



Threat and Risk Assessment Standard Checklist

Created Date: Sep 12, 2022
Last Update: Mar 9, 2023
Version: 5

Version Control

Version	Date	Contributors	Role	Description of change
1	September 12, 2022	Bosco Chan	Cybersecurity	The initial draft of the Threat and Risk Assessment standard
2	Nov 3, 2022	Bosco Chan	Cybersecurity	Integrated changes from internal feedback
3	Jan 10, 2023	Bosco Chan	Cybersecurity	Integrated changes from internal feedback
3A	Jan 19, 2023	Bosco Chan	Cybersecurity	Integrated changes from internal feedback
4	Feb 23, 2023	Bosco Chan	Cybersecurity	Made changes based on the Ontario Health Cybersecurity team's feedback
5	Mar 9, 2023	Bosco Chan	Cybersecurity	Minor changes based on internal feedback

Final Sign off

Approved by:

Name	Role	Signature	Date

Preliminary – Conducting Individual / Organization

Information in this section is mandatory to ensure that an appropriately qualified individual has conducted the TRA assessment. Please note that rows highlighted in yellow are mandatory requirements, gaps for any of these items mean that the whole TRA will be failed.

Auditor Profile				Additional comments
		Reviewed		
		Met	Gap	
Organization Name:		☐	☐	
Full Name:		☐	☐	
Certification Type (IE. CISSP, CISA)		☐	☐	
Licence/ Cetification #:		☐	☐	

Note: Accepted certifications will include CISSP or CISA. The CEH certification will only be accepted for Penetration Testing.

Section 1.0 - Executive Summary

Information Request	Document Mapping (from Vendor Substantiation) Page No. and/or Section Name is Required	Reviewed		Comments
		Met	Gap	
Executive Summary		☐	☐	
Classification of Information		☐	☐	
Statement of Sensitivity (SoS) Summary		☐	☐	
Asset Summary		☐	☐	
Key Findings		☐	☐	
Key Recommendations Methodology		☐	☐	

Additional Feedback:

Section 2.0 – Introduction

Information Request	Document Mapping (from Vendor Substantiation) Page No. and/or Section Name is Required	Reviewed		Comments
		Met	Gap	
Background		☐	☐	
Description of business line and operating environment		☐	☐	
Service delivery levels relevant to the TRA		☐	☐	
Legislated or regulated		☐	☐	
Service agreement		☐	☐	
The rationale for the assessment		☐	☐	
Security concerns		☐	☐	
The mandate for the Assessment		☐	☐	
In-scope		☐	☐	
Out of scope		☐	☐	
Limitation		☐	☐	

Additional Feedback:

Section 3.0 – Systems Information

Information Request	Document Mapping (from Vendor Substantiation) Page No. and/or Section Name is Required	Reviewed		Comments
		Met	Gap	
System Description		☐	☐	
Business Architecture		☐	☐	
Group and Role Components		☐	☐	
Information Systems Architecture		☐	☐	
Application Components		☐	☐	
Middleware Components		☐	☐	
Data Components		☐	☐	
Technology Architecture		☐	☐	
Server Components		☐	☐	
Storage Components		☐	☐	
Network Components		☐	☐	
Security Controls				
a) Information Security Policies	a)	☐	☐	
b) Security Governance	b)	☐	☐	
c) Asset Management	c)	☐	☐	
d) Personnel Security	d)	☐	☐	
e) Media Handling	e)	☐	☐	
f) Identity and Access Management (IAM)	f)	☐	☐	
g) Systems Access	g)	☐	☐	
h) Physical Security	h)	☐	☐	
i) End-point Security	i)	☐	☐	
j) Backup Management	j)	☐	☐	
k) Network Security	k)	☐	☐	
l) Vulnerability Management	l)	☐	☐	
m) Application Security	m)	☐	☐	
n) Third-party Risk Management	n)	☐	☐	
o) Business Continuity	o)	☐	☐	
p) Security Incident Management	p)	☐	☐	

Additional Feedback:

