CIVIL SOCIETY ORGANISATIONS IN DESIGNING RESEARCH GOVERNANCE

D 2.2 FP7 Survey report

CONSIDER Project

(GA number 288928)

Deliverable D 2.2

January 2013

Authors

Martine Legris Revel

Emilie Spruyt

Thomas Soubiran

Lille University - CNRS

Quality Assurance:

	Name
Review Chair	Philippe Goujon
Reviewer 1	Bernd Carsten Stahl
Reviewer 2	Simon Pfersdorf

Executive Summary

The CONSIDER project aims at building **a model of CSO participation in research** by contrasting theoretical views on benefits and limitations with empirical findings. The project explores the dynamics of participation in research and investigates the characteristics of CSOs which participate in research.

The strategic objective of this deliverable is to report data collection processes and questionnaire analysis of all FP 7 projects referenced in the European Commission Database "Cordis". The deliverable includes two different surveys, one more than originally planned in the DoW; the first one was sent to 14 000 FP7 project coordinators and we received 2959 completed responses. Our response rate is 21%, which is a good one.

Then 414 out of the 455 FP7 coordinators that acknowledged CSOs participation in their research project and agreed to further participate to the survey, were sent a second questionnaire, and we received 162 responses completed. Finally we asked those 162 respondents if they would give us a contact of one CSO partner of their project. We then sent our second questionnaire to 78 FP7 projects CSOs contact and we have already received 12 responses.

This deliverable aims at **reporting empirical data collection in the light of the theoretical background** presented in deliverable 1.2 and according to our methodology definition and observation tools defined in deliverable 2.1. Our data collection strategy is focused on primary data through a grid based questionnaire[1] sent by email to all FP7 project coordinators present in the Cordis database on the first of March 2012.

This deliverable **contributes to develop an understanding of the pertinent aspects of CSOs participation and plays a part in the identification of CSOs engagement rules and patterns in research**.

The main results show that the decision not to resort to CSOs in one consortium of research is not directly linked to a positivist vision of the scientific validity. It seems more bound to the existing funding scheme and to the fact that it is simpler for certain research teams to escape CSOs integration, because the planning of the project and the modes of collaborative work can turn out complicated. We also demonstrate that CSOs involvement in research is still embedded in a rather classical normative setting of research as to their role and attribution. FP7 projects have certain characteristics (length, international collaboration, funding scheme, evaluation, etc) that frame the working and communication context of each research team. Only a third of our CSOs including teams sample are likely to adopt a collaborative working organization and thus to act in a participative governance model.

[1] Our questionnaire is based in an analytical grid parameters (D 1.3), and framed in a global literature survey (theoretical background D1.2)

This first stage of data collection will be further completed with first another reminder to some non respondents, and second if necessary with another set of quantitative surveys sent to all EPSRC (British Engineering and Physical Sciences Research Council) project leaders, following the same data collection process we used with FP7 projects, in order to be able to compare our findings. Thanks to our survey results, **our analysis will be better settled and will get more pertinent information to construct our comparison of theories and CSOs' participation in research governance** (deliverable 3.1). In a second stage, 30 case studies will be done and analysed, and the main results will be reported in deliverable 2.3 (Main findings report).

Table of Contents

1 Introduction

For the last 15 years studies dedicated to the participative or deliberative democracy and to the devices recovering from this new ' deliberative imperative ' (Blondiaux, Sintomer, 2002) have multiplied. To address the limits of the representative systems, more and more political systems would be equipped with procedures to associate the citizen in the public decision making.

It would, however, be reducing to associate its " participative " or "deliberative" bend in the political universe only. Other spaces a priori more unwilling in the intervention of this ' civic world ', as the very universe of science, open in these questionings (Wynne, 1992;Callon, Lascoumes and Barthe, 2001; Callon, 2006). Self regulation of science, is not enough in modern societies because of the inner tensions and outside pressures present and because of the societal impacts innovation may produce (i.e. : nanotechnology, GMOs, Nuclear waste etc).There is a normative challenge of integrating science in society, through citizen's and CSOs' participation.

