Data Management Plan (DMP) for CERC Health Equity and Community Wellbeing Program

1. Email *

Please complete this DMP and PIA form as a requirement for CERC HECW projects, based on the Canadian Tri-Council Policy Statement (TCPS) on Conduct of Human Research, Toronto Metropolitan University Research Ethics Board requirements, process and procedures,, the TMU Privacy Policy and data governance best practices. The PIA portion is based on that provided by the TMU Privacy Office.

As best as possible, please answer each required question in point form and as clearly as possible. This will take approximately 20-30 minutes, depending on the complexity of your project and data.

Toronto Metropolitan University

Canada Excellence Research Chair in Health Equity & Community Wellbeing

2. **CERC project number (assigned after CERC project initiation approval)**

3. **Name(s) and institution(s) of the Principal Investigator**

4. What is the name and role of the **person responsible for the protection of the project data** (from the collection of data, its use, its disclosure, and its storage and archive)?

5. **Project data description:** Please briefly summarize the purpose of the project data collection, based on the project protocol.

6. **Project protocol plans:** Have you completed the required community engagement plan and/or a knowledge mobilization plan as part of your project protocol?

   Mark only one oval.

   - Yes
   - No
   - Still working on it

Data Sources: What are the types of data being collected for your project.

7. What are the main types of data collected for your project?

Check all that apply.

- [ ] Clinical data from patients or clinical clients, created by health care providers
- [ ] Interviews
- [ ] Focus groups
- [ ] Survey data
- [ ] Routinely collected administrative data - health or other public sectors
- [ ] Community level information
- [ ] Information from marginalized research participants or communities
- [ ] Information from Indigenous research participants or communities
- [ ] Social determinants data
- [ ] Social media data
- [ ] Archival, photographs, historical notes, or art outputs
- [ ] Other: _____

8. Please indicate the sources of the data that you are collecting.

Check all that apply.

- [ ] Directly from research respondent (via interview, survey or focus group)
- [ ] Clinical notes from hospitals
- [ ] Administrative data from government, Research Data Centres, Statistics Canada etc
- [ ] Publicly available health data, eg Public Health Ontario, WHO, OECD
- [ ] Social media - open
- [ ] Other open data
- [ ] Community organization
- [ ] Other: _____

9. Have you or are you requiring a signed agreement with your research partners?

Mark only one oval.

- ◯ Yes, a research agreement
- ◯ Yes, an memorandum of understanding
- ◯ No
- ◯ Other: _____

10. What are the characteristics of your collected data? Please check all that apply.

Check all that apply.

- ☐ Individual level
- ☐ Aggregate
- ☐ Health data
- ☐ Geography data
- ☐ Demographic data
- ☐ Clinical data
- ☐ Video, photograph, art or dance
- ☐ Other: _____

11. **Does your project's data collection include information from Indigenous Peoples** or from secondary sources that may include information about Indigenous individuals or communities (e.g. health care visit data)?

Mark only one oval.

- ◯ Yes
- ◯ No
- ◯ Maybe, still needs evaluation

12. Please describe the source and/or type of Indigenous Peoples' data

13. Does your data collection process from Indigenous Peoples sources comply with CARE, OCAP, and National Inuit Strategy on Research and TCPS, Chapter 9?

Mark only one oval.

- Yes
- No
- In progress

14. Please describe your actions with respect to the above requirements.

Personally identifiable and sensitive data: Please complete this section if your data collection includes personally identifiable data or is considered to be sensitive.

15. Does your data collection include sensitive information, like names, addresses, health information, academic information, birth date or other identifying information?

Mark only one oval.

- ◯ Yes
- ◯ No *Skip to question 19*
- ◯ Maybe

16. If yes or maybe, please explain the rationale for collecting personally identifiable information. Consider the principle of data minimization (collect only what is needed to answer the research questions).

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17. If yes, please list all identifiable data fields that uniquely identify a person, or in combination with other data sources, and how they will be collected, processed and outputs (reports, data tables, personal written, audio or video report etc)

Check all that apply.

- ☐ Name
- ☐ Date of birth
- ☐ Place of residence
- ☐ Health information
- ☐ Academic information
- ☐ Place where care was received
- ☐ Health card or other numerical identifier
- ☐ Other: _____

18. How are you protecting this information?

Check all that apply.

- [ ] Aggregating data
- [ ] De-identification
- [ ] Anonymization
- [ ] Other: _____

Privacy risk assessment and mitigation

This section is about the risk to privacy of human participants and their associated data.

19. Data sensitivity: Refer to Information Classification Standard and Handling Guidelines to determine if your collected data relates to low, medium or high sensitivity (For advice related to information sensitivity contact isso@torontomu.ca).

