



RESPIRE Data Management Plan (DMP): Template (adapted from the University of Edinburgh)

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Project Title:	Practices & perceptions of public & private, general medical practitioners (primary care physicians: “GPs”) in rural India for diagnosis & management of asthma & COPD
Institute:	KEM Hospital Research Centre, Pune, India
Start Date:	01 September 2019
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DMP version number and date:	V1, dated 13 Oct 2020

Responsibilities & Resource (applicable across the section below)

Who will be involved in the data management of this research?

As this is Fellowship study only RESPIRE Fellow is involved for efficient data collection and management of the said study with guidance from his supervisors Prof. Sanjay Juvekar, Prof. Hilary Pinnock and Prof. Pam Smith. In addition to this, RESPIRE Fellow is seeking support from KEMHRC IT team for data management and sharing.

Other resources utilised for data management processes during this study include the following:

1. Computers (desktop and laptops) used for data entry work.
2. Computers (laptops) used for viewing spirometry data downloaded from specific devices.
3. External hard drives for backup during the data entry work.
4. Backup servers for storage of data at Vadu site, KEMHRC and cloud services.

At the end of this project data will be submitted to Edinburgh DataShare (<https://datashare.is.ed.ac.uk/>) for sharing data in public domain and for long term preservation on DataVault (<https://www.ed.ac.uk/information-services/research-support/research-data-service/after/datavault>)

1. Data Capture

What data will be generated or reused in this research?



Data generated in Fellowship study are summarised as follows:

1. **Questionnaire:** Quantitative; stored in csv format. This included general practitioners (who are study participants') demographic data, data about their clinic practice (from when, where and what type of clinical practice they do) and about experience in managing asthma and COPD cases. This data will be collected from the general practitioners who are actively doing their clinical practice in the study area. Till today out of 450, we collected data from 180 general practitioners. Data from 270 general practitioners yet to be collected.
2. **Qualitative data:** In-depth interviews data collected using an interview guide. Transcripts of these interviews will be stored in PDF format. This data will be collected from the few (out of total 450 general practitioners mentioned above) selected general practitioners who are actively doing their clinical practice in the study area. This will help to understand their perception and practices about their clinical practice in managing asthma and COPD. Challenges and facilitators, they come across in their practice will be documented using the qualitative data collection tools. We have not yet started with qualitative data collection using in-depth interviews.

The above-mentioned data will be collected in hard copy forms and would be destroyed after a minimum five years from the protocol defined end of study point. Fully anonymized (without any identifiers) soft copy data will be stored by KEMHRC as per its data sharing and archiving policy which is in line with the guidelines set by the national (Indian) data access and sharing policy.

How much data will be generated?

A total of 250 records will be generated for each type of data stated in the section above, Approximate 32 records for qualitative data will also be generated. Overall size of the soft copy data will be approximately less than 2 Gigabytes.

2. Data Management

How will the data be documented to ensure it can be understood?

Each type of data as stated in section above will be collected using well-structured questionnaires. The questionnaires had instructions with pre-question, the literal question and post-question information sections. These questionnaires (blank templates) both in soft (pdf) and hard copies will be stored at site along with the soft copy datasets and hard copy filled forms respectively for any future references.

All hard copy data with respect to this study and its documentation, inclusive of codebook wherever applicable will be kept for a minimum of five years from the protocol defined end of

study point. With regards to the qualitative data, audio recordings and transcripts will be stored at the site along with soft copy of datasets for any future use.

Data quality control will be done using Stata v15 tool and appropriate labels will be assigned wherever necessary for manual quality monitoring and checks. However, in the final data formats, which will be csv and text, the labels will not be included.

It is planned to do proper Data Documentation Initiative conforming to international standard for describing surveys, questionnaires, statistical data files, and social sciences study-level information. This will add detailed and quality metadata for the datasets generated in this study. Metadata documentation is planned to be done for study datasets. The plan for this data documentation includes complete study documentation along with all the processes and standards incorporated and adhered to along with the other data metrics as will be identified during the process. A detailed variable level metadata will be created for easy end-user understanding at any point of time.

Where will the data be stored and backed-up?

