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## Plan Overview

*A Data Management Plan created using DMPonline*

**Title:** Participation in socio-economic decision-making

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**Principal Investigator:** Anna Baillie

**Affiliation:** University of Glasgow

**Funder:** Medical Research Council (MRC)

**Template:** MRC Template

### Project abstract:

This multiple case study research project is the second stage of a PhD thesis which is primarily interested in the relationship between members of the public and policymaking institutions. It is underpinned by two key questions: what opportunities do citizens have to influence policy and decision making which impacts on their lives? How do policymaking institutions and their representatives interact and engage with the citizens they serve? Definitions of public and policymaking are vast and varied there are many paths down which these two questions could lead, therefore there are two key areas of interest to this project: participatory and deliberative processes, with a particular focus on *democratic innovations* and income insecurity as a policy problem which connects to social inequalities in health. The purpose of this study is to explore and understand participatory and deliberative processes for policy stakeholders through the lens of income insecurity in two different contexts in Scotland: one local and one national.

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# Participation in socio-economic decision-making

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## 0. Proposal name

### 0. Enter the proposal name

Participation in decision-making about income insecurity

## 1. Description of Data.

### 1.1 Type of Study

This PhD study will collect information from people about taking part in or convening participatory and deliberative processes. It will generate data via semi-structured interviews, direct observation and focus groups.

### 1.2 Types of Data

Primary data to be managed include:

1. Consent forms.
2. Identifiable participant information (e.g. names, contact details, and demographic information).
3. Qualitative data from interviews (audio and transcripts).
4. Fieldnotes from observation
5. Qualitative data from workshops (audio and fieldnotes)

### 1.3 Format and scale of the data

|                                      |                                                                                                                                                                                                                                                          |
|--------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Paper                                | <ul style="list-style-type: none"><li>• Signed consent for the study (approx. 25)</li><li>• Researcher field notes</li><li>• Data from socio-demographic questionnaire</li></ul>                                                                         |
| Excel (.xlsx)                        | <ul style="list-style-type: none"><li>• Identifiable participant information (e.g. names, contact details)</li><li>• Data from socio-demographic questionnaire</li></ul>                                                                                 |
| Audio files (MP3, .wav, ACC, or OOG) | <ul style="list-style-type: none"><li>• Interview files (approx. 25)</li><li>• Focus group files (approx. 2)</li></ul>                                                                                                                                   |
| PDF (.pdf)                           | <ul style="list-style-type: none"><li>• Scanned paper consent forms (approx. 25)</li><li>• Scanned copies of the socio-demographic questionnaire</li></ul>                                                                                               |
| Word processor (.doc or .txt)        | <ul style="list-style-type: none"><li>• Signed consent for the study (approx. 25)</li><li>• Non-anonymised transcripts of interviews (approx. 25)</li><li>• Anonymised transcripts of interviews (approx. 25)</li><li>• Researcher field notes</li></ul> |

## 2. Data collection / generation

### 2.1 Methodologies for data collection / generation

## Case Study Method

Researching participatory and deliberative processes, or democratic innovations more broadly, often requires recognition of unique environmental, cultural or political factors which influence how the processes occur and unfold. Participation does not take place in a vacuum - context is key. One of the strengths of a case study approach is that this method can cope with distinct contexts, differing variables of interest and multiple sources of evidence and data. Whilst the preliminary Systematic Scoping Review, described above, revealed some key themes and pertinent questions, it could not provide the in-depth understanding which can be achieved via a case study. Similarly, there is growing interest in the use of comparative qualitative methods, which can enable deeper insight into how participatory and deliberative processes operate in different settings and policy contexts. It is for this reason that a multiple, or collective, case study method has been chosen, with two participatory and deliberative processes identified for investigation and comparison: one local (participatory budgeting) and one national (citizens' panel).

The data collection will take place from January 2022 until September 2022. For each case, the research participants will be involved in the following ways:

