**Data Transfer/Sharing Checklist**

# Data Transfer/Sharing/Storage (Checklist)

**Data Use Agreement (DUA) Contacts:**

**Sponsored Projects Office**

* Aida Andujo, Manager, [AAndujo@salud.unm.edu](mailto:AAndujo@salud.unm.edu)
* Siiri Wilson, Contract Specialist, SiWilson@salud.unm.edu

**Privacy Office**

* Laura Putz, Privacy Officer, [LPutz@salud.unm.e](mailto:LPutz@salud.unm.e)du
* Gayle Shipp, Privacy Specialist, [GShipp@salud.unm.e](mailto:GShipp@salud.unm.e)du

**Information Security Office**

* Information Security Office, HSC-ISO@salud.unm.edu

*Provide all information requested if the research involves transferring/sharing of data with an external entity (institution, company, etc.).*

1. Will UNM data be transferred/shared with an external entity (i.e. another institution, company, etc.) or will an external entity’s data be transferred/shared with UNM?

Yes. **If yes, all questions must be answered congruently based on protocol provisions.**

No. **If no,** **the remainder of this section does not apply.**

1. Indicate if the data is incoming, outgoing or both:
2. Provide the name of the entity(s) that data will be transferred/shared with, if incoming:
3. Provide the name of the entity(s) that data will be transferred/shared with, if outgoing:
4. Provide the external entity(s) contact name, email and phone number with whom the data agreement is going to be executed. List contact information for each external entity(s) that are involved with the project.

|  |  |  |  |
| --- | --- | --- | --- |
| Contact Name | External Entity | Email | Phone Number |
|  |  |  |  |
|  |  |  |  |

1. Who is responsible for transmission of the data (include name, email address and phone number)?
2. Who is responsible for receiving the data (include name, email address and phone number)?
3. Describe how the data will be securely transmitted/shared . Please note data cannot be transmitted/shared without assistance from UNM HSC Central IT. **RequestHSC Central IT Transfer from the ISO office. (cannot transfer via email, cloud storage services such as Dropbox OneDrive, and fax)**
4. For data being transferred/shared with outside locations or entities, describe the following:
5. Where will data be stored and how will it be protected? (i.e. encryption, password protection, access controls, use ofREDCap, etc)? 
   * *If REDCap, who manages/owns REDCap (i.e. UNM HSC or other external entity)?*
   * *If REDCap or other external system is not UNM HSC REDCap managed/owned, please provide the name and contact information of owner and the access (login) link?*

*Provide IT security point of contact details for externally managed/owned REDCap:*

1. What is the method being used for data collection and storage (i.e. electronic, hard copy, etc.)?
2. How long will the data be stored? Must be congruent with sections 16.16-16.18.
3. Where will data be stored? (UNM HSC requires that research data be stored on the N:\Research-Studies drive managed by HSC Central IT.)
4. Who will have access to data?
5. Please list all specific data elements, variables, etc. to be sent out (outgoing) and/or received (incoming).

What data is incoming?

What data is outgoing?

1. What is the classification of the data (de-identified, limited data set, protected health information, other)? See below for definitions:

**DE-IDENTIFIED DATA:** Identifiers That Must Be Removed to Make Health Information De-Identified:

(i) The following 18 identifiers must be removed of the individual or of relatives, employers or household members of the individual must be removed: (A) Names; (B) All geographic subdivisions smaller than a State, including street address, city, county, precinct, zip code, and their equivalent geocodes, except for the initial three digits of a zip code if, according to the current publicly available data from the Bureau of the Census: (1) The geographic unit formed by combining all zip codes with the same three initial digits contains more than 20,000 people; and (2) The initial three digits of a zip code for all such geographic units containing 20,000 or fewer people is changed to 000.(C) All elements of dates (except year) for dates directly related to an individual, including birth date, admission date, discharge date, date of death; ***and all ages over 89 and all elements of dates (including year) indicative of such age, except that such ages and elements may be aggregated into a single category of age 90 or older;*** (D) Telephone numbers; (E) Fax numbers; (F) Electronic mail addresses; (G) Social security numbers; (H) Medical record numbers; (I) Health plan beneficiary numbers; (J) Account numbers; (K) Certificate/license numbers;(L) Vehicle identifiers and serial numbers, including license plate numbers; (M) Device identifiers and serial numbers; (N) Web Universal Resource Locators (URLs); (O) Internet Protocol (IP) address numbers; (P) Biometric identifiers, including finger and voice prints; (Q) Full face photographic images and any comparable images; and (R) Any other unique identifying number, characteristic, or code; and (ii) The covered entity does not have actual knowledge that the information could be used alone or in combination with other information to identify an individual who is a subject of the information.

**LIMITED DATA SET:** A “limited data set” is a limited set of identifiable patient information as defined in the Privacy Regulations issued under the Health Insurance Portability and Accountability Act (HIPAA). A “limited data set” is information from which “facial” identifiers have been removed. A “limited data set” is information from which “facial” identifiers have been removed. Specifically, as it relates to the individual or his or her relatives, employers or household members, all the following identifiers must be removed in order for health information to be a “limited data set”: names;

street addresses (other than town, city, state and zip code); telephone numbers;

fax numbers; e-mail addresses; Social Security numbers; medical records numbers;

health plan beneficiary numbers; account numbers; certificate license numbers;

vehicle identifiers and serial numbers, including license plates; device identifiers and serial numbers; URLs; IP address numbers; biometric identifiers (including finger and voice prints); and full face photos (or comparable images).

**The health information that may remain in the information disclosed includes:** dates such as admission, discharge, service, DOB, DOD;

city, state, five digit or more zip code; and

ages in years, months or days or hours.

It is important to note that this information is still protected health information or “PHI” under HIPAA. As a limited data set the information is still subject to the requirements of the federal and state privacy and security regulations.

**PROTECTED HEALTH INFORMATION (PHI):** PHI is defined as any individually identifiable health information collected or created as a consequence of the provision of health care by a covered entity, in any form, including verbal communications. PHI is information that can be linked to a particular person and that is created, used, or disclosed in the course of providing a health care service (i.e., diagnosis or treatment). There are 18 PHI identifiers as listed in the de-identified data definition section.

1. If the research requires the access, use, or disclosure of any of the 18 individually identifiable protected health information (PHI) identifiers that can be used to identify, contact, or locate a person (e.g., name, medical record number, etc.), are the subjects going to consent to or authorize the disclosure of their individually identifiable health information? Yes No

If yes, please provide details regarding the consent process:

* 1. ***Or*** is HIPAA authorization altered or waived? YesNo

If yes, please provide details:

1. Does the request to transfer/share data include clinical data that belongs to the UNM Health System? If data originates from the UNM Health System medical records, this question should be answered “Yes”. Yes No
2. Does the data to be transferred/shared include information about patients seen at an external health system or at a third party medical provider? Yes No

If yes, please provide details:

1. Is the external entity a “covered entity”? (HIPAA-covered entities include health care providers (i.e. hospitals, doctors, academic health centers), health plans, and clearinghouses.) Yes No
2. Is the data that is going to be transferred/shared owned or partially owned by another party? Yes No

If yes, please provide details:

1. Does the data have any restrictions other than HIPAA? Yes No

If yes, please provide details:

1. Is the data publicly available? Yes No

If yes, please provide details:

1. Does the data include information about substance abuse treatment, sexually transmitted diseases, genetic testing results, HIV/AIDS testing results, and/or mental health?

Yes No

If yes, please provide details: