



**Elections
Ontario**

GUIDELINES FOR THE USE OF ELECTORAL PRODUCTS

June 2017

Uncontrolled Document When Printed

Effective Date: 02/06/2017
Status: Approved

Revision #: 2.0
Print Date: 6/29/2017

Page 1 of 18

GUIDELINES FOR THE USE OF ELECTORAL PRODUCTS

Section 1: Introduction

The *Election Act* requires the Chief Electoral Officer (CEO) to establish and maintain a Permanent Register of Electors for Ontario (permanent register or PREO) and a Register of Absentee Electors (absentee register).

The purpose of these Guidelines is to provide authorized recipients (candidates, members of the Legislative Assembly and registered political parties) with the requirements in the *Election Act* and the privacy best practices for the use and access of the information contained in the permanent register and absentee register. The Guidelines have been created to ensure the effective protection and management of the electors' personal information contained in the permanent register and absentee register.

These Guidelines also include the privacy requirements pertaining to the distribution and use of derivative products, electoral products and the annual update. Derivative products (also known as lists of electors) are created from the permanent register and absentee register at the beginning of an electoral event and maintained during the event under the authority of the Returning Officers. The annual update refers to the yearly updates to the permanent register and the subsequent lists of electors provided to authorized recipients once the annual update has been completed. Electoral products refers to all election-related information distributed to authorized recipients during an electoral event. This includes lists of electors, electoral districts, polling divisions, polls and strike off information.

The permanent register contains personal information including names, residential and mailing addresses, date of birth, and unique identifier for Ontario electors. The absentee register consists of electors who temporarily reside outside Ontario and have filed an application with Elections Ontario to be included in the absentee register. Where applicable, lists of electors contain the names, unique identifiers, and mailing and permanent addresses of electors. Elections Ontario places high importance on ensuring the protection of personal information. It is therefore important for authorized recipients of electors' personal information to take appropriate measures, as described in these guidelines, to maintain the privacy of the electors' personal information derived from the permanent register, absentee register or lists of electors and preserve the integrity of the administration of Ontario's electoral system.

Section 2: Distribution of Lists of Electors

The *Election Act* requires the distribution of electors' personal information to authorized recipients. Where, under the *Election Act*, a Returning Officer or the CEO are required to provide copies of lists of electors, the permanent register, the absentee register, extracts of or updates to the permanent register, or any other personal information of electors to a candidate or registered party, they will not provide any information about electors other than the following, unless the *Election Act* specifically provide otherwise:

1. The names and unique identifier of the electors.
2. The mailing addresses and permanent addresses of electors.

In addition to providing electors' personal information, Elections Ontario will also provide other election-related information to authorized recipients like electoral districts, polling divisions, polls and strike off information.

Despite the requirement to provide electors' personal information to authorized recipients, the CEO may, on the written request of an elector, redact from any record made available to authorized recipients, any information that the Chief Electoral Officer reasonably believes would, if made available, endanger the life, health or security of the elector.

Table 1 – Distribution of Lists of Electors provides an overview of the types of lists of electors to be distributed to authorized recipients.

