Plan Overview

A Data Management Plan created using DMPTool

Title: Beyond decentralisation - Building local development capacity for collaborative, pro-poor planning and delivery of outcomes that matter

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Project abstract:

This project will research and strengthen capacity and expertise in Tanzania and Ireland to embed a pro-poor, partnership based, model of Local Development at local level, with the ultimate intention of improving the economic and social position of particularly vulnerable groups, including women and young people. Given that this proposal has a central focus on poverty reduction equality and inclusion, it primarily addresses itself to contributing to SDG 1: No Poverty; SDG 10: Reduced inequalities and SDG 5: Gender Equality. It also contributes to SDG 16: Peace Justice and Strong Institutions, by virtue of its efforts to research ways in which the foundations for pro poor, collaborative, local development process, norms, values and structures can be established Drawing from the disciplines of Public Administration and Social Psychology, blending a unique mix of academic and practice partners, and combining traditional research strategies with more participatory forms of experimental, action-research, the project focuses on identifying how an effective model of local collaborative development can be built. It explores the barriers to collaboration and ways in which these barriers can be overcome. Focusing on the national as well as local level policy/practice environments, the project will initiate high level research/dialogue sessions on the added value of local development approaches involving key national policy makers, the Local Enterprise & Economic Development (LEED) unit of the OECD and other relevant international organisations. At local level the project will undertake research in three districts in Tanzania, investigating the distinct development needs of particular target populations as well as the ways in which a collaborative local development approach can meet them. It will also design and deliver bespoke local development capacity building and knowledge exchange events, thereby creating opportunities to explore existing and evolving dispositions towards collaboration, planning and local development. Finally, the project will build dedicated research/technical capacity within the University of Dar es Salaam. This project will also involve the development of a second phase project, to operationalise and research the local development model developed in this phase one research.

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Beyond decentralisation - Building local development capacity for collaborative, pro-poor planning and delivery of outcomes that matter

This project will collect data relating to the potential for collaborative, pro poor local development to be institutionalised in one study country, Tanzania. The data collected will be primarily qualitative, with a small amount of quantitative data also gathered. Most of the data collection processes will involve human subject participation. The data collected will include:

- Economic, social and demographic statistics to map human development within 3 districts in Tanzania. This will draw primarily on existing statistical data in the country will involve minimal generation of new statistical information;

- Local political economy data, drawn from existing data and interviews with key local stakeholders;

- Data on the human development needs of marginalised groups, including women and young people, captured in line with participatory action research principles. Limited, target group specific pre existing data is available;

- Repeat data collection on the impact of group identity on disposition towards collaborative ways of working. No pre existing data will be available on this topic;

- Data to aid Qualitative Impact Analysis and Process tracing, mainly through one to one interviews and reflective diaries to be completed by project participants. Again, no pre existing data is available for use.

The data collected will be made available in a number of formats:

- Open access thematic reports, which will be made available on a dedicated project website and on the University of Limerick Institutional Repository and the University of Dar es Salaam Research Respository. The use of these repositories will ensure long term access to the data;

- Academic journals, made available according to the protocols followed by the relevant journals;

- Short, accessible policy guides, made available via the project website and the University of Limerick Institutional Repository and the University of Dar es Salaam Research Repository;

- Short pod casts and video summaries of key research findings to be hosted on the project website;

- Oral presentations to direct project and other relevant stakeholders, policy makers and to relevant conferences / development fora. In particular, reports drawing from the data collected will be made available via national level policy dialogues and local level capacity building sessions.

The project principal investigators consider that this represents a comprehensive plan to ensure maximum access. Should other cost neutral opportunities arise during the project implementation they will be availed of.

