



D5.2: Data Management Plan

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| ABSTRACT: | The report constitutes a first version of the Data Management Plan (DMP) for the Horizon Europe funded project POIESIS. It outlines the procedures for research data management (RDM) including data collection, data sharing and data storage. It moreover describes responsible practices for RDM that are in accordance with open science practices, including the FAIR data principles. The DMP will be updated on a regular basis throughout the project. |
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1 Introduction

The current report establishes a first version of the Data Management Plan (DMP) for the Horizon Europe funded project POIESIS (Probing the Impact of Integrity and Integration on Societal Trust in Science, 2022-2025). Overall, the DMP follows the Horizon Europe Data Management Plan template (EU Commission 2021) in alignment with exiting European and national legislation within the area and institutional policies, e.g. the “AU regulations for storing and managing research data” (2022). In agreement with the Horizon Europe Grant Agreement, the POIESIS DMP will be regularly re-visited and updated if needed to reflect potential changes concerning the research data.

The DMP outlines the workflow of POIESIS’ research data throughout the data lifecycle, i.e. planning → collecting/producing → work/analysing → publishing/sharing → storing → potential reuse of data (AU 2022a). The document describes the procedures for research data management (RDM) including data collection, data processing, data sharing and data storage, among other issues, for each work package. Furthermore, it outlines responsible and effective practices for RDM that are in accordance with open science practices, including the FAIR data principles (Findable, Accessible, Interoperable, Reusable) to ensure that data are being released as ‘open as possible and as closed as necessary’ in terms of GDPR and ethical considerations.

1.1 The POIESIS Project

The main research objective of POIESIS is to understand how, and to what extent, societal trust in science, research, and innovation is affected by the aligning of research practices with principles of research integrity and by the integration of citizens and societal stakeholders in different phases of the research cycle.

In a context where societal dependence on sound scientific research and responsible innovation has become increasingly visible, concerns about public trust and mistrust in science have simultaneously been mounting, and the cultural authority of science, research, and innovation – the confidence and trust that citizens and societal actors place in science, research, and innovation – is of crucial importance.

The project aims to understand how institutions, particularly RPOs and RFOs, can foster research practices that are, in turn, conducive to enhancing public trust in science. A key aim is to develop evidence-based recommendations for tackling societal mistrust and for strengthening the societal co-creation of research; ultimately contributing in the long-term perspective to increased public trust in science and increased alignment of research with societal needs, expectations, and values. POIESIS will actively engage with seven types of stakeholders: 1) mediating actors, 2) researchers, 3) research leaders and managers in research performing organisations (RPOs), 4) research integrity officers, 5) R&I policy makers, 6) research funding organisations (RFOs), and 7) the general public. We will focus on co-creating with these stakeholders concrete recommendations for tackling societal mistrust in science and for strengthening the co-creation of R&I contents by society, using stakeholder networks also to catalyse dissemination and uptake of project results (reproduced from POIESIS Grant Agreement 2022, p. 96-97).

2 Data Summery

The following section outlines the type, purpose, and provenance of the data generated or re-used in the multiple empirical studies conducted throughout the lifespan of the project. Work packages 1-4 require handling of different types of data. Separate research protocols detailing the objectives, methodologies and the nature of data sources utilized have or will be produced and submitted in the beginning of the project (please see indication of submission month in the list below). This concerns the following deliverables:

- D1.1 Protocol for stock-taking and synthesis (M3)
- D2.1 Protocol for the empirical case studies (M3)
- D3.1 Protocol for the participatory research actions (M6)
- D4.1 Recruitment and engagement strategy (M4)

Research protocols covering studies conducted in WP 2 and 3 will be submitted for ethical review in the respective studies' leading institutions. All deliverables in the project, including the stipulated research protocols, will be made public and also made easily accessible at the project's website¹ and at the project's Zenodo repository. The Zenodo open repository was developed as part of the European OpenAIRE program and is run by CERN.

