Methodology Definition and Observation Tools

CONSIDER Project
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Executive Summary

In the CONSIDER project the potentials, limits and problems of CSO participation in research projects will be explored and made transparent. The insights will be funnelled into guidelines by the project partners to provide interested stakeholders from science, industry, politics and the civil society with support for involvement in research. To do so, the CONSIDER consortium follows a normatively informed empirical analysis to explore the conditions and problems of CSO participation. It is interested in possible conflicts regarding the meaning of individual actors' interests and the public interest and resulting regulating effects of CSO participation processes. The research is guided by the following main research question: How do actors define and reach their expectations related to defining public interest when constructing norms in research projects?

This deliverable was designed to develop the plan for the empirical analysis to be done as part of the CONSIDER project. The report follows the basic structure of a research protocol as suggested by Yin (2009). The research protocol for case-study-research is outlined in seven steps:

1) The Grid of Analysis / Architecture of the Analysis: There are four major themes concerned with the relationship between theoretical analysis and empirical research. These themes accompany the project as a whole throughout its lifetime, providing a trajectory and consistency that is closely tied to the research question.

1.) The theoretical analysis structures the approach to the empirical analysis according to theoretical review and the research question.

2.) Empirical analysis discovers patterns that indicate theoretical presuppositions in practice (based on the parameters, so it's relevant to the field and the research question)

3.) The limits of the practices discovered are determined through the feedback and sharing of information between the stages in 1 & 2, and so a basis is gained to overcome the limits.

4.) The limits are overcome through formulating statements about what ought to be done, based in 1, 2 & 3, and how they can be done, again with reference to 1, 2 & 3.

These 4 themes occupy the duration of the project as a whole, providing a trajectory and consistency that is closely tied to the research question.

2) Design of the Study: All projects supported by the EU in its 7th FP and other international databases will be screened with respect to participative activities. In addition, a sample of up to about 30 research projects projects will be explored in depth. These projects will be analysed with respect to the participation practices of CSOs and the associated effects on the projects themselves and on the process of research.

3) Data Collection: Precisely the consortium is going to launch an initial survey to check which projects had CSO participation elements. Following a second survey collects data from the cases which were positive in the first one. Taking into account, the explorative and the theoretical requirement of the analysis strategy, the questions should enable a well informed insight into each project. Finally, having selected the cases for the deep analysis a set of qualitative methodologies will be applied.

4) Analysis of the Data: CONSIDER will employ a twofold approach. (1) A theoretically informed normative analysis will be performed in order to test hypotheses addressing the roles and meanings of public norms and values within processes of CSO participation in research projects. (2) The project is of strongly explorative nature and thus it is necessary to develop theoretical generalizations from empirical observations and come up with empirically grounded hypotheses on the conditions of different forms and effects of CSO participation in research.

5) Plan Validity: Data comes from the two surveys supplemented with documents from the various actors involved in each case. The consortium gathers further data on context and specificities by conducting interviews and through ethnographic observations. Finally, relevant individuals from the network of interested CSOs will be asked to review the results of the analysis. Coming from normatively derived parameters, theoretical discussion will recognise patterns of CSO participation in research. These patterns will be compared with the insights from the empirical analysis. By means of this approach, deficits in the empirically found explanations and in the theoretical explanations of the targeted phenomena are discussed and improved.

6) Study Limitations: CONSIDER is an explorative study and intends to test and refine hypotheses from existing theoretical literature and to intensively explore case studies selected according to subjectively determined criteria. Its results are not representative in the sense of quantitative social science, but it achieves relevance with respect to an issue, which is determined by the question and the concepts derivable from it. It wishes to gain a deep understanding of the social reality of CSO participation in research, describe the deficits of the practices and make suggestions on how to overcome these.

7) Reporting and Schedule: The project design addresses reporting comprehensively and includes a detailed schedule.

All of these steps are discussed and structured in this Deliverable and therefore offer the tool kit for the empirical analysis by the CONSIDER consortium. Even though this Deliverable is being formally completed at the end of June 2012, it is a living document which will need revisions as the project   progresses.

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1 Background

The European Union adopted the Lisbon Strategy in 2000, aiming at establishing "the most competitive and dynamic knowledge-based economy in the world capable of sustainable economic growth with more and better jobs and greater social cohesion" (European Council 2000). From then on, the development of a European Knowledge Society was regarded as a benchmark for future policy. Many critics have pointed out that for the first time in Europe, the Lisbon strategy put research and academic work on the same basis as the market economy. Strong competition would then characterise research dynamics and the usual way of doing research oriented strongly towards one's peers (Bruno, 2010). The financial budget for scientific projects increased and stakeholders from all social fields were regarded as relevant for science and science policy. From early knowledge production onwards, the economy should be able to apply scientific results for the generation of innovation. Also, the state should have the possibility for early reaction to new scientific knowledge and to develop appropriate regulations. Civil society should additionally point out possible risks or specific potential of scientific knowledge early in the knowledge production process.

Specifically, the European Commission expects the involvement of Civil Society Organizations (CSOs) to result in consumer friendly technologies, harmonised political debates or the improvement of legitimacy for policy decisions. Early suggestions or even interventions in science could contribute to the production of outcomes that are regarded as socially responsible. As is the case for political or industrial involvement in science, the voice of CSOs should be made to be heard within research projects and their scientific or societal contexts. However, the empirical reality of CSO participation in research is almost unknown. The best-known cases are information sharing settings. They typically take place at the end of a research project and are used to keep relevant actors abreast with the state of the art in science and technology and to improve societal legitimacy by informing actors likely to be affected by the project outcomes, and if possible by giving consideration to concerns expressed at this stage in final applications. Other studies have shown how organizations which are naturally external to science can influence the knowledge production process (Epstein 1996). Many additional different expectations, forms and effects of CSO participation can further be imagined. A profound analysis should explore this scientifically unknown social reality and reflect the implied normative expectations.

Thus in the CONSIDER project the potentials, limits and problems of CSO participation in research projects will be explored and made transparent. The insights will be funnelled into guidelines by the project partners, to provide interested stakeholders from science, industry, politics and the civil society with support for involvement in research. In order to produce these results, all projects supported by the EU in its 7th FP and other international databases will be screened with respect to participative activities, and then a sample of up to about 20 FP7 research projects plus up to 10 other projects will be explored in depth. These projects will be analysed with respect to the participation practices of CSOs and the associated effects on the projects themselves and on the process of research.

