual's personal information.	The entity reviews the processes used to handle access requests to determine where improvements may be made and implements such improvements. Access to personal information is automated and self-service when possible and appropriate.

GAPP - 73 CRITERIA	CRITERIA DESCRIPTION	MATURITY LEVELS				
		AD HOC	REPEATABLE	DEFINED	MANAGED	OPTIMIZED
ACCESS (8 criteria) cont.	The entity provides individuals with access to their personal information for review and update.					
Confirmation of an Individual's Identity (6.2.2)	The identity of individuals who request access to their personal information is authenticated before they are given access to that information.	Procedures to authenticate individuals requesting access to their information are informal, not documented and may not be consistently applied.	Procedures are in place to confirm the identity of individuals requesting access to their personal information before they are granted access, but do not cover all aspects and may not be documented. Level of authentication required may not be appropriate to the personal information being accessed.	Confirmation/authentication methods have been implemented to uniformly and consistently confirm the identity of individuals requesting access to their personal information, including the training of employees.	Procedures are in place to track and monitor the confirmation/authentication of individuals before they are granted access to personal information, and to review the validity of granting access to such personal information.	The successful confirmation/authentication of individuals before they are granted access to personal information is monitored and periodically assessed for type 1 (where errors are not caught) and type 2 (where an error has been incorrectly identified) errors. Remediation plans to lower the error rates are formulated and implemented.
Understandable Personal Information, Time Frame, and Cost (6.2.3)	Personal information is provided to the individual in an understandable form, in a reasonable timeframe, and at a reasonable cost, if any.	The entity has some informal procedures designed to provide information to individuals in an understandable form. Timeframes and costs charged may be inconsistent and unreasonable.	Procedures are in place requiring that personal information be provided to the individual in an understandable form, in a reasonable timeframe and at a reasonable cost, but may not be fully documented or cover all aspects.	Procedures have been implemented that consistently and uniformly provide personal information to the individual in an understandable form, in a reasonable timeframe and at a reasonable cost.	Procedures are in place to track and monitor the response time in providing personal information, the associated costs incurred by the entity and any charges to the individual making the request. Periodic assessments of the understandability of the format for information provided to individuals are conducted.	Reports of response times in providing personal information are monitored and assessed. The associated costs incurred by the entity and any charges to the individual making the request are periodically assessed. Periodic assessments of the understandability of the format for information provided to individuals are conducted. Remediation plans are made and implemented for unacceptable response time, excessive or inconsistent charges and difficult-to-read personal information report formats. Conversion of personal information to an understandable form is automated where possible and appropriate.

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GAPP - 73		MATURITY LEVELS				
CRITERIA	CRITERIA DESCRIPTION	AD HOC	REPEATABLE	DEFINED	MANAGED	OPTIMIZED
ACCESS (8 criteria) cont.		The entity provides individuals with access to their personal information for review and update.				
Denial of Access (6.2.4)	Individuals are informed, in writing, of the reason a request for access to their personal information was denied, the source of the entity's legal right to deny such access, if applicable, and the individual's right, if any, to challenge such denial, as specifically permitted or required by law or regulation.	Informal procedures are used to inform individuals, of the reason a request for access to their personal information was denied; however they are incomplete and inconsistently applied.	Procedures are in place to inform individuals of the reason a request for access to their personal information was denied, but they may not be documented or cover all aspects. Notification may not be in writing or include the entity's legal rights to deny such access and the individual's right to challenge denials.	Consistently applied and uniform procedures have been implemented to inform individuals in writing of the reason a request for access to their personal information was denied. The entity's legal rights to deny such access have been identified as well as the individual's right to challenge denials.	Procedures are in place to review the response time to individuals whose access request has been denied, reasons for such denials, as well as any communications regarding challenges.	Reports of denial reasons, response times and challenge communications are monitored and assessed. Remediation plans are identified and implemented for unacceptable response time and inappropriate denials of access. The denial process is automated and includes electronic responses where possible and appropriate.
Updating or Correcting Personal Information (6.2.5)	Individuals are able to update or correct personal information held by the entity. If practical and economically feasible to do so, the entity provides such updated or corrected information to third parties that previously were provided with the individual's personal information.	Informal and undocumented procedures exist that provide individuals with information on how to update or correct personal information held by the entity; however, they are incomplete and inconsistently applied.	Some procedures are in place for individuals to update or correct personal information held by the entity, but they are not complete and may not be fully documented. A process exists to review and confirm the validity of such requests and inform third parties of changes made; however, not all of the processes are documented.	Documented policies with supporting procedures have been implemented to consistently and uniformly inform individuals of how to update or correct personal information held by the entity. Procedures have been implemented to consistently and uniformly provide updated information to third parties that previously received the individual's personal information.	Procedures are in place to track data update and correction requests and to validate the accuracy and completeness of such data. Documentation or justification is kept for not providing information updates to relevant third parties.	Reports of updates and correction requests and response time to update records are monitored and assessed. Documentation or justification for not providing information updates to relevant third parties is monitored and assessed to determine whether the economically feasible requirement was met. Updating is automated and self-service where possible and appropriate. Distribution of updated information to third parties is also automated where possible and appropriate.