Section 4.0 – Statement of Sensitivity

Information Request	Document Mapping (from Vendor Substantiation) Page No. and/or Section Name is Required	Reviewed		Comments
		Met	Gap	
High-level summary of the Statement of Sensitivity		☐	☐	
The detailed Statement of Sensitivity will be in Appendix D		☐	☐	

Additional Feedback:

Section 5.0 – Asset Summary and Threat Summary

Information Request	Document Mapping (from Vendor Substantiation) Page No. and/or Section Name is Required	Reviewed		Comments
		Met	Gap	
Capture in-scope assets		☐	☐	
External threat agents		☐	☐	
Internal threat agents		☐	☐	
Threat assessment		☐	☐	

Additional Feedback:

Section 6.0 – Risk Assessment

Information Request	Document Mapping (from Vendor Substantiation) Page No. and/or Section Name is Required	Reviewed		Comments
		Met	Gap	
Vulnerability Assessment (not the same as the Technical Vulnerability Assessment Scan)		☐	☐	
Safeguard Assessment		☐	☐	
Residual Risk Assessment		☐	☐	

Additional Feedback:

Section 7.0 – Recommendations

Information Request	Document Mapping (from Vendor Substantiation) Page No. and/or Section Name is Required	Reviewed		Comments
		Met	Gap	
Recommendations		☐	☐	
Risk Description		☐	☐	
Adjusted Residual Risks		☐	☐	

Additional Feedback:

Section 8.0 – TRA Acceptance

Met ☐ Gap ☐

Additional Feedback:

Appendix A - Statement of Acceptable Risk

List the potential threats to the system identified and rated by the Threat Model analysis; the rating of each, the current controls, and their rating in the system to protect against each threat

Information Request	Document Mapping (from Vendor Substantiation) Page No. and/or Section Name is Required	Reviewed		Comments
		Met	Gap	
Statement of Acceptable Risk		☐	☐	

Additional Feedback:

Appendix B – TRA Team Composition

Information Request	Document Mapping (from Vendor Substantiation) Page No. and/or Section Name is Required	Reviewed		Comments
		Met	Gap	
Appendix B – TRA Team Composition		☐	☐	

Additional Feedback:

Appendix C – STRA Work Plan

Information Request	Document Mapping (from Vendor Substantiation) Page No. and/or Section Name is Required	Reviewed		Comments
		Met	Gap	
Appendix C – STRA Work Plan		☐	☐	

Additional Feedback:

Appendix D – Statement of Sensitivity

Information Request	Document Mapping (from Vendor Substantiation) Page No. and/or Section Name is Required	Reviewed		Comments
		Met	Gap	
a) Asset Category	a)	☐	☐	
b) CIA Ratings	b)	☐	☐	

Additional Feedback:

Appendix E – Threat Assessment Table

Information Request	Document Mapping (from Vendor Substantiation) Page No. and/or Section Name is Required	Reviewed		Comments
		Met	Gap	
Asset		☐	☐	
Threat Agents		☐	☐	
Threat Event		☐	☐	
Likelihood and Impact		☐	☐	
Threat Level		☐	☐	

Additional Feedback:

Appendix F – Vulnerability Assessment Table

Information Request	Document Mapping (from Vendor Substantiation) Page No. and/or Section Name is Required	Reviewed		Comments
		Met	Gap	

Asset		☐	☐	
Threats Facilitated		☐	☐	
Vulnerability		☐	☐	
Probability, severity, and vulnerability analysis		☐	☐	

Additional Feedback:

Appendix G – Residual Risks

Information Request	Document Mapping (from Vendor Substantiation) Page No. and/or Section Name is Required	Reviewed		Comments
		Met	Gap	
Asset		☐	☐	
Asset Values		☐	☐	
Associate Threat		☐	☐	
Vulnerability		☐	☐	
Residual Risk Analysis		☐	☐	

Additional Feedback:

Appendix I – Recommendations

Feedback:

Appendix – TRA Acceptance

Met ☐ Gap ☐