

Personal Information Bank (PIB) Questionnaire

As of June 10, 2006 all Ontario universities **must comply** with the statutory requirements of the *Freedom of Information and Protection of Privacy Act* (FIPPA). One of the requirements under FIPPA is for Laurentian University to provide an index of all Personal Information Banks to the responsible minister. The purpose of this questionnaire is to

- identify and describe the Personal Information Banks at Laurentian University; and
- begin the departmental review for the eventual establishment of an information (records) management system for the University.

INSTRUCTIONS

Please complete and return the following questionnaire by **Friday November 13, 2009**.

The completed questionnaire is to be sent to Victoria Edwards, Records Officer at vedwards@laurentian.ca

Please don't hesitate to contact Victoria at ext. 3416 should you have any questions. Your collaboration is much appreciated.

The following definition of Personal Information Bank (PIB) is useful to note before filling out the questionnaire:

As defined by FIPPA, a PIB is a "collection of personal information (examples include but are not limited to race, sex, birth date, marital or family status, address, telephone number, student or employee number) that is organized and capable of being retrieved using an individual's name or an identifying number or particular assigned to the individual." Please note that **personal information (PI) does not include** the name, title, contact information (address and/or e-mail) or designation of an individual that identifies the individual in a **business, professional or official capacity**.

Under FIPPA, Laurentian University's index of all PIBs must include the following:

- name and location(s) of the PIB
- the legal authority for its establishment
- the types of personal information maintained
- how it is regularly used
- who uses it
- to whom it is regularly disclosed
- the types of individuals about whom PI is maintained
- the policies and practices regarding retention and disposal of the PI

About this questionnaire

The purpose of this questionnaire is to **gather information from departments** about what **groups or types of files they are creating** that **contain PI**, and the **types of PI** contained in these files, who has access to these files, how these files are stored, and so on as per the questions on the questionnaire. The University's Information and Privacy Office (IPO) will then compile this information to determine Laurentian University's PIBs, eventually producing a PIB index. **Departments are in no way required to determine their own PIBs; they are asked to answer the questionnaire only.**

The following are some example PIB descriptions for a PIB index; in other words, examples of how the information gathered from this questionnaire **might** look once it has been compiled, analyzed and used to create descriptions of Laurentian's PIBs. They have been included **for illustrative purposes only (the information in these samples is not necessarily accurate)** so that departments may have a better understanding of how the information they are providing will most likely be used by the IPO.

PIB description examples

The names of the PIBs in these examples are functional; meaning, that the PIB Name has been established to give an indication of the purpose(s) for which a certain group of files were created (the groups of files may not necessarily have originally been part of the same file groups in a given department; in fact, there might be multiple locations (different departments) where these files are found, as is the case in Example 2). **Departments do not need to be concerned with assigning functional names to their existing groups of files;** this will be part of the work involved in the creation of the PIB index by the IPO.

All examples in this questionnaire will appear in blue font.

EXAMPLE 1

PIB Name: RECRUITMENT AND HIRING – CASE FILES

Location: Human Resources

Legal Authority:

(As per the Act, collection of personal information can only take place if it is expressly authorized by statute, the information is being used for law enforcement purposes, or because the information is necessary for the proper administration of a lawfully authorized activity. Most university activities involving collection of personal information cite this last reason as the legal authority for the collection. If citing this reason, please also cite any relevant policies (along with information about when the policies were approved and by whom), departmental procedures/forms involved, etc.)

Information Maintained: Name, home address, email address, telephone number, employment history, educational history, interview responses and rankings.

Uses: Recruitment of employees for academic and non-academic positions at the university.

Users: Human Resources personnel, administrative personnel within the hiring unit, persons sitting on the hiring panel.

Individuals in Bank: Applicants for academic and non-academic employment.

Retention and Disposal: Files are kept 1 year after position filled. Confidential destruction/secure shredding of files. (Note: resume and letters of reference for successful candidates are transferred to their Employee Files). *(It is important to note what happens to ALL records, including duplicates, whether in print or electronic form; all existing records must be accounted for.)*

EXAMPLE 2

PIB Name: STUDENT RECORDS - UNDERGRADUATE

Location: Office of the Registrar, all academic faculties, departments, schools

Legal Authority: (see explanation in example 1)

Information Maintained: Name, home and term address, e-mail addresses, telephone numbers, names of parents/guardians and/or next-of-kin, secondary school grades, program of study, course enrollments, course grades.