Table 1 - Distribution of Lists of Electors

Products	Recipients	Distributed by	Scope	Electors' Personal Information	Format	Date of Distribution	Section of Act
Annual Update of the Permanent Register and Absentee Register	Members of the Legislative Assembly <i>(upon request)</i>	Chief Electoral Officer	A Member of the Assembly is entitled to receive updates specific to the Member's electoral district.	1. Names and unique identifier	Electronic	Notification of distribution dates will be provided by the last month of calendar year	17.3(1)(c)
	Registered political parties <i>(upon request)</i>	Chief Electoral Officer	If PREO is updated for all Ontario, a party is entitled to receive copy for all of Ontario. If updated for a specific electoral district, a party is entitled to receive that update.	2. Residential and mailing addresses	Electronic	Notification of distribution dates will be provided by December 31 of calendar year	17.3(1)(b)(i) & (ii)
Preliminary List of Electors	Registered parties	Chief Electoral Officer	For all of Ontario for a general election or for a specific electoral district for a by-election.	1. Names and unique identifier 2. Residential and mailing addresses	Electronic	As soon as possible after the Writ is issued	19(2.1)
	Municipal Clerks	Returning Officer	A municipality will receive the List for each electoral district that the municipal jurisdiction covers (in whole or part)		Electronic	As soon as possible after the Returning Officer receives a copy from CEO.	19(3)(b)
	Candidates <i>(upon request)</i>	Returning Officer	For the candidate's electoral district.		1 electronic copy (and, if requested, 1 paper copy).	As soon as possible after the Returning Officer receives a copy from CEO.	19(3)(c)
List of electors issued a Certificate to Vote	Registered parties <i>(upon request)</i>	Chief Electoral Officer	For each specific electoral district.	1. Names and unique identifier 2. Residential and mailing addresses	1 printed copy	Issued with the Advance Poll List of Electors & Polling Day List of Electors.	21(9)
	Candidates <i>(upon request)</i>	Returning Officer	For the candidate's electoral district.		1 printed copy	On request of a candidate.	21(9)
Advance Poll List of Electors	Registered parties <i>(upon request)</i>	Chief Electoral Officer	For each specific electoral district.	1. Names and unique identifier 2. Residential and mailing addresses	Electronic	Approximately 2 days prior to opening of advance polls.	
	Candidates	Returning Officer	For the candidate's electoral district		1 electronic (and, if requested, 1 paper copy).	Approximately 2 days prior to opening of advance polls.	n/a

Products	Recipients	Distributed by	Scope	Electors' Personal Information	Format	Date of Distribution	Section of Act
Record of Advance Poll Voters	Registered political parties	Chief Electoral Officer	For a specific electoral district	1. Names and unique identifier	Electronic	Final list of advance poll voters - before polling day	45(2)
	Candidates	Returning Officer	For the candidate's electoral district	2. Residential and mailing addresses	1 printed copy	Final list of advance poll voters - before polling day	45(2)
List of Special Ballot Electors	Registered parties <i>(upon request)</i>	Chief Electoral Officer	For a specific electoral districts	Name and unique identifier of the electors	Electronic	On request of the party, the up-to-date list of special ballot electors will be provided.	45.3 (3)
	Nominated Candidates <i>(upon request)</i>	Returning Officer	For a specific electoral district		1 printed copy	On request of the candidate, the up-to-date list of special ballot electors will be provided.	45.3 (3)
List of Absentee Electors	Registered political parties	Chief Electoral Officer	For a specific electoral district	Names and unique identifier of the electors	Electronic	Final list of Absentee voters – 3 days prior to polling day	45.13 (9)
Polling Day List of Electors	Registered political parties	Chief Electoral Officer	For the electoral districts where the party has nominated candidates	1. Names and unique identifier	1 electronic (and, if requested, 1 paper copy).	Approximately 3 days prior to polling day	25(3)
	Candidates	Returning Officer	For the candidate's electoral district	2. Residential and mailing addresses	1 electronic (and, if requested, 1 paper copy).	Approximately 3 days prior to polling day	25(3)
Post-election Record of Voters	Registered political parties	Chief Electoral Officer		1. Name and unique identifier of the electors 2. The mailing addresses and permanent addresses of the electors 3. Indication of whether or not each elector voted	An electronic copy.	3 – 6 months after a by-election and 6 – 9 months after a general election.	47.1 (9)

Section 3: Opting out of Receiving Electors' Personal Information

In accordance with the *Election Act*, registered political parties and candidates who have filed a privacy policy with Elections Ontario are entitled to request and receive electoral products. Despite this provision, the *Election Act* allows candidates and registered political parties to opt out of receiving electoral products. Elections Ontario will continue to provide electoral products to candidates and registered political parties who have filed a privacy policy unless notified by the candidate and registered political party that they do not wish to receive electoral products.