To learn something about the practices and probable "best practices" of CSO participation in research projects, the CONSIDER project follows a specific research strategy. This is why not only an exploration of different practices of participation is necessary (by constructing something akin to a 'landscape' of CSO participation), but also an analysis of the normative criteria to evaluate the effectiveness and legitimacy of CSO participation in research projects. The specific "new" aspect of CONSIDER is the strong connection between a normative framework and an empirical analysis. To achieve this, the CONSIDER consortium follows a normatively informed empirical analysis to explore the conditions and problems of CSO participation. These two analytical perspectives use different observatory tools but are based on a common foundation: empirical analysis is informed by theoretical considerations, be they scientifically based or the result of everyday ad-hoc thinking and usually involving a common core of parameters. These parameters (like inclusion, legitimacy, efficiency and so on) are at the core of the CONSIDER project and ensure that the linkages between the normative and the empirical analysis can be maintained throughout the whole project.

It is possible to identify four major themes concerned with the relationship between theoretical analysis and empirical research:

1.) The theoretical analysis structures the approach to the empirical analysis according to theoretical review and the research question.

2.) Empirical analysis discovers patterns that indicate theoretical presuppositions in practice (based on the parameters, so it's relevant to the field and the research question)

3.) The limits of the practices discovered are determined through the feedback and sharing of information between the stages in 1 & 2, and so a basis is gained to overcome the limits.

4.) The limits are overcome through formulating statements about what ought to be done, based in 1, 2 & 3, and how they can be done, again with reference to 1, 2 & 3.

These 4 themes occupy the duration of the project as a whole, providing a trajectory and consistency that is closely tied to the research question.

From a methodological viewpoint, the normative-empirical analysis needs a strictly defined research process as suggested by the case study design. To be clear, the explorative empirical analysis is interested in understanding the specific and singular social reality within the focused phenomena from which it takes its procedural orientation as prescribed by the Grounded Theory Methodology. Or to put it differently:

> „Although the case study design helps in defining the line of action and delineating the boundaries of the research, it does not provide enough guidelines to produce theory. Grounded theory is a rigorous systemic process for theory building that expands on 'explanation building' (Yin, 2003, p. 120)" (Diaz Andrade 2009: 54).

Robert Yin's work on the case study method presents state of the art in this field. It is rooted in positivistic thinking. The idea behind it can be paraphrased as follows: If you make a very good plan and develop well-reasoned hypotheses before you conduct your research you will receive valuable results. CONSIDER will follow this guideline in order to conduct the normative analysis of CSO participation in research projects. This analysis should reveal deficits in the current practices and point at possibilities for their improvement. The Grounded Theory Methodology – which was developed by Barney Glaser and Anselm Strauss and is today prominently represented by the latter and Juliet Corbin – provides tools to develop social science theories which are reasoned solely in empirically findings. By such an analysis, which depends on the openness of the researcher towards the observable social reality, new and original insights into the functionalities of social processes can be revealed. The CONSIDER project follows Yin regarding the processes and routines he suggests but does not overtake his methodological ideas. Due to the fact that CSO participation in research has not previously been covered by social sciences such an explorative approach is needed. Without prejudging the outcomes, of course the results of the empirical analysis can be assessed in the light of normative parameters.

2 Main Body

Starting from this description of the methodological problem, the following subsections illustrate CONSIDER's hopefully rich solution. Its foundation is provided by the grid of analysis. It combines theoretically and empirically informed features and reflects the explorative dimension of the project (2.1). From this starting point, we illustrate the empirical design. This starts with an initial sur-

vey to identify possible research projects that incorporate involvement of CSOs, whilst a follow-up survey addresses the range of variations between the different cases. Finally an in-depth analysis of 30 projects using several qualitative methods is performed (2.2). With this in mind, the deliverable illustrates the specificities and details of the different data collection approaches (2.3). It then discusses the methods for data evaluation aiming at the construction of a typology of models explaining expectations, forms and effects of CSO participation (2.4). The CONSIDER team needs to be self-reflexive in order to ensure high quality results, large-scale studies like this, involving several research teams from different countries, disciplines and research cultures. Therefore, the validity of the completed plans has to be questioned and the limitations of the study should be addressed (2.5 & 2.6). The consortium and the European Commission agreed on a list of deliverables within the CONSIDER project which provide information on the progress within the research process. Milestones between these deliverables give further orientation (2.7). Even though this deliverable is being formally completed at the end of June 2012, it is a living document which will need revisions as the project progresses.

2.1 Grid of Analysis/Grid Architecture

As explained in the 'background' CONSIDER is pursuing a dual-perspective analysis of CSO participation in research. It has a normative orientation aimed at setting up, testing and redefining the normative structure of CSO-participation in research projects and the aligning governance effects. It is also interested in understanding and explaining the social conditions which construct the needs, forms and results of CSO participation in empirical reality. The research is guided by the following main research question which is explained in this section:

How do actors define and reach their expectations related to defining public interest when constructing norms in research projects?

This sets the ground for the common foundation of the research approach. Accordingly, 'public interest' forms the central starting point. Several theoretically derived parameters outline this concept. They are, for example, accountability, legitimacy, efficiency, dialogue, inclusion etc. These parameters frame the theoretical analysis and provide the basis for the empirical analysis. Through an intensive literature study the initial analysis illustrates theoretical notions on how public interest can or should be realized within participative research projects. These notions are related with each other and develop idealized patterns of how CSO participation in research projects should work. These relations will be delivered by D 1.2. The second analysis reconstructs the social reality of the

actors involved in these kinds of projects. It intends to reveal generalizable social conditions 'enabling' or 'hindering' the forms and effects of CSO participation in research projects. Therefore, it is interested in the social norms – understood as guidelines for action – which are constructed by the actors' expectations in complex social processes. In order to unravel the complex interplay of the different norms, the approach distinguishes between those norms constructed within the societal context of each research project, those within its scientific context and, finally, those within the project itself. The empirical analysis discovers interactions between norms that indicate theoretical presuppositions in practice – based on the parameters – and therefore relevant to the field and the research question. By means of permanent connection between both perspectives, the empirical practices are evaluated during the whole research process. The limits of the practices currently in place are determined through feedback and the sharing of information. Such limitations are overcome by formulating statements about what ought to be done and identifying how CSO participation can be more effectively achieved. Figure 1 illustrates the relationship between the two different analyses. The straight arrows illustrate the research directions in the empirical and theoretical perspectives. The feedback arrows show that the results of the two research processes inform each other. In the end, the results lead to the construction of different governance models for CSO participation in research projects. In various deliverables the two strands of results are presented individually and together.

