

Procedures/Standards Update

PS13_2021

May 2021

TO:

Chief Information Officers (CIOs)
Information Security Officers (ISOs)
Agency Chief Information Officers (AIOs)
Agency Information Security Officers (AISOs)

SUBJECT:

REQUESTS FOR AND APPROVAL TO
RELEASE PERSONAL INFORMATION FOR
RESEARCH (Supersedes Management Memo
(MM) 08-09, issued August 15, 2008)

BACKGROUND

California state agencies often receive requests from academic researchers to use personal information about individuals held in governmental data bases. Such disclosures are specifically limited by California law, as discussed below. The knowledge generated by these researchers can be of great value for informing the public and government about the impact of policies, programs, and treatment interventions. However, personal information about Californians, regardless of media type (such as electronic, paper, or verbal), must be guarded and protected from misuse, loss, and theft.

The Information Practices Act (IPA) requires all planned releases of personal information to the University of California (UC), or to a non-profit educational institution conducting scientific research, to be reviewed and approved by the Committee for the Protection of Human Subjects (CPHS) for the California Health and Human Services Agency (CHHSA). Pursuant to Civil Code (CC) Section 1798.24(t), CPHS is the Institutional Review Board (IRB) for the CHHSA. CC Section 1798.24(t) mandates that a detailed protocol be followed before an agency may release any personal information for scientific research to UC or other non-profit educational institutions.

The California Department of Technology (CDT), Office of Information Security (OIS) is issuing a Procedures/Standards Update to re-emphasize the importance of adequately protecting personal information prior to releasing personal information in any format or medium for research purposes, and to inform agencies/state entities that the information provided in Management Memo MM –08-09 is included in the Statewide Information Management Manual (SIMM) Information Security Program Management Standard, SIMM 5305-A.

PURPOSE

The purpose of this Procedures/Standards Update is to announce:

- MM 08-09 is superseded by this Procedures/Standards Update.
- Requirements to protect personal information from inappropriate access, use, or disclosure as well as the requirement to receive formal approval from the CPHS before such information is released to researchers are re-emphasized in SIMM 5305-A, Information Security Program Management Standard.

REFERENCES

The following reference materials are associated with this Procedures/Standards Update. SIMM is available on the CDT website located at <https://cdt.ca.gov/policy/simm/>. SAM is available on the Department of General Services (DGS) website located at <https://www.dgs.ca.gov/Resources/SAM/TOC>. A copy of the MM can be obtained from Department of General Services (DGS) by emailing your request to SAMUnit@dgs.ca.gov.

- SIMM 5305-A
- SAM 1613
- SAM 5300
- SAM 5310.2
- DGS Management Memo 08-09

QUESTIONS

Direct questions regarding this announcement to the CDT, OIS at security@state.ca.gov.