



2023

Controlled Access Management for Research Data Initiative

Participation and Funding Call Guide



Digital Research
Alliance of Canada

Alliance de recherche
numérique du Canada

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Introduction

The Digital Research Alliance of Canada (the Alliance) is launching a Call for Participation as a Partner Organization and a Call for Proposals for the Funding Opportunity for the *Controlled Access Management for Research Data Initiative*.

This Initiative is a pilot project to 1) collaboratively innovate workflows, processes and resources for depositing restricted-access research data within data repositories and for granting access to other researchers; and 2) test technology for managing controlled access to research data within data repositories.

As part of this Initiative, participants can apply to be a Partner Organization and/or for funding to support up to two (2) positions to be hosted within a post-secondary institution. Institutions may apply to host one (1) or both positions. The available positions are 1) Controlled Data Access Engagement Specialist and 2) Controlled Data Access Services Specialist.

Timeline

Activity	Date
Publication of Funding Call	June 27, 2023
Information Session – both official languages	July 12, 2023 noon ET
Deadline to submit questions	September 08, 2023 noon ET
Deadline to submit application	Call for Participation as a Partner Organization - September 15, 2023, 8pmET Call for Proposal for the Funding Opportunity - September 15, 2023, 8pmET
Adjudication process	September 2023
Notice of Award / Eligibility of expenses begin	September/October 2023

Pilot Background

Not all research data can be published openly – some research data require controlled access. For example, research data may need controlled access if they contain sensitive, confidential, proprietary or embargoed information.

The *Controlled Access Management for Research Data Initiative* intends to:

- ▶ Support researchers with managing restricted-access data held in data repositories.
- ▶ Support institutions whose researchers are managing restricted-access data.
- ▶ Support research data repositories with stewarding restricted-access data.
- ▶ Support collaboration within the research community on managing restricted-access data.

This Initiative builds upon the foundation laid by the Federated Research Data Repository (FRDR) Sensitive Data Repository Project by establishing a forum for Canadian data repositories and research organizations, including post-secondary institutions, to collaborate and pilot test technology, workflows and training opportunities.

Pilot Activities and Intended Outcomes

The objective of this Initiative is to enable research organizations and existing data repositories to meet researcher needs related to long-term storage, security, discovery, sharing and re-use of restricted-access research data.

To help achieve this objective, a variety of activities will be facilitated for participating research data repositories and research organizations, described below.

Description of Pilot Activities

Pilot Activities involve the use and integration of technology, workflows and resources to better equip existing data repositories and research organizations that support management of controlled access for research data held in data repositories.

The two main phases of this Pilot within the 2023-2025 period include:

1. Pilot Roadmap Co-development (2023-2024)

Partner Organizations will collaborate with each other and the Alliance to co-develop a detailed Pilot Roadmap outlining how technologies will be piloted, how workflows will be developed and tested, and how pilot training resources will be developed and tested.

2. Pilot Roadmap Implementation (2024-2025)

Partner Organizations will collaborate with each other and the Alliance to implement the co-developed Pilot Roadmap.

The table below provides an overview of the activities and the related intended outcomes of the Pilot.

Pilot Activities	Intended Outcomes
Workflows Partner Organizations will collaborate and co-develop workflows, processes, and service policies for managing controlled access to research data held in data repositories.	The research ecosystem will be given access to harmonized workflows, processes, and service policies for managing controlled access to research data held in data repositories.
Technology Partner Organizations will have an opportunity to design and contribute to	

<p>testing for controlled access management software developed by participating repository partners, including the zero-knowledge encryption application developed by the Federated Research Data Repository (FRDR).</p> <p>Participating data repositories will have the opportunity to pilot test technology for managing controlled access to research data with interested Partner Organizations.</p>	<p>The research ecosystem will have access to tested technologies that enable management of controlled access data.</p>
<p>Resources</p> <p>Resources for training and education on best practices, available technology, and new workflows for managing controlled access to research data will be developed and tested.</p>	<p>The research ecosystem will gain access to new resources for training and education and materials to support managing controlled access to research data.</p>

Partner Organizations may choose to contribute to some or all of the Pilot Activities. For example: a research data repository may benefit from the co-development of workflows for repository deposit of restricted-access data without the need to access any particular technology; or a research organization that does not steward data may benefit from relevant training materials with no need to access technology or workflows. Partner Organizations are welcome to contribute to and benefit from the aspects of the Initiative relevant to their mandate and operations.

How to Participate

Eligible organizations can participate in the following ways:

Partner Organization Participation

Eligible organizations are invited to respond to this Call for Participation to join as a Partner Organization and contribute to the Pilot Roadmap Co-development phase with the option of continuing their participation into the Pilot Roadmap Implementation phase.

Should a high volume of responses be received, multiple groups will be established to ensure meetings are feasible and productive. Partner Organizations will be given the option to target their participation to their area(s) of interest.

Institutions looking to participate as Partner Organizations may apply to the Call for Participation [\[link\]](#).