Figure 1 (own illustration)
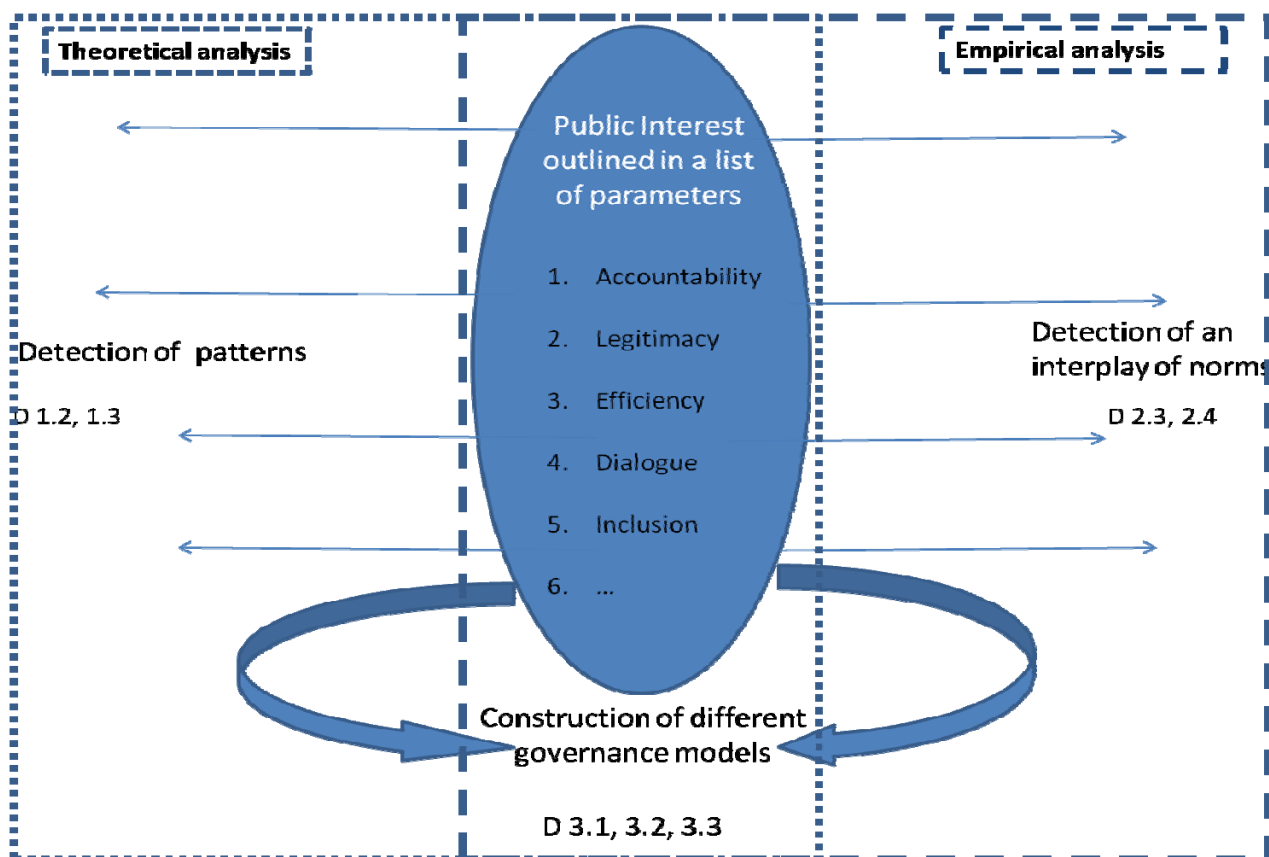
The empirical analysis has to take into account the dimensional complexity of norm construction processes in social reality. CONSIDER has identified three main dimensions in this respect. The dimension "societal context" has its focus on the social position of the different CSOs and allows the examination of any general public debate on the specific topic of the research project. The "scientific context" enables the investigation of the academic meaning and characteristics of the research topic. Furthermore it permits the observation of the involved scientific communities and their linkages to the social world outside science. Finally, by taking into account the project itself ("project context"), the consortium seeks to identify the norms determining the specific form, as well as internal and external effects of CSO participation in the specific research project (fig. 2).

In our perspective, social processes – taking place in the research project, the scientific context and the societal context – turn expectations into norms or guidelines for actions which are basically nothing else than stabilized expectations. The norms are evaluated and stay relevant, transform or vanish. Central categories in such processes could be the structure of society, time, the authority of the involved actors, traditions and routines, generalized attitudes etc. These different social levers need to be taken into consideration when constructing the social reality of the different cases and their contexts. Figure 3 illustrates the analytical necessities of these multilayered norm constructing processes.