Section 4: Authorized Use of Lists of Electors

The *Election Act* provides specific restrictions with regards to the appropriate use of the lists of electors. All authorized recipients must adhere to the restriction to use the lists of electors for electoral purposes only. It is an offence under the *Election Act* to use information from the permanent register, absentee register or lists of electors for commercial purposes (section 17(4)(1)). Unauthorized use is punishable by a fine of up to \$5,000 (section 97).

The obligation to comply with the authorized use of electors' personal information applies to any person or entity who receives and examines the lists of electors in printed or electronic format or on data storage devices and applications.

Table 2 – Authorized Use of Lists of Electors provides an overview of the authorized use of the Annual Update and lists of electors provided to each authorized recipient. Relevant sections of the *Election Act* have been noted where applicable.

Table 2 – Authorized Use of Lists of Electors

Authorized Recipients	List Type	Authorized Use	Section of Act
Municipal Clerks	<ul style="list-style-type: none"> Preliminary List of Electors 	For electoral purposes only. The list must be made available for public examination at an office of the municipality.	19(3)(b)
Registered political parties	<ul style="list-style-type: none"> Annual Update Preliminary List of Electors List of Electors issued a Certificate to Vote Polling Day List of Electors Record of Advance Poll Voters List of Special Ballot List of Absentee Electors Post-Election List of Electors 	For electoral purposes only which includes: communicating with electors, soliciting elector contributions or campaign support during a Writ period, and recruiting party members.	17.4
Members of the Legislative Assembly	<ul style="list-style-type: none"> Annual update for the Member's electoral district. 	For electoral purposes only which includes: communicating with electors, soliciting elector contributions or campaign support during a Writ period, and recruiting party members.	17.3(1)(c)
Candidates	<ul style="list-style-type: none"> Preliminary List of Electors List of Electors issued a Certificate to Vote Polling Day List of Electors Advance Poll List of Electors Record of Advance Poll Voters List of Special Ballot Post-Election List of Electors 	For electoral purposes only which includes: communicating with electors, soliciting elector contributions or campaign support during a Writ period.	17.4

Section 5: Requirements for Access and Use of Electors' Personal Information

The *Election Act* requires authorized recipients to take appropriate measures to protect the security and confidentiality of the personal information of Ontario electors. Authorized recipients must comply with the requirements and safeguards listed herein to ensure the effective protection and management of the information contained in the lists of electors.

Privacy Policy Requirement

The *Election Act* requires registered political parties to develop and implement a privacy policy to ensure that its candidates, members of the Legislative Assembly, employees and agents comply with the restrictions on the use of information from the permanent register, absentee register and the lists of electors under Section 17(4)(1) of the *Election Act*. The policy must include the privacy requirements outlined in these Guidelines.

Independent candidates and independent members of the Legislative Assembly must meet the same requirements for a privacy policy as the registered political parties.

The Chief Electoral Officer has the right to refuse disclosure of the lists of electors to registered political parties, their candidates and members of the Legislative Assembly of such party whose policy does not comply with the requirements stated in these Guidelines and in the *Election Act*.

A sample privacy policy for registered political parties is provided in **Appendix A** and a sample privacy policy for independent candidates or independent members of the Legislative Assembly is provided in **Appendix B**.

Filing Requirement for Privacy Policy

A political party should file its privacy policy with Elections Ontario as soon as possible after receiving confirmation from Elections Ontario of its status as a registered political party.

Once a political party or independent member of the Assembly has filed their policy with Elections Ontario, they will be required to provide confirmation in writing by January 31 of each calendar year of what changes, if any, have been made to the policy.

This written confirmation should be updated as soon as possible in the event that changes are made after January 31st.

For a political party and its candidates during a Writ period, the policy filed by the party on January 31st of that calendar year will apply for the election event unless the party notifies Elections Ontario in writing of any changes made.