Data will be collected in a number of ways:

Area profiling – This will be built on one project partner's extensive experience of mapping demographic and deprivation data. Data will be collected through desk research and will be drawn from existing sources, including reports produced by central government, district officials, NGOs national and international) and international organisations;

Political economy analysis (PEA) - ‘Political economy analysis aims to situate development interventions within an understanding of the prevailing political and economic processes in society’(McLoughlin 2014). This project will draw on existing PEA models to frame a local PEA toolkit, to be applied in a consistent fashion across all participating districts. Data will be collected from existing secondary sources and from key informant and stakeholder interviews;

Target group needs analysis – Participatory action research requires the participation of the affected people within the communities in identifying the liberating social, political and economic processes that are in tandem with their context (McTaggart, 2006). The adoption of the PAR methodological approach in this project in informed by the belief that the realities and aspirations of communities as far as local development is concerned can only be fully understood and articulated when the communities themselves are directly involved. Research on the target group needs analysis will be undertaken in a participatory fashion with those from within the target groups, especially women and young people.

Research on group identity - This project emphasizes the importance of collective identity and will actively encourage participants to move towards a more cohesive collective identity oriented towards achieving common goals. Group identity research will be carried out by developing district specific *identity maps* that lists the actors and groups involved. This will be the basis for the identity baselines where participants will complete a series of identity measures, including rating all groups and actors in the identity map as "us" or "them" using graphical rating scales.

Testing causality

Finally, to test causality we propose adapt and integrate two approaches - a Qualitative Impact Assessment Protocol (QuIP) and Process Tracing - to identify and test directions of causation of change within the project cases. The QuIP will use narrative statements from project participants to produce evidence of impact while process tracing will be used to identify, validate and test causation at different levels in the research project. Data for this integrated approach will be collected through one-to-one interviews with project participants, by the repeat application of the identity / disposition research instrument and supplemented by participants own narrative recordings in reflective diaries. In keeping with best practice and to avoid potential bias, this element of the research will be carried out in conjunction with researchers from Makerere University in Uganda.

Quality assurance

Our approach to quality assurance will be two fold:

i. Quality assurance throughout the research process i.e. an input or process focus. To maintain quality during the research process all active researchers within the project team will maintain field diaries and will engage in 'in-project' peer supervision to discuss and validate the conduct of the research process.

In particular, because of the importance of the pro poor and participatory elements of the research, the participatory action component will be subject to closer quality scrutiny. All researchers involved in the PAR process will be expected to undertake advance capacity building training to ensure that they are familiar with and committed to the principles of participatory action research. Subsequently, and prior to undertaking any research, relevant researchers will submit a plan to the project steering committee for the conduct of the PAR. This plan should set out the underlying assumptions behind the approach to be taken, the timescale, ways of facilitating dialogue and how participation will be enabled, and how ethical best practice will be maintained during the research process. Subsequently, researchers will be expected to submit a report on how this dimension of the research process was undertaken so as to ensure transparency about the research and decision making processes. Researchers will be also be expected to maintain and share a reflexive diary to encourage ongoing attention to quality. Within this diary they will be expected to maintain an audit of decisions taken and interpretations made at different stages of the research process.

Quality will also be enhanced by involving external researchers from Makerere University in elements of the research to avoid any dangers of bias.

ii. Quality assurance of pre publication research conclusions i.e. an output focus. Here, we will use a variety of methods to ensure quality, including triangulation; participant validation of research findings; peer and key informant review of findings and presentation of findings in dialogue sessions with policy makers to ensure relevance and communication of impact. Our emphasis on output quality is also informed by efforts to set standards for reporting qualitative research, such as those described by O'Brien, Harris et al (2014). It is our intention to follow the 21 point standards framework set out in this work.

This pre publication focus on quality will help to ensure that published grey or academic literature will be of a high standard and will relevant and contribute meaningfully to the realisation of the Sustainable Development Goals and the ambitions of the Irish Aid Research Strategy.

Our approach to data description and metadata has been informed by the Data Management Guidelines produced by the Finnish Social Science Data Archive (http://www.fsd.uta.fi/aineistonhallinta/en/data-description-and-metadata.html) designed to contextualise the research findings produced by this project.