Funding Opportunity Participation

As part of the *Controlled Access Management for Research Data Initiative*, one (1) or two (2) institutions will host one (1) or two (2) position(s) that will work directly with their institution and its researchers to support the whole of the pilot phase of the Initiative, including support for testing pilot tools and services with the institution's researchers.

The successful Applicant(s) will become the Ultimate Recipient(s) for the funded position(s). Ultimate Recipient(s) will be:

- ▶ Supporting the development of controlled access management solutions for restricted-access research data in Canada.
- ▶ Eligible to receive up to 60% of cost-matched funding support for up to two (2) Controlled Data Access Specialist positions at their institution(s).
- ▶ Positioned as leading institution(s) within this Initiative to innovate restricted-access research data security, access, technology and workflows for the Canadian research ecosystem.
- ▶ Helping to make Canadian research data that cannot be published in open access repositories more discoverable and securely accessible.
- ▶ One (1) of a maximum of two (2) institutions in Canada whose researchers will have exclusive access during the pilot phase to opportunities to deposit restricted-access research data, and to request access to restricted research data, through the FRDR Sensitive Data Repository Project.

Institutions looking to provide support for this Initiative and to be the first to pilot new technology and services may apply to the associated Call for Proposals for the Funding Opportunity [\[link\]](#).

The available positions are 1) Controlled Data Access Engagement Specialist and 2) Controlled Data Access Services Specialist. (See Appendix for [Envisioned Position Descriptions](#); the Alliance will work with the successful applicant(s) to collaboratively develop job descriptions for both positions).

Eligibility

Partner Organization Participation Eligibility

To participate in the *Controlled Access Management for Research Data Initiative*, organizations that meet one or more of the following criteria are eligible to participate as a Partner Organization:

- ▶ A Canadian university or post-secondary college or educational institution or hospital that receives public funding, and that carries on, or is capable of carrying on, meaningful research;
- ▶ A non-profit organization that is situated in Canada and that carries on, or is capable of carrying on, meaningful research;
- ▶ An institution or non-profit organization that is situated in Canada and whose activities support Canada's DRI ecosystem;
- ▶ Canadian data repositories, defined as a) all repositories listed on the [re3data repository registry as a Canadian data repository](#); or b) any repository that stewards data deposited by [Tri-Agency eligible researchers](#), or c) any repository which stewards data cited in a Canadian, peer-reviewed academic journal;
- ▶ First Nations, Inuit and Métis Nation organizations, communities, collectives or governments. Indigenous organizations concerned with Indigenous Data Sovereignty and/or Indigenous research priorities, and Indigenous communities (including Nations and governments) are welcome and encouraged to participate. Eligibility is based on self-identification.

All eligible organizations will be accepted as Partner Organizations.

Funding Opportunity Eligibility

To participate in the *Controlled Access Management for Research Data Initiative*, organizations that meet the following three (3) criteria are eligible to apply to host one (1) or both (2) positions:

1. A Canadian university or post-secondary college or educational institution or hospital that receives public funding, and that carries on, or is capable of carrying on, meaningful research; **and**
2. A Tri-Council eligible institution - "Eligible institution: an institution (a) that meets the requirements for eligibility to receive funding set out in guidelines issued by the Agency and (b) that has signed the [Agreement on the Administration of](#)

[Agency Grants and Awards by Research Institutions](#)” ([link](#)). For reference: [NSERC list of eligible institutions](#); [CIHR list of eligible institutions](#); [SSHRC list of eligible institutions](#). If your institution has provisional or restricted eligibility to administer Tri-Agency research funding, please contact us to confirm your eligibility for this opportunity. In order to be eligible, your organization must have affiliated researchers who meet the definition of “[Individuals who conduct research independently](#)” and whose research is subject to the [Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans \(2022\)](#) and the [Tri-Agency Framework: Responsible Conduct of Research \(2021\)](#); **and**

3. A Partner Organization for this Initiative (by responding to the Call for Participation for Partner Organization Participation).

Applications received to host the position(s) will undergo a scored evaluation as noted in the [Evaluation and Adjudication](#) section.

Expense Eligibility

The available funding is to support up to 60% of the salaries and benefits of up to two positions. Applying institutions must provide the remaining 40% and provide commitment to matching contributions. All other expenses are ineligible.

Funds Available

The funding window for the Initiative is for two (2) years (ending March 31, 2025). The total budget is \$400,000 total with the Alliance funding 60%: up to \$240,000 for two (2) positions for two (2) years at 60% funding. There is a cost-match requirement of 40%: up to \$160,000 (up to \$40,000 per year for one (1) FTE, or up to \$80,000 per year for two (2) FTEs).

Obligations of Successful Applicants

Partner Organization Participation Obligations

Partner Organizations will be expected to engage in the following ways:

2023-2024:

- ▶ Partner Organizations will designate one (or more) representative(s) to participate in Pilot Roadmap co-development meetings to contribute on behalf of their organization.
- ▶ Designated organizational representatives will attend Pilot Roadmap co-development meetings over 2023-2024, and their contributions will outline their organization's participation in the implementation of the Pilot Project.

