

Data collection and protection policy in the Implementation Plan for the ASPP

I- Overview

Purpose

This policy outlines how the effective and responsible use of self-identification data is foundational to making informed decisions within the Awards to Scholarly Publications Program (ASPP). Moreover, capturing self-identification information about ASPP applicants and recipients is necessary for reporting to the funder of this program: the Social Sciences and Humanities Research Council (SSHRC). The collection of self-identification data is part of a broader set of actions aiming to enhance Equity, Diversity, Inclusion, and Decolonization (EDID) under the Implementation Plan for the ASPP.

The purpose of this policy is to describe the information needs, data collection method, data collection process, data uses, data analysis, and the reporting and access to the ASPP self-identification data. This policy is in line with the principles outlined in the Federation's Privacy code¹.

Scope

This policy applies only to self-identification data collected from ASPP applicants and recipients using the ASPP Voluntary Self-Identification Survey² (Appendix I).

II- Data collection

The information from the self-identification data will prove helpful to understanding the profile of the programs' applicants and recipients and to guiding evidence-based discussions about the ASPP's equity and inclusivity.

Information needs

Collecting self-identification data will help establish a picture of equity-deserving groups' participation in the ASPP. The data will also be used to compare between the profiles of ASPP applicants and recipients and understand how these awards are being distributed in relation to equity deserving groups. This information will thus guide conversations and discussions about EDID within the ASPP.

Data collection method

The data will be collected through an anonymous online survey. The survey link will be shared with ASPP applicants (authors) who submitted applications within a given fiscal year. Participation in the survey is completely voluntary.

¹ The Federation's Privacy code is available on its website: <https://www.federationhss.ca/en/privacy-code>
Appendix II of this document illustrates how this policy aligns with the Privacy code.

² See the ASPP Annual Self-Identification Voluntary and Anonymous Survey (Appendix I)

Informed consent

The first question will include information about the contents and purpose of the survey and a link to this policy. It will then ask for their informed consent. The first question will also make clear that their responses are anonymous and voluntary and will have no effect whatsoever on current, ongoing, or future support from the Federation.

Data collection categories

The questions will probe into each of SSHRC's eight established data dimensions: age, gender identity, sexual orientation, indigenous identity, visible minority, population group, disability, and language (Appendix I).

Additionally, the survey will ask how many applications they have submitted or have had submitted by a publisher as well as how many have been successful. This will serve to disaggregate the data between applicants and recipients and avoid double counting.

Personally identifiable information

Importantly, the survey will minimize the collection of Personally Identifiable Information (PII). The survey will not ask for respondents' names or contact information. Every question in the survey will include the option "I prefer not to answer". Moreover, none of the questions are mandatory and respondents can submit the survey while leaving any number of questions unanswered.

Data analysis

Respondents' answers will constitute the raw data. The data will be cleaned and compiled into a spreadsheet by the Programs Lead. The data will then be analyzed using a simple count of the answer results and organized into summary tables. The summary tables will compare the answers of ASPP applicants to ASPP recipients. The following is an example of a summary table:

Question 1	Applicants	Recipients
Choice A	# (%)	# (%)
Choice B	# (%)	# (%)
Choice C	# (%)	# (%)
Choice D	# (%)	# (%)
Total number of answers received	#	#

III- Reporting

Data use

The self-identification data collected will have two main data uses.

This data collection will be part of the actions that undertaken by the Federation to ensure compliance with SSHRC's requirements and to honor commitments about proposed changes to the ASPP. The self-identification data in the form of summary tables will be included in the yearly June ASPP report submitted to SSHRC.

The data collected about participants will also help guide discussions and decisions about the ASPP. The data analysis includes comparison between applicants and recipients' profiles with the goal of probing into the equitable distribution of these awards amongst equity deserving groups.

Access to the data

The access to the raw data from this survey will be limited to the Programs Lead at the Federation. This information will be kept in a password protected spreadsheet.

The summary tables produced using the raw data will be shared with Federation staff working on the ASPP, the Senior Leadership Team, the Federation's Board, and SSHRC.

