Data Management Plan

Deliverable D5.2

Marian Deblonde (VITO), Jelena Mazaj (CESIE)

http://www.fotrris-h2020.eu

Document Information

Grant Agreement #:	665906
Project Title:	Fostering a Transition towards Responsible Research and Innovation Systems
Project Acronym:	FoTRRIS
Project Start Date:	01 October 2015
Related work package:	WP 5: Communication and Dissemination
Related task(s):	Task 5.2: Data Management Plan
Lead Organisation:	VITO
Submission date:	31-03-2016
Dissemination Level:	Public

History

Date	Submitted by	Reviewed by	Version (Notes)
26/02/2016	Marian Deblonde (VITO)	Jelena Mazaj (CESIE)	1
09/03/2016	Jelena Mazaj (CESIE)	Marian Deblonde (VITO)	2
15/03/2016	Marian Deblonde (VITO)	Jelena Mazaj (CESIE)	3
17/03/20116	Marian Deblonde (VITO)	Jelena Mazaj (CESIE)	4
25/03/2016	Jelena Mazaj (CESIE)	Eve Dallamaggiore (LGI Consulting)	5
30-31/03/2016	Jelena Mazaj (CESIE)	Marian Deblonde (VITO), Eve Dallamaggiore (LGI Consulting)	6
01/04/2016	Marian Deblonde (VITO)		7

Table of content

About the FoTRRIS project

FoTRRIS develops and introduces new governance practices to foster Responsible Research and Innovation (RRI) policies and methods in Research and Innovation (R&I) systems.

FoTRRIS stresses that RRI is a collaborative activity from the very beginning. Therefore FoTRRIS adds the prefix 'co' to the acronym RRI. Important present-day challenges are of a global nature but manifest themselves in ways that are influenced by local conditions. Thus, FoTRRIS focusses on glocal challenges, i.e. local or regional manifestations of global challenges and on local opportunities for solving them.

FoTRRIS performs a transition experiment, i.e. an experiment to support the transformation of present-day research and innovation strategies into co-RRI-strategies. It designs, tests and validates the organisation, operation and funding of co-RRI competence cells. A competence cell is conceived as a small organisational unit, which functions as a local one-stop innovation platform that encourages various knowledge actors from science, policy, industry and civil society to co-design, -perform, and –monitor co-RRI-projects that are attuned to local manifestations of global sustainability challenges.

Since research and innovation systems and practices in EU member states and within different research performing organisations vary, FoTRRIS experiments the implementation of new governance practices in five member states. These five experiments are evaluated, validated and constitute the basis for FoTRRIS policy recommendations towards EU and member states policy makers so as to enforce co-RRI into the national and EU R&I systems. Training is dispensed to various stakeholders, so as to form them to establish other co-RRI competence cells.

For more information see http://www.fotrris-h2020.eu

Coordinator contact:
Dr. Marian Deblonde / Unit Sustainable Materials Management / VIT NV / Boeretang 200, 2400 MOL, Belgium.
t: +32/14 33 58 46 | e: marian.deblonde@vito.be | w: www.vito.be/english

Executive Summary

This Data Management Plan (DMP) provides information about the main FoTRRIS policies regarding the management of the data during the lifespan of the project. It indicates which data will be collected, describes the processes how the data will be collected and processed, what methodology and standards will be applied, whether data will be shared/preserved.

1. Open access to publications

FoTRRIS will make all its peer reviewed publications Open Access by depositing its articles in a repository for scientific publications: Zenodo . Moreover, all deliverables will be published on the project website: http://www.fotrris-h2020.eu/ .

2. Data set reference and name

The final DMP will include here the persistent identifier (a DOI) that the data repository will issue once we deposit the dataset will be deposited.

3. Data set description

The aim of the project is to develop and introduce new governance practices to adopt Responsible Research and Innovation(RRI) policies and methods in Research and Innovation (R&I) systems. In order to develop the method and institutional structure, interviews will be performed with 'key knowledge actors', and online surveys addressing a wide variety of members of the research and innovation (R&I) community will be launched.