Data will be stored and backed up as per the below listed principles:

1. All data generated in relevant retrospection, joint studies and partnered projects under RESPIRE may have a cleaned and anonymized subset copy on the UoE data repository, named as DataShare. Access to such data on DataShare will be public.
2. A copy of all data that is uploaded on DataShare is retained by KEMHRC on an “as-it-is” basis along with a master mapping record for identifiers. This is needed for regulatory purposes. The copy retained at KEMHRC will not be uploaded on any other public access data repository unless agreed by both the UoE and KEMHRC.
3. All data generated in relevant retrospection, joint studies and partnered projects under RESPIRE may be put in Edinburgh DataVault, for long term preservation, however the copies on DataVault must be anonymized with master mapping data for the identifiers in custody of KEMHRC. Dataset on DataVault must have controlled access with a definite lifetime assigned as per institution’s policy.
4. For all datasets pushed on to DataVault, a copy must be retained by KEMHRC with assigned lifetime as per institution’s policy (5-8 years for KEMHRC) along with the master mapping data for identifiers. The location of storage and related services will solely be the responsibility of KEMHRC.
5. All in-process data, i.e., active research data, that may need sharing with group members remotely may be put on UoE’s DataStore (<https://www.ed.ac.uk/information-services/research-support/research-data-service/during/data-storage>). These types of data sharing will be guided by the MoU and data sharing agreements of the collaborating institutions.

6. KEMHRC's document server may also be used for all in-process, i.e., active research data that needs sharing whilst working collaboratively within office premise local network or VPN.
7. All data on either DataShare, DataStore or on DataVault, the ownership lies with KEMHRC with grant of custody given to UoE under terms and conditions of MoU.

Based on the above principles, data generated for the Fellowship study is/will be stored as described here:

1. The data storages of KEMHRC includes the following and all data stored are catalogued using standard methods and are considered as "enclaved", meaning that no direct access would be given. Probable users can search from the catalogue and raise a request for copy of the data.
2. KEMHRC data storage server is located in Pune office. This storage server is a well configured secured storage for all project data and catalogued and accessible over local network only. These are not publicly available resources and are accessible from within the network in office premises.
3. The KEMHRC data storage server is also configured to serve as a document server and all in-process, i.e. active research data, that needs sharing with group members can be used for access from with the local network or over VPN.
4. KEMHRC data storage server located at Vadu office. This is a temporary storage server for storing in-process data and does not store the final archival versions and accessible over local network only. These are not publicly available resources and are accessible from within the network in office premises.
5. A complete copy of raw data permanently archived in the above-mentioned KEMHRC data storages and catalogued for a minimum period of eight years in order to comply with the KEMHRC data policy, IT laws of India and funder/sponsor requirements.
6. In-process data, i.e. active research data, if needed, may be put on UoE's DataStore (<https://www.ed.ac.uk/information-services/research-support/research-data-service/during/data-storage>) in cases of distributed teams to share files anywhere and with anyone with study group.

3. Integrity

How will you quality assure your data?

RESPIRE Fellow involved in data collection checked the collected data for completeness quality checks by using pre-defined criteria, and logical checks.

4. Confidentiality

How will you manage any ethical and Intellectual Property Rights issues?

All Investigators and study site staff involved with this study conformed with the requirements of the General Data Protection Regulation (GDPR) 2018 with regard to the collection, storage, processing and disclosure of personal information and uphold the Act's core principles. Access

to collated participant data is restricted to individuals from the research team, treating physicians of the participants, representatives of the sponsor(s) and representatives of regulatory authorities.

Computers used to collate the data and have limited access measures via usernames and passwords.

All identifying information that is collected about the participant (such as name, age, sex, address, contact information) during the course of the research is kept confidential and secured. Published results will not contain any personal data that could allow identification of individual participants.

The data of each study participant will be identified with the help of a unique identifier and it will be completely anonymized and scrambled before sharing. The details of the unique identifier will be held with the research team. There will be no such information in the shared data which will disclose the identity of the study participant. Standard and recommended security measures and confidentiality with data sharing agreements will be in place with access control at every stage and audit trails maintained for all access and changes in data. Data collected through in-depth interviews will not include personal identifiable data and will be anonymised at the time of transcription. We will use pseudonyms or replacements or codes throughout the study. The unedited versions of data will be kept with selected researchers in the research team. There will be an anonymisation log of all replacement, removals, and codes and will be stored separately from the data files. Audio recordings collected through encrypted device, will be transcribed immediately after the interview by the study team

5. Retention and Preservation

Which data do you plan to keep and for how long?