A gap between the scientific universe and the civic universe has emerged, even if science was never completely separate. To engage a science – society dialogue, a set of research devices appeared which grant to the civil society organisations different roles: scientific agenda setting conceptor, and societal impacts evaluator; increasing of the social acceptability of the science; object and subject of the transformations introduced by the scientists ;represented by the very researcher; or urged to contribute to parity with the researchers in a 'collaborative research' (Hackett and alii, 2008).

This citizen participation in the scientific approach has however until now essentially been studied from a very prescriptive perspective (Pestre, 2011).

The purpose of this deliverable is to analyze more globally the contemporary modes of CSOs participation in the scientific research by gathering a set of empirical data **considering how CSOs are currently acting in research**. Building on the theoretical basis for the empirical study of CSO defined in deliverable 1.2, this survey of all FP7 projects across all areas of research determines the current landscape of participation practice. It has been implemented via an online survey (Limesurvey.org).

CONSIDER has decided to study all FP7 projects instead of concentrating on particular areas funding methods or disciplines, because only a comprehensive coverage of all research projects going on in the Seventh Framework Program will allow the development of comprehensive deadlines for the relevant stakeholders.

Thanks to European Commission services and to our Project Officer, we got an extract of the Cordisdata base containing project details and coordinators contacts.

The consortium has specified the research question further:

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

WP2, the WP in which the present deliverable is located, has the task of realizing an empirical study of how CSOs are acting in research. This deliverable, D2.2, is the first step.

2 The theoretical background for empirical data : reflexivity and normative framing

Our research problem is based on the hypothesis that there are a variety of practices of CSO participation in research governance. Participatory action research, as well as collaborative planning or technological assessments for instance are very different ways of including Civil Society Organisations in research projects. Still, we infer from the literature, especially from science studies and philosophy, that the participation of CSOs in research is embedded in a set of assumptions and procedures which affect the achievement of internal or external expectations.

In the theoretical landscape (D1.2), we demonstrated that the empirical study of CSOs participation in research project ought to be framed in a normative analysis, as it is the most pertinent way to overcome the two main research challenges that the CONSIDER project will have to meet.

First there have already been many studies on research governance, trying to assess different modes of consultation. In order to reach this objective, many sets of indicators have been chosen. But on which ground ? They are usually described as contextual, or empirical validity. Since those justification raise several issues are they are not embedded in any theoretical landscape. The second is the ability of the project to provide an empirically sound model of CSOs participation.

To overcome the first challenge,"with the various key parameters analysed from theory, we get contextualised parameters that are pervasive in the theoretical landscape. It clarifies the key concepts that will permit the selection of grid parameters and the interpretation of actual practice according to our question" (D 1.2 p 2). We decided to follow a normative framed analysis of the various forms of CSOs participation, in order to develop internal reflexivity.

We summarize here D 1.3 developments. Normative analysis usually moves from a) objective description to b) value and judgment of evaluator. But norms pervade description analysis and evaluation (objective and subjective are problematic). The meaning of a norm applied to a specific context (i.e : CSOs participation in research governance) arises from a pre-determined background, and this background must be questioned otherwise the perception of the norm is not seen, or at least influenced.

This means that we shall include in our mode of investigation the following three points :

- acknowledging cognitive framing,

- the role of reflexivity (self awareness of condition of the framing, analyst/analysed point of view)

- Recognizing that outputs in the analysis are within a framing (context constructed, norms driven from actors to actors). (see page 4 D1.2)

The second challenge will consist of the intertwining of this normative setting, which suggests the construction of parameters derived from the analytical grid, that will lead to patterns definition and research governance model construction, with the grounded theory approach, defined in this project as an open research methodology more than an a theoretical disposition of the researcher (see D 2.1 and D 3.1 on this point).

Thanks to our contextualized parameters, we did construct our questionnaire following a specific normative framing : reflexive governance. Our questionnaires are thus based in the theoretical background review. Our survey data are also interpreted in interaction with the analytical grid as well as new discoveries.

2.1 Questionnaire design main steps

Theoretical landscape (D1.2) and Analytical Grid (D1.3) are the main steps that lead to the questionnaires construction. In this part we want to highlight the analytical steps that contributed to make sense out of the data in relation to the research question and hypothesis in our project.
These two deliverables represent the project's view of current theoretical perspectives on the role of CSOs in research governance. Our research question focuses on actors' expectations definition and fulfilment about public interest and norm construction process when they do research projects. Integrating norms and values construction processes while doing research projects, in terms of expectations, drive us to consider the relationship between research governance (as a way of reaching or managing expectations) and the means of expressing interest (public interest). To get information from the project coordinators, about their involvement in research projects including civil society organisations, their motivation and expectations in doing so, we built two different questionnaires.