Figure 2 (own illustration)
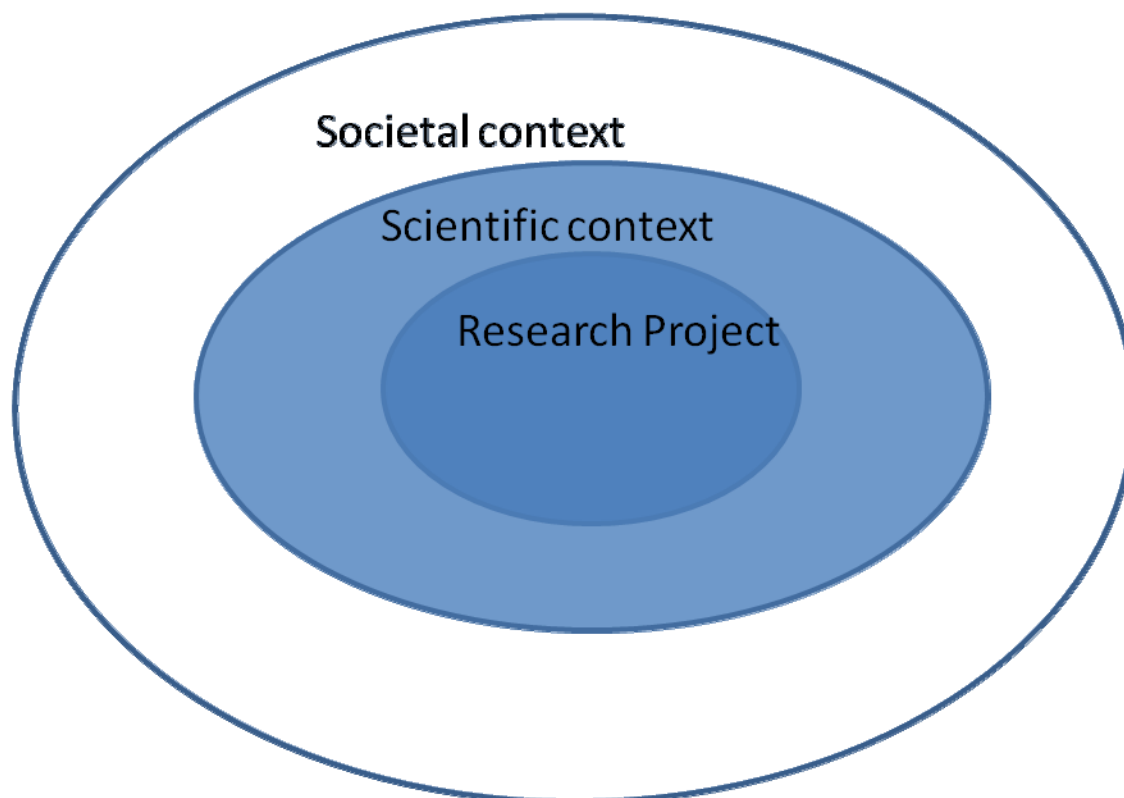
Several deliverables (fig. 1) reflect the progress of the theoretical and the empirical work related to the individual workpackages of CONSIDER. D.1.2 characterises the object of investigation for the project as a whole. It will determine a typology of governance approaches and all parameters for assessing CSO participation relative to the field of investigation laid out in the question. D.1.3 emphases the theoretical perspectives and analytical steps. It is to be viewed as complementary to this current deliverable. Furthermore, D.1.4 determines governance models that are empirically tested and theoretically grounded. It is an extraction of results from the application of the analytic grid to empirical practice of models of CSO participation. D.2.2 presents results of the two surveys and provides insights about the possible projects that could be studied further in greater depth. Building on those findings, D.2.3 focuses on specific case study projects to determine CSO participation and identify CSO engagement rules and patterns in research. The deliverables in WP3 merge the results of the theoretical and the empirical analyses. D.3.1 presents a framework for the comparison of theories of CSO participation in research governance. The analysis of theory and practice of CSO participation in research governance is the topic of D.3.2: this report will analyse the theory and practice issues related to CSO participation in Research Governance and their practical implementations. From this, D.3.3 illustrates a typology of models of CSO participation in research. It concludes the theoretical and empirical analyses and leads to the development of practical guidelines in WP4.

The guidelines will have their starting point from the contradicting empirical experiences the analysis will reveal. Contradictions make clear different social experiences with CSO participation.

2.2 Design

The role CSOs play in or for research projects and how this role is constructed is unclear. The theoretical literature on participation is immense, however theoretical and empirical papers hardly exist on the specific topic of participation in research projects. The two-sided grid with a normative-theoretical perspective and an empirically grounded perspective addresses this problem structure. Because of the explorative character of CONSIDER, the research process is not guided by a general hypothesis but relies on methodological concepts which were influenced by Grounded Theory Methodology (the grey box informs about some general characteristics of the methodology without taking close reference to CONSIDER).

Grounded Theory Methodology

Grounded Theory Methodology is used in social science to explore phenomena by referring to empirical data only. Instead of reasoning observations in existing theories, the aim is to find new connections and interrelations of factors. Therefore the whole research process is guided by relevant empirical conditions found in the analyzed materials. The key concept for the development of explanations is the comparison of very similar and very different cases within the subject of study. Theoretically, the grounded theory is based on Herbert Blumer's symbolic interactionist theory that claims that social norms and rules are subject of ongoing social interaction and negotiation. Today empirical studies applying social constructivist approaches, like the study by Berger and Luckmann, also refer to the Grounded Theory (Keller 2011; Bryant/Charmaz 2007).

Consequently, CONSIDER is interested in capturing a broad variety of existing different kinds of CSO participation – where variety refers to both sides of the analytical grid. On the one hand, the cases studied in depth need to be able to provide indications of how societal norms regarding the public good are a factor – this could be explicit, implicit, or not be observable at all. On the other hand, the cases need to enable the CONSIDER team to understand the processes of norm construction related to the expectations, forms and effects of CSO participation within the particular research project and its external context. The normative dimension and the norm construction processes need to vary within the sample. Variation among the chosen cases is not only regarded necessary to obtain a comprehensive overview; the grounded theory methodology also recommends contrasting very similar and very different cases in every imaginable dimension in order to develop theoretical generalizations from the empirical material. Instead of aiming at representativeness as in quantitative studies, theoretical saturation is desired by this approach. This phenomenon occurs when the analyzed materials no longer provide any major additional insights (Kelle 2010; Alvesson/Sköldberg 2009: 53-76). In this case saturation would mean that the analysis repeats similar relations of norms enabling or hindering

CSO participation and comes to similar results regarding the meaning of socially accepted norms regarding the public good (compare 2.4 for further details).

The Consortium will identify the cases which will be studied in greater detail via several steps. It has a database from the European Commission listing about 12,000 research projects supported so far under the FP7 program. Moreover, there is an intention to use further databases from national sponsors to widen the range of possible empirical experience with CSO participation. The coordinators of all listed projects will receive a first survey via email addressing a few brief questions on their experiences with CSOs. Those who had identifiable experiences and agree to cooperating with CONSIDER will receive a second survey related to common parameters. The questions will contain more questions about the forms and effects of CSO participation in their projects. We expect to have received about 150 answers responding to the first survey and expect ca. 75 answers responding to the second.

The analysis will start by grouping the projects that responded to the initial survey according to commonalities or differences in the internal and external (contextual) conditions of the participation experiences. By comparing and contrasting the groups of projects and the projects within the groups, first tentative hypotheses of why CSOs are participating as well as on the enabling and disabling conditions of CSO participation will structure the further selection of the cases which are candidates for deeper investigation. Up to 20 projects from the European FP7 database and up to 10 additional projects from the other databases will be chosen. The sample of cases will display a well-reasoned mixture of very similar and very different examples. The general criteria for the selection process are twofold. Firstly, a rich diversity of social experiences which can lead to a typology of CSO participation in research will be important. Secondly, sufficient repetition of interaction between norms for a typology – in order to be able to generalize theoretical statements – should be achieved by the subsequent analysis of case studies. As the 20 + 10 different cases will be studied individually and compared to each other, Yin would call this final design a multi-case study with embedded analysis. The arrows in figure 4 illustrate the possibilities for comparison. This kind of analysis corresponds with the complexity of the different social variables and their relations to each other which are to be collected by CONSIDER.