The data collection, use and disclosure risk for this project is considered:

Mark only one oval.

- ◯ Low
- ◯ Medium
- ◯ High

20. Describe specific privacy and information risks related to your project aims and data collection.

Check all that apply.

- [ ] Unanticipated identification of respondent
- [ ] Unanticipated sharing of data
- [ ] Data analysis is offsite
- [ ] Unanticipated data breach
- [ ] Population is small - identification may be possible
- [ ] video input or output - project participant may be recognizable
- [ ] None
- [ ] Other: _____

21. Explain how these risks will be mitigated and how privacy and confidentiality will be secured (non-disclosure agreements, confidentiality agreements, de-identification, data breach procedures etc).

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Notice or consent (Notice of data collection)

Please refer to TMU's Notice of Collection

Notification/consent must include:

- The specific purpose for which the information will be used
- The specific legal authority for the collection of information
- The contact information of the person within the Institution who can answer questions about the collection.

22. Based on your research protocol, describe how consent will be obtained for the collection, use or disclosure of research data.

23. Describe how the research communities under study, and/or the organization that is participating in the research project will be involved in the consent process/engagement with research participants.

Data Uses

24. What will be the uses of the data once collected? Please check all that apply.

Check all that apply.

- [ ] Quantitative analytics
- [ ] Aggregation
- [ ] Qualitative analytics
- [ ] Media review
- [ ] Other:

25. What software will be used for data collection and/or analysis?

26. Who will manage the software licensing?

27. Who is responsible for conducting the data analysis? Please provide their name(s) and role(s).

Data disclosures and sharing

28. Will project data be shared with others within TMU, externally to third parties and/or other agents of the TMU?

Mark only one oval.

- ◯ Yes, TMU
- ◯ Yes, external to TMU
- ◯ No data will be shared outside research team *Skip to question 32*
- ◯ Other: _____

29. If yes above, please explain

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30. Will data be re-used after this project ends?

Mark only one oval.

- ◯ Yes
- ◯ No

31. Has consent been granted by research participants/communities for the data to be re-used, even in de-identified or aggregate form? If so, please explain.

Mark only one oval.

- ◯ Yes
- ◯ No
- ◯ Other: _____

Knowledge sharing

32. Based on your project proposal, what will be the knowledge outputs for your project (tables, academic publication, organizational report, podcast, video, other)?

Check all that apply.

- [ ] Data tables
- [ ] Video, art or creative output
- [ ] Podcast
- [ ] Academic publication
- [ ] Community report
- [ ] Webpage
- [ ] Other: _____

33. Please briefly describe your knowledge sharing plan, including involvement with your research partner communities.

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_____

Meta-data and data classification

Please see Scholar's Choice and TMU Libraries website for guidance for this activity.

34. Will you be using TMU Library products for meta-data and data classification?

Mark only one oval.

- ◯ Yes
- ◯ No
- ◯ Other: _____

Data access and storage

Data access should be based on principles of need-to-know and least privilege. Only persons who require access to data to analyze or manage data for the research project should be provided access to raw data.

35. On what platform will data be collected, stored and accessed?

Check all that apply.

- [ ] Project dedicated researcher laptop/computer
- [ ] Dedicated multi-research project data platform, such as at a University
- [ ] Digital Research Alliance of Canada, through CERC
- [ ] Project dedicated cloud storage
- [ ] Other data collection and access platform, such as media devices
- [ ] Third-party platform
- [ ] Other: _____

36. Please list the names and roles of persons who will be responsible for data access and control.

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_____

37. Will the data use or storage platform be outside of Canada?

Mark only one oval.

- ◯ Yes
- ◯ No

38. If yes to above, please explain.

39. Please list names and roles of anyone outside TMU who may have access to the data in its raw or analyzed form.

40. Will data the flow from one system to another?

Mark only one oval.

- Yes
- No
- Not yet sure

41. If yes, please describe the data flow from one system to another.

Retention and Destruction

Consider retention periods defined in TMU Records Retention Schedule (RRS) - contact recordsmanagement@torontomu.ca for advice.

42. For how long will the data be retained?

43. What assurances are in place that data will be available in the future, if consent is provided for this use?

44. How will the data be destroyed? Please explain.

Auditing, Monitoring and Logging

45. Please provide a brief description of how the auditing of project data collection, input and analysis will be checked by the project team.

46. Is there a process for assessing data quality?

Mark only one oval.

- ◯ Yes
- ◯ No
- ◯ Other: _____

47. Please explain.

Data Breach Protocols

Please consult with TMU Privacy Office for standard procedures regarding breach reporting. Please contact **research.herc.cerc@torontomu.ca immediately for further instruction if a data breach is suspected.**

Google Forms