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## Plan Overview

*A Data Management Plan created using DMPTool*

**Title:** International Regulatory and Trade Compliance – The Impact on Small Firms

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**Funder:** Digital Curation Centre (dcc.ac.uk)

**Template:** Digital Curation Centre

**Project abstract:**

The general problem to be addressed in this doctoral research project is the absence of any actionable, precise, and scalable international trade and regulatory compliance models leading to organizations failing to expand into critical global markets, resulting in unmet long-term strategic objectives.

**Start date:** 01-01-2022

**End date:** 04-30-2022

**Last modified:** 03-11-2022

**Copyright information:**

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# International Regulatory and Trade Compliance – The Impact on Small Firms

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## Data Collection

### What data will you collect or create?

Data Creation: Data collection instruments consisting of semi-structured interview guides and document/information request lists will be created to facilitate a level of standardization in approach to the data collection activities.

Data Collection: Within the context of the research study, two primary data types along with one secondary data type will be collected and analyzed. Academic and professional research articles and participant interviews represent the primary data types. Concurrently, secondary data will be requested. Secondary data will consist of documents or other evidentiary support for concepts discussed during the interview. Finally, supplemental data to support the reliability and validity of the study via journaling and peer-debriefing exercises.

### How will the data be collected or created?

This study involves participant and researcher interviews and additional confirmatory documentation from a variety of sources. All data will be stored electronically. Sources of data and the expected file types include:

#### Identifiable data sources

- Recorded interviews
  - Audio files (.m4a) – deleted after transcription, review, and de-identification
  - Video files (.mp4) – deleted immediately

#### De-identified data sources

- Transcribed interviews
  - Microsoft Word files (.docx) converted to PDF for sharing and storing
- Data analysis files
  - NVivo files (.rtfd and .npx) exported as Microsoft Excel (.xlsx) and Microsoft Word (.docx) converted to PDF for sharing and storing
- Metadata
  - Microsoft Excel file (.xlsx)

## Documentation and Metadata

### What documentation and metadata will accompany the data?

The research team for this project will provide complete metadata for each dataset to be archived. Metadata files are versioned to reflect updates or corrections to both the data and/or the metadata

#### Research Outputs

- Metadata
  - Text file (.txt)
- Data documentation (e.g., codebook, interview protocol)
  - Microsoft Word files (.docx) converted to PDF for sharing and storing
- Project documentation (e.g., IRB communications and materials, Ithaca S+R project description, local report)
  - Microsoft Word files (.docx) converted to PDF for sharing and storing

## Ethics and Legal Compliance

### How will you manage any ethical issues?

At the request of AgroCo XYZ's legal counsel, throughout this research project, steps will be taken to ensure confidentiality for all participants, regardless of whether or not the participant would be willing to have their identity revealed. All semistructured interviews, member-checking, and other follow-up procedures will only be conducted after explaining these conditions to the participant. The researcher will follow the informed consent and assent protocol which explains why they were invited to participate in the study, who is doing the study, the purpose of the study, where and for how long the study will take place, what participants will be asked to do and their optional participation, possible risks and benefits, and how the privacy of their information will be maintained.

Coded identifiers will be used for audio recordings and all transcriptions and each contributor will be assigned a random number. Pseudonyms will be used in any products resulting from this research such as written reports and publications to protect the anonymity of interview participants. All identifying information will be kept in a password-protected master sheet on a separate external hard drive from the one containing the audio recordings (from semi-structured interviews, oral histories, and focus groups), interview transcripts, surveys, and observational field notes. The master sheet will be used to link the name of the participant to the number that corresponds with their audio recording, transcript, survey, or observation from field notes.

### How will you manage copyright and Intellectual Property Rights (IP/IPR) issues?

Copyright and Intellectual Property Rights (IP/IPR) concerns will be managed by adhering to copyright guidance published by Liberty University (McGinniss, 2021).

## Storage and Backup

### How will the data be stored and backed up during the research?

All project materials will be stored in Microsoft OneDrive, an encrypted and password-protected cloud storage solution that is approved by both Liberty University and

AgroCo XYZ. Research project materials will be synchronized to the principal investigator's encrypted hard drive for local processing. Only the principal investigator will have access to the storage that contains all the project materials.

#### **How will you manage access and security?**

Endpoint security applications and features are installed on all laptops used for data collection to reduce the risk and possibility that the system will be compromised by malicious threats. All internal and external electronic connectivity will use secure protocols such as but not limited to SFTP, HTTPS, SMTPv3 when transferring or moving digital content from one platform to another.

## **Selection and Preservation**

#### **Which data are of long-term value and should be retained, shared, and/or preserved?**

Question not answered.

#### **What is the long-term preservation plan for the dataset?**

Video files (.mp4) and audio files (.m4a) will be deleted after they have been transcribed, reviewed, and de-identified. Identifiable data, identifiable metadata, and identifiable project records will be deleted at the completion of the project. De-identified data, metadata, and project records will be retained for a minimum of three years after the close of the project and then reappraised for enduring value (such as ongoing or planned research connected with this project). If a longer retention period is warranted, plans for long-term storage and access will be identified.

De-identified data, metadata, and project documentation will be stored jointly in Liberty University's and AgroCo XYZ's OneDrive services after the project is completed. The final dissertation along with supplementary project documentation will be maintained in Liberty University's Scholars Crossing repository in perpetuity.

## **Data Sharing**

#### **How will you share the data?**

The research team does not plan to make the data (e.g., de-identified interview transcripts) publicly available. The case study's focused scope creates a population with a re-identification risk. The codebook, semi-structured interview guides, and other associated documentation for the data and analysis necessary to replicate this study will be included as appendices to the final local report, which will be published in Liberty University's institutional repository service, Scholars Crossing, and indexed in [EBSCO Open Dissertations](#). The expectation is to also publish the work in [ProQuest Dissertations & Theses Global](#).

#### **Are any restrictions on data sharing required?**

Data cannot be shared without the express written consent of all parties including the Principal Investigator, Liberty University, and AgroCo Legal Counsel.

## **Responsibilities and Resources**

#### **Who will be responsible for data management?**

Contact and lead for implementing this data management plan is Thomas Behr. All research team members will participate in responsible data management practices necessary to carry out this plan and ensure the confidentiality of participants, in particular adhering to the established file organization and recordkeeping conventions. This DMP is a living document – if there are changes to the plan a new version will replace the former with changes and version clearly noted.

#### **What resources will you require to deliver your plan?**

No additional extraordinary resources are required to deliver and execute the plan as written. Technological resources (software, storage, backup, encryption) have been provided via Liberty University and AgroCo XYZ.