2024-2025:

- ▶ Partner Organizations should plan to designate appropriate staff from relevant units (e.g., research ethics, privacy, research contracts, IT, research support (including library services) and VPR office) to participate in Working Groups in the Pilot Roadmap implementation phase (2024-2025).

Ongoing

- ▶ Partner Organizations may have the opportunity to participate in public events related to the Initiative.
- ▶ Partner Organizations will contribute to ongoing reporting on the Initiative.
- ▶ All Partner Organizations will be expected to acknowledge a [Terms of Reference](#) document.

Meeting Details:

- ▶ The meeting schedule will be developed in consultation with the organizational representatives. As it may be challenging to find a recurring time that suits the schedules of every participant, flexibility in scheduling will be required.

Working Groups Details:

- ▶ For the implementation phase, the Alliance is proposing several working groups to reflect the institutional workflows relevant to data deposit: research ethics, privacy, research contracts, IT, research support (including library services) and the VPR office. The details of these working groups and other components will be subject to revision over the course of Pilot Roadmap co-development.

Funding Opportunity Applicants Awarded Funding

Funding Opportunity Applicants awarded funding will be expected to:

- ▶ Provide the fully completed and signed Agreement (refer to the [Alliance Funding Agreement](#)) with the Alliance by an authorized representative from the institution that the Applicant is affiliated within ten (10) working days of receipt of notification of award of funding.
- ▶ Participate in regularly scheduled meetings with the Alliance regarding the hosting opportunity. Quarterly meetings should be anticipated, with additional meetings held as needed.
- ▶ Participate as described in the Partner Organization Participation Obligations section above.
- ▶ Deliver on its obligations outlined in its application during the term of the Alliance Funding Agreement.

Reporting Requirements for Applicants Awarded Funding

Funding Opportunity Applicants awarded funding will be required to complete the following Reporting Requirements.

- ▶ Financial reports: The Alliance will advance funds each quarter with the final 10% holdback being released following the end of the project and final reporting submission. At the end of each quarter, Ultimate Recipients will be required to submit a completed quarterly financial reporting template. Once received and approved, the advance payment for the following quarter will be released.
- ▶ Progress reports: The Ultimate Recipient is responsible for updating the Alliance on their activities and findings on a quarterly basis, providing satisfactory evidence (in the sole opinion of the Alliance) that the subsequent disbursement(s) is fully justified.

Alliance Support of the Initiative

The Alliance provides coordination and support for the *Controlled Access Management for Research Data Initiative*. This support may include:

- ▶ Facilitating regular meetings of the Partner Organizations and/or Ultimate Recipient(s).
- ▶ Facilitating collaboration of Partner Organizations.
- ▶ Consulting with Partner Organizations to provide additional supports needed to forward the Initiative.
- ▶ Providing on-boarding related supports and direction to the positions hired as part of the Funding Opportunity.
- ▶ Tracking progress of Initiative activities and directing reporting out requirements.
- ▶ Other support, as required.

Application Submission

Applications will be accepted in both official languages (English and French). Special needs for accessibility will be accommodated for Applicants.

To apply to the Call for Participation as a Partner Organization and the Call for Proposals for the Funding Opportunity

Applicants must complete and submit the application in accordance with the instructions embedded in the [Application Form](#). Applications must be [submitted electronically](#) by the Applicant.

Note: All applications must be signed by an authorized representative of the institution. Team applications are not permitted for this Initiative.

By submitting an application for consideration, the Applicant and their institution acknowledge that the terms and conditions outlined in the [Terms of Reference](#) and [Alliance Funding Agreement](#) are non-negotiable post-award.

If Applicants have any questions regarding the Call or in preparing their applications, they **must communicate directly with the Alliance** well in advance of the application deadline to the following email address: funding-subventions@alliancecan.ca

A final **deadline date by which all questions must be submitted** to receive a response will be instituted and communicated: September 08, 2023 noon ET.

Questions regarding the call will only be addressed through the following email address: funding-subventions@alliancecan.ca

Refer to the Frequently Asked Questions (FAQ) for more information.

Evaluation and Adjudication

Applications are adjudicated and available funds awarded through a competitive review process using a Merit Review Committee. The Alliance bases its funding decisions on the recommendations of the Merit Review Committee and on the funds available.

The Merit Review Committee may consist of national and international subject matter experts. Participants in the review process, if not in a conflict of interest, real or perceived, are asked to evaluate the Application based on the evaluation criteria below.

Evaluation Criteria and Scoring

The [Evaluation Scorecard](#) is included as part of this package. This document includes all criteria and the scoring scheme used to evaluate the applications.

Glossary

Controlled access of restricted research data

Controlled access of restricted research data is one term/phrase that can be used to describe many other related terms/concepts, including the following (note: this listing is meant to be illustrative and may be incomplete):

- Safeguarding sensitive research data
- Protecting confidential research information
- Ensuring data security and privacy
- Managing restricted research data
- Controlling access to sensitive information
- Preserving the confidentiality of research data
- Maintaining the integrity of confidential data
- Enforcing data access controls
- Regulating sensitive research data
- Overseeing restricted data management
- Administering data protection measures
- Supervising access to confidential information
- Governing restricted data access
- Orchestrating security protocols for sensitive research data
- Implementing measures to secure confidential data.