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GAPP - 73 CRITERIA	CRITERIA DESCRIPTION	MATURITY LEVELS				
		AD HOC	REPEATABLE	DEFINED	MANAGED	OPTIMIZED
ACCESS (8 criteria) cont.	The entity provides individuals with access to their personal information for review and update.					
Statement of Disagreement (6.2.6)	Individuals are informed, in writing, about the reason a request for correction of personal information was denied, and how they may appeal.	Procedures used to inform individuals of the reason a request for correction of personal information was denied, and how they may appeal are inconsistent and undocumented.	Procedures are in place to inform individuals about the reason a request for correction of personal information was denied, and how they may appeal, but they are not complete or documented.	Documented policies and procedures that cover relevant aspects have been implemented to inform individuals in writing about the reason a request for correction of personal information was denied, and how they may appeal.	Procedures are in place to track and review the reasons a request for correction of personal information was denied.	Cases that involve disagreements over the accuracy and completeness of personal information are reviewed and remediation plans are identified and implemented as appropriate. The process to complete a Statement of Disagreement is automated where possible and appropriate.
DISCLOSURE TO THIRD PARTIES (7 criteria)	The entity discloses personal information to third parties only for the purposes identified in the notice and with the implicit or explicit consent of the individual.					
Privacy Policies (7.1.0)	The entity's privacy policies address the disclosure of personal information to third parties.	Informal disclosure policies and procedures exist but may not be consistently applied.	Disclosure provisions in privacy policies exist but may not cover all aspects, and are not fully documented.	Disclosure provisions in privacy policies cover all relevant aspects and are fully documented.	Compliance with disclosure provisions in privacy policies is monitored.	Management monitors compliance with privacy policies and procedures relating to disclosure to third parties. Issues of non-compliance are identified and remedial action taken to ensure compliance.
Communication to Individuals (7.1.1)	Individuals are informed that personal information is disclosed to third parties only for the purposes identified in the notice and for which the individual has provided implicit or explicit consent unless a law or regulation specifically allows or requires otherwise.	Individuals may be informed that personal information is disclosed to third parties only for the purposes identified in the notice; however, communications are inconsistent, sporadic and undocumented.	Procedures are in place to inform individuals that personal information is disclosed to third parties; however, limited documentation exists and the procedures may not be performed consistently or in accordance with relevant laws and regulations.	Documented procedures that cover all relevant aspects, and in accordance with relevant laws and regulations are in place to inform individuals that personal information is disclosed to third parties, but only for the purposes identified in the privacy notice and for which the individual has provided consent. Third parties or classes of third parties to whom personal information is disclosed are identified.	Procedures exist to review new or changed business processes, third parties or regulatory bodies requiring compliance to ensure appropriate communications to individuals are provided and consent obtained where necessary.	Issues identified or communicated to the entity with respect to the disclosure of personal information to third parties are monitored and, where necessary, changes and improvements made to the policies and procedures to better inform individuals.

