

Sensitive Data Management

u.mcmaster.ca/scds-events











Hello! A bit about RDM Services and me

Isaac Pratt, PhD

RDM Specialist at McMaster Library in the Sherman Centre

I have a PhD in Anatomy & Cell Biology from the University of Saskatchewan.

RDM Services

- Consulting on any research data management needs
- **Creating Data Management Plans**
- Advising on issues related to data storage and backup;
- Facilitating data sharing











Reptile traffickers trawl scientific literature, target newly described species

"I knew: if I publish the exact location again, people will go look for it. I don't want traders to use my information." The paper where the species was described, published in the journal Zootaxa, mentions the location only as: "available on request, for fellow scientists."

When mentioning a location, even listing the name of a village is risky, let alone publishing precise coordinates: "Geckos' habitat is karst caves. You just go to that village and ask, 'where is a cave around here?"





What requirements do I need to be aware of?

Ethics

- Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans TCPS 2 (2022)
- · MREB, HIREB

Funders

- Tri-Agency Research Data Management Policy
- •NIH Data Management & Sharing Policy

Data sources

• Data sharing/transfer agreements – MILO Sample Agreements

Journals

• Data availability statements and data sharing policies - Frontiers Materials and data policies

Legislative

- Health Canada Clinical Trial guidance
- •Health information in Ontario is subject to the **Personal Health Information Protection Act** (PHIPA)





Library

Privacy principles

There are 10 privacy principles that underpin the Canadian Privacy Legislation:

- 1) Accountability
- 2) Identifying purposes
- 3) Consent
- 4) Limiting collection
- 5) Limiting use, disclosure and retention

- 6) Accuracy
- 7) Safeguards
- 8) Openness
- 9) Individual access
- 10) Challenging compliance





Canadian Ethics principles - TCPS2

Respect for human dignity

 Informed consent, voluntary participation, limiting undue influence, assent process, deception and debrief, etc.

Concern for Welfare

 Holistic view of welfare, identify risks, minimize and mitigate risks, procedures in place to address likely harms, data security, etc.

Justice:

 Sharing burdens and benefits of research, just exclusion/inclusion, disseminating results, etc.

Ethical Duty of Confidentiality

 Researchers shall safeguard information entrusted to them and not misuse or wrongfully disclose it





Funder Requirements



<u>Tri-Agency RDM Policy</u> – CIHR:

 CIHR currently requires researchers to deposit bioinformatics, atomic, and molecular coordinate data into the appropriate public database.

<u>Data Management Plans</u> (in pilot phase)

- Grants will require data management plans (DMPs) to be submitted at the time of application.
- Use of DMP Assistant is encouraged; approx. 2-3 pages.

<u>Data Deposit</u> (launch tbd)

- Grant recipients will be required to deposit into a digital repository research data that supports
 journal publications and pre-prints from funded research
- Grant recipients are not required to share their data
- "researchers should only make data accessible if doing so is ethical, legal, and is in consonance with any commercial or other agreements the researcher has entered into"





Funder Requirements

National Institutes of Health (NIH) <u>Data Management and Sharing Policy</u> <u>Data Management Plans</u>:

 NIH requires all applicants planning to generate scientific data to prepare a DMS Plan that describes how the scientific data will be managed and shared.

Data Sharing:

- "Scientific data should be made accessible as soon as possible."
- "certain factors (i.e., ethical, legal, or technical) may necessitate limiting sharing to some extent. Foreseeable limitations should be described in DMS Plans"
- "Consider whether access to shared scientific data derived from humans should be controlled"







Journal Requirements: "Mandatory data and code sharing for research published by The BMJ"

https://doi.org/10.1136/bmj.q324 (Published 05 March 2024)

- The policy requires authors of all submitted trials to post relevant trial data in an enduring, publicly accessible repository before publication. A link to the trial data must be included in the data sharing statement in the article.
- The BMJ intends to broaden its data sharing policy to non-trial research in future
- The policy also requires submission of relevant analytical code in a supplementary file that will be permanently accessible alongside each paper
- A new code availability statement will be required in research papers







Indigenous Data Sovereignty

When researchers are working with Indigenous communities, they should abide by principles of indigenous data sovereignty like the <u>CARE principles</u>. For Canadian First Nations, the <u>OCAP principles</u> are recommended:

- Ownership: a community or group owns information collectively in the same way that an individual owns his or her personal information.
- Control: First Nations, their communities, and representative bodies are within their rights to seek control over all aspects of research and information management processes that impact them.
- Access: First Nations must have access to information and data about themselves and their communities regardless of where it is held.
- Possession is the mechanism by which ownership can be asserted and protected, through direct physical control of data.