Data is/will be retained and preserved as per the principles stated in section above in Data Management.

All hard copy data (filled forms), audio recordings and transcripts, which includes identifiable information and related documentation will be preserved at KEMHRC Vadu for up to a period of five years from the protocol defined end of study point. After the elapse of five years, hard copy data audio recordings and transcripts will be destroyed as per KEMHRC guidelines and/or specific contract clause with the sponsor(s), if any or under prevailing law of the land (India).

Soft copy of the raw data will be uploaded on secured KEMHRC data storages with limited access to KEMHRC data administrators only. Data on KEMHRC data storages are catalogued. Data is “enclaved” in the storages, meaning it is findable through the catalogues but no direct access is given. Data is categorized and some categories of data, for example the identifiers, which are for internal reference only will not be made accessible to non-KEMHRC entities. The categories of data meant for public access either open or controlled will not be on these storages.

Any access needed is to be directed through the data administrator after due approvals. As per KEMHRC policy, this soft copy of data will be retained on the storage server(s) for a minimum period of eight years with no upper limit defined.

An anonymised copy of the study data will be backed up on the UoE's DataVault (<https://www.ed.ac.uk/information-services/research-support/research-data-service/after/datavault>) for long term preservation. The preservation details are articulated under the next heading.

How will the data be preserved?

Based on the principles listed in section 2, data generated for the Fellowship study is/will be preserved at the end of study as described here:

1. Soft copies of all data collected in the study is/will be anonymised with identifier mapping master.
2. Soft copies of all data is/will be preserved by KEMHRC along with the mapping master which will be retained as per data policy of KEMHRC (The KEMHRC data policy is not made available as public accessible resource as on date; however, it is sharable with collaborators on approvals from the trust members).
3. Data is/will be preserved on University of Edinburgh's DataVault (<https://www.ed.ac.uk/information-services/research-support/research-data-service/after/datavault>) for a longer period as defined by the University's data policy.
4. KEMHRC is/will preserve data on its data backup servers located in KEMHRC Pune office and also on commercially purchased data archival cloud space (<https://aws.amazon.com/glacier/>).
5. All soft copies of data including identifiable information and related documentation is/will be preserved on KEMHRC storages and anonymised copies on UoE's DataVault (<https://www.ed.ac.uk/information-services/research-support/research-data-service/after/datavault>).

A complete copy of the anonymised data validating the results is/will be preserved for long term in the above-mentioned data storages and catalogued for a minimum period of eight years in order to comply with the KEMHRC data policy, IT laws of India and funder/sponsor requirements.

6. Sharing and Publication

Which data will be shared and how?

Data sharing principles encourage ethical commitments of data generated from the public and must benefit the public by sharing for open access research opportunities. KEMHRC holds this principle to its core and provides data from its studies and projects for sharing after due

processes of cleaning, anonymisation and masking confidential information wherever applicable.

For this study, KEMHRC would be submitting anonymised data for public access on University of Edinburgh's DataShare (<https://datashare.is.ed.ac.uk/>). Data on DataShare must follow the principles of findability, accessibility, interoperability, and reusability (FAIR) and the submitted dataset must have a Digital Object Identifier (DOI) assigned.

As per KEMHRC policy, data on KEMHRC server will be stored for a minimum eight years with no upper limit defined. A similar copy of the data would be retained by KEMHRC for adherence to local IT laws. Any derived or calculated or other form of data can also be shared on DataShare.

Are any restrictions on data sharing required?

There are a few restrictions and procedures for compliance to KEMHRC data policy and local IT laws:

- (1) Identities of study participants cannot be shared or stored on servers outside the boundaries of India
- (2) Only anonymised data can be shared on public domain. The degree to which anonymisation is done must be clearly understood and documented.
- (3) A copy of all data stored on servers outside India must have a copy within Indian territory and must be made available to any law enforcing or regulatory agency on demand
- (4) The law enforcement and regulatory authorities will have full access to the data as per the rules and regulations.

Not all of the above is law yet but compliance is solicited.

It is expected that any researcher using this dataset for any type of publication or conference paper must cite this dataset by referencing the DOI.

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