We are particularly mindful of the importance of making our research data available to institutions and organisations in the Global South, given the frequent cost restrictions on data access.

The project metadata will be made available in two ways:

i. via the planned project website and

ii. via a metadata document, accessed in PDF format, on the University of Limerick (UL) and University of Dar es Salaam (UDSM) Institutional / Research Repositories.

The following information will be stored and made available:

- Description of how the study was conducted, including its purpose; key personnel involved in the project; funders; geographical focus; different data levels (primarily local in this case) and data units (noting that in certain cases individual interviewees may be anonymised); data collection approaches (including dates and modes of collection) and secondary data sources accessed;
- Information on data collection instruments. Here we will provide details on different modes of data collection, including our proposed area profiling; political economy analysis; participatory action research, group identity research, process tracing and qualitative impact assessment. We will also document how data collection was explored differently in different research sites. We will also document our approach to input / process and output quality assurance.
- Description of data files. Given that we are largely dealing with qualitative data this will be less complex that for quantitative research. All available data will be mainly in either MS Word / ODT or PDF format and as such should be readily accessible to most users. We will also make some data available in podcast and video format and will endeavour to ensure that these can be easily accessed with open access software where direct web access is not possible. Links to the necessary software will be provided.
- Information on data availability will provide guidance on where different data sources are stored and how they can be used.
- Finally, the section on contextual information will provide information on the external circumstances in which the research was undertaken. We will use a broad PEEST (Political, Economic, Environmental, Social and Technological) framework to guide the development and presentation of this data.

In presenting this metadata we will also be mindful of the standards set by the Data Documentation Initiative (http://www.ddialliance.org/) and where possible will use the DDI tools to support documentation and data storage best practice.

All research undertaken in this project will be subject to the ethics guidelines of the participating Higher Education Institutions (HEIs). Full ethics approval will be obtained from all participating institutions prior to the commencement of any research involving human subjects. In the case of the University of Limerick, ethical approval will be obtained via the Faculty of Arts, Humanities and Social Science (AHSS) Research Ethics committee (https://www.ul.ie/artsoc/ethics), in line with the UL Research Integrity Policy (http://www.ul.ie/research/sites/default/files/20170109_Research%20Integrity%20Policy.pdf) and its procedures for research ethics approval. Similarly, ethics approval will be received from the UDSM (https://www.udsm.ac.tz/research).

These ethics approval processes will address issues relating to:

- briefing participants on the nature and purpose of the research;

- obtaining informed consent to participate in the research and for research data to be used in the preparation of reports and other publications;

- preservation of confidentiality and, where relevant and required, anonymity. Where data is being anonymised prior to public sharing all identifiable information will be removed.

- protection of any vulnerable participants;

- data storage. All data will be stored in accordance with the UL Data Protection Compliance Regulation (2015) and updated GDPR requirements and with the UL Records Management and Retention Policy (http://www.ulsites.ul.ie/corporatesecretary/sites/default/files/Records%20Management%20%26%20Retention%20Policy.pdf).

All issues relating to copyright and IP/IPR issues will be finalised in detail by the project consortium during the preparatory phase of the project, including:

- Ownership of data - This will be clearly set out in a research consortium agreement to be prepared in the event of a successful project funding bid;
- Authorship - an authorship agreement will be finalised addressing what constitutes authorship, contributions of research assistants (where relevant) and listing of authors;
- Publications - the copyright and IP/IPR implications of different publication types will be reviewed and related project level protocols agreed.

However, in general, it is the intention of this project to maximise the open availability of research produced by the project and this will be a key guiding principles covering our approach to IP/IPR issues.