Figure 3 (own illustration/Yin 2012: 8; numbers given will need adaptation during research process)
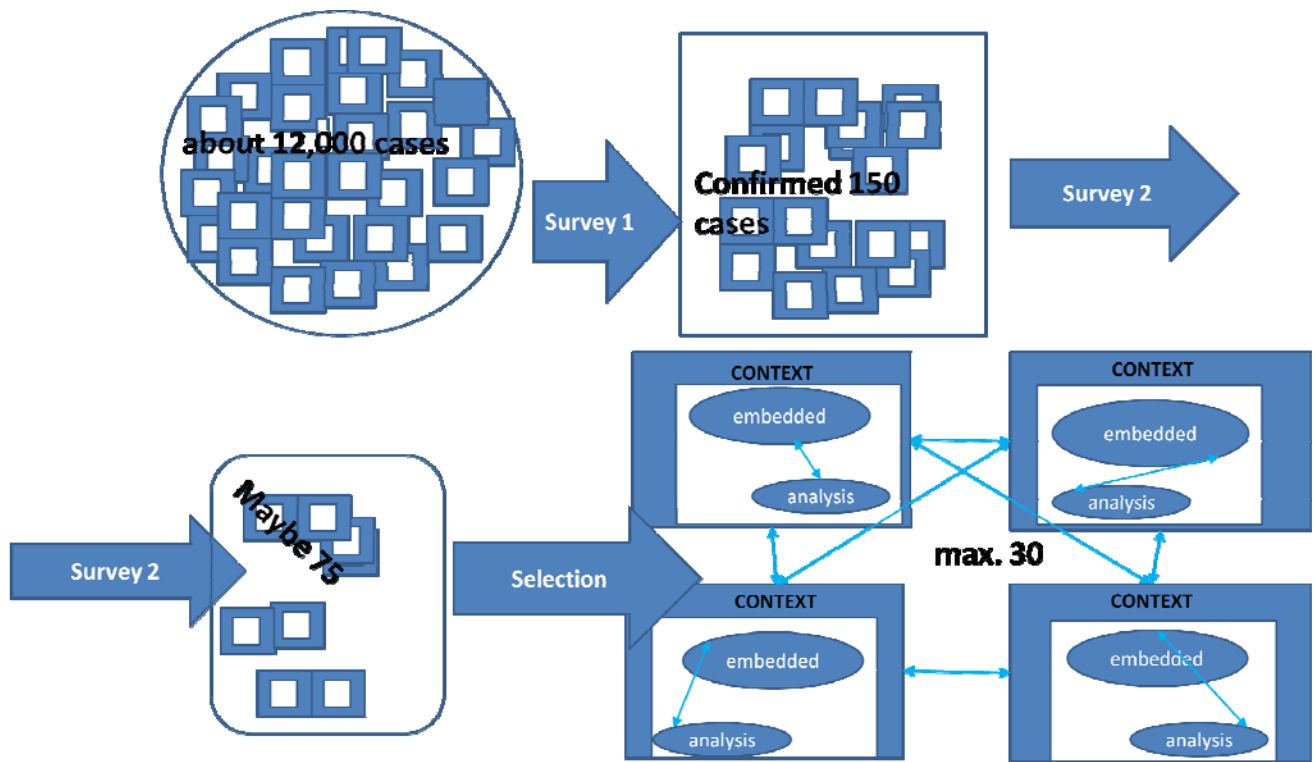
2.3   Data Collection

Three stages of data collection will be necessary to meet our objectives. A first quantitative approach will consist of two web surveys to enable us to select around thirty typical cases to explore in a more ethnographic way according to the analytical grid.

2.3.1   Initial Survey: a first questionnaire to identify projects involving CSOs

The objectives of this first data collection stage are to determine the current landscape of participation practice in FP7 and identify projects open to CSO participation. The choice was made with a web survey. As Matthias Schonlau, Ronald D Fischer and Marc N Elliott have said, Internet surveys should have the advantage of being less time consuming, as good or better than more traditional surveys, cheaper and easier to conduct (Schomlau et al 2002).

The starting point is the systematical survey of all the 14175 FP7 projects recorded in the CORDIS database on the 1st of March 2012. This comprehensive source is complemented with some national databases. We already have data on the British EPSRC and NSF projects. We should receive data for the French ANR projects, and we have contacts with German projects. This step provides us descriptive data which are already interesting in themselves about the involvement of Civil Society

Organisations in the FP7 research projects and it provides us also information about governance mechanisms already in place in the selection of the research projects funded by the FP7. The data from CORDIS were provided by the Research Program officer of the European Commission in charge of the CONSIDER project and contain information identifying the project (project number, title, acronym), project call identifier, start date, duration, EC contribution, and the contact of the coordinator. Some information about the participants are available in a second file.

The project call breakdown in the CORDIS database

Project Call	Number of projects	
FP7-PEOPLE	5940	41,90%
ERC	2322	16,38%
FP7-ICT	1388	9,79%
FP7-HEALTH	656	4,63%
FP7-SME	571	4,03%
FP7-NMP	395	2,79%
FP7-KBBE	320	2,26%
FP7-ENV	320	2,26%
AUTRES	295	2,08%
FP7-INFRASTRUC-TURES	283	2,00%
FP7-SST	227	1,60%
FP7-ENERGY	224	1,58%
FP7-SSH	169	1,19%
FP7-SEC	158	1,11%
FP7-SPACE	155	1,09%
FP7-REGPOT	147	1,04%

FP7-AAT	147	1,04%
FP7-SCIENCE-IN-SOCIETY	118	0,83%
FP7-Fission	98	0,69%
FP7-INCO	94	0,66%
FP7-REGIONS	57	0,40%
FP7-ERANET	54	0,38%
FP7-TPT	37	0,26%
TOTAL	14175	100,00%

Table 1 (Source: CORDIS database extraction of the FP7 projects on the 1st March 2012)

According to the CORDIS database, many coordinators are in charge of several projects. A decision was made to send one version of the questionnaire per project to those coordinators who lead one to three projects. Beyond this limit, we consider that responding to each email invitation for each project would be too great a burden for coordinators. People who coordinate four or more projects will receive a personal telephone call in order to gain information about their range of projects without over-burdening them with email requests.

