

Data Management Plan

Project title: Assessing the potential for civil organisations within regions affected by criminal violence to hold state institutions to human rights-based development

ASSESSMENT OF EXISTING DATA

Provide an explanation of the existing data sources that will be used by the research project, with references

1. In WP2 we will make use of some publicly-available survey data, including:

- [Census-related data](#) available for sub-regions, accesible via Instituto Nacional de Geografia y Estadistica's (INEGI) website
- [Justice in Mexico](#) factsheets about "Drug Trafficking and Violence in Mexico" and "Kidnapping in Mexico", also accessible via website

2. We will also make use of the data, especially fieldnotes, collected by Burgos, Ernst, Guerra, Maldonado and Stack during previous research in the sub-regions on related topics, for example on criminal organisations, to the extent that this is consistent with the consent given by research subjects.

Provide an analysis of the gaps identified between the currently available and required data for the research

The publicly-available survey data will only be useful for identifying particular development issues in WP2. The field data collected previously by project members will be more useful, especially if we are returning to the same sub-regions. However, the focus of the research is very different to our previous fieldwork, and we will need extensive new fieldwork to answer the project questions. In addition, the re-usability of the field data will need to be assessed in WP1 for levels of consent.

INFORMATION ON NEW DATA

Provide information on the data that will be produced or accessed by the research project

The principal data will be interviews conducted by researchers with members of civil organizations. The interviews will be semi-structured, following a guide elaborated in WP1. We estimate a minimum of 20 interviews per sub-region, totalling 140, but it is hard to predict and the number may be larger.

Researchers may audio-record interviews, if appropriate and given consent, and these will be transcribed by the Mexico-based Masters-level RA, following protocol, and checked by the researcher who will add the necessary metadata, at which point they will be deleted for reasons of anonymity. If audio recording is not possible, we will take notes and type them up as text documents as soon as possible after the interview.

In addition, researchers will take field notes on meetings and other events, mainly of those civil organizations.

The data will mainly take the form of text documents, which will not take up much space, and storage has been costed at only £500 by the University of Aberdeen. The documents will be organized with Nvivo, to which all the partner institutions have site licenses. If the field or interview notes are taken on tablets, the data will be transferred in the first instance to the server at El Colegio de Michoacan by cable connection (to avoid use of insecure devices like pen-drives). Secure FTP will then be used weekly to make a back-up copy on the University of Aberdeen's server. The reduced data, processed on Nvivo, will be stored on the same servers.

We are already in correspondence with UKDS (Libby Bishop) about data sharing. It is expected that some or all interviews will be re-usable, although we would likely select "Depositor permission only" on the ESRC self-archiving system ReShare, because of the sensitive nature of the data. At the end of the project, the re-usable data will be converted to standard formats before submitting to Re-Share. UKDS has confirmed that field notes are not usually shared, and are unlikely to be in this case.

QUALITY ASSURANCE OF DATA

Describe the procedures for quality assurance that will be carried out on the data collected at the time of data collection, data entry, digitisation and data checking.

In WP1 the PIs and Co-Is will be responsible for finalizing a protocol for data collection and entry, and training the research assistants in this. They will subsequently be responsibility for monitoring the quality of field notes and interview data of the research assistants based at their institutions.

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The same will apply to the transcription of audio recordings, which will follow a standard format agreed in WP1, and to the capturing of text files in Nvivo during WP2-4, as well as to the deletion of all non-anonymized data, including audio recordings, by the agreed date.

BACKUP AND SECURITY OF DATA

Please describe the data back-up procedures that you will adopt to ensure the data and metadata are securely stored during the lifetime of the project.

Where possible, the data and metadata will be entered directly onto the Mexican institutes' servers, which are backed up every night. If field or interview notes are taken on a tablet or similar device, they will be transferred to the server within 48 hours, or as soon as possible. Every week, the data will be copied onto the University of Aberdeen server, which is similarly backed up.

Because the data may include sensitive personal data, and due to the risks outlined in the Human Participation Letter, data encryption will be used for transferring data between institutions, and this will be reviewed in WP1, as well the means of deleting data. The University of Aberdeen's IT Services will advise on this.

Version control will be the joint responsibility of the Mexican and UK PIs, and a strategy will be agreed in WP1, especially with respect to the Nvivo database.