Uses: Keep an accurate record of the student's educational progress.

Users: Office of the Registrar, faculty and non-academic staff as necessary.

Individuals in Bank: Students registered in undergraduate programs.

Retention and Disposal: Office of the Registrar: 2 years after graduation. All other copies: 1 year after last use. Confidential destruction.

PLEASE COMPLETE THIS SECTION BEFORE ANSWERING THE QUESTIONNAIRE	
Your name:	
Department:	
E-mail address:	@laurentian.ca
Phone:	
Date:	

Please note that “collect” can be defined as the act of “gathering, acquiring, recording, or obtaining personal information (PI) directly or indirectly, from any source and by any means.” (This definition includes the practice of sharing PI interdepartmentally.)

1. What are the principal functions of your department (e.g. Secretariat functions include: Secretariat, Legal, Information and Privacy)?

2. **Who** in the department or unit **collects PI** (please provide positions/titles)?

3. Please identify the types or groups of **files in your department which contain PI** (the names assigned by your department to all file groups created in your department that contain the same or similar PI), and the principal functions served by each of these file groups (e.g. “FIPPA requests and responsive records” are a group of files containing PI, created by the Secretariat Department under the Information and Privacy function, in order to process and respond to requests for information made under FIPPA).

4. a) **Where** within your department are paper file groups containing PI located/stored (e.g. the group of paper files named “FIPPA requests and responsive records” is located in the office area of the Executive Secretary of the Secretariat Department)?

b) **Where** within your department are electronic file groups containing PI located/stored (i.e. computer or laptop of [name employee position], shared system/drive (e.g. Datatel), archived e-mails stored in folders on Groupwise accounts, etc.)?

5. Please identify your department’s **legal authority** for collecting PI (please check all that apply) (double-click on gray-shaded checkbox and choose “checked”):

Collection is **necessary** for the proper administration of a **lawfully authorized** activity (Laurentian University of Sudbury Act, 1960); **please specify any relevant policies** (including when approved and by whom), as well as any **departmental procedures/forms** involved:

Collection is for law enforcement purposes (please specify):

Collection is expressly authorized by statute (please specify):

6. Please identify:

- the **type(s) of PI stored/maintained** (i.e. the types of PI present in each file group, such as name and personal address, SIN, etc.);
- **who the PI is about** (i.e. types of individuals, such as students, employees, donors, etc.);
- **how** the PI from each file group is regularly **used** (please list all principle uses or purposes);
- **who uses** the PI (please provide positions/titles);
- **retention** (length of time files are kept?); and
- **disposition** (are the files destroyed (how?), filed elsewhere (location?), or other? Please specify).

It might be helpful to copy and paste the following chart as many times as necessary (to be filled out for **every group of files**):

Department Function:			
Name of file group containing PI:			
Individual(s) who the PI is about in this group:			
Types of PI contained in this group:			
<input type="checkbox"/> name	<input type="checkbox"/> date of birth	<input type="checkbox"/> SIN <input type="checkbox"/> health card number	Other (please specify):
<input type="checkbox"/> home address	<input type="checkbox"/> driver's license card number	<input type="checkbox"/> next-of-kin/emergency contact information	<input type="checkbox"/>
<input type="checkbox"/> home phone number	<input type="checkbox"/> credit card information	<input type="checkbox"/> research-related records <input type="checkbox"/> evaluations/opinions	<input type="checkbox"/>
<input type="checkbox"/> personal e-mail address	<input type="checkbox"/> Bank account information	<input type="checkbox"/> interview responses	<input type="checkbox"/>
<input type="checkbox"/> program of study <input type="checkbox"/> secondary school grades <input type="checkbox"/> course enrollments <input type="checkbox"/> course grades <input type="checkbox"/> educational goals <input type="checkbox"/> confidential letters of recommendation <input type="checkbox"/> grievance files <input type="checkbox"/> CV <input type="checkbox"/> salary information <input type="checkbox"/> employment contracts	<input type="checkbox"/> contracts <input type="checkbox"/> financial history/records <input type="checkbox"/> terms of appointment (e.g. committee)	<input type="checkbox"/> biographical information (e.g. race, sex, marital status) <input type="checkbox"/> biometric identifiers (e.g. fingerprints and voiceprints) <input type="checkbox"/> photographic images (full-face or partial) and any comparable images	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
<input type="checkbox"/> medical history/records <input type="checkbox"/> psychiatric or psychological history/records	<input type="checkbox"/> scholarship, award and bursary application records	<input type="checkbox"/> student number <input type="checkbox"/> employee number <input type="checkbox"/> awards and distinctions	<input type="checkbox"/>
Uses:			
Users (if PI is also routinely disclosed to another department or outside party, these departments or other parties should be included here as users):			
Retention:			
Disposition:			