Candidates who are not members of a registered political party are also required to have in place a policy that complies with the restrictions on use of information under s. 17(4)(1). The candidate must file their written policy with the Returning Office when the Returning Officer provides the Preliminary List of Electors. Where a candidate was a previously sitting independent member of the Legislative Assembly and wishes to use the same policy as filed with Elections Ontario, the candidate must file a copy of their policy when the Returning Officer provides the Preliminary List of Electors to the candidate.

Use of Information Restrictions

The *Election Act* requires that the policy ensure that a person who obtains information, directly or indirectly, from the permanent register, absentee register or from the lists of electors comply with the requirements to:

- only use the information for electoral purposes;
- not to use the information for commercial purposes; and
- disclose it to others only after obtaining their written acknowledgement that they are bound by the restrictions on use in section 17.4.

Written Acknowledgements

A political entity must ensure that all authorized recipients with whom information is being shared from the permanent register, absentee register or electoral products, as applicable, sign a written acknowledgement of these use restrictions prior to receiving access to the information. Each authorized recipient must complete a written acknowledgement to indicate that they:

- understand the limits on use and disclosure of the lists;
- understand the importance of protecting electors' personal information on the lists;
- undertake to protect the confidentiality of that information;
- will use the information only for the purposes set out in the *Election Act*; and
- will return the lists on completion of the task for which the lists were provided to the party or candidate, as applicable.

A sample Written Acknowledgement is provided in **Appendix C**.

Stakeholder Distribution Tracking

When a political entity provides a copy of information from the permanent register, absentee register or electoral products to anyone, in addition to obtaining the written acknowledgement, the political entity must also track the following information:

- date of distribution;
- who the information was provided to;
- type of document (e.g. electronic copy of the permanent register or absentee register)
- confirmation that the written acknowledgment has been signed; and
- confirmation of the date the copy was returned to the political entity or a certificate of destruction.

A distribution tracking form must be completed for the annual update and for electoral products distributed during and electoral event. A sample Electoral Event Distribution Tracking Form for electoral products can be found in **Appendix D** and a sample Distribution Tracking Form for annual update can found in **Appendix E**.

Filing of Distribution Tracking Form and Electoral Products

The distribution tracking form must be filed with Elections Ontario in the following manner:

For the annual release to registered political parties and members of the Legislative Assembly, the distribution tracking form must be filed:

- within 30 days of receiving the annual update notification from Elections Ontario; or
- within 30 days of a Writ being issued for a general election.

During electoral events (by-elections and general elections), registered political parties must maintain an electoral event distribution tracking form and file the form with Elections Ontario within 10 days after polling day.

For candidates, the electoral event distribution tracking form must be maintained and filed with the returning office within 10 days after polling day. Candidates who do not file the distribution tracking form with the Returning Officer must file the form at the same time they file their financial returns under the *Election Finances Act*.

If a member of the Legislative Assembly resigns or has forfeited the office to which they were elected, the member must return all documents containing electors' personal information and election-related information to Elections Ontario within 30 days of their resignation or removal.

Section 6: Reproduction Restrictions

Under section 17.4(3) of the *Election Act*, no individual may reproduce, store, or transmit any part of the information obtained electronically from the permanent register (including the lists of electors) for any purpose except as follows:

- registered political parties and Members of the Legislative Assembly who have received an update of the Permanent Register for the whole of Ontario as a result of an annual update (section 17.1(3)(1)(i) or (ii)) or have received an update with respect to a specific electoral district under section 17.1(3)(2)).
- an individual or entity who has received the information from the registered political party or member of the Assembly in the situation described above, so long as that person or entity signs a written acknowledgment that they are bound by the restrictions in the *Election Act* on use of the information for electoral purposes only and not for commercial purposes (s. 17.4(4)(b)).

Section 7: Additional Privacy Requirements

In addition to the restrictions on use and reproduction of electors' personal information, to help political entities protect the information from the permanent register, absentee register and electoral products, Elections Ontario requires political entities to implement the following privacy safeguards outlined in these Guidelines through the party or candidate's policy, as applicable. These safeguards provide a framework to protect the privacy of the electors' personal information contained in the registers and the lists during their use, how to dispose of the information after it has been used, and what to do if a copy of the information is lost or stolen.

