**Privacy and Security Checklist**

Please fill out the following information, in order to begin the assessment of the privacy and security risks of your proposed initiative

Researchers: please note that we are not reviewing your study protocol or ethics application. Please only include information concerning the software, application or online service being used to support your study.

This process can take 6 - 8 weeks depending upon complexity.

Do not implement until review is complete and you receive a file closed email from IPO/CISO.

Your email address (**ccid@ualberta.ca**) will be recorded when you submit this form.

\* Required

**I am ready to begin**

**Is checklist being submitted for a research project that has or will have research ethics board approval?**

Name of Software and Contact Information

1. If software is involved in this initiative, what is the name of the software?
2. **Please provide contact information of the lead business contact in the faculty or unit. \***
3. **Please provide contact information of University IT Contact, if relevant.**
4. **Has any other internal IT Governance begun? Within your faculty or university wide IT Governance (like ITAC, LTAC, ITSC or UIIs). Have you started IT Governance through their toolkit, found here:** [**https://www.ualberta.ca/vice-president-finance/it-governance/toolkit/index.html**](https://www.ualberta.ca/vice-president-finance/it-governance/toolkit/index.html)**? Identify which, if any and who is the contact.**
5. **Please provide information of Vendor including contact name, and if available position, email, and contact information. \***
6. **If SMS is involved, please provide SMS contact information.**

High Level Project Details

1. **Please provide a high level description of the project/initiative and provide the business rationale. What will the benefits of the project be? \***
2. **If hiring a service provider or licensing software or an application, what services will the service provider be providing? What will the software/application be used for? \***

**Classification of Personal Information**

When answering the questions below, please consider not just personal information that is directly inputted by someone, but also personal information that is generated in the course of the initiative. For example, if you are using student assessment software, the personal information involved includes not only the identifiers about each student that are inputted into the software, but also the results of the assessment.

1. **Restricted Level ­ are the following data elements collected, compiled, used, disclosed or stored in the initiative? Please check all that apply.**

*Check all that apply.*

* + Health information
	+ Credit card information
	+ Social insurance numbers
	+ Passport number
	+ None of the above.

The data elements listed above are classified as "Restricted" and are highly sensitive. If you are handling any of this type of personal information, the IPO and the Chief Information Security Officer must review this initiative before you implement it.

1. **Confidential Level ­ are the following data elements collected, compiled, used, disclosed or stored in the initiative? Please check all that apply.**

*Check all that apply.*

* Personnel records (includes salary information that is not publicly available)
* Employee or student discipline records
* Information about individual donors
* None of the above

The data elements listed above are considered "confidential" and highly sensitive. If you are handling any of this type of personal information, the IPO and the Chief Information Security Officer must review this initiative before you implement it.

1. **Protected level ­ Are the following personal information data elements collected, compiled, used, disclosed or stored in this initiative? Please check all that apply.***Check all that apply.*
* Names
* Email addresses other than @ualberta.ca email addresses
* Home addresses
* Personal phone numbers (not work phone numbers)
* Birth dates
* Grades
* Assessment results
* CCIDs (Campus Computing IDs)
* Employee or student ID numbers
* Name of spouse
* Photo, digital, video or audio recordings of individual(s)
* An individual’s opinion about something or someone
* None of the above
* Other: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

The personal information data elements listed above are classified as "Protected" and considered moderately sensitive. If you are handling any of this type of personal information in this initiative, then before you implement the initiative, a security review is required (unless waived by the IPO and Chief Information Security Officer).

1. **What are the other personal information data elements that are collected, compiled, used, disclosed or stored in this initiative? Please check all that apply, and please add any data elements that have not been listed. \****Check all that apply.*
* University email addresses
* Publicly available personal information
* None of the above
* Other: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Is New Personal Information Collected In This Initiative?

1. Is new personal information collected in this initiative? You are not "collecting" new personal information if you are simply using personal information that the University collected previously. \*

*Mark only one.*

* Yes
* No

If the answer is yes, please ensure that you follow the guidelines set out at: <https://www.ualberta.ca/information-and-privacy-office/collection-of-pi.html>

1. Will there be General Data Protection Regulations (GDPR) implications? Are you undertaking activities involving anyone living in the EU?

*Mark only one.*

* Yes
* No

Examples: When the university has a physical entity in the EU. When university activities relate to the offering of goods and services to EU residents. When university activities involve the monitoring of behavior of EU residents.