Merit Review Committee

An independent committee brought together to evaluate the work/projects of individuals in a certain field or area of expertise. It is a process designed to ensure the highest standards of excellence and impartiality in the allocation of funds to meritorious projects.

Partner Organization(s)

Organizations that meet one or more of the eligibility criteria to participate in the Initiative. Organizations will have to apply and be accepted as a Partner Organization.

These organizations will help forward the work of the pilot roadmap, including development of workflows, policies, and resources. Ultimate Recipient(s) will also be Partner Organization(s).

Restricted-access research data

Data that cannot be published openly; or data which requires limitations or conditions for access. Examples include but are not limited to: data containing confidential, proprietary, sensitive, or embargoed information. During the 2023-2025 funding period, the Initiative will not contemplate clinical health data, or data legally recognized as Personal Health Information, for ingestion within FRDR.

Ultimate Recipient(s)

Institutions that are eligible to apply to host and/or are awarded the Call for Proposals for the Funding Opportunity to host the two (2) positions. Ultimate Recipient institutions(s) will also be Partner Organization(s).

Appendix A: Envisioned Role Descriptions for the Positions

Position: Controlled Data Access Engagement Specialist

The successful applicant institution will second existing staff or conduct external hiring for the Controlled Data Access Engagement Specialist.

Envisioned role of hire:

The primary role of the Controlled Data Access Engagement Specialist will be to coordinate and support Partner Organizations, including various post-secondary institutions and research organizations, on co-developing a detailed Pilot Roadmap for the initiative. The Pilot Roadmap will create a plan and schedule for implementing and piloting the new tools and services for controlled access management to research data held within data repositories. The Controlled Data Access Engagement Specialist will provide further support for the implementation of the Pilot Roadmap by coordinating and facilitating Working Groups established by the Pilot Roadmap and will provide support to researchers and relevant staff within their organization engaged in piloting the controlled access management tools and services. The Controlled Data Access Engagement Specialist will dedicate 100% of their time to the Initiative.

Suggested qualifications for role:

1. Experience supporting a diverse group of partners, groups or contributors.
2. Strong project management skills.
3. Bilingualism is required, as supporting participating English-first and Francophone institutions with Pilot Roadmap co-development is a core duty.
4. Prior experience with post-secondary institutional review and approval of research involving data requiring restricted access.
5. Familiarity with all or some of the following: Research Ethics Board review, negotiation of research contracts involving data (e.g., Data Access, Sharing, or Transfer Agreements, research contracts involving data remit or sharing, etc.), Privacy Impact Assessments in the context of research, institutional compliance

review for research involving data sharing; and institutional IT requirements related to sharing restricted-access research data.

6. Knowledge of laws and regulations relevant to managing controlled access to research data. Applicants ought to be encouraged show evidence of their familiarity and/or experience with the TCPS2, any relevant provincial laws or regulations, and any relevant institutional regulations or policies related to sensitive research data management.
7. Experience with research data management (RDM) and/or Data Management Plans (DMPs).

Position: Controlled Data Access Services Specialist

The successful applicant institution will second existing staff or conduct external hiring for the Controlled Data Access Services Specialist.

Envisioned role of hire:

The primary role of the Controlled Data Access Services Specialist will be to coordinate with participating data repositories, participating organizations, and the Alliance to provide support for piloting new tools and services for controlled access management to research data held within data repositories, including working directly with the encryption software development team to support the development of guidance documentation to accompany source code in support of making this software available in an open source format. The Controlled Data Access Services Specialist will provide further support for developing and delivering training and education content and resources to support managing controlled access to restricted access research data and will provide support to researchers and relevant staff within their organization engaged in piloting the controlled access management tools and services. The Controlled Data Access Services Specialist will dedicate 100% of their time to the Initiative.

Suggested qualifications for role:

1. Prior experience with data repository activities.
2. Knowledge of data curation and/or metadata would be assets.
3. Experience working with software developers and with developing documentation to accompany source code to facilitate adoption or adaptation of the code by others.

4. Experience working with a diverse group of partners, groups or contributors.
5. Strong project management skills.
6. Experience working with restricted access data, or with requirements for managing restricted access data or supporting researchers working with restricted access data.
7. Knowledge of best practices, standards, or techniques for data security and/or cybersecurity in the context of research.
8. Knowledge of research data management (RDM) and/or Data Management Plans (DMPs).
9. Bilingualism is preferred.

Appendix B: Application Details

The following are the questions included in the Application.

Introduction

Controlled Access Management for Research Data Initiative Application

The Digital Research Alliance of Canada (the Alliance) is launching a Call for Participation as a Partner Organization and a Call for Proposals for the Funding Opportunity for the *Controlled Access Management for Research Data Initiative*.

This Initiative is a pilot project to 1) collaboratively innovate workflows, processes, and resources for depositing restricted access research data within data repositories and for granting access to other researchers; and 2) test technology for managing controlled access to research data within data repositories.