MANAGEMENT AND CURATION OF DATA

Outline your plans for management and curation of primary or third party data

Transcription of audio-recorded interviews will be conducted using a "denaturalized" approach, according to criteria agreed in WP1 by technical assistants. Due to the sensitive, personal nature of the interviews, the assistants will be required to sign a non-disclosure agreement. The assistants will also be responsible for anonymizing the transcripts, as well as interview notes, although this will be checked by the researchers. UKDS advise that anonymizing at the point of transcription is the most economical approach.

With a view to ensuring that the data is usable by others, as far as possible given the issues identified in the Human Participation Letter, the project team will agree in WP1 on a precise protocol for data description, annotation and contextual information, including study-level (e.g. methodologies), data-level (e.g. interview details) and catalogue metadata. The UK and Mexican PIs will have oversight of this process, and will continue to consult with UKDS about this.

Nvivo will be used to organise the data. All researchers already have licenses. The institutes are able to provide training for any research assistants who have not used the software.

As part of WP10, costs have been included, including research assistance and investigator time, for converting the data to a suitable format for submission to UKDS, and ensuring that suitable metadata have been provided. In November-December 2018, the Aberdeen-based RA will either translate or write summaries in English of the interviews deemed appropriate to submit to UKDS.

DIFFICULTIES IN DATA SHARING AND MEASURES TO OVERCOME THESE

If you expect obstacles to sharing your data, explain which and the possible measures you can apply to overcome these.

Although the project team are committed to data sharing where possible, there are issues with data sensitivity, as explained in the Ethics statement of the Case for Support, and in the Human Participation Letter. Field notes are unlikely to be suitable for sharing, but it is hoped that some interviews will be deemed shareable, once fully anonymized. It will, however, be essential to finalize a protocol in WP1 to mitigate these risks and share as much data as possible, although this will be subject to review throughout the project. The protocol will address:

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1. Whether any changes are necessary with regard to consent for data sharing to the Participant Information Sheet and Consent Form (which have already been reviewed by UoA's REC),
2. The precise procedures for anonymizing the data, and erasing all non-anonymized data such as audio recordings, including techniques and quality control.
3. What access restrictions after the lifetime of the project will be appropriate. The UK PI has already been in correspondence with the UK Data Service (Libby Bishop) about what data would be appropriate to submit, and with what access restrictions, as detailed above.

CONSENT, ANONYMISATION AND STRATEGIES TO ENABLE FURTHER RE-USE OF DATA

Make explicit mention of the planned procedures to handle consent for data sharing for data obtained from human participants, and/or how to anonymise data, to make sure that data can be made available and accessible for future scientific research.

As explained in the Human Participation Letter, researchers will seek fully-informed consent from interviewees, and will give interviewees every opportunity to withdraw their consent at a later date. Interviewees will be advised, though, of the final date at which they could withdraw. This consent will be written. The Consent Form and Information Sheet are not permitted attachments to this application, but have already been reviewed by UoA's REC.

An initial stage of anonymization will take place at the moment of transcription or data entry by the Masters-level Mexico-based RA, creating an anonymization log, but the researchers will be responsible for checking the anonymization, while the PI or Co-I of that institution will have final responsibility for ensuring the consistency of anonymization.

Any data that cannot be anonymized, such as audio recordings, will be deleted by a secure method, and all data will be transferred by secure encryption, as detailed above.

The REC of the College of Arts and Social Sciences at the University of Aberdeen will review the ethical elements of data management in the project at the end of WP5 and again at the end of WP10. Any changes to ethical procedures, including consent, will need to be approved by them.

COPYRIGHT AND INTELLECTUAL PROPERTY OWNERSHIP

Please state who will own the copyright and IPR of any new data that you will generate.

IP rights will remain with the generating party but a royalty-free cross licence will be granted for academic, non-commercial purposes.

RESPONSIBILITIES

Outline responsibilities for data management within research teams at all partner institutions

Coordination: Trevor Stack and Salvador Maldonado (PIs)

With regard to specific tasks:

WP1: Maldonado - securing agreement on protocols for data collection and management

WP2-4: PIs and Co-Is will be responsible for data quality, metadata production and archiving at their own institutions; Stack will be responsible for backing up data to UoA

WP5: Maldonado - integrity of data during data analysis

WP10: Stack - overseeing submission of data to UKDS