2.1 Summary of WP Objectives and Data Collection Purposes

A main objective of the extensive empirical programme in POIESIS is to develop and co-produce a vast set of evidence-based recommendations for addressing, handling and reducing societal mistrust, with a view to support long-term and sustainable science and society relations building on public trust and fostering research which are increasingly aligned with societal needs, benefits and expectations and responsive and anticipatory towards societal and governmental transformations.

¹ <https://poiesis-project.eu/>

The following sets of recommendations will be developed and produced as main outputs of the project:

- i. A set of policy-oriented visualisations and recommendations based on a comparative cross-national and multidimensional survey dataset on trust in science in general, and within specific research contexts such as climate and Covid-19. Moreover, the recommendations will be based on three expert workshops concerning expert discussions on a) surveying public attitudes on science in Europe and beyond b) trust as a general concept and trust in science c) robustness on POIESIS analyses on trust.
- ii. A set of policy recommendations on how to cultivate chains of mediation to foster citizen trust in science.
- iii. A set of policy recommendations about the ways in which institutions can help create fertile conditions for responsible research practices, and how these, in turn, affect citizen trust through chains of mediation.
- iv. A set of recommendations for a non-expert audience to provide evidence-based policy advice to help readers make informed decisions in regard to societal mistrust in science.

The specific WP objectives are summarised in table 1.

| Table 1. WP Objectives and data collection purposes | | |
|---|---------------------------------------|---|
| WP | WP name lead | WP objectives |
| WP 1 | Stock-taking and synthesis WiD | To curate, (re-)analyse, and synthesise secondary data on citizen trust in science, responsible research practices, citizen co-creation, and institutional efforts to support integrity and integration, and to make data, analyses, and recommendations available to the other WPs and stakeholders. |
| WP 2 | Empirical case studies ISCTE | To conduct a series of empirical case studies based on consultative and deliberative actions to examine how practices of integrity and integration affect public trust in science with a focus on the chains of mediation between science and citizens, and to share results and recommendations. |
| WP 3 | Participatory research actions CNRS | To carry out participatory research activities involving three types of stakeholders to co-construct knowledge and policy recommendations about the ways in which institutions can help create fertile conditions for responsible research practices. |

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| WP 4 | Co-creation, communication and exploitation NTUA | To develop and implement a robust and ambitious plan for recruiting and engaging core stakeholders to become involved in POIESIS research activities, and for widely disseminating and communicating POIESIS activities, findings, and outputs to optimize uptake and exploitation of POIESIS recommendations and to contribute to the sustainability of POIESIS outcomes. |
| WP 5 | Coordination and management AU | To undertake efficient technical coordination and management of the project, to establish appropriate internal communication and project management structures to ensure cross-fertilisation and horizontal integration of research activities and results. |

2.2 Types of Data Collected or Re-used

Table 2 summarizes the type of data that will be collected in the project. Data includes both quantitative and qualitative data sources and data collection methods. Detailed information about the methods applied and data used/collected are reported in the specific WP protocols. The secondary data collected as part of WP 1 entails anonymised data and no personal data from data subjects will be processed. This type of data does therefore not fall within the provisions of the general data protection regulation (GDPR). The data and metadata prepared for the consolidated data set for responsible practices and trust in science will be in compliance with the standards of the OpenAIRE guidelines (<https://guidelines.openaire.eu/en/latest/>) and in accordance with the FAIR data principles.

The consolidated data set will be made openly available through Zenodo. In addition to its internal utility and it constituting a vast knowledge base which will inform the research objectives and research processes within POIESIS, external researchers and/or stakeholders might be able to utilize the data for the performance of secondary analysis. Hence, the comprehensive nature of the data set is likely to be of high relevance for primarily researchers working within the field. Users will be able to access the data set in the non-restrictive csv format.

No sensitive personal data will be collected by intent nor will it be processed during the research process. General personal data (non-sensitive personal data) will be obtained as part of the qualitative studies (e.g. focus group studies and expert interviews) and the various workshops

conducted (e.g. expert workshops and deliberative workshops). Due to the use of personal data, the POIESIS coordinators will register the project at Aarhus University's internal record. The legal basis for collecting personal data will be ensured through proper informed consent procedures and through collaboration agreements (please see section 4).