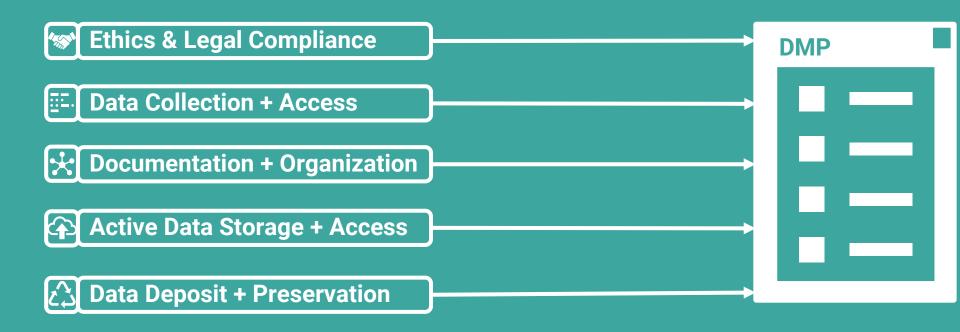
Create a Data Management Plan

- A Data Management Plan (DMP) is your plan for how you will interact with your research data both during the active phases of your research and after the completion of the research project.
- Engage research partners and collaborators in ongoing conversation about how to best manage research data.
- Establish and consistently lay out data practices for a lab.
- Set up storage and security systems, with timelines for backups, retention, and updates.
- Ensure contingency plans and responsibilities for unexpected events - illness, moving universities, ransomware attack.



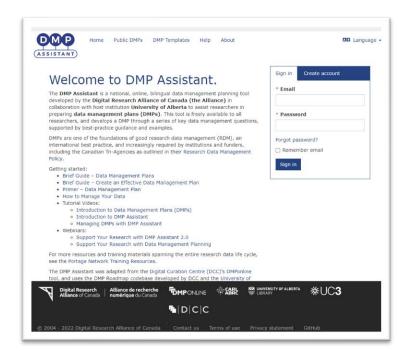


What goes in a Data Management Plan?





Alliance de recherche numérique du Canada



- A web-based, bilingual data management planning tool
- Offers templates with built in McMaster specific guidance to help you create a DMP
- DMPs can be exported into .pdf, .docx
- We can support your DMP development through consultations and review
- https://dmp-pgd.ca/





McMaster DMP Database

- 200+ example DMPs from resources across the world.
- Search by field, location, funder (NIH)
- Submit your DMP for other researchers!
- rdm.mcmaster.ca/dmps



Data Collection

What types of data will you collect, create, link to, acquire and/or record?

Quantitative data

- 1. Participant metadata
 - Content from the consent form, including content from the consent form, such as consent to be contacted for future studies. Personal Health Information Numbers (PHINs), and contact information
- 2. Demographic data, such as education and gender identity
- Data from self-completed questionnaires, including detailed indicators of reproductive
- Data from in-person health assessments, including:
 - Pulse wave analysis (PWA) (i.e., measures of arterial stiffness)
 - Accelerometry data (i.e., sleep, physical activity, and other related metrics)
 - Resting and exercise heart rate variability (HRV) data
- Data extracted from blood samples, including clinical biochemistry
- Data extracted from stool samples, including measures of gut microbiota
- 7. Data obtained through linkage to administrative records, including demographic and socioeconomic information from the administrative record and frequency/type of health care utilization over 5 years

A complete itemized list of the variables collected/generated for this study is tracked in a study codebook.