The political entity must:

- provide clear direction to all authorized recipients regarding the proper use of the information obtained from the permanent register, absentee register and electoral products;
- provide electoral products only to people who need access to communicate with electors and constituents on behalf of the political entity or to do work for electoral purposes on behalf of the political entity;
- limit the number of people who have access to reduce the chances of a privacy breach;
- ensure that the electoral products are kept secure when not in use by storing the electronic copy on a secure, password-protected computer; keeping paper copies in locked filing cabinets. Passwords and keys should be strictly controlled by the person

responsible for privacy safeguards;

- ensure that all authorized recipients understand the importance of protecting the privacy of electors' information; and
- obtain from each authorized recipient a written acknowledgement that the individual will abide by the restrictions on the use of electors' personal information (see sample in **Appendix C**).

Loss/Theft

If a copy of an extract from the permanent register, absentee register or electoral products are lost or stolen, electors' personal information in the products might be used for unauthorized purposes. Loss or theft therefore constitutes a potential privacy breach, and should be dealt with quickly and effectively. While each incident will require a unique approach, it is recommended that the person responsible for privacy safeguards follow these general steps:

- contain the breach and identify its source;
- document the circumstances that led to the incident;
- review your internal policies, processes and procedures to prevent future incident; and
- report the loss or theft to the Chief Electoral Officer.

Safe and Secure Disposal of Electors' Personal Information

All political entities must dispose of electors' personal information in a safe and secure way once its use is no longer authorized. To prevent unauthorized parties from accessing personal data, it is important to use care in the disposal and destruction of electors' personal information. Reasonable steps must be taken to protect the security and confidentiality of electors' personal information that is to be destroyed, including protecting its security and confidentiality during its storage, transportation, handling and destruction.

The following provides the requirements for political entities on how to dispose of electors' personal information in a safe and secure manner:

1. Methods used must ensure that personal records cannot be reconstructed. Printed copies of documents must be properly shredded and electronic data must be permanently erased using methods that prevent the restoration of such data.
2. For printed copies, destruction means cross-cut shredding, not simply continuous (single strip) shredding, which can be reconstructed.
3. For electronic and wireless media, destruction means either physically damaging the items (rendering them unusable and discarding them, and employing wiping utilities provided by various software companies to erase every bit of data on a drive).

Secure Disposal Documentation

Political entities should create a certificate of destruction that documents the following information:

- the records that are being destroyed;
- the date, time and location of destruction;
- the method of destruction; and
- the name and signature of the individual responsible for destruction.

Personal information pertaining to the record being destroyed must not be included in the disposal record.

Filing of Secure Disposal Documentation

The secure destruction documentation must be filed with Elections Ontario as follows:

- For the annual release to registered political parties within 30 days of receiving the annual update notification from Elections Ontario.
- For the annual release to members of the Legislative Assembly, within 30 days of receiving the annual update notification from Elections Ontario.
- For candidates, should be filed at the same time as the candidate files their financial returns under the *Election Finances Act*.

A sample secure destruction form for electoral products can be found in **Appendix F** and the sample secure destruction form for the annual release is provided in **Appendix G**.

If the political entity has an external company provide secure destruction services, a Certificate of Destruction must be provided by the shredding company and filed by the political entity along with the secure destruction documentation.

Requirements Service Provider Secured to Destroy Electors' Personal Information Documentation

If selecting a service provider to securing destroy electoral products containing elector's personal information, the political entities must set out the responsibility of the service provider for the secure destruction of the records involved. The political entity must also specify how the destruction will be accomplished, under what conditions and by whom.

The political entity must require a certificate of destruction to be issued upon completion. The certificate of destruction must include:

- the records that are being destroyed
- the date, time and location of destruction
- the method of destruction
- the name and signature of the operator

Personal information pertaining to the record being destroyed must not be included in the disposal record.