### Interviews

Participants will be given the choice of a remote or in person interview. In person interviews will take place at a venue of their choice. Remote interviews will take place over Microsoft Teams. Prior to the start of the interview, the principal researcher will: confirm that the participant received study information and offer a further copy as required; check that the participant has read the information sheet and offer an opportunity to ask questions; check for understanding of options (e.g., regarding willingness for anonymised research data to be shared with others) contained in the informed consent sheet; record consent in a written consent form. A key interest of this research project is levels of inclusivity, therefore a socio-demographic form will be sent with the information sheet and completed before the interview also. Participants will be given the option to opt-out of this. Audio for in person interviews will be recorded using an encrypted portable digital

recorder and saved in restricted access drives. Remote MS interviews will be recorded (video and audio), the audio will be extracted and saved in restricted access drives, and the original interview video will be deleted. Sound files will be securely transferred using a secure file transfer system to a transcription company with whom the SPSHU has a contract. Sound files will be named with an anonymous identifier. In-depth interviews will take the form of *shorter case study interviews* and will be semi-structured following an interview schedule, which will explore the participants' experiences of the participatory process they were involved in. As there are different population groups sought (primarily citizens and professional stakeholders) there will be a schedule developed for citizens and one developed for professionals, with the same questions posed in different ways to reflect their different relationships to the participatory process.

### Direct observation

For the direct observation, an adapted version of the Discourse Quality Index will be used to inform the data collection. Discourse Quality Index is a quantitative research method which is used to assess the deliberative quality of discussions within participatory settings. There are five key indicators which are helpful in the context of observing participation: Participation Equality; Level of justification; Content of justification; Respect; Constructive politics. It is outwith the scope of this project to fully apply this method; therefore, three indicators will inform the observation as follows:

- *Participation equality*: how easy is it for people to express their views? How often are people interrupted?
- *Respect*: Is the environment a respectful one? Are there any examples observed of explicit respect or disrespect?
- *Constructive politics*: how are decisions made? Is consensus achieved, if so, how? What other types of communication / discussion is observed?

Participants do not need to do anything for this part of the research, no direct participation is required. Fieldwork notes will be written up in a notebook or typed up in MS Word. Data in the fieldnotes and analytical diary will be pseudonymised.

### Workshops

There will be two workshops, both will be convened after the interviews and some preliminary analysis has taken place, like between August and September '22. They will combine some interim findings from the interviews and thesis as a whole and bring in related guidance and tools for democratic innovations, including, but not exhaustive to:

- Institutionalising Participatory and Deliberative Democracy Working Group Report (Scotland)
- Participatory Budgeting Framework (Scotland)

The focus groups will take a co-production approach to discuss and agree 'lessons learned' which may be of use to future conveners and organisers of participatory and deliberative processes. Audio for focus groups will be recorded using an encrypted portable digital

recorder and saved in restricted access drives. Remote MS interviews will be recorded (video and audio), the audio will be extracted and saved in restricted access drives, and the original workshop video will be deleted. Sound files will be named with an anonymous identifier and all participants will be pseudonymised.

### Demographic information

Paper files will be scanned and saved onto restricted access drives. Paper files will be kept in locked cabinets. The socio-demographic data of people invited to be a part of the study who refuse consent to take part will be deleted. Data from questionnaires will be input into excel for purpose of descriptive statistics

### Consent forms

Consent forms will be collected as part of research ethics. Paper copies of consent forms will be scanned and saved onto restricted access drives. Paper files will be kept in locked cabinets. Digital copies of consent forms will be kept for a minimum of 10 years or for as long the research data are archived, to ensure the research's ethical standards are auditable.

### Personal contact data

Personal contact data of potential participants who do not take part in the research will be deleted once the initial recruitment round is completed. Personal contact data of those taking part in the study will be kept to organise the fieldwork (interviews and focus groups) and will be deleted once the PhD is completed. Personal contact data will be

stored in a secure folder at the university of Glasgow. Personal contact data will be kept until the completion of the PhD. All personal contact data will be securely deleted to DOD7.

## 2.2 Data quality and standards

- Follow the ethically approved procedure for confirming and recording informed consent;
- An interview guide will be used to ensure consistency across interviews;
- Field notes will be kept following interviews and workshops to record contextual factors that may have shaped data generation processes.
- Allocate pseudonyms and identification numbers where required;
- AB will keep a research diary throughout the research process documenting analytical thoughts and reflecting on the wider context of the research.
- Audio files will be transcribed by a trusted agency, with a track record of high-quality transcription.
- AB will initially check a sample of 5 mins of audio for half of the transcripts to confirm quality transcription.
- NVivo will be used to organize data.

## 3. Data management, documentation and curation

### 3.1 Managing, storing and curating data

#### Data management

Data will be stored on secure IT systems, with data access restricted to the named research team. All drives are password protected and have restricted access. Drives are backed up daily in line with institutional back up procedures. Transcript files will also be securely transferred with 1st Class Secretariat (the transcription company) using the company's own secure transfer service. The transcription company follows the Data Protection Act, registered number Z2116676 and have also signed the Code of Practice on Data Handling.