Biobank

 Blood and stool samples remaining after planned analyses will be preserved and retained in a frozen (-80oC) repository (biobank) for 10 years after data collection ends. Potential analyses include metabolomics, myokine/cytokines, extracellular vesicles, and

Ducas, J., Hay, J. L., & Duhamel, T. (2023). Women's Advanced Risk-Assessment in Manitoba (WARM) Hearts. Zenodo. https://doi.org/10.5281/zenodo.8411284



Data Management Practices

Good data management Research project management
De-identification

Secure data storage

Data storage practices and controls

3rd party tools and services

Cybersecurity practices

Encryption





HOME ▼



Soil radiometrics: Field and remc data sets for model building and

242.3K

Contributors: Cassia Read, David H. Duncan, Chiu Yee Catherine Ho, Matt D. Whii Date created: 2017-05-02 09:40 PM | Last Updated: 2018-06-14 11:46 PM

Category:

Project

Description: Repository for model training and testing data sets for the article: Re

White M, Vesk PA. Useful surrogates of soil texture for plant ecologists from airbition 2017;00:1–10. https://doi.org/10.1002/ece3.3417

Wiki

This project is home to the soil data for north-west Victoria, Australia used by I Useful surrogates of soil texture for plant ecologists from airborne gamma-ray

See the respective data set wiki pages for further information on provenance



Name A V Mo

Cassia Read, David H Duncan, Chiu Y C Ho, et ... Matt D White, and Peter A Vesk, "Soil Radiometrics: Field and Remotely-Sensed Data Sets for Model Building and Validation," Research Project Management

- Collaboration: Microsoft teams let you control your team and share and work on documents together in real-time, avoiding multiple versions and copies sent by email.
- Reference Management: Zotero or Endnote support collaboration through shared citation libraries.
- Notetaking software: Obsidian, OneNote, or an Electronic Lab Notebook allow you to create organized, linked notes that you can use to document your research practices
- **REDCap:** REDCap is a powerful web tool for collecting and organizing longitudinal data.

Learn more at rdm.mcmaster.ca/organize



Library

-OSF, June 15, 2018, osf.io/uac6x.

De-identification

De-identification is the general term for the process of removing personal information from a record or data set



Name: Camila

Age: 23

Ethnicity: Hispanic Birthplace: Hamilton Address: L8P 0C8 Gender: Female Employer: McMaster

Unit: Physics
Job Title: Assistant

Professor

Name: -----

Age: 19-24 Ethnicity: Hispanic

Birthplace: Hamilton

Address: --- ---

Gender: Female

Employer: [University]

Unit: Physics
Job Title: Assistant

Professor





De-identification issues: small cell

Some people are more identifiable than others



Name: Averi

Age: 36

Ethnicity: Caucasian Address: Caledonia

N3W 1C2

Gender: Non-binary

Employer: McMaster

Unit: Biology
Job Title: Education

Technologist

Name: -----

Age: 35-39

Ethnicity: Caucasian Address: [Hamilton]

--- ---

Gender: [Other]

Employer: [University]

Unit: Biology Job Title: [Other]





K anonymity

k-anonymity is a mathematical approach to ensuring a dataset is anonymous.

A dataset has k-anonymity when a particular individual in the dataset cannot be distinguished from k other individuals in the dataset.

'k' is a number set by the researcher - most commonly set to 5. This means it should not possible to isolate a group of fewer than 5 identical individuals.

Amnesia https://amnesia.openaire.eu/

sdcMicro https://cran.r-project.org/web/packages/sdcMicro/index.html

For a more comprehensive overview see the Portage Network's Reducing Risk Webinar and slides





De-identification protocol

- Note all the direct and quasi- identifiers you are collecting
- Write out how you will de-identify each variable
- How long will you keep a linking key?
- Attach this to your Data Management
 Plan
- This is particularly helpful if working as part of a team.

e-identification Guide			Example		Replace with		vith	Notes	
dentifier Desc Participant		ription	Exam		P01	P01		Use participant nur consistently across project and store ti log securely.	
Interviewer			+		Interviewer A		wer A	Us in	ie a unique ident terviewer on the nd store the ident ecurely.
Contact information Demographi information		hone numbers, ddresses, email ddresses, or other contact information the participant or the mentioned within to interview. The race, ethnicity or gender of the participant.	of nose he	ye at 101 dependence ye. I'm a white millennial woman.	- 1	l'm [det info	ess].	hic n].	This can be left in it the research questi not enough inform within the complet identify the particit this information. For "female astronaut" considered more ic "female librarian."
		Description of the appearance of someone the participant describes or description of themselves		ne recognize because	People might recognize me because I'm t and I have lor		People m recognize because [descript		of





De-identification definitions

From the TCPS2:

- Coded information direct identifiers are removed from the information and replaced with a code. With access to the code it is possible to re-identify specific participants.
- Anonymized information the information is irrevocably stripped of direct identifiers, a code is not kept, and risk of re-identification of individuals from remaining indirect identifiers is low or very low.
- Anonymous information the information never had identifiers associated with it (e.g., anonymous surveys) and risk of re-identification is low or very low.
 - De-identification is not a 'guarantee' of privacy and risks of re-identification can often remain.