Secure Destruction Exception

It should be noted that the secure destruction requirements in these Guidelines apply to the electronic or paper copies of documents provided by Elections Ontario as outlined in Section 2 and any additional standalone copies made of those that have been distributed by the political entity to individuals acting on its behalf.

The Guidelines do not require a political entity to wipe information that has been integrated into databases that the political entity has created for electoral purposes.

Section 8: Privacy Best Practices

Working in a Mobile Environment

The employees, volunteers or agents of political entities may be required to deal with electors' personal information in a mobile environment. As part of its efforts to protect the privacy of electors' personal information, Elections Ontario would recommend to political entities that they consider the following best practices that enhance the security and confidentiality of data while working within a mobile environment.

Removing records from the office

Records should only be removed from the office when it is absolutely necessary to do so.

Employees, volunteers or agents of the political entity should obtain any approvals required, and where possible, original documents should remain in the office and only copies be removed.

A record of the information being removed should be kept in a safe location.

Paper records

While in transit, paper records should be securely packaged and locked and should remain in the possession of the employees, volunteers or agents of the political entity.

If being used at home, records must be accessible only to the employees, volunteers or agents of the political entity and must be kept locked away when not in use.

Public Transit

Electors' personal information, whether in printed or electronic format, should never be accessed by employees, volunteers or agents of the political entity while travelling on public transportation.

Electronic records

Electronic records containing electors' personal information should be stored and encrypted on password-protected data storage devices and applications, or removable drive rather than on the hard drive of a laptop or home computer.

Removable drives should always remain within the possession of employees, volunteers or agents of the political entity or be kept in a secure location that is not accessible to others.

Laptops and home computers

Access to laptop, home computers, should be password-controlled, and any data on the hard drive must be encrypted. Other reasonable safeguards, such as anti-virus software and personal firewalls, could also be installed.

Laptops should always be stored in a secure location.

Wireless technology

Political entities should protect the privacy and confidentiality of personal information stored on wireless devices such as cell phones. Access to such devices should be password-controlled, and any stored data should be encrypted.

When working at locations outside the office, employees, volunteers or agents of the political entity should maintain constant control of wireless devices and care must be taken to prevent loss or theft.

Email, fax and photocopy

When working at home or at other locations outside the office, employees should avoid sending personal information by e-mail or fax. When necessary, employees should fax or photocopy personal information themselves.

Where fax and photocopy machines are not available for individual use and records containing personal information are given to a third party, the employee must be present when these tasks are being done.

Appoint a person to be responsible for implementing safeguards

It is recommended that political entities appoint a person responsible for implementing privacy safeguards. Responsibilities could include:

- designing and implementing specific protocols regarding the use, safeguarding and disposal of the lists;
- answering questions about the political entity's authorized use of the lists;
- controlling access to the lists; and
- communicating the political entity's policy and these guidelines to persons who have been given access to the lists of electors.

Appendix A – Sample Policy for Registered Political Parties

Section 1: Scope of Policy

This policy applies to the {Name of Political Party} and its candidates, members of the Legislative Assembly, and any person or entity representing or working for the party on a paid or unpaid basis.

Section 2: Restrictions on Use

Any person or entity who obtains information, directly or indirectly, from the Permanent Register of Electors for Ontario or from a List of Electors through {Name of Registered Political Party} must comply with the requirements under section 17.4 of the Election Act to:

- only use the information for electoral purposes; and
- not to use the information for commercial purposes.

Section 3: Requirement for Written Acknowledgements

Any person or entity who has obtained information, directly or indirectly from the Permanent Register of Electors for Ontario or from a List of Electors through {Name of Registered Political Party} may only disclose it to others after obtaining their written acknowledgement that they are bound by the restrictions on use in section 17.4 of the Election Act, as reproduced in section 2.0 of this policy.

Section 4: Tracking of Distribution

In providing any individual or entity with a copy of information from the Register, extract of the Register, or List of Electors, the following information must be tracked:

- the date of distribution;
- who the information was provided to;
- how the information was provided (e.g. type of document, electronic copy of PREO, paper copy of List of Electors etc.);
- confirmation that the written acknowledgment has been signed, and
- confirmation of the date the copy is returned.

