



Deliverable D1.2 – Data Management Plan

OPENing UP new methods, indicators and tools for peer review, impact measurement and dissemination of research results

Project acronym: OpenUP

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25/11/2016	1.0	Final version integrated by Viltė Banelytė (PPMI)

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Abbreviations

DMP – Data Management Plan

DoW – Description of Work

EC – European Commission

PPMI – Public Policy and Management Institute

UoA – University of Athens

WP – Work Package

Summary

This document provides the description of what data OpenUP project will generate, how it will be stored and managed and how it will be preserved after the end of the project. PPMI prepared this document as the main partner leading task 1.4 with inputs from other consortium partners and with a review from UoA. This Data Management Plan complies with H2020 requirements¹ and is based on the DMP template² provided by the e-Infrastructures Austria project. The plan will be updated whenever changes to the project are made due to inclusion of new data sets, changes in consortium policies or other external factors.

¹https://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-data-mgt_en.pdf

² https://phaidra.univie.ac.at/detail_object/o:407973

1. Explanatory Remarks

For creating a common ground of understanding, in the current deliverable we use the following definition of dataset:

A dataset is any set of data (no matter how many files it materialises) that is worth to be considered as a unit for data management activities³

Any of the following can be considered as a possible dataset in the context of a project:

- Any dataset produced by aggregating data from data providers for analysing it;
- Any dataset produced by aggregating data from data providers for building an integrated dataset out of the aggregated data (e.g. this is the case of Knowledge Bases);
- The material of a training course;
- A dataset documenting and providing evidence for either a report or a publication produced in the context of project activities.

In the case of OpenUP we have identified three main categories of datasets:

Core Datasets, i.e., datasets related to the main project activities (review-assess-disseminate) and worth to be used by the project. These datasets pre-exist OpenUP and are publicly available;

Produced Datasets, datasets resulting from the operation and evaluation of OpenUP's use cases and pilot applications. These may include but are not limited to data collected through questionnaires, workshops, interviews, and desktop research.

Project Related Data, i.e., datasets resulting from the operation of the OpenUP project and produced by the OpenUP consortium. These datasets are collections of standard material produced by a research project, e.g. deliverables, dissemination material, training material, scientific publications.

2. Data Collection

Data Collection	<ul style="list-style-type: none"> • Data collection activities will be carried out in WP3, WP4, WP5, WP6 and WP7. Main data collection methods include survey, interviews, workshops, focus groups, crowd-sourcing, and web mining. Main data that the consortium will generate include opinions, attitudes and practices of researchers regarding open peer review, alternative dissemination and altmetrics. • The raw data collected from surveys will be stored in a suitable format (e.g. Excel files, ODS or CSV files). • The recorded data from focus groups, workshops and interviews will be stored as recordings in a suitable format (MP3, OGG or WMA format) on the internal servers of the task leading organisations. If focus groups, workshops and interviews are not recorded, the written summaries will be saved in a suitable format (Word documents, text files). The data from crowd-sourcing will be stored in Google Spreadsheets that anyone with the link can access. • Files will be converted to open file formats where possible for long term storage and in these cases the researchers will anonymise the data.
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³ Renear, A.H., Sacchi, S. and Wickett, K.M. (2010) Definitions of dataset in the scientific and technical literature. Proceedings of the American Society for Information Science and Technology, 47(1): 1–4. DOI: [10.1002/meet.14504701240](https://doi.org/10.1002/meet.14504701240)

3. Data storage, selection and preservation and data sharing

Data Storage	<ul style="list-style-type: none"> The raw data collected from the survey will be stored in a suitable format (e.g. Excel files, ODS or CSV files). The documents will be saved on the internal institutional server of the task leader (PPMI). The server is protected by passwords known only to the researchers working on OpenUP project. Unauthorised users will not be able to access the data. The documents available on the server are backed up regularly. Once processed and anonymised, the data will be published on an online repository (eg. Zenodo) and will be available for the use by third parties. The recorded data from focus groups, workshops and interviews will be stored as recordings in a suitable format (MP3, OGG or WMA format) on the internal servers of the task leading organisations. If focus groups, workshops and interviews are not recorded, the written summaries will be saved in a suitable format (Word documents, text files) and will be also stored on the internal servers of the responsible institution. The data will be backed up regularly. The servers are password protected and only researchers working on the project will be able to access the files. The written summaries will be anonymised and will also be made available on the online repository for third parties' use. The data from crowd-sourcing will be stored in Google Spreadsheets that anyone with the link can access. Participants can enter data in the spreadsheet either anonymously or by identifying themselves. All the collected data, apart from the crowd-sourced data, will be anonymised. The information provided will be analysed and presented in project reports grouped together and will not be used individually.
Data storage	<ul style="list-style-type: none"> The Raw data will be stored on the institutional servers of the organisations that have generated them. The data will be stored for two years after the end of the project. After that, the data will be destroyed. The anonymised data will be stored in an online repository (e.g. Zenodo).
Data Sharing	<ul style="list-style-type: none"> The raw data will only be accessed by researchers that collected the data. The anonymised summaries of interviews and workshops or survey results will be made accessible to other partners as well as third parties.

4. Documentation and Metadata

The following table outlines an example structure of the metadata that project partners will include to describe their data.

Project and GA number	OpenUP 710722
Data type	Text document/ numerical data/ survey data
Description	Description of the variables and description of the data included
Data state	Processed
Data source	Interview/ workshop/ focus group/ data mining/ survey / crowdsourced data
Media type	The format the data is stored in
Licence or use constraints	Licence (if any)
Size	Size of the file

5. Ethics and Legal Compliance

The OpenUP project will mostly collect data on opinions, attitudes and practices related to open peer review, innovative dissemination and novel impact assessments methods used by the researchers. The consortium will also collect some personal data (such as country, gender, career stage or a researcher). Contact emails and names of researchers will be used when inviting them to participate in the survey, interviews or workshops. Once the data is collected, the researchers will anonymise it and present it in aggregated manner. The procedures for data handling of OpenUP are described in D8.1 data handling procedures document available [here](#). Also, participants of interviews, workshops and survey will be informed about the OpenUP project and the research activities through informed consent procedures that are described in [D8.2](#).

6. Responsibilities and Resources

PPMI is the lead for developing DMP and implementing it together with participation of UoA. PPMI is also responsible to ensure that the plan is reviewed and revised during the project duration. The DMP will be updated whenever important changes to the project occur due to inclusion of new datasets, changes in consortium policies or external factors. All involved partners are responsible for the compliance with the DMP and the procedures for data collection, handling and preservation.

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No additional resources than those already outlined in the budget of OpenUP will be needed for data management and archiving.