The qualitative data collected will be pseudonymised and all directly identifying information will be removed. Only national project partners collecting data (interviews and workshops) will be able to identify interviewees or workshop participants in their national studies. Data analyses shared between partners and reported publicly will not include any type of identifying information but will only include an overview of participants/interviewees according to key sample- and background criteria.

In accordance with this approach, recordings and transcriptions of interviews and workshops will be processed separately by each national project partner, processed through qualitative analysis software like MXQDA or NVivo software and safely stored through approved institutional facilities. Translation software might be applied (e.g. DeepL, Microsoft streams or NVivo facilities). Transcriptions will be produced through Microsoft office software.

Table 2. WP types of data collected and re-used

| WP | WP name lead | Data collection/data types/data size |
|------|----------------------------------|--|
| WP 1 | Stock-taking and synthesis WiD | <ul style="list-style-type: none"> Existing secondary and quantitative data on representative citizen's public opinion data and representative researchers' survey data will be documented. Data sources will include Eurobarometer surveys, national science surveys and multinational surveys (e.g. Pew, Welcome Global Monitor, Edelman, WVS, ESS and EVS). Anonymised data sets in aggregated formats will be collected from publicly available surveys primarily. Database collection of national partner high-attention cases concerning research misconduct and/or QRPs. Scoping review of additional studies and/or publications on the relations between research integrity perceptions, societal integration and trust in science, either in general or concerning the topical cases of Covid-19 or climate science |

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|------|--|--|
| | | <ul style="list-style-type: none"> 3 expert workshops with a total of approx. 35 experts. General/ordinary personal data will be obtained. |
| WP 2 | Empirical case studies ISCTE | <ul style="list-style-type: none"> 7 Public deliberation workshops across POIESIS partner countries involving approx. 280 participants from the general public. General/ordinary personal data will be obtained during the recruitment processes and through a small pre-deliberative survey in each workshop. 16 Expert interviews per partner country will be conducted (amounting to a total of 112 online or on-site single interviews). General/ordinary personal data will be obtained. A survey experiment with approx. 450 participants per country (3150 participants in all.) |
| WP 3 | Participatory research actions CNRS | <ul style="list-style-type: none"> 21 focus groups with institutional stakeholders will be conducted (amounting to 3 FGs in each partner country). 7 open deliberative roundtable workshops (1 in each partner country) involving approx. 20 participants in each workshop. |
| WP 4 | Co-creation, communication and exploitation NTUA | <ul style="list-style-type: none"> A European-level scenario workshop including 10-15 stakeholders from national-level activities and 10-15 policy actors at the international level. |
| WP 5 | Coordination and management AU | <ul style="list-style-type: none"> No data collection foreseen |

2.3 Provenance of the Data

The majority of studies undertaken in the project involve the collection of new data rather than exiting data. Table 3 provides an overview of the data provenance.

| Table 3. Data Provenance per WP | | |
|---------------------------------|---------------------------------------|---|
| WP | WP name lead | Data sources |
| WP 1 | Stock-taking and synthesis WiD | Survey data Peer reviewed and grey literature from bibliographic databases/desk top research Expert workshop recordings |
| WP 2 | Empirical case studies ISCTE | Deliberative workshop recordings Expert interviews recordings Survey experiment data |
| WP 3 | Participatory research actions CNRS | Focus group interview recordings |

| | | |
|------|--|--|
| | | Open deliberative workshops recordings |
| WP 4 | Co-creation, communication and exploitation NTUA | Scenario workshop recordings |
| WP 5 | Coordination and management AU | No data collection foreseen |

3 Fair Data

The POIESIS project is committed to the FAIR data foundational principles of the Findability, Accessibility, Interoperability, and Reusability of data in order to promote a more transparent and responsible management and stewardship of data to increase the likelihood of data discovery and re-use (Wilkinson et al. 2016; AU Library 2022; Jones and Grootveld 2017). The following sections detail how the principles are operationalised, adapted and applied to the context of POIESIS.