All data stored in the project will be managed in compliance with institutional data storage policies and in line with any national level Freedom of Information Policies, including the GDPR. To ensure that all data is stored to the highest possible standard, the project team will ensure that:

- a system is designed to ensure sensible and consistent naming of files and folders;
- there is systematic indexing / classification of records;
- backup of appropriate files is organised on a regular basis;
- unnecessary records are deleted regularly (including email records);
- access to record systems is restricted to team members only via the use of passwords, timed lock out of PCs etc.;
- should any particularly sensitive records to be emailed to amongst project members or to external bodies then they will be password protected.

While data is being gathered in the field, any electronic data will be stored on password protected laptops. All USB keys used for data storage will be password protected. Any paper records containing research data will be securely stored in locked storage bags and will not contain the names of research participants. Research consent forms will be stored separately. Finally, data will be transferred from portable media devices as soon as is practicable.

In terms of retention, data will be retained for as long as it is required to meet the legal, administrative, financial and operational requirements of the project. Following a period of time, unnecessary records will either be archived or destroyed. Institutional and funder guidelines on data retention will be used to develop a data retention schedule.

Responsibility for backing up research and project management data will be taken on by the Principal Investigator and the Co-Principal Investigator. Best practice backup protocols will be agreed with the IT departments of the participating institutions.

Access to any raw primary data generated by the project will be available to collaborating project team members only. To facilitate team members to access project data, an online file sharing system such as Dropbox will be utilised. Access to Dropbox folders will be protected by requiring team to set strong passwords and by changing passwords a regular basis. Access to individual Dropbox folders will only be enabled as is necessary to support team members use of required project data folders.

A number of the outputs of this project are considered likely to prove of longer term value and will be retained. In particular, the project aims to develop the elements of a pro poor collaborative, local development model. It is essential that the different components of this model are supported by evidence and that this evidence, in processed form, can be accessed by others exploring similar topics. Thus, data on a number of aspects will be retained, namely:

- approaches and examples of local area profiling;

- approaches to and synthesised, aggregated local political economy analyses;

- approaches to, synthesised and aggregated findings on group identity and its impact on collaborative disposition;

- Approaches to and results of Qualitative Impact Analysis and Process Tracing.

This data will be accessible via:

- The University of Limerick Institutional Repository and the University of Dar es Salaam Research Repository.
- Direct contact with the project team. Contact details will be contained in the Metadata documentation also available via these different repositories and a project website.

Long term preservation of the project data will be maintained in the The University of Limerick Institutional Repository and the University of Dar es Salaam Research Repository.

It is our intention that data from and awareness of this project will be as widely and as freely shared as possible. Analysed data will be released from the project as soon as it is relevant, verified and considered to be of value. This will be enabled in a number of ways:

i. Development of a project website, identifiable using relevant key words linked to established search engines and academic data bases;

ii. Collaboration with key partners, such as the OECD, which is a lead global organisation in the field of local development;

iii. Production and circulation of a series of policy briefs in electronic form to enable further sharing. These will be shared with key state, parastatal, international and civil society organisations and as well as focusing on dedicated topics will contain basic information about the project and its objectives;

iv. Organisation of national level policy dialogues and district level knowledge exchange fora;

iv. Storage of materials on searchable institutional repositories;

v. Sharing of findings with funders who may wish to further circulate them;

vi. Participation at relevant conferences and development fora (Academic and Non Academic), including the Irish Development Studies Association.

No restrictions on data sharing will be applied, other than those covered by the conditions of the ethics approvals which will govern research within this project.

Responsibility for data management with rest with the Principle Investigator, who will both implement, review and revise this plan on a periodical basis, in collaboration with members of the project team.

In addition, as this is a collaborative project, the co-Principal Investigator will take responsibility for data management within UDSM.

All data management responsibilities will form part of the research agreement to be developed between the project partners.

Delivery of this plan will be supported by pre project capacity building exercise for all partners. This will take place in the pre project planning phase. More detailed data management training will be undertaken by the Principal Investigator to sure that best practice in the implementation of the plan is followed.

No specific software is required to implement the plan. However, charges for the use of an online storage facility, such as Dropbox, will be incurred.