The research data will be collected through desk research of academic and other relevant literature. In order to complement the information gained through desk research, supplementary empirical data will be collected (surveys with knowledge actors from public and private research performing and funding organisations and further in-depth interviews with key-persons from the local research and innovation community will be performed).

To identify and recruit research participants the Consortium will follow the procedures below:

IFZ

A list of potentially relevant key persons for the interviews and the survey was compiled based on screening of funding agencies, research funding programs, research projects, which could be related to or which might become relevant for RRI. The screening was based on the team's knowledge about the Austrian R&I landscape, information gained through team members involvement in the Austrian RRI-platform, publications, personal contacts to/previous co-operations with persons, and an additional web search.

Persons have been determined as relevant due to their engagement in RRI-related funding programs (program managers, administrators), RRI-related R&I projects (coordinators, researcher from public an d private research organisations, non-academic research participants), or due to their engagement in activities linking/integrating science and society (e.g. intermediaries, brokers – e.g. science center, science shop, knowledge transfer center).

For the interviewee recruitment we compiled a priority list of 15 persons according to:

• their potential role for a transition towards more RRI (strategic considerations)

• their (anticipated) knowledge about the R&I system in Austria and awareness about RRI

• thematic focus related to Food & Agriculture

• diversity criteria: gender balance, anticipated viewpoint (less & more critical),

representatives of various actor groups within R&I system

Interviewees are personally addressed by invitation letters sent via e-mail.

For the online survey the list of potential participants is compiled the same way. Participants will then be recruited by e-mail including a request to forward the survey link to other people. The invitation will include information about the FoTRRIS project, the purpose of the survey, the informed consent, how anonymity and data privacy will be preserved, and how long the survey will take.

Participants from the online survey as well as interviewees will be asked whether they want to be included into the project's "participant pool" (centrally administered by ERRIN): either to be contacted for further engagement or to be kept updated on project news.

For the WP3 transition experiments we take a selective approach, which means that we will launch an open call for participants online (webpage, newsletter), and we then will select from applicants, who respond to this call, participants by assessing their relevance for the experiments considering their field of activity and expertise. Diversity criteria will be considered for the selection as well. Single key persons, whom we consider as particularly relevant to implement the experiments will be contacted personally.

The invitation to and participation in the knowledge arenas will be open and fully inclusive; however a gatekeeper permission will need to be requested to access 'private spaces' within the online platform.

REMARK: All contact details included in the contact list(s) are publicly accessible online or are provided by the persons themselves (e.g. in the context of responding to open calls).

VITO

For VITO, I started to compile a first list of potentially relevant key persons for task 1.2 (Knowledge actors' perspectives on RRI) and a second list of potentially relevant key persons for WP3 (Test of the multi-actor experiment in the domain of materials scarcity. The first list is based on my familiarity with the Flemish R&I system. I invited persons from funding agencies, from public authorities in the domain of Economics, Science and innovation, from research performing organizations (universities and university colleges). I also invited non-academic researchers, working for NGOs. I invited knowledge actors familiar with predecessors of RRI (such as STS, TA).but not necessarily familiar with the RRI-concept. I compiled a priority list of more or less 15 persons, based on diversity criteria such as gender balance, anticipated

viewpoint (less & more critical) . All contact details of our interviewees are publicly accessible in the internet.

I invited the interviewees personally, (via an invitation letter, accompanied by a participant information sheet and a description of FoTRRIS' data privacy policy). In case invited persons consent to be interviewed, they are asked when, how (personally or via a phone call or skype) and where they want to be interviewed and whether they want to be included into our project's "participant pool" (centrally administered by ERRIN): either to be contacted for further engagement or to be kept updated on project news.

For the second list, research participants for the WP3 transition experiments, I compiled a priority list of persons according to their

•	potential role for a transition in the domain of materials scarcities (strategic considerations)

•	thematic focus related to materials scarcities

•	diversity criteria: gender balance, anticipated viewpoint (less & more critical), representatives of various actor groups within the domain of materials scarcities, both knowledge actors from universities and university colleges, from NGOs, from public administrations, from sector organisations, from industry.