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GAPP - 73 CRITERIA	CRITERIA DESCRIPTION	MATURITY LEVELS				
		AD HOC	REPEATABLE	DEFINED	MANAGED	OPTIMIZED
DISCLOSURE TO THIRD PARTIES (7 criteria) cont.	The entity discloses personal information to third parties only for the purposes identified in the notice and with the implicit or explicit consent of the individual.					
Communication to Third Parties (7.1.2)	Privacy policies or other specific instructions or requirements for handling personal information are communicated to third parties to whom personal information is disclosed.	Procedures to communicate to third parties their responsibilities with respect to personal information provided to them are informal, inconsistent and incomplete.	Procedures are in place to communicate to third parties the entity's privacy policies or other specific instructions or requirements for handling personal information, but they are inconsistently applied and not fully documented.	Documented policies and procedures exist and are consistently and uniformly applied to communicate to third parties the privacy policies or other specific instructions or requirements for handling personal information. Written agreements with third parties are in place confirming their adherence to the entity's privacy policies and procedures.	A review is periodically performed to ensure third parties have received the entity's privacy policies, instructions and other requirements relating to personal information that has been disclosed. Acknowledgement of the receipt of the above is monitored.	Contracts and other agreements involving personal information provided to third parties are reviewed to ensure the appropriate information has been communicated and agreement has been obtained. Remediation plans are developed and implemented where required.
Disclosure of Personal Information (7.2.1)	Personal information is disclosed to third parties only for the purposes described in the notice, and for which the individual has provided implicit or explicit consent, unless a law or regulation specifically requires or allows otherwise.	Procedures regarding the disclosure of personal information to third parties are informal, incomplete and applied inconsistently.	Procedures are in place to ensure disclosure of personal information to third parties is only for the purposes described in the privacy notice and for which the individual has provided consent, unless laws or regulations allow otherwise; however, such procedures may not be fully documented or consistently and uniformly evaluated.	Documented procedures covering all relevant aspects have been implemented to ensure disclosure of personal information to third parties is only for the purposes described in the privacy notice and for which the individual has provided consent, unless laws or regulations allow otherwise. They are uniformly and consistently applied.	Procedures are in place to test and review whether disclosure to third parties is in compliance with the entity's privacy policies.	Reports of personal information provided to third parties are maintained and such reports are reviewed to ensure only information that has consent has been provided to third parties. Remediation plans are developed and implemented where inappropriate disclosure has occurred or where third parties are not in compliance with their commitments. Disclosure to third parties may be automated.

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GAPP - 73 CRITERIA	CRITERIA DESCRIPTION	MATURITY LEVELS				
		AD HOC	REPEATABLE	DEFINED	MANAGED	OPTIMIZED
DISCLOSURE TO THIRD PARTIES (7 criteria) cont.	The entity discloses personal information to third parties only for the purposes identified in the notice and with the implicit or explicit consent of the individual.					
Protection of Personal Information (7.2.2)	Personal information is disclosed only to third parties who have agreements with the entity to protect personal information in a manner consistent with the relevant aspects of the entity's privacy policies or other specific instructions or requirements. The entity has procedures in place to evaluate that the third parties have effective controls to meet the terms of the agreement, instructions, or requirements.	Procedures used to ensure third-party agreements are in place to protect personal information prior to disclosing to third parties are informal, incomplete and inconsistently applied. The entity does not have procedures to evaluate the effectiveness of third-party controls to protect personal information.	Procedures are in place to ensure personal information is disclosed only to third parties that have agreements with the entity to protect personal information in a manner consistent with the relevant aspects of the entity's privacy policies or other specific instructions or requirements, but are not consistently and uniformly applied or fully documented. Some procedures are in place to determine whether third parties have reasonable controls; however, they are not consistently and uniformly assessed.	Documented policies and procedures covering all relevant aspects have been implemented to ensure personal information is disclosed only to third parties that have agreements with the entity to protect personal information in a manner consistent with the relevant aspects of the entity's privacy policies or other specific instructions or requirements. The entity has procedures to evaluate whether third parties have effective controls to meet the terms of the agreement, instructions or requirements.	An assessment of third party procedures is periodically performed to ensure such procedures continue to meet the entity's requirements. Such assessments may be performed by the entity or an independent qualified third party.	Changes in a third-party environment are monitored to ensure the third party can continue to meet its obligations with respect to personal information disclosed to them. Remediation plans are developed and implemented where necessary. The entity evaluates compliance using a number of approaches to obtain an increasing level of assurance depending on its risk assessment.
New Purposes and Uses (7.2.3)	Personal information is disclosed to third parties for new purposes or uses only with the prior implicit or explicit consent of the individual.	Procedures to ensure the proper disclosure of personal information to third parties for new purposes or uses are informal, inconsistent and incomplete.	Procedures exist to ensure the proper disclosure of personal information to third parties for new purposes; however, they may not be consistently and uniformly applied and not fully documented.	Documented procedures covering all relevant aspects have been implemented to ensure the proper disclosure of personal information to third parties for new purposes. Such procedures are uniformly and consistently applied. Consent from individuals prior to disclosure is documented. Existing agreements with third parties are reviewed and updated to reflect the new purposes and uses.	Monitoring procedures are in place to ensure proper disclosure of personal information to third parties for new purposes. The entity monitors to ensure the newly disclosed information is only being used for the new purposes or as specified.	Reports of disclosure of personal information to third parties for new purposes and uses, as well as the associated consent by the individual, where applicable, are monitored and assessed, to ensure appropriate consent has been obtained and documented. Collection of consent for new purposes and uses is automated where possible and appropriate.