Section 5: Loss or Theft of Information

In the case of loss or theft of elector's personal information from the Permanent Register or an extract of the Register for a specific electoral district, the following procedures must be followed:

- the breach should be contained and the source of the breach identified.
- the circumstances that led to the incident must be documented.
- internal policies, processes and procedures must be reviewed to prevent future incidents.
- the loss or theft must be reported to the Chief Electoral Officer

Section 6: Specific Responsibilities for Candidates for the Party

All candidates are responsible for:

- complying with the restrictions on use of the information as required under section 17.4 of the Election Act
- securing written acknowledgements as required under section 17.4 of the Election Act
- tracking the distribution of copies of the List of Electors provided by the Returning Officer to the candidate, in paper or electronically, as required by the Guidelines for the Use of Electoral Products
- complying with the processes identified in the Guidelines for the Use of Electoral Products in the case of loss or theft of a copy of the List of Electors
- in addition to the requirements for notification in the case of loss or theft under the Guidelines, the candidate should also notify the {party should identify a party official to whom the loss/theft should be reported}
- ensuring the secure destruction of all copies of the List of Electors as required under the Guidelines for the Use of Electoral Products.

- complying with all filing requirements under the Guidelines for the Use of Electoral Products

Section 7: Specific Responsibilities of Members of the Legislative Assembly for the Party

All Members of the Legislative Assembly are responsible for:

- Complying with the restrictions on use of the information as required under section 17.4 of the *Election Act*
- Securing written acknowledgements as required under section 17.4 of the *Election Act*
- Tracking the distribution of copies of the extract from the Permanent Register of Electors for Ontario as provided by Elections Ontario to the Member, in paper or electronically, as required by the Guidelines for the Use of Electoral Products.
- Elections Ontario to the Member, in paper or electronically, as required by the Guidelines for the Use of Electoral Products.
- Complying with the processes identified in the Guidelines for the Use of Electoral Products in the case of loss or theft of a copy of the List of Electors
- In addition to the requirements for notification in the case of loss or theft under the Guidelines, the Member should also notify the {party should identify a party official to whom the loss/theft should be reported}
- Ensuring the secure destruction of all copies of the extract from the Permanent Register as required under Guidelines for the Use of Electoral Products.
- Complying with all filing requirements under the Guideline.

Appendix B - Sample Policy for Independent Candidate or Member of the Legislative Assembly

Section 1: Scope of Policy

This policy applies to {Name of Independent Candidate/Member} and any person or entity representing or working for the candidate on a paid or unpaid basis.

Section 2: Restrictions on Use

Any person or entity who obtains information, directly or indirectly, from the Permanent Register of Electors for Ontario or from a List of Electors through {Name of Independent Candidate} must comply with the requirements under section 17.4 of the *Election Act* to:

- only use the information for electoral purposes; and
- not to use the information for commercial purposes.

Section 3: Requirement for Written Acknowledgements

Any person or entity who has obtained information, directly or indirectly from the Permanent Register of Electors for Ontario or from a List of Electors through {Name of Independent Candidate} may only disclose it to others after obtaining their written acknowledgement that they are bound by the restrictions on use in section 17.4 of the *Election Act*, as reproduced in section 2.0 of this policy

Section 4: Tracking of Distribution

In providing any individual or entity with a copy of information from the Register, extract of the Register, or List of Electors, the following information must be tracked:

- The date of distribution,
- Who the information was provided to,
- How the information was provided (e.g. type of document, electronic copy of PREO, paper copy of List of Electors etc.)
- Confirmation that the written acknowledgment has been signed, and
- Confirmation of the date the copy is returned

Section 5: Loss or Theft of Information

In the case of loss or theft of electors' personal information from the List of Electors, the following procedures must be followed:

- The breach should be contained and the source of the breach identified.
- The circumstances that that led to the incident must be documented.
- Internal policies, processes and procedures must be reviewed to prevent future incidents.
- The loss or theft must be reported to the Chief Electoral Officer.