The second list is based on my familiarity with the Flemish materials system and on the familiarity of my VITO-colleagues with this system. Moreover, an open call for participants online (webpage, newsletter), will be launched and we then will select from applicants, who respond to this call, participants by assessing their relevance for the experiments considering their field of activity and expertise. Diversity criteria will be considered for the selection as well. Single key persons, whom we consider as particularly relevant to implement the experiments will be contacted personally.

The invitation to and participation in the knowledge arenas will be open and fully inclusive; however a gatekeeper permission will need to be requested to access 'private spaces' within the online platform

REMARK: All contact details of our interviewees are publicly accessible in the internet.

For the online survey the list of potential participants is compiled the same way. Participants will then be recruited by e-mail including a request to forward the survey link to other people. The invitation will include information about the FoTRRIS project, the purpose of the survey, the informed consent, how anonymity and data privacy will be preserved, and how long the survey will take.

Participants from the online survey as well as interviewees will be asked whether they want to be included into the project's "participant pool" (centrally administered by ERRIN): either to be contacted for further engagement or to be kept updated on project news.

CESIE

Implementation of the T1.2: aiming to organize in-depth interviews with key persons from the local research and innovation community and surveys with knowledge actors from academia, business, policy, civil society, CESIE compiled a list of potentially relevant stakeholders based on:

•   Knowledge about responsible research and innovation (RRI) in the field of renewable energy;

•   Academic and non-academic research in the mentioned field;

•   Activities linked with science and society.

Personal contacts and web search were involved in this process, however, all contact information of invited interviewees is publicly available online. A first contact with interviewees was organized with the help of an introduction call, after all information about the project and interview was sent by email. A list of fifteen key persons from the local research and innovation community is structured according to:

•   Expertise in renewable energy and RRI;

•   Gender balance and balance between participants from different work/action fields (academia, business, policy, CSO);

•   Potential participation in future activities of the project.

ESSRG

For the interviews and the survey we compiled a list of potentially relevant key actors of the Hungarian research and innovation system (http://nkfih.gov.hu/innovacio/hazai-innovacios). This list is based on the open online database of the National Research Development and Innovation Office. This database embraces actors from different fields, such as: research institutions, universities, technology transfer organizations, advocacy organizations, innovative enterprises, financial intermediaries, research infrastructure, clusters and national technology platforms. We complemented this database by adding organizations that have been consortium partners in RRI related FP7 or H2020 projects, and the Hungarian beneficiaries of the H2020 SME instrument (https://ec.europa.eu/easme/en/sme-instrument-beneficiaries). For the contacts details of these organizations we used data openly accessible through the internet.

For the interviewee recruitment we compiled a priority list of 30 persons (who are in key positions of the relevant organizations; 15 primary and 15 subsidiary contacts) according to:

•   their key role in the present research and innovation system;

•   their potential role for a transition towards more RRI (strategic considerations);

•   their experience with regard to RRI or similar activities; and

•   diversity criteria: gender balance, anticipated viewpoint (less & more critical),

representatives of various actor groups within R&I system

Interviewees are personally addressed by invitation letters sent via e-mail.

UCM

In order to make a list of relevant key persons for task 1.2 we use our personal contacts from local research projects related to or which might become relevant for RRI and information gained through web search.

For the interviewees' recruitment, we create a priority list of more or less 15 persons, based on diversity criteria such as gender balance and expertise in persons with disability and RRI. We focus on:

• persons with knowledge about responsible research and innovation (RRI) inside and outside the field of people with disability.

• Important people in the domain of academic and non-academic research and experience in the mentioned field.

• People related to activities linked with science and inclusion in society.

We invited the interviewees via email with an invitation letter, accompanied by a participant information sheet and a description of the FoTRRIS' data privacy policy. In case invited persons consent to be interviewed, they are asked when, how (personally or skype) and a meeting was fixed.

All contact details of our interviewees are publicly accessible in the internet.

- to identify potentially relevant key persons for RRI based according to their experience in RRI, engagement in RRI-related funding programmes, RRI-related R&I projects, in activities linking/integrating science and society .