Linking file/key

- A file linking the participant names and IDs or pseudonyms. Data is not considered anonymous if a linking file exists!
- Linking files should be encrypted and stored on separate devices or systems than the data.
- Linking files and the included personal information should be destroyed/deleted when no longer required to increase privacy.







A VISUAL GUIDE TO PRACTICAL DATA DE-IDENTIFICATION

https://fpf.org/blog/a-visual-guide-to-practical-data-de-identification/

What do scientists, regulators and lawyers mean when they talk about de-identification? How does anonymous data differ from pseudonymous or de-identified information? Data identifiability is not binary. Data lies on a spectrum with multiple shades of identifiability.





DEGREES OF IDENTIFIABILITY

Information containing direct and indirect identifiers.

POTENTIALLY

IDENTIFIABLE



PSEUDONYMOUS DATA

Information from which direct identifiers have been eliminated or transformed, but indirect identifiers remain intact.



DE-IDENTIFIED DATA

Direct and known indirect identifiers have been removed or manipulated to break the linkage to real world identities.



Produced by

ANONYMOUS DATA

Direct and indirect identifiers have been removed or manipulated together with mathematical and technical guarantees to prevent re-identification.

DIRECT IDENTIFIERS Data that identifies a person without additional information or by linking to information in the public domain (e.g., name, SSN)



INDIRECT IDENTIFIERS Data that identifies an individual indirectly. Helps connect pieces of information



re-identifying individuals

SELECTED **EXAMPLES**

Name, address, phone number, SSN, government-issued ID (e.g., Jane Smith, 123 Main Street, 555-555-5555)

EXPLICITLY

PERSONAL

Unique device ID, license plate, medical record number, cookie, IP address (e.g., MAC address 68:A8:6D:35:65:03)

Same as Potentially Identifiable except data are also protected by safeguards and controls (e.g., hashed MAC addresses & legal representations)

NOT READILY

IDENTIFIABLE



KEY

CODED





PSEUDONYMOUS

× •

ELIMINATED or

TRANSFORMED



PSEUDONYMOUS

all 21.

×

ELIMINATED or





DE-IDENTIFIED

er tije

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ELIMINATED or

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PROTECTED

DE-IDENTIFIED

41 11.

×...

ELIMINATED or

TRANSFORMED

FLIMINATED or

TRANSFORMED





ELIMINATED or

TRANSFORMED



Same as De-Identified. For example, noise is calibrated to a data set to hide whether an individual is present or not (differential privacy)

AGGREGATED **ANONYMOUS ANONYMOUS**





In collaboration with







Very highly aggregated data (e.g., statistical data, census data, or population data that 52.6% of Washington, DC residents are women)

Clinical or research datasets where only curator retains key (e.g., Jane Smith, diabetes, HgB 15.1

g/dl = Csrk123

Unique, artificial pseudonyms replace direct identifiers (e.g., HIPAA Limited Datasets, John Doe = 5L7T LX619Z) (unique sequence not used anywhere else)

LIMITED or

Same as Pseudonymous, Data are suppressed, except data are also protected by safeguards swapped, etc. (e.g., GPA: and controls

generalized, perturbed, 3.2 = 3.0-3.5, gender: female = gender: male)

LIMITED or

NONE IN PLACE

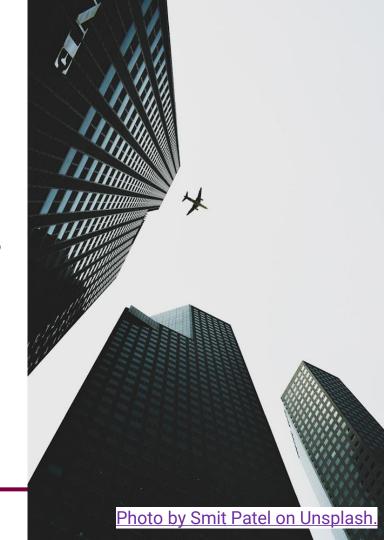
except data are also and controls

protected by safeguards

Evaluating 3rd party services

- High risk data should stay on campus and with the researchers
- Terms of use should be examined closely to see what platforms are doing with data
- Data storage location should be in Canada, PHI should be in Ontario
- Data should be shared to team-members and contractors in a de-identified form when possible
- Individual contractors should sign confidentiality agreements