As part of this Initiative, participants can apply to be a Partner Organization and/or for funding to support up to two (2) positions to be hosted within a post-secondary institution. Institutions may apply to host one (1) or both positions. The available positions are 1) Controlled Data Access Engagement Specialist and 2) Controlled Data Access Services Specialist.

More information about the participation and funding call can be found at: alliancecan.ca

Final deadline to submit is September 15, 2023, 8pm ET.

All information submitted via this application will be kept secure and confidential, and used only for adjudication purposes.

Applicant Details

Question: Indicate if your institution/organization is applying to participate as a Partner Organization in the Controlled Access Management for Research Data Initiative.
(Yes/No)

Question: Applicant/Institutional representative name

The Applicant/Institutional representative must hold authority/signing authority for the Institution/Organization

Question: Role/Position Title

Question: Institutional/Organizational Affiliation

Provide full name of institution/organization. No abbreviations.

Question: Phone Number

Question: Institutional/Organizational Email Address

Question: I would like to be included in future communications from the Alliance regarding funding calls and other initiatives. (Yes/No)

Institutional/Organizational Details

Question: Institutional/Organizational Name

Provide full name of institution / organization. No abbreviations.

Question: Institutional Street Address

Question: City

Question: Province / Territory

Question: Postal Code

Question: Office of Research Services Contact

Name, Title, Phone, Email

Question: Financial Office Contact

Name, Title, Phone, Email

Question: Indicate how the Organization/Institution meets the eligibility criteria of the Partner Organization Participation Call. Select all that apply.

- A Canadian university or post-secondary college or educational institution or hospital that receives public funding, and that carries on, or is capable of carrying on, meaningful research;
- A non-profit organization that is situated in Canada and that carries on, or is capable of carrying on, meaningful research;

- An institution or non-profit organization that is situated in Canada and whose activities support Canada’s DRI ecosystem;
- Canadian data repositories, defined as a) all repositories listed on the [re3data repository registry as a Canadian data repository](#); or b) any repository that stewards data deposited by [Tri-Agency eligible researchers](#), or c) any repository which stewards data cited in a Canadian, peer-reviewed academic journal;
- First Nations, Inuit, and Métis Nation organizations, communities, collectives, or governments. Indigenous organizations concerned with Indigenous Data Sovereignty and/or Indigenous research priorities, and Indigenous communities (including Nations and governments) are welcome and encouraged to participate. Eligibility is based on self-identification.

Question: Indicate if your institution/organization is applying to host a position(s)? (Select only one)

- The institution/organization is applying to become a Partner Organization
- The institution/organization is applying to become a Partner Organization and applying to host one (1) or two (2) positions

Question: Indicate if the Organization/Institution meets the following three (3) eligibility criteria for the Funding Opportunity (Yes/No):

1. A Canadian university or post-secondary college or educational institution or hospital that receives public funding, and that carries on, or is capable of carrying on, meaningful research; and
2. A Tri-Council eligible institution - “Eligible institution: an institution (a) that meets the requirements for eligibility to receive funding set out in guidelines issued by the Agency and (b) that has signed the [Agreement on the Administration of Agency Grants and Awards by Research Institutions](#).” ([link](#))

For reference: [NSERC list of eligible institutions](#); [CIHR list of eligible institutions](#); [SSHRC list of eligible institutions](#). If your institution has provisional or restricted eligibility to administer Tri-Agency research funding, please contact us to confirm your eligibility for this opportunity. In order to be eligible, your organization must have affiliated

researchers who meet the definition of “[Individuals who conduct research independently](#)” and whose research is subject to the [Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans](#) (2022) and the [Tri-Agency Framework: Responsible Conduct of Research](#) (2021); and

3. A Partner Organization for this Initiative (by responding to the Call for Participation for Partner Organization Participation).

Question: Regarding the Funding Opportunity, indicate which position(s) your institution is applying to host. Select all that apply.

Information: one (1) institution can host up to two (2) position(s)

- Controlled Data Access Engagement Specialist
- Controlled Data Access Services Specialist

Question: Demonstrate, with clear evidence (including with reference to publicly available documentation, as appropriate) the commitment your institution has with controlled access to research data and/or sensitive data. (Word limit: no minimum, but to a maximum of 400 words, excluding citations/references to external documents)

Wording to reference controlled access to restricted data/sensitive data may vary – the intended meaning of the content should be given equal weight and deemed acceptable. (See FAQ for more detail)

Question: Demonstrate, with clear evidence (including with reference to publicly available documentation, as appropriate) the experience your institution has with hosting similar roles/positions. (Word limit: no minimum, but to a maximum of 400 words, excluding citations/references to external documents)

Question: Provide a plan with timelines and details including assumptions, risks, and dependencies identified as part of the process to hire and institutionally onboard the Controlled Data Access Engagement Specialist and/or Controlled Data Access Services Specialist. (Note: The Alliance will participate in project-specific onboarding of the new hire(s)).

