Carleton University Self-Identification Survey

Data Usage Protocol

September 2023

1. Purpose

This protocol applies to the data collected by the Carleton Self-ID Survey. The data collection and this protocol are governed by internal policies and external legislation, as well this protocol recognizes the confidentiality statement included in the 'Acknowledgement and Consent' section of the Survey.

This protocol is meant to clarify for Executive Data Custodians the intended use of this data at the time it was collected. The main goal is to safeguard this important and highly sensitive information disclosed to the University acknowledging the assurances made to survey participants that data would be kept confidential, while committing to using the information to inform equity initiatives in support of Carleton's EDI Action Plan.

2. Executive Data Custodian

The Executive Data Custodian is determined by the Administrative Data Collection, Access and Usage Policy. At this time, they are:

- Faculty: Provost and Vice-President (Academic)
- Staff: Associate Vice-President, Human Resources
- Students: Vice-President, Students and Enrolment and University Registrar

Refer to that Policy for further information about the roles of Executive Data Custodian

3. Access to Record Level Information

Survey participants, as part of the consent statement of the survey, are assured that record level data will never be shared with individuals outside of the Office of Institutional Research Planning. This includes any form of record level data (including de-identified, anonymized, etc..).

This protocol expands on this to recognize that it is possible that the Executive Data Custodian is compelled to agree to share this data by law including by court order, or other applicable legal requirement, e.g., Federal Contractors Program for employee data.

As the wording changes within the consent statement (as it may in future iterations), the version of the consent statement the participants agreed to will be treated as the binding statement.

4. Reporting Summary Statistics

The intention with this data collection exercise always involved reporting on summary statistics. This section outlines intended levels of aggregation recognizing various audiences for each of the four groups: Undergraduate Students, Graduate Students, Faculty, and Staff, assuming the reporting thresholds have been met.

- All (including Public facing reports): Institution Level Data Reports on each of the 4 groups: Undergraduate Students, Graduate Students, Faculty, and Staff.
- Carleton Faculty and Staff: Above, plus Academic Faculty level data for each of the 4 groups, plus for Staff outside the Academic Faculties, rolled up to their respective VPs/President.
- Senior Executives: Above, plus Department level details for each of the four groups.

<u>Reporting thresholds</u>

Data will not be reported unless the following conditions are met:

- A robust response rate threshold will be required for a report to be produced, as determined jointly by OIRP and EIC
- Small cell suppression: Any group with fewer than five individuals will be suppressed or have their data summarized and grouped in with the data from another group, protecting individuals from being identified.

In instances where small cell suppression values can be inferred (e.g., total minus supressed cell), considerations will be made in the report to address this issue.

A process to request additional summary statistics/analysis will be communicated as reporting begins, but will be handled jointly by EIC and OIRP, with more complex requests requiring an application to the Data Administration Working Group (DAWG).