The survey instrument created consists of:

- An invitation email in which the respondent finds the link to the survey (compare appendix).
- The web questionnaire hosted by the university of Lille via the free software limesurvey (compare appendix).
- An email of confirmation (These documents are available in the appendix.).
- Non response follow-up for those who do not return the survey.
- Phone calls to the coordinators of four projects and more.

Particular attention was dedicated to the wording. The draft was read by each partner in CONSIDER and feedback was provided in order to ensure that the questionnaire can be understood by respondents. Those documents are addressed personally using the first and last name of the coordinator concerned in order to increase their willingness to respond. Furthermore, in each document

there is contact information to enable recipients to ask for clarification. This proved useful because as soon as the questionnaire invitation was sent, we received phone calls requesting clarification.

Those calls enabled us to identify some preliminary issues:

The CSO definition that we gave does not fit each situation. Some people asked what we meant. And others had some difficulties to position themselves. For instance, some universities consider themselves as CSOs. The distinction between public organizations and companies is not sufficiently clear.

In total 9297 invitations were sent. As of 20/06/12 1461 questionnaires had been returned (i.e 15.71%), and we received until the 27/06/12 around 1140 emails (of wrong email addresses and few questions of respondents), with the survey anticipated to remain open for another 8 weeks to allow other responses to be contributed.

2.3.2   Follow-on survey

A more detailed questionnaire will be addressed to the respondents to the initial survey who indicated that they incorporated CSOs on their projects. The questions will be based on the grid of analysis (defined in D1.2). The objective of this second survey is to define selection criteria for the projects for the case studies.

Population: the FP7 and national project coordinators responding to the initial survey, and other project coordinators in which CSOs are involved. A test of the survey instruments will also be conducted with a small sample of the coordinators who were previously contacted by phone.

Types of data to be collected:

- Descriptive data on the organisation of the consortium (workpackages and division of tasks, meetings)
- Subjective data such as social representations.
- Questions about the respondent (gender, age, job, previous experience with European projects, other projects, …)
- The second survey will use a combination of tick boxes and open questions to avoid blind spots.

- Start to a discussion for a practical analytical grid based on D1.2

Field	Parameter	Aim	Means	Limits
Governance	Inclusion	Democratisation, Legitimacy	Public selection of authorities	Hobson's choice
			Public monitoring of authority	Representativity (democratically and epistemically)
			Public reporting of participatory aims, methods, results by all parties	Disinterest, bureaucracy, access to resources, voice
			Consultations between stakeholders	Competition, definition of 'stakeholder,' representativity, access, epistemic disparities
		Respect, Promote good societies, Sustainability, Efficiency	Managing relations with public, Communication with public and NGOs, Deliberation	PR exercise, Predefining what 'good' societies entail, Hindering decision through endless debate

2.3.3 Case studies

Ethnographic studies will be written on around 30 case studies. Those case studies will be FP7 research projects and some local, national and international experiments selected from the follow-on survey as meeting the selection criteria defined in the analytical grid. It will also be open to other projects corresponding to the analytical grid not included in the previous sample. The case study work will help us to analyse CSO activities in research: where they are taking place, in what manner, and within which limits. It will provide the information required to identify the main patterns of CSO participation:

Data requirements : depending on the results of the quantitative survey, it will include the CSOs' capacities, actors, ideas, aims and ways of cooperation. Various modes of participation will be analyzed from research governance to participatory action research or science shops, for instance. This ethnographic work will include several face-to-face interviews with different actors from the consortia of those selected projects, observation of several meetings and/or work of those projects, and an analysis of documents provided by the project websites, and other relevant documents that are accessible.

Interviews are necessary to understand as precisely as possible how actors act in such projects, how the norms are constructed, etc. It is important to conduct face-to-face interviews because this is

the way to obtain individual accounts, and also to recognise what is unformulated: as the context. This context is crucial to understand properly what it is at stake, and especially under what conditions (Becker 2002: 101). The interviews are closely linked to observation sessions of several meeting and/or working time of those projects. By observation we mean being in the place where interactions are.

> "Au sens le plus étroit et le plus déterminé, l'observation consiste à se trouver présent et mêlé à une situation sociale pour l'enregistrer et l'interpréter en s'efforçant de ne pas la modifier. Cette situation sociale est toujours le produit d'une interaction entre les participants eux-mêmes et, d'une façon ou d'une autre, entre les participants et l'observateur ; elle prend la forme d'évènements composés de séquences successives avec un début et une fin" (Peretz 2004: 5).

However, if CONSIDER analysis already finished projects an ethnographic observation is not possible anymore. Then, not only face-to-face but also telephone interviews could be a further possibility of data collection. The ethnographic task will require building a team of researchers from the consortium and possibly some of their colleagues to do this ambitious work. Thus it will be necessary to construct homogenous grids for each kind of task to achieve consistency (i.e. the same approach to conducting interviews, the same depth and precision of information collected). Therefore the development of the interview and observation grids will be guided by the analytical grid.

To be sure that everyone has the same level of knowledge about the use of those tools, and to homogenize the research practices a three-day workshop will be convened for those involved in the ethnographic data collection. During this stage the preparation of the analysis will be also discussed. We will agree a field protocol and the method for analysing interviews and observation. For ease of communication we anticipate that interviews will be conducted in a variety of languages as appropriate to the case study participants and the CONSIDER research team's skills. It will not be possible to translate all of the interviews in their entirety; a subcontractor will be employed only for the most relevant interviews, and for the others, the researcher him/herself will translate the most relevant extracts.

2.3.4 Field protocol

The interview data collection will include:

- A descriptive paragraph for each interview (the place of the interview, description of this place, the people around, the quietness or not, etc.)

- A presentation of the respondent (gender, age, family situation, job, institution, role in the project, etc.) Those information will be obtained thanks to a short questionnaire self-administered at the end of the interview.

- Systematic record of the interview

- Synthesis of the interview (main ideas, sensitive subjects)

- Translation of the main points of the interview.