The initial questionnaire was very short and it was designed to first identify the one that collaborate in any way with a CSOamong all FP7 projects. The follow-on survey, only sent to [2]projects coordinators of declared participative research projects, was defined in accordance with a number of analytical parameters informed by our theoretical landscape definition and by the Analytical Grid.

These are :

Norms & Values	What norms? Whose?	What values? Whose?	Presupposed, ignored, excluded, constructed?	
Expectations	Of researchers	Of CSO participants	Of funders/ and other stakeholders	
Governance approach	Hierarchical, consultation, co-construction?	Aggregative, deliberative, dialogical?		
Public interest	Cui bono?	How is it *progress* rather than simple sectoral advance?	Capacitation[3]	
Means of expressing interests	Mode of participation? Dialogue? Round table, focus group, questionnaire?[4]	Impact: when are the means deployed – start, during, end, throughout?	Open ended or discrete?	Conflict resolution mechanism?

[2]Here participative research projects refer to project including CSOs.
[3] 'Capacitation,' here is used as a broad term alluding to the Louvain school as discussed in deliverable 1.2. It is related to learning, the general ability and disposition to assess and evaluate norms. Other terms such as 'empowerment' are relevant, but don't capture the generality here in that being empowered in a context implies that context's being known. Knowledge of the context in this sense is part of our exploration.
[4] See Fung, A, *Varieties of Participation in Complex Governance*, for a fuller discussion of these sample modes (http://www.archonfung.net/papers/FungVarietiesPAR.pdf), as well as CONSIDER D1.2, *Theoretical Background*.

Research and its background	Funding source, aims, intentions?	Political context.	CSO involvement *for what*? (cf. The Cardoso Report[5])

The questions in the initial questionnaire and the follow-up questionnaire were categorized according to those parameters, as well as the case study protocol.

As actors may not be aware of all parameters we are investigating like norm construction processes for instance, we need to build a methodology that is not only grounded on responses or discourses alone and this is why we also planned 30 case studies.

3 Data collection methods and the population

It is important to notice that the first step, the survey of all FP7 project has been split up into two steps, an initial brief survey of all FP7 projects to be followed by a second more detailed survey of those projects that indicate a willingness to contribute further.

A first extraction from CORDIS was given to us with all the data recorded in October 2011 thanks to our Project Officer. As the CORDIS database is uploaded every six months, we have obtained the latest version in April containing every FP7 projects.

In order to ensure the efficiency of the websurvey a first task consisted to check and modify if required the coordinators' information.

3.1 Global survey process

The global survey on participation practice includes three stages: first an initial survey including a short questionnaire sent to all the FP7 project coordinators, second, the second questionnaire sent to the project coordinators having answered the initial study by indicating the presence of CSOs in their project and acceptor to be contacted again, followed by the sending of a version adapted by the second questionnaire sent to the CSOs members participating in the project (email address of which were communicated with us by the project coordinator at the end of the second questionnaire), and finally a set of case studies which will begin in the next months and thus the results will be reported in the deliverable 2.3.

Sending the questionnaire to two different people per project (project coordinator and CSO member) allows us to focus on the normative construction of people's expectations. **It enables us to cross their social representations of CSO roles and thus to address the implicit normative framing issues**.