Recordings and transcripts

- Looking for a transcription service? Use <u>McMaster's Guidance on Using Transcription</u> <u>with Data from Human Participants</u>
- Video and audio recordings are inherently more identifiable than transcripts
- Researchers should limit access to the original recordings, and delete them or store them offline if they are no longer needed.
- Direct and quasi identifiers in transcripts should be pseudonymized or generalized where possible





Data storage

RDM Webinar recording: Strategies for research data storage and backup

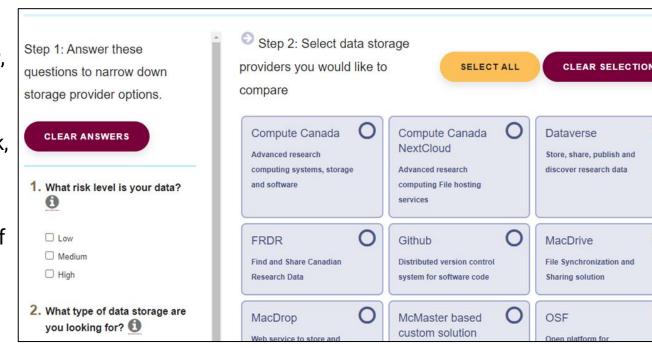






Research Data Storage Finder <u>u.mcmaster.ca/storagefinder</u>

- McMaster RDM Services
 has a Data Storage Finder,
 an interactive tool to help
 you find a vetted storage
 provider depending on risk,
 volume, and other needs.
- This tool also allows you to compare feature sets of selected options.







Backup Strategies (3-2-1)

A good data storage plan needs to balance accessibility and convenience against security and reliability.



Copies of your data (at least!)

Example:

- 1 copy stored locally on **hard drive** for analysis
- 1 copy stored on **cloud storage** platform
- 1 copy stored in a **secure campus drive**

2

Copies are on-hand (easily accessible) on different systems (internal hard drive, cloud storage, etc.)

- a "production" (working) copy
- a "production backup" copy

1

Copy is in another location ("off-site") from the others with a *trusted* service provider





Data storage administrative controls

- Don't collect identifiers that aren't relevant to the research
- Data should be de-identified as soon as possible, with pseudonyms replacing names
- Researchers should work from de-identified data and not from identifiable data where possible
- Linking files/keys should be stored separately from de-identified data
- Identifiable data should only be made accessible to team members who need access





Data storage technological controls

- Store data on password protected devices
- Data stored on internet-connected devices needs to be encrypted
- Data should be stored in a secured environment or server rather than on individual computers or devices
- Back up devices need to follow the same requirements
- Data must be encrypted and password protected when shared email should not be used for high risk data





Encryption

Encrypt individual files

 Microsoft Office or other applications can be used to password protect and encrypt documents on a file by file basis.

Encrypt your whole drive

Full disk encryption is available on Windows, Mac, iOS, and Android. This
protects every file on your device so you don't need to worry about missing a file.
You can also encrypt entire external drives.

Create "virtual encrypted disks"

 VeraCrypt (3rd party software) can create encrypted virtual disks, where you can store sensitive data files

Recording: How to Implement Encryption to Protect your Research Data Online





Cloud storage

- Public cloud services (Google Drive, Dropbox) cannot be used for medium/high risk data but are fine for low risk data
- Institutional services such as MacDrive or OneDrive accessed through McMaster may be used in combination with encryption
- OneDrive is less flexible when working with outside collaborators but Teams
- MacDrive can create a shared folder that collaborators can access and can create encrypted folders
- Researchers using cloud storage should be careful about who they share files with and should enable security features like MFA





Long term/archival storage

- Consider how you will preserve data over the long term. Do you have any requirements to retain data for a set period? Ethics/Health Canada/Funder/etc.
- Does that data need to be identifiable or can it be anonymized?
- Storing data on a campus server (department/faculty/RHPCS/SEAL) is preferable to storing data on an external drive
- Keeping data on your laptop isn't a good preservation plan