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GAPP - 73		MATURITY LEVELS				
CRITERIA	CRITERIA DESCRIPTION	AD HOC	REPEATABLE	DEFINED	MANAGED	OPTIMIZED
DISCLOSURE TO THIRD PARTIES (7 criteria) cont.	The entity discloses personal information to third parties only for the purposes identified in the notice and with the implicit or explicit consent of the individual.					
Misuse of Personal Information by a Third Party (7.2.4)	The entity takes remedial action in response to misuse of personal information by a third party to whom the entity has transferred such information.	Procedures to determine and address misuse of personal information by a third party are informal, incomplete and inconsistently applied.	Procedures are in place to require remedial action in response to misuse of personal information by a third party, but they are not consistently and uniformly applied or fully documented.	Documented policies and procedures covering all relevant aspects are in place to take remedial action in response to misuse of personal information by a third party. Such procedures are consistently and uniformly applied.	Monitoring procedures are in place to track the response to misuse of personal information by a third party from initial discovery through to remedial action.	Exception reports are used to record inappropriate or unacceptable activities by third parties and to monitor the status of remedial activities. Remediation plans are developed and procedures implemented to address unacceptable or inappropriate use.
SECURITY FOR PRIVACY (9 criteria)	The entity protects personal information against unauthorized access (both physical and logical).					
Privacy Policies (8.1.0)	The entity's privacy policies (including any relevant security policies) address the security of personal information.	Security policies and procedures exist informally; however, they are based on ad hoc and inconsistent processes.	Security provisions in privacy policies and procedures exist but may not cover all aspects, and are not fully documented.	Security provisions in privacy policies cover all relevant aspects and are fully documented.	Compliance with security provisions in privacy policies and procedures is evaluated and monitored.	Management monitors compliance with privacy policies and procedures relating to security. Issues of non-compliance are identified and remedial action taken to ensure compliance.
Communication to Individuals (8.1.1)	Individuals are informed that precautions are taken to protect personal information.	Individuals may be informed about security of personal information; however, communications are inconsistent, sporadic and undocumented.	Individuals are informed about security practices to protect personal information, but such disclosures may not cover all aspects and are not fully documented.	Individuals are informed about the entity's security practices for the protection of personal information. Security policies, procedures and practices are documented and implemented.	The entity manages its security program through periodic reviews and security assessments. Incidents and violations of its communications policy for security are investigated.	Communications explain to individuals the need for security, the initiatives the entity takes to ensure that personal information is protected and informs individuals of other activities they may want to take to further protect their information.

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		AD HOC	REPEATABLE	DEFINED	MANAGED	OPTIMIZED
SECURITY FOR PRIVACY (9 criteria) cont.	The entity protects personal information against unauthorized access (both physical and logical).					
Information Security Program (8.2.1)	<p>A security program has been developed, documented, approved, and implemented that includes administrative, technical and physical safeguards to protect personal information from loss, misuse, unauthorized access, disclosure, alteration and destruction. The security program should address, but not be limited to, the following areas³ insofar as they relate to the security of personal information:</p> <ul style="list-style-type: none"> a. Risk assessment and treatment [1.2.4] b. Security policy [8.1.0] c. Organization of information security [sections 1, 7, and 10] d. Asset management [section 1] e. Human resources security [section 1] f. Physical and environmental security [8.2.3 and 8.2.4] g. Communications and operations management [sections 1, 7, and 10] h. Access control [sections 1, 8.2, and 10] i. Information systems acquisition, development, and maintenance [1.2.6] j. Information security incident management [1.2.7] k. Business continuity management [section 8.2] l. Compliance [sections 1 and 10] 	There have been some thoughts of a privacy-focused security program, but limited in scope and perhaps undocumented.	The entity has a security program in place that may not address all areas or be fully documented.	The entity has developed, documented and promulgated its comprehensive enterprise-wide security program. The entity has addressed specific privacy-focused security requirements.	Management monitors weaknesses, periodically reviews its security program as it applies to personal information and establishes performance benchmarks.	The entity undertakes annual reviews of its security program, including external reviews, and determines the effectiveness of its procedures. The results of such reviews are used to update and improve the security program.