For the case studies, only the person in charge of his/her case should be able to identify the people investigated. Each person will have to anonymise his or her data. It will require the use of a uniform protocol. For instance: initialsOfTheInstitution_InitialsOfTheCountryInvestigation_CodeOfActor_InitialsOfTheResearcher_number1to10

2.3.5 Security and data protection

The Lille 2 University correspondent for the French Data Protection Authority (Commission Nationale de l'Informatique et des Libertés, CNIL) has written the legal declaration. An autorisation would be necessary if we were asking sensitive questions defined by the CNIL as questions about religion, political opinions, syndical, philosophical, health and sexual affinities The aim of the survey, the method and what will be done with the information collected are mentioned in the contact documents, as is the voluntary participation of the respondent, and the confidentiality of the personal data. The personal data from the initial and follow-on surveys (name, email address and phone number) will be destroyed at the end of the period mentioned in that document.

For the case studies, and in particular the interviews, only the person in charge of his/her case will be able to identify the people investigated and will have to destroy his/her correspondence document at the end of the survey.

The interviews will have to be coded as follows: initialsOfTheInstitution_InitialsOfTheCountryInvestigation_CodeOfActor_InitialsOfTheResearcher_number1to10

All files containing personal data will have to be destroyed upon the closure of accounts by the Commission.

2.4 Analysis

The CONSIDER project has a twofold approach. On the one hand, a theoretically informed normative analysis is to be performed in order to test hypotheses. These hypotheses address the roles and meanings of public norms and values within processes of CSO participation in research projects. , a subject of the study hardly reflected in scientific literature. On the other hand, the project has a strong explorative character. It will need to develop theoretical generalizations from empirical observations and come up with empirically grounded hypotheses on the conditions of different forms and effects of CSO participation in research. This two-sided approach poses a great challenge for the analysis of the empirical materials. The research team will need to look for previously defined parameters and at the same time be open to all kinds of possibly relevant pieces of empirical information constructing the social reality of CSO participation. During the process of empirical analyses, further pieces of information and hypotheses will be given by the ongoing theoretical discussion and by workshops conducted with relevant stakeholders from the CSOs, politics or science..

> **Codes and coding**
>
> In qualitative social sciences codes are a segment used to identify relevant phenomena, objects, concepts etc in empirical materials. They are attached to a single word, a sentence or a chapter in a document but can also applied to audio or video sequences. Depending on the research question and the design of a study the coding process should vary. The Grounded Theory produces codes by staying close to the empirical materials. After several processes of analysis and comparison a more abstract theoretical explanation of the observed phenomena is constructed. Topic related coding also starts from the empirical material but is not interested in discovering new relations between different objects but seeks to find out what the relevant topics are. Mayring's content analysis uses theoretically predefined codes which then are sought in the materials and redefined in a further process. The typological analysis uses ideas from Grounded Theory and topic related analysis. It aims at identifying idealized interrelations between different factors which can be found after several analytical steps. (Kuckartz 2007:71-106)

2.5   Plan Validity

Yin suggests undertaking several tests to check the validity of the planned study (table 1). Most of them are covered by the suggested case design, the data collection and analysis strategies. However, others are too positivistic for this kind of explorative study that not only tests and redefines hypotheses but also develops new ones from the empirical analysis (Diaz Andrade 2009: 47-50).

Tests	Case Study Tactic	Phase of research in which tactic occurs

Construct validity	Use multiple sources of evidence	Data collection
	Establish chain of evidence	Data collection
	Have key informants review draft reports	Composition
Internal validity	Do pattern matching	Data analysis
	Do explanation building	Data analysis
	Address rival explanations	Data analysis
	Use logic models	Data analysis
External validity	Use theory in single case studies	Research design
	Use replication logic in multiple case-studies	Research design

Table 2 (Yin 2009: 41)

The suggestions in the first row of the table fit with the rationale of the project and can be confirmed. CONSIDER derives initial data from the two surveys. We will then collect many documents from all kinds of actors involved in each case. In awareness of the given contexts and project related data, the Consortium will gather data by conducting interviews and ethnographic observations. Finally, relevant individuals from the network of interested CSOs will be asked to review the results of the analysis and to discuss them during upcoming workshops.

The Consortium also complies with the guidelines in the second row of the table. Coming from the normatively derived parameters, the theoretical discussion will recognise patterns of CSO participation in research. These patterns will be compared to the insights from the empirical analysis. By means of this approach, deficits in the empirically found explanations and in the theoretical explanations of the targeted phenomena are discussed and improved. Both sets of explanations obviously follow a logic based on scientific ideas and methods.

Only Yin's demand to achieve external validity by using replication logic does not fit with CONSIDER's approach. The project is interested in developing a typology of CSO participation. Therefore several different sets of hypotheses and explanations need to be found. Contradiction is one key

element. Of course, replication is necessary to secure the theoretically and empirically informed hypotheses and is sought by applying the theoretical parameters from the beginning of the study on. Yin's idea behind a multiple case study analysis is to objectivise scientific findings whereas CONSIDER intends to explore an unknown field. It ensures validity by contrast under the condition of sufficient empirical replications for each prototype within the typology.

2.6 Study Limitations

The CONSIDER project is an explorative study. It intends to test and refine hypotheses from existing theoretical literature and to intensively explore case studies selected according to subjectively determined criteria. Its results are not representative in the sense of quantitative social science but it achieves relevance with respect to an issue, which is determined by the question and the concepts derivable from it. Instead, it wishes to gain a deeper understanding of the social reality of CSO participation in research, describe the deficits of the practices and make suggestions on how to overcome these. Its major challenge lies in the quantity and complexity of empirical data. However, well-organised research which strives for mutual information exchange between the participants throughout the analysis can deal with that. Besides meetings of the project general assembly, the consortium is planning several meetings to exchange and improve cooperation. One central meeting will focus on training to enable all relevant contributors to handle methods of data collection and data analysis in a consistent and robust manner.

