**Privacy Questions and Principles Applicable to Surveys (Q1)**

**Introduction**

The *Access to Personal information for Research/Studies Procedure* contains requirements that must be followed before personal information that is in the custody or control of the University can be used for the purpose of a research project, or for the purpose of certain University based studies or surveys.

In some circumstances, approval of the Information and Privacy Office (“**IPO**”) is required. The Research/University Study decision tree illustrates these circumstances in more detail. Filling out this questionnaire is the first step to obtaining IPO approval.

This questionnaire should be filled out in the following situations:

1. You are conducting a research project that involves surveying University students, staff, or other members of the University community, and you are requesting that the University disclose some personal information to you in order to enable you to conduct the survey.
2. You are an employee of the University, and you wish to conduct a survey; one of your primary purposes is to plan or evaluate the operation or success of a University program or service. The University program or service you are evaluating is not the same program or service for which the personal information was collected in the first place. Often, in this case, you will be requesting access to personal information from another University department.

**Please note that as a general rule, if the University department who has the contact information can send the survey request out on your behalf, without providing you with the contact information, then the survey invitation should be sent out that way.** If the survey request is sent by the University department who has the contact information, then you need not fill out this questionnaire. Instead, please:

1. Advise the IPO that the survey will be taking place, to enable some central coordination of surveys of sample populations, so that the University can avoid survey fatigue; and
2. Note that you are responsible for following the IPO Guidelines For University Surveys.

*Notes for research projects:*

*1. If you are providing a copy of a research ethics submission form for the study with the completed questionnaire, and the questions on this form duplicate the questions on the research ethics submission form, please feel free to refer us to the section of the research ethics submission form that contains the answer to our question.*

*2. Also, please note that if you wish to access the personal information for research purposes, you will need to sign a research agreement before you can access the information.*

**QUESTIONNAIRE RE SURVEY**

**Question for research projects only**

1. Have you applied for research ethics approval, and have you obtained it? If applicable, please provide a copy of the research ethics submission form and a copy of the approval if you have already received it.

**Questions for University Studies and Research Projects**

1. Please provide the Information & Privacy Office with a description of:
	1. the data you are requesting; and

* 1. the survey design and methodology, including an explanation of how survey participants will be recruited. Please describe why the University unit that holds the contact information of the survey respondents cannot send the survey invitation on your behalf. Please provide a copy of the survey questions, if they are currently available.
1. Do you plan to link the data from the survey with other data? If so, please provide details (if this is not already answered in question 2).
2. Are you asking only the minimum amount of personal information that is reasonably required in order to achieve the survey purpose? If the survey objectives can be achieved with anonymized information, then anonymized information only should be used.
3. Can personal information be collected and stored separately from survey responses? Can the survey be done in such a way that no personal information (e.g. name or email address) is ever linked with the survey responses? If yes, please confirm that you will do so.
4. If the survey is being conducted on behalf of the University and the surveyor will be collecting personal information directly from individuals in the course of the study, the surveyor must ensure that a Notification Statement is included on all collection documents, in the form found on the website of the Information and Privacy Office, or in a form that is otherwise approved by the Information and Privacy Office.

<http://www.ipo.ualberta.ca/FOIPP-Act/Guidelines/FOIPP-Notification-Statement.aspx>

1. Who will have access to the individually identifiable information? In general, surveyors must not disclose personal information beyond the research or survey team (or service providers who are required in order to complete the survey). Surveyors must access and use personal information only for the approved purposes. Access to the personal information should be limited, on a need to know basis.
2. Will any service provider external to the University be used to assist with the survey? If so:
	1. Who is the service provider?
	2. What will they be doing?
	3. To what personal information will the service provider have access?
	4. If the service provider will have access to personal information, please attach the proposed form of agreement with the service provider, or provide a link to the terms of use and privacy policy of the service provider.

A list of online survey providers whose services have already been reviewed and approved by the Information & Privacy Office and the Chief Information Security Officer is set out as Schedule “A”, attached to this checklist.

1. a. How does a participant gain access to survey? If it is an online survey, can anyone take the survey, or must a participant authenticate in some way, such as providing their email address or ccid, or using a unique link that was provided to them?

b. If the participants authenticate in some way in order to take the survey, in such a way that the software can confirm that “Bob Smith” has logged in to take the survey, is “Bob Smith’s” identity de-linked from the survey responses that he gives?

1. Please confirm that any data reporting will be aggregate, so that individuals cannot be identified from the information reported.
2. Safeguards – Surveyors must ensure the safe and secure storage and handling of all personal information against unauthorized access, use, disclosure and destruction in accordance with University Policies and Procedures and the Act.

-How will the personal information be transmitted? See Email Use Best Practices document:

<https://www.vpit.ualberta.ca/encryption/docs/UofA_Email_Best_Practices.pdf>

- How will the personal information be protected when it is stored and handled? Will the personal information be stored on, or accessed through, a mobile device such as a laptop or cel phone at any time?

For resources on reasonable safeguards, please see <http://www.ipo.ualberta.ca/FOIPP-Act/Guidelines/Privacy-Breach-Prevention.aspx> .

1. Retention – please retain the personal information for the minimum amount of time that is necessary. Anonymize as soon as possible in the process. For how long will you retain the personal information?
2. Destruction – please ensure the safe and secure disposal of all personal information. How will you dispose of the personal information?
3. Are you planning to administer the survey on a one-time basis, or on a continuing basis (e.g. annually)?
4. Have you consulted with the department(s) being requested to provide the required personal information yet, and obtained their agreement as to the feasibility, timing and costs of providing the information?

Please return this completed form to the Information & Privacy Office at foipp@ualberta.ca .

**APPENDIX “A”**

**ONLINE SERVICE PROVIDERS WHOSE SERVICES HAVE ALREADY BEEN REVIEWED AND APPROVED**

1. Qualtrics
2. Survey Monkey - note: review the website to see how you can choose to:
	1. have the data stored on a Canadian server (note that some access may still be possible, as explained in the link below):

<https://www.surveymonkey.com/mp/policy/canadian-data-centre-overview/>

* 1. Collect responses anonymously, if possible:

<https://help.surveymonkey.com/articles/en_US/kb/How-do-I-make-surveys-anonymous>

1. Google Forms