³ These areas are drawn from ISO/IEC 27002:2005, Information technology—Security techniques—Code of practice for information security management. Permission is granted by the American National Standards Institute (ANSI) on behalf of the International Organization for Standardization (ISO). Copies of ISO/IEC 27002 can be purchased from ANSI in the United States at <http://webstore.ansi.org/> and in Canada from the Standards Council of Canada at www.standardsstore.ca/eSpecs/index.jsp. It is not necessary to meet all of the criteria of ISO/IEC 27002:2005 to satisfy Generally Accepted Privacy Principles' criterion 8.2.1. The references associated with each area indicate the most relevant Generally Accepted Privacy Principles' criteria for this purpose.

Appendix A

AICPA/CICA Privacy Maturity Model

GAPP - 73 CRITERIA	CRITERIA DESCRIPTION	MATURITY LEVELS				
		AD HOC	REPEATABLE	DEFINED	MANAGED	OPTIMIZED
SECURITY FOR PRIVACY (9 criteria) cont.	The entity protects personal information against unauthorized access (both physical and logical).					
Logical Access Controls (8.2.2)	<p>Logical access to personal information is restricted by procedures that address the following matters:</p> <ul style="list-style-type: none"> a. Authorizing and registering internal personnel and individuals b. Identifying and authenticating internal personnel and individuals c. Making changes and updating access profiles d. Granting privileges and permissions for access to IT infrastructure components and personal information e. Preventing individuals from accessing anything other than their own personal or sensitive information f. Limiting access to personal information only to authorized internal personnel based upon their assigned roles and responsibilities g. Distributing output only to authorized internal personnel h. Restricting logical access to offline storage, backup data, systems and media i. Restricting access to system configurations, superuser functionality, master passwords, powerful utilities, and security devices (for example, firewalls) j. Preventing the introduction of viruses, malicious code, and unauthorized software 	Controls over access and privileges to files and databases containing personal information are informal, inconsistent and incomplete.	The entity has basic security procedures; however, they do not include specific requirements governing logical access to personal information and may not provide an appropriate level of access or control over personal information.	<p>The entity has documented and implemented security policies and procedures that sufficiently control access to personal information.</p> <p>Access to personal information is restricted to employees with a need for such access.</p>	<p>Management monitors logical access controls, including access attempts and violation reports for files, databases and resources containing personal information to identify areas where additional security needs improvement.</p> <p>Irregular access of authorized personnel is also monitored.</p>	<p>Access and violation attempts are assessed to determine root causes and potential exposures and remedial action plans are developed and implemented to increase the level of protection of personal information. Logical access controls are continually assessed and improved.</p> <p>Irregular access of authorized personnel is monitored, assessed and investigated where necessary.</p>

GAPP - 73 CRITERIA	CRITERIA DESCRIPTION	MATURITY LEVELS				
		AD HOC	REPEATABLE	DEFINED	MANAGED	OPTIMIZED
SECURITY FOR PRIVACY (9 criteria) cont.	The entity protects personal information against unauthorized access (both physical and logical).					
Physical Access Controls (8.2.3)	Physical access is restricted to personal information in any form (including the components of the entity's system(s) that contain or protect personal information).	Controls over physical access to personal information are informal, incomplete and inconsistent.	The entity has basic physical security procedures; however, they do not include specific requirements governing physical access to personal information maintained or stored in various media. Accordingly, inconsistent approaches are taken throughout the entity with respect to physically securing personal information.	The entity has implemented formal physical security policies and procedures that form the basis of specific privacy-related security procedures for physical access to personal information. Physical access to personal information is restricted to employees with a need for such access.	Management monitors physical access controls. Personal information is physically stored in secure locations. Access to such locations is restricted and monitored. Unauthorized access is investigated and appropriate action taken.	Where physical access or attempted violation of personal information has occurred, the events are analyzed and remedial action including changes to policies and procedures is adopted. This may include implementing increased use of technology, as necessary. Physical access controls are continually assessed and improved.
Environmental Safeguards (8.2.4)	Personal information, in all forms, is protected against accidental disclosure due to natural disasters and environmental hazards.	Some policies and procedures exist to ensure adequate safeguards over personal information in the event of disasters or other environmental hazards; however, they are incomplete and inconsistently applied. The entity may lack a business continuity plan that would require an assessment of threats and vulnerabilities and appropriate protection of personal information.	The entity has a business continuity plan addressing certain aspects of the business. Such a plan may not specifically address personal information. Accordingly, personal information may not be appropriately protected. Business continuity plans are not well documented and have not been tested.	The entity has implemented a formal business-continuity and disaster-recovery plan that address all aspects of the business and identified critical and essential resources, including personal information in all forms and media, and provides for specifics thereof. Protection includes protection against accidental, unauthorized access or disclosure of personal information. The plan has been tested.	Management monitors threats and vulnerabilities as part of a business risk management program and, where appropriate, includes personal information as a specific category.	Management risk and vulnerability assessments with respect to personal information result in improvements to the protection of such information.
Transmitted Personal Information (8.2.5)	Personal information is protected when transmitted by mail or other physical means. Personal information collected and transmitted over the Internet, over public and other non-secure networks, and wireless networks is protected by deploying industry-standard encryption technology for transferring and receiving personal information.	The protection of personal information when being transmitted or sent to another party is informal, incomplete and inconsistently applied. Security restrictions may not be applied when using different types of media to transmit personal information.	Policies and procedures exist for the protection of information during transmittal but are not fully documented; however, they may not specifically address personal information or types of media.	Documented procedures that cover all relevant aspects have been implemented and are working effectively to protect personal information when transmitted.	The entity's policies and procedures for the transmission of personal information are monitored to ensure that they meet minimum industry security standards and the entity is in compliance with such standards and their own policies and procedures. Issues of non-compliance are dealt with.	Management reviews advances in security technology and techniques and updates their security policies and procedures and supporting technologies to afford the entity the most effective protection of personal information while it is being transmitted, regardless of the media used.