3.1 Qualitative Data

Most of the primary data collected in the POIESIS project is of qualitative nature, in particular this pertains to the data collected through expert workshops (WP1), deliberative workshops and expert interviews (WP2), focus group interviews and open deliberative workshops (WP3) and the scenario workshop (WP4). As described in table 3, this data will consist of recordings of the events during which the data is collected.

In line with traditions in the fields of social sciences and humanities, it is acknowledged that re-use of these data sources is complex and requires extensive data care. Among other reasons, this results from the tension between providing sufficient contextual information and metadata to allow data to meaningfully travel to different contexts on the one hand, and securing privacy and anonymity of data subjects on the other. To support potential re-use of data in a responsible way, within the limitations of ethical and GDPR constraints, the POIESIS project will adhere to the following principles:

- Detailed reports of the events will be made available through the Zenodo Repository.
- This will be accompanied by the relevant metadata describing the background, rationale and set-up of the events, and all other metadata needed to meaningfully understand and trace the data's provenance. These metadata will also include keywords created with the specific aim to enhance findability of the data through database searches.
- All reports will be given a unique persistent identifier in the form of a DOI.
- We will make our data available under a CC-BY license

- Where relevant, the metadata of the data reports will include references and links to other data reports generated within the project to enhance interoperability and collective use of the diverse POIESIS data.
- All reports will be made available in standard formats (e.g. .doc, .docx, or pdf) hence not requiring specialist software to be read.
- All data will be made available as soon as it is ready and quality-assured through the project's internal review mechanisms (see D5.1 'Research Integrity and Quality Assurance Plan' for details).

3.2 Quantitative Survey Data

In addition, POIESIS will gather primary quantitative data through its survey experiment and use of a brief pre- and post-survey as part of the deliberative workshops in WP2. Data from this empirical study will be made available in a FAIR manner through the following means:

- All anonymised data will be available through the project's folder on the Zenodo repository
- All data packages will be given unique persistent identifiers through the assignment of unique DOIs. This is facilitated by the Zenodo repository.
- Consistent naming conventions will be followed to aid the discoverability of data packages and related documentations.
- Following conventions of the Data Documentation Initiative (Betancort Cabrera, et al., 2020), metadata to describe the data packages will be provided. These metadata will include the following elements: Principal Investigator, Funding, Bibliographic Citation, Summary, Subject Terms, Geographic Coverage, Time Period, Date of Collection, Unit of Observation, Universe [i.e. Population], Data Type, Sampling, Weights, Mode of Collection, Response Rates, Extent of Processing and Anonymisation, and Restrictions.
- Data packages will be made accessible through open source software by providing data in .txt or .csv formats. Documentation will similarly be made accessible through open source software by uploading it in .txt or .pdf-format.
- Data and documentation will be available under a CC0-license.

- All data will be made available as soon as it is ready and quality-assured through the project's internal review mechanisms (see D5.1 'Research Integrity and Quality Assurance Plan' for details).
- Where relevant, the metadata of the data reports will include references and links to other data reports generated within the project to enhance interoperability and collective use of the diverse POIESIS data.

4 Data Security

Each POIESIS partner is individually responsible for complying with the European Data Protection Regulation (GDPR²) when processing personal data³ as part of the data collection processes carried out within the project. The empirical work packages 1-4 all entail close collaboration among all or some partners in terms of data processing and data protection measures and for a majority of the studies conducted, all project partners will share the duties of being data controllers (Please see 4.1).

4.1 Data Processing and Data Sharing

Three different roles exist in regard to the processing of personal data and the associated data protection responsibilities requested. The three different roles are specified in Table 4. A clarification of roles determines the type of legal agreements that will have to be devised at the study level of the project. Hence, data roles and data agreements are decided at the study level rather than a project or WP-level and will be clearly specified prior to the commencement of the single studies.