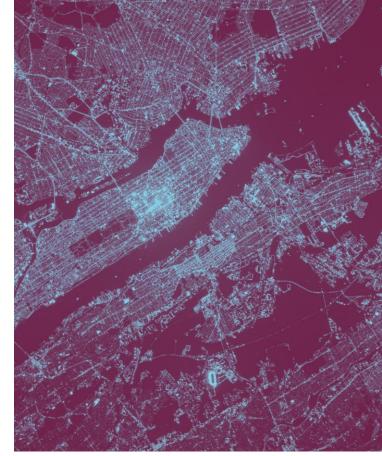
ter Library

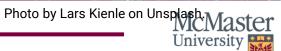
Publishing Data

A good way to ensure data is preserved is to publish it by depositing it in a data repository or a data paper

Consider whether you can publish your data in an online repository for preservation and sharing.









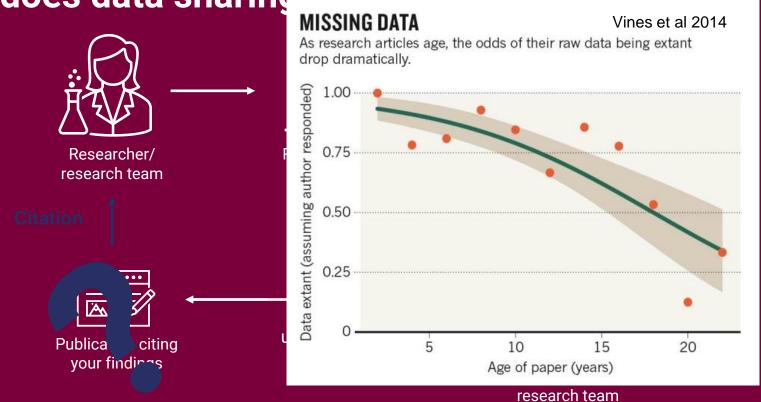
Data Sharing

 Reproducible research increases confidence in research results and avoids article retractions.

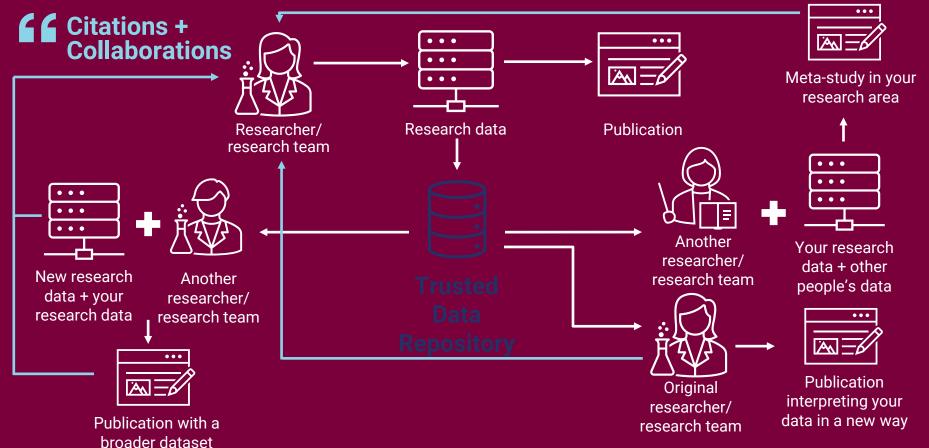
 Leads to new collaborations – potential for metaanalyses over a wider topic area.

 Better informed policymakers in healthcare and science as well as hospital stakeholders, professional associations, patient advocates.

 Long term preservation and archiving of data by established repositories. How does data sharing work?



What is data sharing?



Sharing sensitive data

If you want to publish or share sensitive data, there a few main options:

- Anonymize the dataset: remove, replace, or redact all sensitive information from datasets prior to upload in an open repository.
- Data can be shared through closed access portals with restricted access mechanisms and Data Sharing/Transfer Agreements
 - Examples of this kind of web portal include ICES and CIHI

Remember you must have patient/participant consent to share data

 Portage's <u>Research Data Management Language for Informed</u> <u>Consent</u>









Ok, so where do I put everything?