GAPP - 73 CRITERIA	CRITERIA DESCRIPTION	MATURITY LEVELS				
		AD HOC	REPEATABLE	DEFINED	MANAGED	OPTIMIZED
SECURITY FOR PRIVACY (9 criteria) cont.	The entity protects personal information against unauthorized access (both physical and logical).					
Personal Information on Portable Media (8.2.6)	Personal information stored on portable media or devices is protected from unauthorized access.	Controls over portable devices that contain personal information are informal, incomplete and inconsistent.	Procedures are in place to protect personal information on portable devices; however, they are not fully documented. Employees are aware of the additional risks and vulnerabilities associated with the use of portable and removable devices. Awareness of requirements to protect personal information are known and certain procedures exist to preclude or restrict the use of portable and removal devices to record, transfer and archive personal information.	The entity has implemented documented policies and procedures, supported by technology, that cover all relevant aspects and restrict the use of portable or removable devices to store personal information. The entity authorizes the devices and requires mandatory encryption.	Prior to issuance of portable or removable devices, employees are required to read and acknowledge their responsibilities for such devices and recognize the consequences of violations of security policies and procedures. Where portable devices are used, only authorized and registered devices such as portable flash drives that require encryption are permitted. Use of unregistered and unencrypted portable devices is not allowed in the entity's computing environment.	Management monitors new technologies to enhance the security of personal information stored on portable devices. They ensure the use of new technologies meets security requirements for the protection of personal information, monitor adoption and implementation of such technologies and, where such monitoring identifies deficiencies or exposures, implement remedial action.
Testing Security Safeguards (8.2.7)	Tests of the effectiveness of the key administrative, technical, and physical safeguards protecting personal information are conducted at least annually.	Tests of security safeguards for personal information are undocumented, incomplete and inconsistent.	Periodic tests of security safeguards are performed by the IT function; however, their scope varies.	Periodic and appropriate tests of security safeguards for personal information are performed in all significant areas of the business. Test work is completed by qualified personnel such as Certified Public Accountants, Chartered Accountants, Certified Information System Auditors, or internal auditors. Test results are documented and shared with appropriate stakeholders. Tests are performed at least annually.	Management monitors the testing process, ensures tests are conducted as required by policy, and takes remedial action for deficiencies identified.	Test results are analyzed, through a defined root-cause analysis, and remedial measures documented and implemented to improve the entity's security program.