The following Project Plan Template must be used to construct the plan and this must be uploaded [Word (.doc; .docx) PDF (.pdf)] as part of the application: [LINK](#)

- The project plan must provide details of activities as to how to achieve success. To determine the robustness and feasibility of your plan, applicants must demonstrate consideration of:
 - Assumptions: List and describe any assumptions made when designing the project plan;
 - Risks: Identify any risks associated with executing your project plan and indicate how likely the risk will occur (Low/Medium/High), the impact it would have should it occur (Low/Medium/High) and identify risk mitigation strategies for each identified risk; and
 - Dependencies: Identify dependencies related to the successful execution of the proposed project.

Question: Describe how a fair, open, and transparent competitive process will be maintained in the hiring of the Controlled Data Access Engagement Specialist and/or Controlled Data Access Services Specialist. Refer to any institutional policies/procedures in place (provide links wherever possible). (Word limit: no minimum, but to a maximum of 400 words)

Question: Provide a description and justification of the salary/benefits to be provided to the successful candidate. Provide supporting documentation, if possible. (Word limit: no minimum, but to a maximum of 400 words, plus documentation)

Please refer to the [Finance Management Guide](#) for information on fair market value determination.

Question: Upload formal letter(s) or agreement(s) of committed matching contributions [Word (.doc; .docx) PDF (.pdf) ZIP (.zip)]. These documents will describe each matching contribution, including the source and amount.

The Alliance will fund up to 60% of eligible operating expenses. The remainder must be secured through matching contributions. // Please refer to the [Finance Management Guide](#) for information on fair market value determination.

Question: Name of person submitting application

Question: Role

Question: Name of affiliated organization or institution

Question: By submitting an application for funding consideration, the Applicant and its institution(s) acknowledge that the terms and conditions outlined in the Terms of Reference and/or the Alliance Funding Agreement are non-negotiable post-award. The Applicant also confirms that the information provided is true and correct to the best of their knowledge and belief.

Sign below

Question: Type in the characters as displayed in the image

Submit

Appendix C: Evaluation Scorecard

Evaluation Scorecard

Project Description Addresses Need and Impact				
Application Question	Evaluation Criteria	Excellent (5)	Fair (2)	Poor (0)
Demonstrate, with clear evidence (including with reference to publicly available documentation, as appropriate) the commitment your institution has with controlled access to research data and/or sensitive data. (Word limit: no minimum, but to a maximum of 400 words, excluding citations/referen	The institution has made clear commitments to controlled access to research data and/or addressing sensitive data considerations.	The institution has clearly demonstrated an established commitment to controlled access to research data and/or sensitive data with reference to published materials that explicitly address these commitments as goals,	The institution has moderately addressed their commitment to controlled access to research data and/or sensitive data with reference to published materials that address goals, strategies, needs, objectives, or similar (e.g., content within their RDM Institutional Strategy that discusses related service	This institution does not address any commitment to controlled access to research data and/or sensitive data; there is no demonstration of any commitment or interest.

<p>ces to external documents)</p>		<p>strategies, needs, objectives, or similar (e.g., content within their RDM Institutional Strategy that discusses related service gaps; relevant published institutional strategic goals, missions, or vision; participation in relevant public partnerships, programs, or initiatives; or any other relevant content).</p>	<p>gaps; relevant published institutional strategic goals, missions, or vision; participation in relevant public partnerships, programs, or initiatives moderately related to controlled access to research data and/or sensitive data (e.g. a broad commitment to RDM); or any other relevant content) which express interest (but not a clear commitment) to the same.</p>	
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Demonstrate, with clear evidence (including with reference to publicly available documentation, as appropriate) the experience your institution has with hosting similar roles/positions. (Word limit: no minimum, but to a maximum of 400 words, excluding citations/references to external documents)	The institution has experience successfully hosting similar roles or positions.	The institution has clearly demonstrated successful experience with hosting similar roles/positions with reference to available materials that describe multiple instances of success, or that describe a strong success.	The institution has moderately addressed their successful experience with hosting similar roles/positions with reference to available materials that describe some relevant experience.	This institution does not demonstrate any experience hosting similar roles/positions; there is no demonstration of any past experience.
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Project Plan and Implementation (Feasibility)

Application Question	Evaluation Criteria	Excellent (5)	Fair (2)	Poor (0)
Provide a plan with timelines	Project plan clearly	The application	The application has generally	The application

