

# PRIVACY AND DATA SECURITY GUIDE

*The University of Minnesota is committed to upholding the highest standards of ethics, integrity, and responsibility in our affairs. The University's success depends upon the personal integrity of each member of our community.*

*The Privacy and Data Security Guide provides information for faculty, staff, and students related to the many University privacy information resources. There are a vast number of complex privacy regulations, types of information, and overlapping compliance programs. This guide lists a variety of contacts to help you find answers. Check with your college or administrative unit for additional resources.*

## CONTACT INFORMATION

Compliance Area	Services Offered	Contact
<b>FERPA</b> (Family Educational Rights and Privacy Act) – <b>Student Records</b>	Provide information on appropriate access to, use, and dissemination of student records.	<a href="http://www.onestop.umn.edu">www.onestop.umn.edu</a> <b>Tina Falkner</b> , Office of the Registrar, 612-625-1064, <a href="mailto:rovic001@umn.edu">rovic001@umn.edu</a>
<b>Financial</b>	Provide financial information, access to financial information, education on the proper use of financial information, and dissemination of financial information. Provide centralized training resources and tools to manage financial information.	<a href="http://www.fss.umn.edu/security.htm">www.fss.umn.edu/security.htm</a> University Financial Helpline, 612-624-1617, <a href="mailto:fsshhelp@umn.edu">fsshhelp@umn.edu</a>
<b>GLBA</b> (Gramm-Leach-Bliley Act)	Provide information on: Steps the University is undertaking to comply with the GLBA; Types of activities that will subject a department to the GLBA requirements to safeguard non-public financial data; Steps a department can take to safeguard information covered by the GLBA; Materials to help departments understand the law and how it affects them.	University Financial Helpline, 612-624-1617, <a href="mailto:fsshhelp@umn.edu">fsshhelp@umn.edu</a>
<b>HIPAA</b> (Health Insurance Portability and Accountability Act of 1996)	Provide information, training, and resources to University workforce members and students as part of the University HIPAA compliance program. Responsible for developing and implementing policies and procedures for protecting the privacy and confidentiality of health information at the University.	<a href="http://www.privacysecurity.umn.edu">www.privacysecurity.umn.edu</a> <b>Ross Janssen</b> , HIPAA Privacy and Security Officer, 612-626-5844, <a href="mailto:janss006@umn.edu">janss006@umn.edu</a> <b>John Jensen</b> , University Privacy and Security Project Coordinator, 612-626-3885, <a href="mailto:jense100@umn.edu">jense100@umn.edu</a>
<b>Human Resources</b>	Provide employment information (job classifications, salary, etc.), job application information (requisitions, applications, etc.), employee benefits information (health, retirement, etc.).	<a href="http://www.hrss.umn.edu">www.hrss.umn.edu</a> Human Resources Helpline, 612-625-2000 Office of Human Resources/ Employee Benefits, 612-624-9090
<b>Information Technology</b>	Provide security alerts, guidelines and recommendations, incident reporting, tools and resources.	<a href="http://www.umn.edu/oit/security">www.umn.edu/oit/security</a> <a href="http://www.safecomputing.umn.edu">www.safecomputing.umn.edu</a> OIT Security and Assurance, 612-301-4357 (or 1-HELP), <a href="mailto:help@umn.edu">help@umn.edu</a>
<b>Legal</b>	Provide legal advice to University administrators regarding the Minnesota Data Practices Act and other state and federal laws relating to the University's obligations to secure private data.	<a href="http://www.ogc.umn.edu">www.ogc.umn.edu</a> Data Practices, FERPA, and other privacy issues: <b>Tracy Smith</b> , Associate General Counsel, 612-624-9546, <a href="mailto:tracysmith@mail.ogc.umn.edu">tracysmith@mail.ogc.umn.edu</a> HIPAA: <b>Barbara Shiels</b> , Associate General Counsel, 612-624-4100, <a href="mailto:barbarashiels@mail.ogc.umn.edu">barbarashiels@mail.ogc.umn.edu</a> <b>Keith Dunder</b> , Academic Health Center Counsel, 612-626-3700, <a href="mailto:dunde001@umn.edu">dunde001@umn.edu</a>
<b>OIT Data Security</b>	Manage the requests, approvals, and setup processes for access to enterprise systems, such as Human Resources, Student Records, and Financial Systems.	<a href="http://www.umn.edu/datasec/security">www.umn.edu/datasec/security</a> OIT Data Security, 612-301-4357 (or 1-HELP), <a href="mailto:x-secur@umn.edu">x-secur@umn.edu</a>
<b>Records and Information Management</b>	Central resource for departments with questions regarding managing University records and information. Also assist University employees who receive requests for information.	<a href="http://recgmt.finop.umn.edu/">http://recgmt.finop.umn.edu/</a> <b>Susan McKinney</b> , CRM, Records and Information Management Office, 612-625-3497, <a href="mailto:mckin018@umn.edu">mckin018@umn.edu</a>



# PRIVACY AND DATA SECURITY OVERVIEW

## **Family Educational Rights and Privacy Act (FERPA) – Student Records**

FERPA is a federal law designed to protect the privacy rights and accuracy of student education records. It applies to all institutions that receive federal aid.

Education records are broadly defined as any information that is maintained on a student that contains personally identifiable information. Violations of FERPA can occur if student information is revealed without the person's permission or if the person is denied access to the information.

## **Gramm-Leach-Bliley Act (GLBA)**

GLBA requires the University to have a policy in place to protect the security and confidentiality of private customer information that is obtained by University departments as part of their offering of financial products or financial services. The information that must be protected is all customer information that is not publicly available, such as social security number, bank account information, income history, tax return information, date and place of birth, etc.

## **Health Insurance Portability and Accountability Act of 1996 (HIPAA)**

HIPAA is comprised of three key sets of federal regulations that establish and protect patient rights and disseminate standards for the protection of individually identifiable health information, otherwise known as protected health information (PHI). This type of information is defined as information that: is related to a person's physical or mental health, the provision of health care, or the payment of health care; identifies the person who is the subject of the information; and is created or received by a covered entity. "Covered entity" is defined as a health plan, a health care clearinghouse, or a health care provider who transmits any health information in electronic form in connection with a covered transaction.

Because the University of Minnesota engages in covered transactions as one or more of the described entities, it is required to be in compliance with HIPAA. Privacy and security objectives of

HIPAA include preventing and combating fraud and abuse in health care payment practices, and protecting confidential, individually identifiable health care information and records.

The Privacy Office is responsible for developing and implementing the University's HIPAA compliance program.

## **Information Technology**

The Office of Information Technology (OIT) manages the centrally provided computer, network, phone, and other information technology systems of the University of Minnesota. Security and Assurance within OIT assures the confidentiality, integrity, and availability of information resources at the University.

Situations involving privacy and security include: worm, virus, and Trojan infections; commercial use of network resources; copyright violations; malicious communications; intrusions and/or compromises of systems, policy violations, etc.

## **Records and Information Management**

As a public institution, the University maintains public as well as private information and records and is responsible for providing access to public information upon request. State and federal law determine whether information is public or private. The Records and Information Management Office is responsible for ensuring that public information at the University is released when requested and that private and nonpublic University information is protected. The Office handles requests for University information and advises University units when they are asked for information.

The Office is also the University resource to departments regarding how to manage University records properly. The Office develops and advises units regarding retention schedules that detail how long information created or maintained by University offices and units must be kept, and provides guidelines and advice for assisting University offices with proper disposal methods for records and information.