GAPP - 73 CRITERIA	CRITERIA DESCRIPTION	MATURITY LEVELS				
		AD HOC	REPEATABLE	DEFINED	MANAGED	OPTIMIZED
QUALITY (4 criteria)	The entity maintains accurate, complete and relevant personal information for the purposes identified in the notice.					
Privacy Policies (9.1.0)	The entity's privacy policies address the quality of personal information.	Quality control policies and procedures exist informally.	Quality provisions in privacy policies and procedures exist, but may not cover all aspects and are not fully documented.	Quality provisions in privacy policies cover all relevant aspects and are fully documented.	Compliance with quality provisions in privacy policies and procedures is monitored and the results are used to reinforce key privacy messages.	Management monitors compliance with privacy policies and procedures relating to quality. Issues of non-compliance are identified and remedial action taken to ensure compliance.
Communication to Individuals (9.1.1)	Individuals are informed that they are responsible for providing the entity with accurate and complete personal information and for contacting the entity if correction of such information is required.	Individuals may be informed about their responsibility to provide accurate and complete personal information; however, communications are inconsistent, sporadic and undocumented.	Individuals are informed of their responsibility to provide accurate information; however, communications may not cover all aspects and may not be fully documented.	Individuals are informed of their responsibility for providing accurate and complete personal information and for contacting the entity if corrections are necessary. Such communications cover all relevant aspects and are documented.	Communications are monitored to ensure individuals are adequately informed of their responsibilities and the remedies available to them should they have complaints or issues.	Communications are monitored and analyzed to ensure the messaging is appropriate and meeting the needs of individuals and changes are being made where required.
Accuracy and Completeness of Personal Information (9.2.1)	Personal information is accurate and complete for the purposes for which it is to be used.	Procedures exist to ensure the completeness and accuracy of information provided to the entity; however, they are informal, incomplete and inconsistently applied.	Procedures are in place to ensure the accuracy and completeness of personal information; however, they are not fully documented and may not cover all aspects.	Documented policies, procedures and processes that cover all relevant aspects have been implemented to ensure the accuracy of personal information. Individuals are provided with information on how to correct data the entity maintains about them.	Processes are designed and managed to ensure the integrity of personal information is maintained. Benchmarks have been established and compliance measured. Methods are used to verify the accuracy and completeness of personal information obtained, whether from individuals directly or from third parties.	Processes are in place to monitor and measure the accuracy of personal information. Results are analyzed and modifications and improvements made.

Appendix A

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GAPP - 73 CRITERIA	CRITERIA DESCRIPTION	MATURITY LEVELS				
		AD HOC	REPEATABLE	DEFINED	MANAGED	OPTIMIZED
QUALITY (4 criteria) cont.	The entity maintains accurate, complete and relevant personal information for the purposes identified in the notice.					
Relevance of Personal Information (9.2.2)	Personal information is relevant to the purposes for which it is to be used.	Some procedures are in place to ensure the personal information being collected is relevant to the defined purpose, but they are incomplete, informal and inconsistently applied.	Procedures are in place to ensure that personal information is relevant to the purposes for which it is to be used, but these procedures are not fully documented nor cover all aspects.	Documented policies and procedures that cover all relevant aspects, supported by effective processes, have been implemented to ensure that only personal information relevant to the stated purposes is used and to minimize the possibility that inappropriate information is used to make business decisions about the individual.	Processes are designed and reviewed to ensure the relevance of the personal information collected, used and disclosed.	Processes are in place to monitor the relevance of personal information collected, used and disclosed. Results are analyzed and modifications and improvements made as necessary.
MONITORING and ENFORCEMENT (7 criteria)	The entity monitors compliance with its privacy policies and procedures and has procedures to address privacy-related inquiries, complaints and disputes.					
Privacy Policies (10.1.0)	The entity's privacy policies address the monitoring and enforcement of privacy policies and procedures.	Monitoring and enforcement of privacy policies and procedures are informal and ad hoc. Guidance on conducting such reviews is not documented.	Monitoring and enforcement provisions in privacy policies and procedures exist but may not cover all aspects, and are not fully documented.	Monitoring and enforcement provisions in privacy policies cover all relevant aspects and are fully documented.	Compliance with monitoring and enforcement provisions in privacy policies is monitored and results are used to reinforce key privacy messages.	Management monitors compliance with privacy policies and procedures relating to monitoring and enforcement. Issues of non-compliance are identified and remedial action taken to ensure compliance.
Communication to Individuals (10.1.1)	Individuals are informed about how to contact the entity with inquiries, complaints and disputes.	Individuals may be informed about how to contact the entity with inquiries, complaints and disputes; however, communications are inconsistent, sporadic and undocumented.	Procedures are in place to inform individuals about how to contact the entity with inquiries, complaints, and disputes but may not cover all aspects and are not fully documented.	Individuals are informed about how to contact the entity with inquiries, complaints and disputes and to whom the individual can direct complaints. Policies and procedures are documented and implemented.	Communications are monitored to ensure that individuals are adequately informed about how to contact the entity with inquiries, complaints and disputes.	Communications are monitored and analyzed to ensure the messaging is appropriate and meeting the needs of individuals and changes are being made where required. Remedial action is taken when required.

GAPP - 73 CRITERIA	CRITERIA DESCRIPTION	MATURITY LEVELS				
		AD HOC	REPEATABLE	DEFINED	MANAGED	OPTIMIZED
MONITORING and ENFORCEMENT (7 criteria) cont.	The entity monitors compliance with its privacy policies and procedures and has procedures to address privacy-related inquiries, complaints and disputes.					
Inquiry, Complaint and Dispute Process (10.2.1)	A process is in place to address inquiries, complaints and disputes.	An informal process exists to address inquiries, complaints and disputes; however, it is incomplete and inconsistently applied.	Processes to address inquiries, complaints and disputes exist, but are not fully documented and do not cover all aspects.	Documented policies and procedures covering all relevant aspects have been implemented to deal with inquiries, complaints and disputes.	Inquiries, complaints and disputes are recorded, responsibilities assigned and addressed through a managed process. Recourse and a formal escalation process are in place to review and approve any recourse offered to individuals.	Management monitors and analyzes the process to address inquiries, complaints and disputes and makes changes to the process, where appropriate.
Dispute Resolution and Recourse (10.2.2)	Each complaint is addressed, and the resolution is documented and communicated to the individual.	Complaints are handled informally and inconsistently. Adequate documentation is not available.	Processes are in place to address complaints, but they are not fully documented and may not cover all aspects.	Documented policies and procedures covering all relevant aspects have been implemented to handle privacy complaints. Resolution of the complaints is documented.	Privacy complaints are reviewed to ensure they are addressed within a specific timeframe in a satisfactory manner; satisfaction is monitored and managed. Unresolved complaints are escalated for review by management.	Privacy complaints are monitored and analyzed and the results used to redesign and improve the privacy complaint process.
Compliance Review (10.2.3)	Compliance with privacy policies and procedures, commitments and applicable laws, regulations, service-level agreements and other contracts is reviewed and documented and the results of such reviews are reported to management. If problems are identified, remediation plans are developed and implemented.	Review of compliance with privacy policies and procedures, laws, regulations and contracts is informal, inconsistently and incomplete.	Policies and procedures to monitor compliance with privacy policies and procedures, legislative and regulatory requirements and contracts are in place, but are not fully documented and may not cover all aspects.	Documented policies and procedures that cover all relevant aspects have been implemented that require management to review compliance with the entity's privacy policies and procedures, laws, regulations, and other requirements.	Management monitors activities to ensure the entity's privacy program remains in compliance with laws, regulations and other requirements.	Management analyzes and monitors results of compliance reviews of the entity's privacy program and proactively initiates remediation efforts to ensure ongoing and sustainable compliance.
Instances of Noncompliance (10.2.4)	Instances of noncompliance with privacy policies and procedures are documented and reported and, if needed, corrective and disciplinary measures are taken on a timely basis.	Processes to handle instances of non-compliance exist, but are incomplete, informal and inconsistently applied.	Policies and procedures are in place to document non-compliance with privacy policies and procedures, but are not fully documented or do not cover all relevant aspects. Corrective and disciplinary measures may not always be documented.	Documented policies and procedures covering all relevant aspects have been implemented to handle instances of non-compliance with privacy policies and procedures. Corrective and disciplinary measures of non-compliance are fully documented.	Management monitors noncompliance with privacy policies and procedures and takes appropriate corrective and disciplinary action in a timely fashion.	Non-compliance results in disciplinary action and remedial training to correct individual behavior. In addition policies and procedures are improved to assist in full understanding and compliance.

Appendix A

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GAPP - 73 CRITERIA	CRITERIA DESCRIPTION	MATURITY LEVELS				
		AD HOC	REPEATABLE	DEFINED	MANAGED	OPTIMIZED
MONITORING and ENFORCEMENT (7 criteria) cont.	The entity monitors compliance with its privacy policies and procedures and has procedures to address privacy-related inquiries, complaints and disputes.					
Ongoing Monitoring (10.2.5)	Ongoing procedures are performed for monitoring the effectiveness of controls over personal information based on a risk assessment and for taking timely corrective actions where necessary.	Ongoing monitoring of privacy controls over personal information is informal, incomplete and inconsistently applied.	Monitoring of privacy controls is not fully documented and does not cover all aspects.	The entity has implemented documented policies and procedures covering all relevant aspects to monitor its privacy controls. Selection of controls to be monitored and frequency with which they are monitored are based on a risk assessment.	Monitoring of controls over personal information is performed in accordance with the entity's monitoring guidelines and results analyzed and provided to management.	Monitoring is performed and the analyzed results are used to improve the entity's privacy program. The entity monitors external sources to obtain information about their privacy "performance" and initiates changes as required.

NOTES