<p>and details including assumptions, risks, and dependencies identified as part of the process to hire and onboard the Controlled Data Access Engagement Specialist and/or Controlled Data Access Services Specialist.</p>	<p>demonstrate a list of activities/tasks, including assumptions, risks, constraints and dependencies.</p>	<p>clearly demonstrated a sound implementation plan that has properly identified and addressed assumptions, risk and dependencies.</p> <p>The proposed timeline is well described, reasonable, and likely to be achievable.</p> <p>Implementing the plan as presented would be successful.</p>	<p>demonstrated an implementation plan that has identified and addressed most assumptions, risk and dependencies.</p> <p>The proposed timeline is reasonable, and likely to be most likely to be achievable.</p> <p>Implementing the plan with some modifications would be successful.</p>	<p>has not demonstrated an implementation plan, nor has it identified nor addressed assumptions, risk, and dependencies.</p> <p>The proposed timeline is not reasonable / feasible. The timeline is unlikely to be achieved.</p> <p>Implementing the plan as presented will not be successful.</p>
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<p>Describe how a fair, open, and transparent competitive process will be maintained in the hiring of the Controlled Data Access Engagement Specialist and/or Controlled Data Access Services Specialist. Refer to any institutional policies/procedures in place (provide links wherever possible).</p>	<p>Identified how the institution will achieve an open and transparent hiring process.</p>	<p>The response clearly demonstrated that policies and procedures are in place to ensure a fair, open and transparent competitive process.</p>	<p>The response generally demonstrated most policies and procedures are in place to ensure a fair, open and transparent competitive process.</p>	<p>The response has not demonstrated policies and procedures to adequately support a fair, open and transparent competitive process.</p>
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Budget

<p>Rationale for expenses</p>	<p>Salaries are reasonable and commensurate with the scope of the project and needed expertise of</p>	<p>The proposal clearly demonstrated justification for salaries</p>	<p>Justification for salaries are generally demonstrated, further clarification/conditions may be needed</p>	<p>Justification for salary is missing or does not align with expertise and experience needed for</p>
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	the candidate.			role/position
Internal Review				
Applicant Question		Review Criteria		
Applicant is from an eligible organization	Applicant meets the specified eligibility criteria indicated in the Call documentation. This is case specific criteria.			
Application has identified appropriate financial/research office contact	Person identified is authorized to sign off on application on behalf of the institution			
Completeness of application	Sections are completed and have been signed off by appropriate parties/representatives.			
Excluding providing funding, outline what role, if any, the Alliance has in project execution / delivery.	Determine if internal resources are needed for project execution	Internal resources are aware of commitment and have capacity for activities, as described in the application.		
Provide a description and justification of the most	Expenses are reasonable and	Budget items are clearly identified. Expenses are reasonable and based on fair market value. Expenses are eligible.		

<p>significant items included in the budget.</p>	<p>commensurate with the scope of the project.</p>	
<p>Provide a description of each matching contribution, including the source, nature (monetary or non-monetary), amount, and status (received, committed, awaiting response, yet to apply). If matching contributions have not yet been secured, outline a plan as to how they will be.</p>	<p>There is a realistic and achievable plan to secure matching contributions.</p>	<p>Matching contributions are clearly identified. The source, nature, amount, and status are identified. Secured funding sources are accompanied with supporting documentation (agreements or letters of intent). Unsecured funding sources include a detailed, reasonable plan to secure it.</p>

Appendix D: Terms of Reference

Controlled Access Management for Research Data Initiative Pilot Roadmap Co-development: Terms of Reference	
Group Name:	Controlled Access Management for Research Data Initiative Partnership (“Initiative Partnership”)
Group Chair:	Victoria Smith (Initiative Lead)
Meeting Frequency:	Monthly (or as required)

The Digital Research Alliance of Canada (the Alliance) is a national not-for-profit that advances the national Digital Research Infrastructure (DRI) strategy by functioning as a coordinator of DRI efforts, a service provider, and a funder of DRI activities.

Purpose

The Alliance is leading the *Controlled Access Management for Research Data Initiative* and has convened this group of Partner Organizations to co-develop a detailed Pilot Roadmap over the 2023-2024 period to enable implementation of the pilot phase of the Initiative over the 2024-2025 period. Managing controlled access to research data involves a wide variety of decision-makers, expertise, and regulatory review from offices and departments across post-secondary institutions and within other relevant organizations involved in the conduct or oversight of research. The Initiative is designed for organization-wide participation of Partner Organizations, to ensure contributions and input from all relevant parties are considered.

This Terms of Reference governs the collaboration taking place from 2023-2024 as part of the Initiative. During this period, Partner Organizations will collaborate together and with the Alliance to develop a Pilot Roadmap. Once this Pilot Roadmap is finalized and approved by the Partner Organizations, it will guide the activities of the Initiative for the subsequent period of 2024-2025. Partner Organizations will have the choice to continue their involvement in the 2024-2025 period, following the conditions outlined in the Pilot Roadmap. In addition, a public invitation will be issued alongside the published Pilot

Roadmap, inviting eligible organizations to become Partner Organizations and contribute to the implementation of the Pilot Roadmap for the 2024-2025 period.

2023-2024:

Partner Organizations will designate one (or more) representative(s) to participate in Pilot Roadmap co-development meetings to contribute on behalf of their organization.

Designated representatives of Partner Organizations will attend Pilot Roadmap co-development meetings over 2023-2024, and their contributions will outline their organization's participation in the implementation of the pilot project.

At a minimum, the Pilot Roadmap must include: 1) plans for pilot testing controlled access management technologies; 2) the development of research data repository policies, procedures, and workflows that support restricted access data to be piloted by participating repositories, 3) developing and testing training/education content; and 4) the development of a report outlining an environmental scan of relevant policies and regulations and recommendations for the future development of the initiative technology.

Partner Organizations may have the opportunity to participate in public events related to the Initiative.

Partner Organizations will contribute to ongoing reporting on the Initiative.

2024-2025:

In addition to the mandatory Pilot Roadmap elements identified above, the Alliance proposes a series of Working Groups composed of appropriate staff from Partner Organizations to undertake work related to workflows, processes, and decision-making within organizations about restricted access data. The exact nature and composition of the working groups will be outlined in Pilot Roadmap and determined by the Partner Organizations, as will the specific deliverables assigned to the working groups. All additional and complementary work will be discussed and decided upon by the Partner Organizations. Partner Organizations should plan to designate appropriate staff from

relevant units (anticipated to be research ethics, privacy, research contracts, IT, research support/library services, and VPR office) to participate on working groups in the Pilot Roadmap implementation phase (2024-2025).

Roles and Responsibilities

Roles and Responsibilities of the Alliance

1. Facilitate scheduling, note-keeping, and dissemination of meeting minutes.
2. Liaise with, and facilitate collaboration with, the Initiative team within the Alliance, including the software development team and other technical experts, as needed.
3. Assume primary responsibility for drafting the Pilot Roadmap for input, review, and approval from the Partner Organizations.
4. Encourage Partner Organizations to actively engage and contribute to the Pilot Roadmap, including delegating leadership on components of the Pilot Roadmap to Partner Organizations on a volunteer basis.
5. Draft communications, for review and approval by the Partner Organizations, for dissemination to Partner Organizations and to the broader research community, as appropriate.
6. Contribute to regular reporting out mechanisms that will be communicated to the Alliance and/or Innovation, Science, and Economic Development Canada (ISED).

Roles and Responsibilities of Partner Organizations

Partner Organizations:

1. Partner Organizations will designate one or more representative(s) to participate in Pilot Roadmap co-development.

2. In cases where a Partner Organization appoints multiple representatives, it is expected that these representatives collaborate closely and reach consensus amongst themselves.

Partner Organization Representatives will:

1. Represent, and speak on behalf of, their organization. Where organizational approval or buy-in is needed, the Partner Organization Representative(s) is(/are) responsible for obtaining organizational approval or buy-in, as appropriate.
2. Actively contribute to the co-development of the Pilot Roadmap, including: volunteering accurate and relevant information about their organizational policies, processes, documents, or other activities, as appropriate and as needed; reviewing materials in a timely manner; and attending meetings and keeping up-to-date on Partner Organization activities.
3. Contribute to the co-development of the Pilot Roadmap in good faith, making best efforts to ensure their contributions will enable the Partner Organization to continue their participation in the initiative.
- 4.

Decision Making: The Controlled Access Management for Research Data Initiative Partnership will strive to make decisions by consensus, ensuring that all Partner Organizations can express their views and that decisions reflect collective agreement. However, if consensus cannot be reached on a particular matter or when it is determined that a decision cannot be implemented due to organizational constraints, the Chair shall retain decision-making authority. The Chair will exercise this authority after considering input from the Partner Organizations and considering the best interests of the Initiative.

Term of Membership

Partner Organizations are expected to actively participate during the Pilot Roadmap co-development phase (estimated to end 31 March 2024). Partner Organizations are free to withdraw at any time, although such a withdrawal will result in the Organization ceasing its partnership with the Initiative, with the exception of funded Ultimate Recipient institution(s) whose participation is subject to the terms of a separate agreement between the funded Ultimate Recipient(s) and the Alliance. Partner

Organizations are encouraged to contact the Chair should they have concerns regarding their continued participation as a Partner Organization to explore possible accommodation.

Attendance: Regular attendance at meetings is essential to maintain the collaborative nature and progress of Pilot Roadmap co-development. Partner Organizations are expected to actively participate in the meetings and contribute to discussions. If a Partner Organization exhibits a pattern of frequent absences their membership may be terminated on the determination of the Chair. This attendance requirement ensures the commitment and engagement of Partner Organizations, allowing for effective collaboration and timely achievement of objectives. Should a Partner Organization anticipate challenges related to attendance they are encouraged to contact the Chair to explore possible accommodations.

Method of Operation

- All meeting agendas, minutes, and supporting documents will be managed in a shared google drive folder.
- Meetings will be conducted using Zoom.
- All Partner Organizations / Partner Organization Representatives are encouraged to identify any potential challenges and/or difficulties so that risks can be identified, assessed and actioned accordingly.
- External experts may be invited to participate in meetings as needed.
- Partner Organizations / Partner Organization Representatives will be expected to engage professionally and adhere to a Code of Conduct.

Membership

Membership includes:

Chair:

Victoria Smith, Policy, Privacy, and Sensitive Data Coordinator (Alliance)

Guest Members may be invited to engage, as appropriate.

Standing Members:

Lee Wilson (RDM Director, the Alliance)

- [list of Partner Organizations / Partner Organization Representatives]

Intake Date:

Appendix E: Alliance Funding Agreement

Access the [Alliance Funding Agreement – English](#)

Appendix F: Financial Management Guide

Access the [Financial Management Guide - English](#)