Table 4. Data Protection Roles

| Roles | Description |
|---------------------------------|---|
| Role 1: Data controller | A data controller is a natural or legal person, public authority, agency or any other body which alone or jointly with other parties determines for which purpose and by which means data may be processed. In other words, the person or entity which determines the purposes for which and the means by which personal data is to be processed is the data controller. |
| Role 2: Joint controller | Where two or more data controllers jointly determine the means and purposes of personal data processing, they are defined as joint controllers. Note that a joint data processing arrangement must be concluded between the joint controllers. |
| Role 3: Data processor | A data processor is a natural or legal person, public authority, agency or other body which processes personal data on behalf of the data controller (i.e. as instructed by the data controller and without an independent research purpose). In other words, the person or entity that processes data on behalf |

² <https://gdpr-info.eu/>

³ The processing of pseudonymised personal data are also considered processing of personal data.

of someone else is the data processor. This is despite the fact that the data is processed for the other party's purposes and under their instruction.

Source: AU, 2022b. Data Controller or Data Processor

The studies in POIESIS are of a very collaborative nature to the extent that four out of seven studies collect, process and analyse data in all of the seven partner countries. For the remaining studies, data processing responsibilities are similarly shared among two different partner institutions. Table 5 specifies partners' roles in the processing of personal data for each of the seven studies in the project that are covered by the data protection legislation. The data roles for the studies fall within the category of 'joint controllers' as the research collaboration entails a shared determination of all or some of the purposes and 'means of the processing operation' (European Union, 2020; AU, 2022b).

An internal 'Joint Data Controller Agreement' among partners within the single study will be developed prior to the study, describing the joint responsibilities in terms of the data (i.e. who does what in terms of the data) and detailing information about data processing (i.e. data collection, storage, deletion etc.). The internal agreement also outlines the overall legal basis for personal data processing with a main aim to secure the best possible data protection of the involved data subjects, for instance regarding data processing being 'fair', 'bound to specific purposes', 'include only needed and accurate data', 'not be kept longer than necessary' and 'remain secured' (European Union, 2020, p. 4). For the studies with multiple data controllers, partners need to clarify whether any personal data will be shared with other project partners. If this is the case, an additional internal agreement concerning transfer of data, a 'Transfer of Data Agreement', will have to be devised as a supplement to the joint data controller agreement. AU provides standard templates that can be adapted and used by project partners.

Table 5. Partner Roles in Personal Data Processing

| WP data agreement responsible | Study | Participating partners involved in data processing | Role in data processing |
|---------------------------------------|------------------|---|---|
| WP 1 WiD | Expert workshops | LSE | WiD and LSE are shared data controllers |

| | | | |
|-------------------------|--|--------------|--|
| WP 2 ISCTE | Deliberative workshops in 7 partner countries | All partners | All partners are shared data controllers |
| WP 2 CSIC | Expert interviews in 7 partner countries | All partners | All partners are shared data controllers |
| WP 2 AU | Survey experiment | ISCTE | AU and ISCTE are shared data controllers |
| WP3 CNRS | Focus group interviews in 7 partner countries | All partners | All partners are shared data controllers |
| WP3 CSIC | Open deliberative workshops in 7 partner countries | All partners | All partners are shared data controllers |
| WP4 NTUA | Scenario workshop | AU | NTUA and AU are shared data controllers |

In addition to the internal agreements among project partners, partners have an *external* obligation and information duty to transparently inform participants through a data information sheet⁴ about the type and purpose of the information collected and processed, about their rights as data subjects and the provision of information regarding the data processing responsible(s). The applied legal basis for processing personal data will also have to be specified prior to the studies. Several lawful bases exist and may vary across countries. At AU, either the ‘scientific researcher purposes’ or ‘valid consent to data processing’ can be used (AU 2022c, ‘Legal Basis and Information Duty’; European Union, 2020, p. 11.). Institutional DPOs will be consulted in the process of devising the accurate data protection documents.