Example of chart filled out for group of files called “FIPPA requests and responsive records” in the Secretariat:


Department Function: Information and Privacy			
Name of file group containing PI: FIPPA requests and responsive records			
Individual(s) who the PI is about in this group: Staff, faculty, students, members of the public			
Types of PI contained in this group:			
<input checked="" type="checkbox"/> name	<input type="checkbox"/> date of birth	<input type="checkbox"/> SIN <input type="checkbox"/> health card number	Other (please specify):
<input checked="" type="checkbox"/> home address	<input type="checkbox"/> driver’s license card number	<input type="checkbox"/> next-of-kin/emergency contact information	<input checked="" type="checkbox"/> responsive records (possibly containing PI of requesters themselves, and/or others, as well as possibly containing third party information)
<input checked="" type="checkbox"/> home phone number	<input type="checkbox"/> credit card information	<input type="checkbox"/> research-related records <input type="checkbox"/> evaluations/opinions	<input type="checkbox"/>
<input checked="" type="checkbox"/> personal e-mail address	<input type="checkbox"/> bank account information	<input type="checkbox"/> interview responses	<input type="checkbox"/>
<input type="checkbox"/> program of study <input type="checkbox"/> secondary school grades <input type="checkbox"/> course enrollments <input type="checkbox"/> course grades <input type="checkbox"/> educational goals <input type="checkbox"/> confidential letters of recommendation <input type="checkbox"/> grievance files <input type="checkbox"/> CV <input type="checkbox"/> salary information <input type="checkbox"/> employment contracts	<input type="checkbox"/> contracts <input type="checkbox"/> financial history/records <input type="checkbox"/> terms of appointment (e.g. committee)	<input type="checkbox"/> biographical information (e.g. race, sex, marital status) <input type="checkbox"/> biometric identifiers (e.g. fingerprints and voiceprints) <input type="checkbox"/> photographic images (full-face or partial) and any comparable images	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
<input type="checkbox"/> medical history/records <input type="checkbox"/> psychiatric or psychological history/records	<input type="checkbox"/> scholarship, award and bursary application records	<input type="checkbox"/> student number <input type="checkbox"/> employee number <input type="checkbox"/> awards and distinctions	<input type="checkbox"/>
Uses: to process and respond to requests for information made under FIPPA.			
Users (if PI is also routinely disclosed to another department or outside party, these departments or other parties should be included here as users): University Secretary, Records Officer, other university employees as required (depending on nature of information access request).			
Retention: TBD (To Be Determined)			
Disposition: TBD			

7. a) Do you dispose of (file elsewhere) or destroy files containing PI on a regular basis or in accordance with a fixed schedule? Please provide details:

b) Who (position/title) authorizes the destruction of the files in your department (under FIPPA, PI cannot be destroyed without the authorization of the Department or Unit Head)?

- END OF QUESTIONNAIRE -

Thank you for taking the time to reply to this questionnaire! Only with the continued cooperation and collaboration of the university community can Laurentian satisfy all statutory obligations.

 Laurentian University Université Laurentienne	Information and Privacy Office (IPO) <small>University Secretariat · Parker Building Room L-1118 · 935 Ramsey Lake Road · Sudbury, ON P3E 2C6</small>	
Denise Ouellette Information and Privacy Coordinator Tel: 3401 douellette@laurentian.ca	Victoria Edwards Records Officer Tel: 3416 vedwards@laurentian.ca	Natalie Parent Executive Secretary Tel: 3400 nparent@laurentian.ca