- to contact them via email, phone or face to face and receive a written agreement for participation in different project activities- to create a database of contacts regarding future cooperation.

3.1 FoTRRIS Survey Data

The survey data will be anonymized so that personal identification will not be possible. Findings of surveys and interviews will be synthesised and integrated with the results of the literature research in a report (Deliverable D1.1 – month 9). Data from surveys will not be openly accessible.

3.2 FoTRRIS interview transcripts or analyses

Interviews will be audio recorded and transcribed, and a content analysis will be performed.

Interview transcripts will not be made open access, because we cannot guarantee anonymity to our interviewees if full transcripts are published, since interviews will be carried out in national languages (so, is will be rather easy to identify the national background of the persons interviewed and, possibly, for those who happen to know the national R&I community, to identify the person herself. This risk is plausible, since the persons interviewed are experts from a certain field, so it is likely that interviews could at least be traced back to certain institutions. Due to such conditions, it is likely that interviewees would refuse to openly talk to us, which certainly will affect our research.

3.3 FoTRRIS workshop data

Further, workshops will be organized to create, together with the workshop participants, a common problem definition regarding a problem of resource scarcity and a common definition of a potential solution to the problem defined. Workshop group reflections will be recorded as a matter of convenience for analysis. Audiorecords will not be made open access. The problem definitions and definitions of potential solutions will be made open access and downloaded on zenodo as pdf files. No extra costs are involved in achieving our data in Zenodo. Zenodo guarantees the long term preservation of data.

3.4 Processing operations

The contact details of research participants will be processed and be used to organise interviews, focus group discussions and workshops and to document their participation in those events. Contact details will be used to invite research participants to participate in surveys.

Research partners will process the research participants' contact details in compliance with the applicable personal data protection laws.

Research partners will participate in:

- one-on-one interviews, which may be recorded;

- focus group discussion;

- collaborative workshops;

- and possibly surveys, which may be conducted online.

The collected personal data will only consist of:

 Names/contact details/Sex/Personal insights and opinions/Images /Voice recordings/Content analysis or transcripts of interviews/Outcomes of surveys.

The transcripts and content analyses will be stored electronically on secure servers, in a data repository which will only accessible for project team members directly engaged in the corresponding research work. Furthermore the servers will be password secured and will be changed every six months to ensure security. Interviewees' Names will be encrypted in the transcription files.

Contact details will only be used for this research project, and will not be used further for other purposes, unless participants explicitly agree.

Personal data will be used for scientific analysis and the production of research reports. They may also be used in newsletters, the project website and other media reporting on the project's activity. These reports, newsletters and website may identify individuals that participated in interviews, workshops, group discussions and survey, but will not attribute particular opinions of individual participants, unless they explicitly consent.

4. Data Sharing

The survey participants may withdraw any time they wish from the study and the information that they provided will be deleted upon request. This also applies for the use of personal data. Data which have been already processed and published can further be used for the project.

The files will be deleted 3 years after the project ends the latest. Research participants have the right to request access to their personal data and to have these data rectified. They also have the right to refuse the use of their personal data. However, personal data that are already processed for this research project can be used further within this research project. If participants wish to exercise their rights, they should contact the FoTRRIS scientific representatives.

5. Archiving and preservation

The personal data of research participants will be maintained securely on the servers of the organisations participating at FoTRRIS, which can only be accessible to FoTRRIS researchers.

 Moreover, the personal view of research participants will be deposited in a data repository which will have restricted access thus allowing for long term use, preservation and accessible to all researchers. The personal data concerned and the recordings will only be accessible to the research partners directly involved in this study.

Research partners do not intend to rely on third party service providers for the processing of research participants' personal data.

Conclusion

This document is the first draft of the data management plan, which will be updated during the lifecycle of the project. The updated version of the document will present detailed information regarding data collection and use, for example: in T1.2.

Bibliography

European Commision. Directorate-General for Research & Innovation (2016). Guidelines on Data Management in Horizon 2020. Version 2.1. Available online: https://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-data-mgt_en.pdf