**Privacy Questions and Principles Applicable to University Studies or Research Projects Involving University Information (Q2)**

**[Note: this questionnaire is used when the study or project does not involve a survey]**

**Introduction**

The *Access to Personal information for Research/Studies Procedure* (“**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.

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 and you wish to use the personal information of students or staff, or other personal information that the University has collected in the course of its operating programs or activities; or
2. You are an employee of the University, and you wish to conduct a study; 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.

*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 do this.*

**Questions 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.
2. Have you received consent from the individuals involved to use their data for research, or has a research ethics board waived consent?

**Questions for both University studies and research projects**

1. Please provide the University with a statement of the data you are requesting, and a description of the study design including methodology.
2. A. Do you already have access to the personal information you wish to use in the course of your employment, or are you asking a University department or unit to provide the personal information?
3. If you are seeking personal information from a University department or unit, have you consulted with that department or unit yet, and have you agreed with them about the feasibility, timing and costs involved in providing the information?
4. Do you plan to link the data you wish to obtain from the University with other data? If so, please provide details.
5. Do you intend to contact individuals directly to obtain further personal information about them? If so, please describe.
6. Are you seeking access only to the minimum number of data elements that are reasonably required in order for you to achieve your research purpose? If your research purpose can be achieved with anonymized information, then anonymized information only should be used.
7. A. Can coded information be used, so that direct identifiers such as an individual’s name are replaced by a code, and the code is linked with other information relevant to the research (e.g. grades, assignments, program information)? If so, please confirm that you will do this.

B. If coded information will be used, does a copy need to be maintained of the key that shows which code correlates to which name? If so, why? The key should be kept in a secure place, separate from the coded information. Please describe how these two things will be maintained separately and securely.

1. Who will have access to the individually identifiable information? Access to the personal information should be limited, on a need to know basis. Will the personal information be disclosed to anyone else beyond the research team and if applicable, the service provider described in s. 10? If so, please explain.
2. Will any service provider external to the University have access to the personal information in the course of the research study (e.g. a software provider)? 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. Please attach the proposed form of agreement with the service provider (or the terms of service and privacy policy of the service provider).
3. Please confirm that any data reporting will be aggregate, so that individuals cannot be identified from the information reported.
4. Safeguards – Researchers must ensure the safe and secure storage, transmission and handling of all personal information against unauthorized access, use, disclosure and destruction in accordance with University Policies and Procedures and the Act.
   1. How will the personal information be transmitted from the University to the researcher, and from the researcher to anyone else who will have access to it? See Email Use Best Practices document:

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

* 1. 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 –Personal information should be anonymized 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 when it is no longer needed. How will you dispose of the personal information?

Please return this completed form to the Information & Privacy Office at [foipp@ualberta.ca](mailto:foipp@ualberta.ca) .