Flow of Personal Information

1. Can you please describe the information flow relating to the project, from the point at which the personal information is collected, to the point that it is destroyed? How is personal information collected (e.g. paper form, or web based form, and who enters the information?). After it is collected, who is it shared with, and how is it transmitted or accessed? \*

**Use of Personal Information**

1. Will the personal information only be used for the purpose for which the information was collected or compiled, or for a use consistent with that purpose? This purpose is described in the FOIP notification statement displayed to the individual when the information was initially collected.

*Mark only one.*

* Yes
* No
* Not sure

If the answer is "No" or "Not Sure", please check whether you have authority to use the personal information in the way you would like to use it, at: <https://www.ualberta.ca/information-and-privacy-office/use-of-personal-information.html>. If you are still not sure whether you have the authority to use the personal information in the way you would like to use it, please contact the IPO.

Disclosing Personal Information

1. Will personal information (other than business contact information) be disclosed to anyone outside of the University, other than a service provider of the University who needs access to the personal information to provide the service?
*Mark only one.*
* Yes
* No

If the answer is yes, please ensure you follow the guidelines set out here: <https://www.ualberta.ca/information-and-privacy-office/disclosure-of-pi.html>

Use of New Software or Online Service

1. Will new software or a new online service (e.g. website) be used in collecting, compiling, using, disclosing, or storing the personal information? \*

Mark only one.

* Yes
* No *Skip to question 29.*

Questions about new software or online service ­ integration and hosting

1. If you will be using new software or a new online service, are you considering any integration or tie in with an existing University information technology system? If so, please describe.
2. Will the new software or online service be hosted by the University or by an external provider?

Mark only one.

* Hosted by the University *Skip to question 21.*
* Hosted by an external provider *Skip to question 22.*
* Hybrid; hosted partially by University, and partially externally
 *Skip to question 25.*
* Not sure *Skip to question 28.*

Internally Hosted Software

1. Will a service provider / contractor be using remote access in order to access personal information within a University system? \*

Mark only one.

* Yes
* No
* Not sure *Skip to question 29.*

External Hosting

1. Do you have a link to existing privacy or security technical documentation from the supplier (including privacy or security policies, or security reviews conducted by third parties)? If so, please provide the link(s) in the space below.
2. Will the personal information reside only within Canada? \*
Check all that apply.
* Yes
* No
* Unknown
1. Do you have the ability to delete personal information in the database or online service when it is no longer required?

Mark only one.

* Yes
* No
* Other: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

If the answer to this question is no, please consult with the IPO before proceeding with the initiative.

*Skip to question 29.*

Hybrid; hosted partially by University and partially externally

1. Do you have a link to existing privacy or security technical documentation from the supplier (including privacy or security policies, or security reviews conducted by third parties)? If so, please provide the link(s) in the space below.
2. Will the personal information reside only within Canada? \*
Check all that apply.
* Yes
* No
* Unknown
1. Do you have the ability to delete personal information in the database or online service when it is no longer required?

Mark only one.

* Yes
* No
* Other: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

If the answer to this question is no, please consult with the IPO before proceeding with the initiative.

1. Will a service provider / contractor be using remote access in order to access personal information within a University system?

Mark only one.

* Yes
* No
* Other: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Operational Requirements

1. Please confirm that you have reviewed the Operational Memo found at <https://privacyandsecurity.ualberta.ca/doc/Operational-Memo.docx>
Please confirm that you will develop the initiative in a manner that is consistent with these Operational Requirements, to the extent that they are relevant. \*
* Yes, I confirm this.
1. Please also confirm that the people within your unit, who are responsible for meeting the relevant requirements in the Operational Memo on an ongoing basis, will be made aware of them before the initiative is implemented. Please do not proceed with your initiative until you confirm this. \*
* Yes, I confirm this.

Please note that quality assurance checks may be conducted at any time by the IPO or Chief Information Security Officer to ensure any conditions have been implemented or to review and assess this initiative at a later date. They may need to ask the unit questions, and may offer recommendations for improvement.

1. Please give the name of the person who has completed this form. \*

Are you ready to submit this checklist? \*
Mark only one.

* Yes *Stop filling out this form.*
* No *Start this form over.*

After you submit the checklist, you can find more information about the next steps to take under the heading "Next Steps, Based Upon Classification Level" at: https://privacyandsecurity.ualberta.ca/checklist.html