A **data repository** is a web platform and storage space for researchers to deposit data sets associated with their research. Repositories provide:

- long-term storage and access to research data beyond the life of a grant, research project, or individual careers.
- Discoverability and findability for datasets through features like indexing and DOIs.
- Easy-to-use shared platforms made for research.

RDM Recording: Essentials of open data sharing.







Search ▼

Enter text search terms

Examples: histone, BN000065

GCA 001890125

View @

Search Q

Examples: Taxon:9606, BN000065, PRJEB402

Assembly: GC

URL -- http://genome.jgi

is available from CBS-

collaborators endorse th

and urge users of this (

interaction on the project

Searching ENA

GCA 001890125

vw.genome.gov/page.cfm?pageID=10506376)

oject ID: 403566~The DNA was provided by Ronald P. de Vries (r.devries@cbs.knaw.nl)~The strain

III P. de Vries (r.devries@cbs.knaw.nl)~Assembly and annotation done by JGI.~The JGI and bution and use of large scale sequencing data adopted by the larger genome sequencing community

our intention to publish the work of this project in a timely fashion and we welcome collaborative

Comment

Text Search

Advanced Search

Sequence Search

Xref Search

Organism:

Sequence Versions

Ilus versicolor CBS 583 65

About ▼

Accession:

Assembly Name: Aspve1

Assembly Level: scaffold

Strain: CBS 583.65

Genome Representation: full

Total Length: 33126810

Ungapped Length: 33121003

N50: 2487993

₽ View:

XML

♣ Download: XMI

WGS Set EMBL

WGS Set FASTA

All Seg EMBL

All Seg FASTA

Show

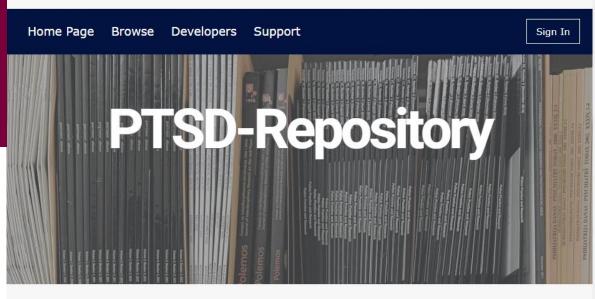
Show

Example: European **Nucleotide Archive**



Example:

https://ptsd-va.data.socrata.com/



The PTSD Trials Standardized Data Repository (PTSD-

Repository) is a database that contains information pulled from almost 400 published randomized controlled trials of PTSD treatment.





QUICK STUDY LOOKUP V

Sign up

n up

A Long Term Open Label Rollover Trial Assessing the Safety and Tolerability of Combination Tipranavir and Ritonavir Use in HIV-1 Infected Subjects

Study Details

CENTER FOR GLOBAL CLINICAL RESEARCH DATA

Study Documents

Administrative Details

Usage

Phase

Phase 2/Phase 3

Condition or Disease
HIV Infections

Intervention/treatment

Tipranavir

Example: Vivli

Brief Summary

The objective of this study is to determine the long term safety and tolerability of multiple oral doses of tipranavir (Aptivus) and ritonavir with a focus on the long term safety of the development dose (500 mg tipranavir/200 mg ritonavir BID) when administered with other antiretroviral medications.





Digital Research Alliance of Canada Controlled Access Management for Research Data

- Digital Research Alliance of Canada is a pilot project to enable research organizations and existing data repositories to meet researcher needs related to long-term storage, security, sharing and re-use of restricted-access research data.
- McMaster is participating along with the Borealis and FRDR repositories
- Interested in learning more? Email us: rdm@mcmaster.ca







McMaster RDM webpage: <u>rdm.mcmaster.ca</u>

Contact RDM services at: rdm@mcmaster.ca

Upcoming RDM webinars: rdm.mcmaster.ca/events

Recorded RDM webinars: <u>u.mcmaster.ca/learn-rdm</u>

Make an appointment with a Research Data Management Specialist: u.mcmaster.ca/rdm-appointments





RDM Community of Practice

- Monthly meetings of people interested in RDM at McMaster. Connect with other researchers practicing RDM across the university!
- Next Session on Exit Protocols + Data
 Transfer featuring Dr. Maureen
 MacDonald and Dr. Blaise Bourdin
 - April 25th 11 AM
- https://u.mcmaster.ca/rdm-community