2.7 Reporting and Schedule

Deliverable	Task	Month of project	Date	Leadership
	Write and test Survey 1	4	May 2012	LU
	Send out Survey 1 to 9297 projects	5	12/06/2012	LU
	Non response follow-up Answering at the questions of some respondents	5,6,7	12/06/12 – 25/08/12	LU
	Contact by phone or mail or email the coordinators of more than 3 projects	6,7	02/07/2012 – 25/08/12	LU
	Contact other national projects	6,7	02/07/2012 – 25/08/12	LU – DMU-KIT
D. 1.2	The theoretical landscape	6	31/07/2012	Namur
	Analysis of survey 1	7,8	27/08/2012 – 14/09/2012	LU + KIT + Namur ?
	Construction of the sample and address file for the survey 2.	8	17/09/2012-21/09/2012	LU
	Create and test the survey instrument for survey 2	8,9	24/09/2012–25/10/2012	LU

	Send out the questionnaire	9	29/10/2012	LU + ?
	Follow-up	9,10,	29/10/2012 - 31/12/2012	LU
	Collective training on methods for data collection and analysis training (and work on the interview and observation grids, and analysis)	10	November 2012	LU + KIT
	Finish Pretests of case studies; Analysis and define the case study	10	November 2012	LU + KIT
	Selection of Case Studies	11	31/12/2012	LU + KIT
D. 2.2	FP 7 Survey Report	12	31/01/2013	LU
D. 3.1	Framework for comparison of theories of CSO participation in research governance	12	31/01/2013	DMU
	Start of Collect documents, conduct interviews, ethnographic observations	13	01/02/2013	LU, DMU, KIT ??
D. 1.3	Analytical Grid	13	28/02/2013	Namur
	Start of Analysis of empirical materials	16	April 2013 –	LU + KIT
D. 1.4	Governance Models	17	30/06/2013	DMU
D. 3.2	Report on the analysis of theory and practice of CSO participation in research governance	24	31/01/2014	Namur
D. 2.3	Main Findings Report	28	31/05/2014	LU
D. 3.3	Model of CSO Participation in Research Governance	30	31/07/2014	KIT

Table 3

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4 Appendix

4.1 Invitation email

Subject: Request of information on your FP7 project

Dear [FirstName] [LastName],

Your experience as a coordinator of the [ProjectName] project will greatly assist us in our project.

My name is Martine Revel and I am leader of a research project called CONSIDER (Civil society OrgaNiSation In Designing rEsearch goveRnance) which is, as yours, EU funded (FP7, Collaborative project, GA n°288298 http://www.consider-project.eu).

CONSIDER is interested in the participation of Civil Society Organisations (CSOs) in research. To this end, we are interested in FP7 projects and especially in the membership of their consortium in order to understand the extent of CSOs involvement**. The CONSIDER project is currently surveying all FP7 research projects to identify those involving CSOs and to understand the benefits and limitations of CSO involvement in research.**

In order to inform our investigation we believe **your input as coordinator of an FP7 project in our research is important.** Your knowledge and experience will be central in helping us meet the aim of our research investigation. We are therefore asking you to complete our online survey which should not take you more than **5 minutes** to complete. The answers will be confidential. Your name or any other personal identifying information will not appear in any publications.

To take the survey, please click on this link:
http://www.limesurvey...

This link is uniquely tied to this survey and your email address. Please do not forward this message because it will not match. **If you are not the person in charge** of the project called [projectNAME] please click on this link [http://limesurvey…], then you will be able to specify the details of the person in charge of the project.

Thank you very much for taking the time to support this research.

Kind regards,

Dr Martine Legris Revel

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4.2   Confirmation email

Subject: Confirmation of your participation in our survey

Dear [FirstName] [LastName],

Thank you for responding to our survey titled Civil Society Organisations in FP7 research projects. Your response has been saved.

You can follow up our research project at: http://www.consider-project.eu/

If you have any further questions about this survey or the project, please contact me at martine.legris-revel@univ-lille2.fr

Best regards,

Dr Martine Legris Revel

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4.3   Web Survey

Dear [FirstName] [LastName],

We would like to ask you few questions about your project [ProjectName] and its consortium, specially on the participation or not of Civil Society Organisations (CSOs). By CSO we mean non-governmental, not-for-profit organisations that do not represent commercial interests and pursue a purpose in the public interest (for example NGOs, cooperatives, associations, grass-roots, mutuals, foundations, think tanks and umbrella organisations).

CONSIDER (Civil society OrgaNiSation In Designing rEsearch governance, FP7, Collaborative project, GA n°288298 http://www.consider-project.eu) is interested in the participation of Civil Society Organisations (CSOs) in research. To this end, we are interested in FP7projects and especially in the membership of their consortium in order to understand the extent of CSOs involvement. **The CONSIDER project is currently surveying all FP7 research projects to identify those involving CSOs and to understand the benefits and limitations of CSO involvement in research.**

This survey will take less than 5 minutes. Your participation in this study is entirely voluntary. The answers will be confidential. Your name or any other personal identifying information will not appear in any publications resulting from this study; The information gained from the questionnaire will only be used to meet the research objectives and other research related matters such as discussions, conference, journal and book publications. Any information related to you and used in these aspects will be anonymised.

By filling in this survey you indicate that you understand its purpose and consent to the use of the data as indicated above.

Thank you very much for taking the time to support this research.

Q0. The questionnaire will be about the membership of the consortium. If you are not the person in charge of the FP7 project (or able to answer at those questions), can you complete those fields with the information of the person who will please:
Mr
Ms
First name: _____
Last name: _____
Email: _____
Telephone: +_____

Q1. Is/was there any Civil Society Organisations (CSO) participation in your research project [NAME PROJECT]?
Yes
No
I don't know

Q2 *If No at Q1:* Did you think about involving CSOs in your project ?
Yes
No

Q3 *If no at Q2:* Why not? (Multiple choices)
There is/was no CSOs available
I don't/didn't know any CSOs
It might compromise scientific validity of the project
I never thought of it
We didn't have time to contact CSOs
It's/was not required
The ethical/social issues are covered within the team
No previous experience
The project is/was too confidential
Other : _____

Q4 I*f yes at Q2:* why didn't you do it?

We didn't have enough time to contact CSOs
We didn't find relevant CSOs
We didn't find CSO contact
Someone from the consortium disagreed
We didn't know how to involve them
Other : _____

Q5 *If yes at Q1:* What is/was their role? (Multiple choices)
Setting the research project agenda
Steering of the research project
Providing funding
Member of the research team
Contribution to publications
Providing expert knowledge
Bringing in local knowledge
Facilitating information
Representing local community
Living lab
Validation/discussion or evaluation of the results
Other : _____

Q6. *If yes at Q1:* What are the CSO's names?
_____

Q7. Can you provide us with the URL of your project?

Q8. *If yes at Q1:* We will be undertaking more detailed research of projects that include CSOs. If your project does include CSO input, would you allow us to contact you for more information?
Yes
No

Q9. Do you have any comments about this questionnaire or our research?

Thank you for your participation.