Appendix I: ASPP Voluntary Self-Identification Survey

Introduction to the questionnaire

This is a voluntary and anonymous survey, your participation and answers will have no effect whatsoever on current, ongoing, or future support from the Federation. This is a self-identification survey and the questions will be about the eight following data dimensions: age, gender identity, sexual orientation, indigenous identity, visible minority identity, population group, disability, and language. None of the questions are mandatory and you are able to submit the survey while leaving any number of questions unanswered. Additionally, each question has an “I prefer not to answer” option.

The data collected will help guide the Federation’s discussions and decisions about the Awards to Scholarly Publications Program (ASPP). It will also be used to report to the Social Sciences and Humanities Research Council (SSHRC), the funder of this program. The data from this survey will be analyzed using a simple count of the answer results and organized into summary tables; data will be reported on in the aggregate, to preserve anonymity. The summary tables will be shared with Federation staff working on the ASPP, the Senior Leadership Team, the Federation’s Board, and SSHRC.

For more detailed information about this survey and how the information will be used, please refer to [the data collection and protection policy](#).

A. Do you understand why we are collecting this information and how we will use it?

Type of question: Select one option – Answering this question is mandatory due to the need for informed consent. If respondent selects ‘No’ they will not be able to proceed with the survey.

Yes

No

B. Do you consent to participate in this survey?

Type of question: Select one option – Answering this question is mandatory due to the need for informed consent. If respondent selects ‘No’ they will not be able to proceed with the survey.

Yes

No

Respondent status

i. How many Awards to Scholarly Publication Program applications have you submitted or has a publisher submitted on your behalf between April 1st 2022 and April 1st 2023?

Type of question: Respondents insert a number

Click or tap here to enter number.

ii. How many Awards to Scholarly Publication Program applications that you have submitted or that a publisher has submitted on your behalf between April 1st 2022 and April 1st 2023 has been successful?

Type of question: Respondents insert a number

Click or tap here to enter number.

Age

1. Please select the option that corresponds to your age range:

Type of question: Select one option

- 18-25
- 26-35
- 36-45
- 46-55
- 56-65
- 66+
- I prefer not to answer

Gender Identity

2. Please select or write the option that best describes your current gender identity:

Note: The Ontario Human Rights Commission defines gender identity as follows: "Gender identity is each person's internal and individual experience of gender. It is a person's sense of being a woman, a man, both, neither, or anywhere along the gender spectrum. A person's gender identity may be the same as or different from their birth-assigned sex."

Type of question: Respondents can select one option + Respondents can write their answer in the option "I identify as"

- Gender-fluid
- Man
- Nonbinary
- Trans man
- Trans woman
- Two-spirit
- Woman
- I identify as [Click or tap here to enter text.](#)
- I prefer not to answer

Sexual Orientation

3. Please select or write the sexual orientation that best describes how you currently think of yourself:

Note: The Ontario Human Rights Commission defines sexual orientation as follows: "'Sexual orientation' is a personal characteristic that forms part of who you are. It covers the range of human sexuality from lesbian and gay, to bisexual and heterosexual. Sexual orientation is different from gender identity, which is protected under the ground of 'sex.'"

Type of question: Respondents can select one option + Respondents can write their answer in the option "I identify as"

- Asexual
- Bisexual
- Gay
- Heterosexual
- Lesbian
- Pansexual
- Queer
- Two-spirit

- I identify as [Click or tap here to enter text.](#)
- I prefer not to answer

Indigenous People

4. A. Do you identify as Indigenous?

Note: Statistics Canada defines Indigenous identity as follows: "Indigenous identity refers to whether the person identifies with the Indigenous peoples of Canada. This includes those who identify as First Nations (North American Indian), Métis and/or Inuk (Inuit), and/or those who report being Registered or Treaty Indians (that is, registered under the Indian Act of Canada), and/or those who have membership in a First Nation or Indian band."

Type of question: Respondents can select one option

- Yes
- No
- I prefer not to answer

B. Please select all that apply

Type of question: Respondents can select either several options or the last option

- First Nations
- Métis
- Inuk (Inuit)
- I prefer not to answer

Visible Minority

5. Do you identify as a member of a visible minority in Canada?

Note: Statistics Canada defines visible minority as follows: "Visible minority refers to whether a person is a visible minority or not, as defined by the [Employment Equity Act](#). The Employment Equity Act defines visible minorities as "persons, other than Aboriginal peoples, who are non-Caucasian in race or non-white in colour"."