AB will de-identify research data and assign unique participant identification number to data files.

#### Data Storage

Research data and digitised consent forms will be kept for a minimum of 10 years or for as long the research data are archived, in line with University of Glasgow policy. Personal contact data will be kept until the completion of the PhD. Once the PhD is completed, it will be securely deleted to DOD7 standards or above. Up until then, data will be stored as follows:

- Electronic files containing de-identified research data, will be stored through the encrypted UoG file transfer system in project folders (T: drive) with access password protected and restricted to members of the project team. (i.e., Anna Baillie, Dr Kathryn Skivington, Dr Gillian Fergie and Professor Mhairi Mackenzie)
- Electronic files containing non-anonymised transcripts and audio-recordings will be stored separately in the Confidential Data folder within the T: drive. Access to folders containing non-anonymised research data will be strictly restricted to designated members of the project management group (i.e., Anna Baillie, Dr Kathryn Skivington, Dr Gillian Fergie and Professor Mhairi Mackenzie).
- Access to this folder is restricted using a Data Privacy Access Log.
- Electronic files with contact information, signed consent forms, and the key linking participant codes to their identities will be stored in separate drive (Q: drive). The documents containing contact information as well as the key linking participant codes to their identities will be password protected. No research data is stored in the Q: drive. Access to folders containing personal data will be strictly restricted to designated members of the project management group ((i.e., Anna Baillie, Dr Kathryn Skivington, Dr Gillian Fergie and Professor Mhairi Mackenzie). Access to the Q: drive is restricted using a Data Privacy Access Log.
- Paper documents containing personal data will be stored by the principal investigator in secure locked filing cabinets in an area with restricted access and separate to any research data

### 3.2 Metadata standards and data documentation

- Excel file log of fieldwork activities: participant code; date/place of activity (e.g. interview); logged confirmation of consent; filename of research schedule used; filename(s) of interview record(s) obtained (audio record, scanned version of hand written interview notes); filename of transcribed record; filename of anonymised transcribed record.
- Excel log documenting and locating the location of key data sources: field notes, consent forms, transcripts etc.
- Final version of study documentation including interview topic guides, prompts, participant information sheets etc.
- Coding frames for qualitative interviews and focus groups.
- Study protocol

### 3.3 Data preservation strategy and standards

As per University of Glasgow guidelines, all *electronic research data* will be retained for a minimum of 10 years after the conclusion of the study. Original audio recordings and paper files will be destroyed after the completion of the PhD or the publication of the main study papers (whichever comes later), only the transcripts will be retained. Since only anonymised data with consent to share can be formally archived (in UK Data Service ReShare or University of Glasgow Enlighten as detailed below), all other research related materials that underpin the research will be retained in the care of the Unit for the same period, and subject to a retention schedule. This is for the purposes of proving research integrity, should it be necessary.

*Electronic research data* files will be stored in secure folders on the SPSHU servers protected against unauthorised access by user authentication and a firewall until the archiving or destruction of the data. All *hardcopy materials* (e.g. paper consent forms) will be scanned and stored in digitised format on the restricted access Q: drive for a minimum of ten years after completion of the study and for as long as research data are available. Hardcopy materials will be destroyed after being digitised. These will be accessible to the research team if needed upon request. Personal contact data will be kept until the completion of the PhD. Once the PhD is completed, it will be securely deleted using Fileshredder (<https://www.fileshredder.org/>) to DOD7 standards or above.

## 4. Data security and confidentiality of potentially disclosive personal information

### 4.1 Formal information/data security standards

Data will be stored on secure systems and data access will be restricted to the named research team. SPSHU (UoG) has Cyber Essentials Plus certification and works to ISO 27001, 27002 for information technology security, though it does not have formal certification. The Unit does an annual internal audit of IT security processes. In particular: access to the building is restricted by electronic keys, all network servers are protected with strong passwords and a firewall, screens are locked after 5 minutes of inactivity, workstations and portable devices are encrypted, we have our own cloud computing for secure transfer of data. All members of the Unit have signed a confidentiality agreement and have undergone training in data protection. Staff involved in research have done Good Clinical Practice Training.

Specific policies applying to the data are described in the GUI-DM-001\_Guidance on the Management of Research Data and associated standard operating procedures and we abide by the University of Glasgow data protection policy.

### 4.2 Main risks to data security

Risk of identification of individual study members

The collection of identifying information will be kept to a minimum and research data will be anonymised where appropriate (removing personal information or replacing it with more general terms).