[5] http://www.staff.city.ac.uk/p.willetts/PUBS/GG-2006.HTM

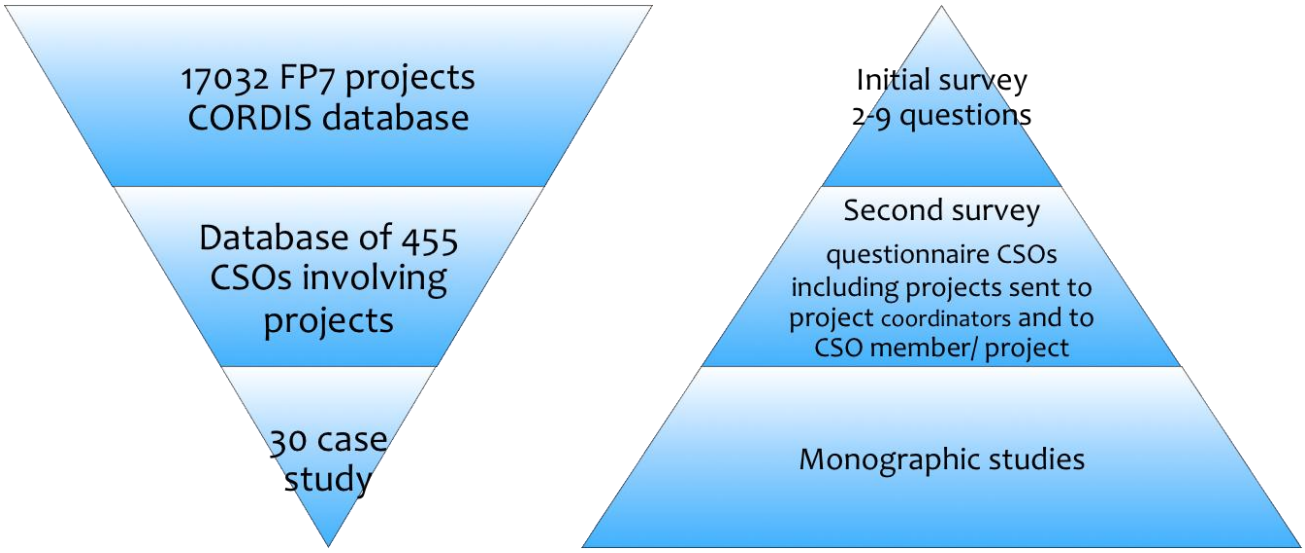


Figure 1 : Global survey process

3.1.1 The initial survey (survey 1)

Objectives :

- Determine the current landscape of participation practice in FP7,
- Identify projects open to CSO participation.
- Identify potential members of the network of Associates.

This initial questionnaire was very short (5 questions maximum), in order to get the best answer rate as possible. It actually fulfilled this objective.

Civil society is inherently difficult to conceptualize and operationalize. The elusiveness of the civil society concept, along with the huge amount of literature available, for instance see Van Roy, 1996, led us to give a general definition of Civil Society Organisations (CSOs) in the introduction to our first questionnaire. This definition is :“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)”.

Wording of the questions:

1 Is there any CSO participation in your research project (as research partner or as part of the research)?

2 *If the answer is no* :Did you think about involving CSOs in your project ?

2.1 *If the answer is no* :Why not ?

noCSOs available
I don't know any CSOs
might compromise scientific validity of the project
never thought of it
no time to contact CSOs
not required
the ethical/social issues are covered within the team
no previous experience
project too confidential
Other

Table 1Initial survey question 2 a "why not"responses' items (multiple choice question)

2.2 if the answer is yes , why didn't you do it ?

3. If the answer is yes

What is their role ?

setting the research project agenda
steering of the research project
the funder
member of the research team
contribution to publications
providing expert knowledge
bringing in local knowledge
facilitating information
representing community
living lab

validation/discussion or evaluation of the results
Other

Table 2 initial survey question 3 (multiple choice).

What are the CSO's names ? Do you have a website we could look at ?

Would you be willing to answer further questions at a later stage or do you know anyone who may be interested ? (contact details)

3.1.2 Follow on survey (questionnaire 2)

The second and more detailed survey was sent to CSO including projects only (as declared by the project coordinator in his responses to the initial survey). We sent this more detailed questionnaire to every project coordinator who claimed CSO participation, and when possible to another team member, belonging to a CSO. It includes quantitative and qualitative data as well (open responses), requiring different data analysis strategies.

Objectives :analyse CSOs activities in research, where they are taking place, in what manner, and within which limits. Contribute to the identification of patterns and critical variable of CSOs participation.

The questionnaire grid was designed according to Analytical Grid (D 1.3). It figures in annex B.

3.2 Data preparation and collection

3.2.1 Data preparation

The first phase of data collection aims at surveying FP7 projects recorded in the CORDIS database. Data files were shipped with information about the projects (such as their acronyms, start date or abstract) and contact information (name, email and phone).