Type of question: Respondents can select one option

- Yes
- No
- I prefer not to answer

Population Groups

6. Please write in the population group(s) you identify with.

Note: Some examples of population groups include but are not limited to: White, South Asian (e.g., East Indian, Pakistani, Sri Lankan, etc.), Chinese, Black (e.g., Congolese, Nigerian, Haitian, etc.), Filipino, Latin American, Arab, Southeast Asian (e.g., Vietnamese, Cambodian, Laotian, Thai, etc.), West Asian (e.g., Iranian, Afghan, etc.), Korean, Japanese, etc.

Type of question: Respondents can select one option + Respondents can write their answer in the option "I identify with"

- I identify with the following population group(s): [Click or tap here to enter text.](#)
- I prefer not to answer

Disability

7. Do you identify as a person with disability?

Note: The Ontario Human Rights Commission defines disability as follows:

1. any degree of physical disability, infirmity, malformation or disfigurement that is caused by bodily injury, birth defect or illness and, without limiting the generality of the foregoing, includes diabetes mellitus, epilepsy, a brain injury, any degree of paralysis, amputation, lack of physical co-ordination, blindness or visual impediment, deafness or hearing impediment, muteness or speech impediment, or physical reliance on a guide dog or other animal or on a wheelchair or other remedial appliance or device,
2. a condition of mental impairment or a developmental disability,
3. a learning disability, or a dysfunction in one or more of the processes involved in understanding or using symbols or spoken language,
4. a mental disorder, or
5. an injury or disability for which benefits were claimed or received under the insurance plan established under the Workplace Safety and Insurance Act, 1997.

Type of question: Respondents can select one option

- Yes
- No
- I prefer not to answer

Language

8. A. Which of the official languages of Canada can you speak?

Type of question: Respondents can select one option

- English
- French
- Bilingual (English and French)
- I prefer not to answer

B. What other languages can you speak?

Type of question: Respondents can select one option + Respondents can write their answer in the option "I can also speak"

- I can also speak [Click or tap here to enter text.](#)
- I prefer not to answer

Feedback

iii. You can provide your anonymous input or feedback about this questionnaire here:

Respondents can write their answer

[Click or tap here to enter text.](#)

End

Thank you for your time.

Appendix II: Alignment with the Privacy code

The table below outlines how this policy aligns with the [Federation's Privacy code](#):

Principle 1 - Accountability	The Access to the data section in this policy elaborates the parties that the self-identification data will be shared with
Principle 2 - Identifying the purpose of personal information collection	The ASPP Voluntary Self-Identification Survey will not collect respondents' names or contact information. The introduction to the survey will reiterate the information in Data use and Access to the data sections under Reporting and include a link to this policy. This policy document will be publicly available on the Federation's website.
Principle 3 - Obtaining consent	The first question in the ASPP Voluntary Self-Identification Survey will enquire about respondents' informed consent.
Principle 4 - Limiting collection of personal information	The survey will minimize the collection of personally identifiable information.
Principle 5 - Limiting use, disclosure and retention of personal information	The ASPP Voluntary Self-Identification Survey will not collect respondents' names or contact information. Access to respondents' answers is limited to one person. Other parties will only have access to the summary table as per the Data use and Access to the data sections under Reporting .
Principle 6 – Keeping personal information accurate	The survey collects self-identification information directly from authors that applied (directly or through their publishers) to the ASPP. Given that the survey is anonymous, the information will capture their answers at the time of their response. The importance of anonymity outweighs this limitation.
Principle 7 - Safeguarding personal information	The Federation will follow the established protocols under this principle.
Principle 8 - Being open about policies and procedures	This policy will be posted on the Federation's website and the survey will include a link to that webpage. Moreover, the survey concludes with instructions on how to provide feedback and where to direct questions or concerns.
Principle 9 - Providing access to personal information	The ASPP Voluntary Self-Identification Survey will not collect respondents' names or contact information.
Principle 10 - Challenging compliance	The Federation will follow the established protocols under this principle.