No particular measures need to be implemented due to the status of LSE partner as an associated partner. Transfer of personal data will take place according to the rules specified in the General Data Protection Regulation, including the provisions in Chapter 5 regarding ‘Transfers of personal data to third countries or international organisations’. Furthermore, transfer of personal data to LSE will be

⁴ Potential templates for informing data subjects can be found at AU:
<https://medarbejdere.au.dk/en/informationsecurity/data-protection/for-scientific-staff/legal-basis-and-information-duty>

based on the adequacy decision of 28.6.2021, cf. Article 45 of the General Data Protection Regulation from the European Commission or another legal basis in place at the time of the data transfer.

4.2 Data Storage

Each project partner is responsible for the secure storage of the personal data obtained in relation to the data collected by the partner institution in question. As mentioned in section 2.2., qualitative data such as interview and workshop recordings will be internally processed by the project partners collecting the particular data, and all directly identifying personal information will not be shared with the remaining partners. Each partner is responsible for storing recordings, transcriptions, participant information etc. in trusted repositories provided and advised by the partner institution involved. At Aarhus University, a secure system folder has been set up with granted access for AU project members only. The system allows for back-up copies of data.

For knowledge- and document sharing, project collaboration and managing research outputs, the collaboration platform SharePoint will be used as a secure web-based solution that only grants access rights to invited project users. Within SharePoint, one can furthermore create knowledge sharing options for a sub-set of project members. Two-factor authentication is applied for both AU internal and external users. SharePoint provides automatically and secure back-up and also saves deleted documents for 90 days (AU, 2022d, 'Data Storage Solutions'). In the case of internal data breaches and unauthorised access to data, the POIESIS SharePoint platform can temporarily, if needed, act as a host for the personal data removed from the repository at risk. Participants affected by the data breach will be informed and the institutional Data Protection Officer (DPO) and the European Data Protection Supervisor (EDPS) will be consulted (European Union 2020). The use of SharePoint does not preclude the issuing of data sharing agreements. In case of unforeseen data transfer, new measures will be taken to ensure that the proper agreements are in place.

Aarhus University policy stipulates that 'in accordance with the Policy for research integrity, freedom of research and responsible conduct of research at Aarhus University, research data must be stored for a period of at least five years' (AU 2022e, 'Storing Personal Data'). This is often interpreted as a five year storage of data (of for example interview recordings and transcriptions) after the last

publication. Each partner will adhere to this general guideline and make sure, appropriate and trusted repositories are established for long-term preservation.

Most partner institutions have appointed a DPO who can advise and guide on data management issues, compliance with existing international, national and institutional data legislation and policies as well as act as a contact point to national data protection agencies. It is the responsibility of each project partner to ensure compliance with GDPR during and post the project period and that required measures and provisions are in place to secure the personal data in accordance with current regulations and policies in place.

5 Ethics

WP and task leaders of WP 2 and 3 are responsible for submitting the respective studies within the WPs for ethical assessments at their institutional research ethics committee. Procedures and standards for adhering to the highest standards of a responsible conduct of research (RCR) will be detailed in the separate research protocols, also encompassing related procedures and approaches for participant selection and recruitment. Furthermore, WP4 acts as a dedicated WP, establishing the Permanent Recruitment and Engagement Working Group, to facilitate cross-cutting development and oversight for assisting with recruiting and engaging the vast and diverse set of stakeholders in the best possible ways and in accordance with existing ethical standards.

In the recruitment process, participants will be informed about the prevailing institutional privacy policy. Procedures and measures for safeguarding informed consent and voluntariness and protect privacy and confidentiality are included in each research protocol. Potential risks and inconveniences for participants as both research subjects and data subjects (i.e. as a consequence of data processing) will also be assessed in the respective research protocols.

Research ethics and integrity issues pertaining to the project in general are also addressed in the POIESIS deliverable 'D5.1. Research Integrity and Quality Assurance Plan'.

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