Section 6: Election as an Independent Member of the Legislative Assembly

If elected as a member of the Legislative Assembly, this policy will continue to apply, unless I notify Elections Ontario in writing of any changes to the policy.

Appendix C – Sample Written Acknowledgement

Person Making Acknowledgement

Surname (Family Name):	Given Name(s):	Telephone:
Residential Address:		

In accordance with section 17.4 of the Election Act, as amended, I acknowledge the following regarding the information I obtain directly or indirectly from the List of Electors or the Permanent Register, whether the information obtained is in printed or electronic format or examined in either format without obtaining a copy:

- a) I will only use such information for electoral purposes;
- b) I will not use such information for commercial purposes; and
- c) I will only disclose such information to any other person after obtaining their written Acknowledgement that he or she is bound by these restrictions.

Print the Name of Electoral District

Signature of Person making acknowledgement

Print Date

Appendix D – Sample Electoral Event Distribution Tracking Form: Electoral Products

Sample Distribution Tracking Form - Annual Update								
Date of Distribution	Distributed To:	Electronic copy via sFTP	Printed copy quantity	Version:			Written Acknowledgement Completed	Date Returned
				Preliminary (P)	Advance Poll (AP)	Polling Day (PD)		

Electoral District Name

Candidate Name

Candidate Signature

Date

Appendix E – Sample Distribution Tracking Form: Annual Update

Sample Distribution Tracking Form - Annual Update							
Date of Distribution	Distributed To:	Electronic copy via sFTP	Printed copy quantity	Version:		Written Acknowledgement Completed	Date Returned
				Permanent Register	Electoral District Extract from PREO		

- | |
|---|
| <ol style="list-style-type: none"> 1. Independent Member of the Legislative Assembly 2. Registered Political Party 3. Member of the Legislative Assembly of a Registered Political Party |
|---|

_____ Electoral District Name (if applicable)

_____ Registered Party Name (if applicable)

_____ Name (Please print)

_____ Signature

_____ Date

Appendix F – Sample Electoral Event Secure Destruction Form

Name of Individual or Company who securely destroyed electronic or paper copies		
Date of secure destruction		
Time of secure destruction		
Location of secure destruction		
Types of documents securely destroyed (Preliminary, Advance Poll, or Polling Day List of Electors)	Paper type:	How many copies were destroyed?
	Electronic:	How many copies were destroyed?
Method of secure destruction	Paper:	
	Electronic:	
Signature of Individual or Company who destroyed electronic files or paper copies		
If applicable, Certificate of Destruction provided by shredding company	Yes <input type="checkbox"/>	No <input type="checkbox"/>

_____ Electoral District Name

_____ Candidate Name

_____ Candidate Signature

_____ Date

If applicable, attach a copy of the Certificate of Destruction provided by the Shredding Company and submit to ElectionsOntario.

Appendix G – Sample Annual Update Secure Destruction Form

Name of Individual or Company who securely destroyed electronic or paper copies		
Date of secure destruction		
Time of secure destruction		
Location of secure destruction		
Types of documents securely destroyed (Permanent Register of Electors, extract for Electoral District)	Paper type:	How many copies were destroyed?
	Electronic:	How many copies were destroyed?
Method of secure destruction	Paper:	
	Electronic:	
Signature of Individual or Company who destroyed electronic files or paper copies		
If applicable, Certificate of Destruction provided by shredding company	Yes <input type="checkbox"/>	No <input type="checkbox"/>

- | |
|--|
| <ol style="list-style-type: none"> 1. Independent Member of the Legislative Assembly 2. Registered Political Party 3. Member of the Legislative Assembly of a Registered Political Party. |
|--|

Electoral District Name

Candidate Name

Candidate Signature

Date

If applicable, attach a copy of the Certificate of Destruction provided by the Shredding Company and submit to Elections Ontario