An encrypted and password protected recorder will be used during data collection, to minimise the risk of individuals identification after the collection of their data.

We will use encrypted, restricted and password protected drives, and data privacy logs, to ensure access is restricted to only those approved to process the data. User authentication and encryption will be applied throughout. This includes transfer of audio files and transcripts between us and the SPSHU-contracted transcription company, whose staff have signed a confidentiality agreement. Paper files will be stored safely in locked cabinets and destroyed after the completion of the PhD or the publication of the main study papers (whichever comes later).

The team will carefully consider the risk of identification when sharing participant quotes in the thesis, publications, or academic presentations. Assessments will be made on how much demographic information to share about individual participants and identifying details will be redacted from quotes (e.g. places of work or professional role). The research project will be founded on honest and open research practices, where any risk of identification will be discussed at the moment of obtaining informed consent, with the opportunity provided for participants to consider the risk and refuse consent. For more detail on this risk please refer to the Data Protection Impact Assessment and accompanying Ethics Application.

## 5. Data sharing and access

### 5.1 Suitability for sharing

We are requesting participant consent to archive anonymised data so it can be shared with genuine researchers. The data will be offered to the UK data archive Re-Share for archiving. If that is unsuccessful, they will be archived in the University

of Glasgow Enlighten: Research Data repository. Regardless of where the data are archived, there will be an entry for the study in the University of Glasgow Enlighten: Research Data repository.

## **5.2 Discovery by potential users of the research data**

- The study data will be discoverable through the repository where it is stored and also through the University of Glasgow Enlighten: Research data repository.
- If included in the UK data archive, the publication of the data will be publicised through the UK Data service email list of new datasets.
- All presentation at academic conferences and scientific publications using the data will include data sharing information for the study.

## **5.3 Governance of access**

Responsibility for governance of access to data generated will ultimately lie with the principal investigator, AB. The processes will follow the SPHSU data sharing policy.

If deposited in the UK data archive, the data will be placed under safeguarded or controlled access with depositor permission. Access to the data will require the approval of the principal investigator and will require a stricter license that includes a confidentiality agreement.

## **5.4 The study team's exclusive use of the data**

During the lifetime of the project only named members of the research team will have access to the data.

The data will be archived and available for sharing but will be embargoed until a year after the thesis is finalised or the publication of the main study papers (whichever happens later). Until then, the study team will have exclusive use of the data. The principal investigator will endeavour to make the data available as soon as possible.

## **5.5 Restrictions or delays to sharing, with planned actions to limit such restrictions**

The qualitative data will have personal information removed or replaced with more general terms. We will attempt to do this as much as possible without compromising the usefulness of the dataset, but the qualitative data cannot be completely anonymised and for this reason, the principal investigator would like to retain control over who will access the data and to ensure that they sign a confidentiality agreement.

Where participants have refused consent to archive/share data, their records will not be shared

## **5.6 Regulation of responsibilities of users**

Users will need to conform to the SPHSU data sharing agreement contained in the appendices of GUI-DM-001\_Guidance on the Management of Research Data. Additionally, if archived with the UK Data Service, users will need to conform with the UK Data Service End User License.

# **6. Responsibilities**

## **6. Responsibilities**

The principal investigator Anna Baillie has overall responsibility for data management and will authorise access to the project folders on the relevant drives at University of Glasgow for team members.

Project Team members who will have access to the project folders are: Kathryn Skivington, Gillian Fergie and Mhairi Mackenzie.

# **7. Relevant policies**

## 7. Relevant institutional, departmental or study policies on data sharing and data security

| Policy                                | URL or reference                                                                                               |
|---------------------------------------|----------------------------------------------------------------------------------------------------------------|
| Data Management Policy and Procedures | SPHSU - Guidance on the Management of Research Data. GUI-DM-001 (Social and Public Health Sciences Unit, 2019) |
| Data Security Policy                  | University of Glasgow - <a href="#">Data Protection Policy</a>                                                 |
| Data Sharing Policy                   | SPHSU - Guidance on the Management of Research Data. GUI-DM-001 (Social and Public Health Sciences Unit, 2019) |
| Institutional Information Policy      | University of Glasgow - <a href="#">Good management of Research Policy</a>                                     |
| Other                                 |                                                                                                                |
| Other                                 |                                                                                                                |

## 8. Author and contact details

### 8. Author of this Data Management Plan (Name) and, if different to that of the Principal Investigator, their telephone & email contact details

Anna Baillie, 0503253B@student.gla.ac.uk