FP7 being a European program, projects contacts are scattered throughout the Union and beyond. Therefore, the Internet seemed the easiest and most practical way to get in touch and having them answering the questionnaire.This was achieved using a version of the Limesurveyopen source online questionnaire manager hosted on one of the Lille 2 University server.Persons in the contact list received a personalized invitation based on the available CORDIS data explaining the purpose of the survey and giving an url from where they could answer questions regarding their projects.

But contact addresses and names had first to be "cleaned up". Besides typing errors and inserted formatting characters, some contact fields contained more than one email address and had to be separated. In addition, some last name and first name had been inverted. They had to be put back in order and this was done using Perl scripts. This step was necessary because invitations were personalized using those fields.

It then appeared that about 1,500 contacts were associated with more than one project (maximum being 150) and, in all, they sum up to almost 5,000 projects (see figure 2 below). In several cases, it seems that the address points to a generic address or an institutional position (no name in the local part of the address).

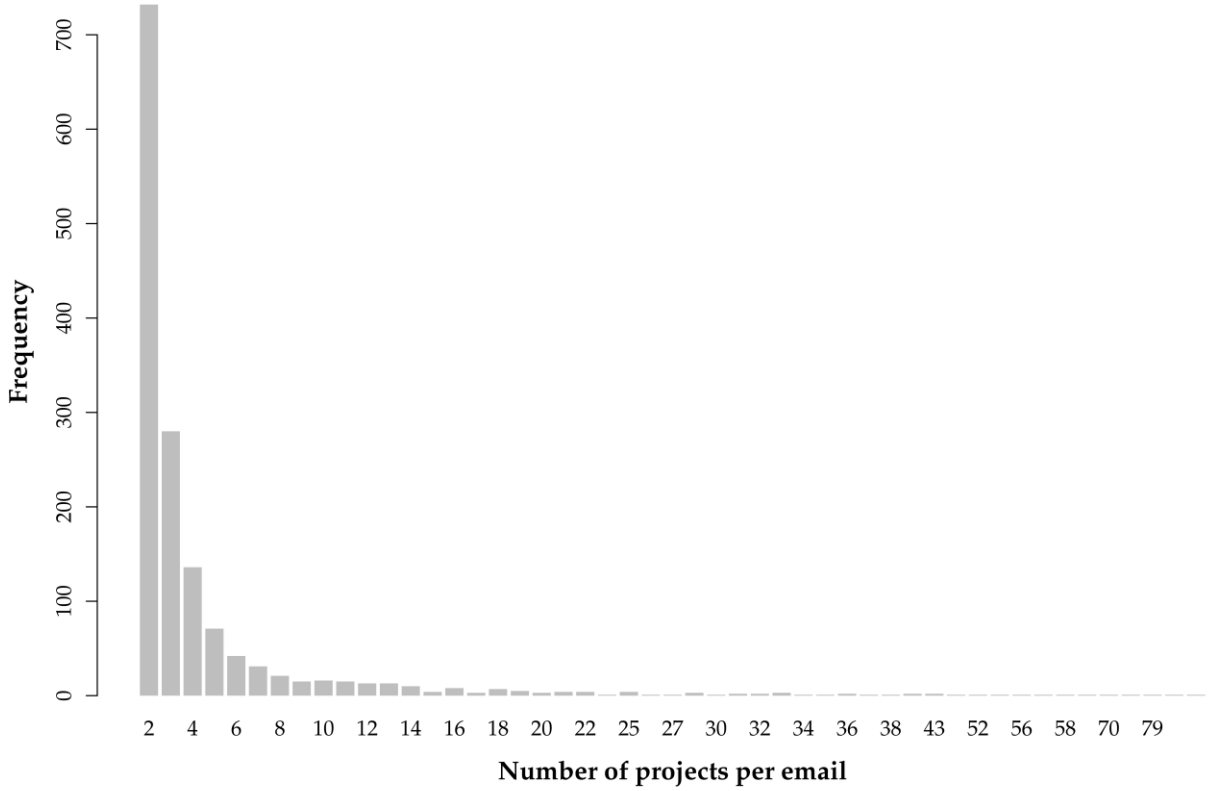


Figure 2 :Email addresses tied to several projects frequencies.

For practical reasons, the list was therefore divided into two parts. Persons tied with up to three projects were asked to answer to one questionnaire per project. For cases above the selected threshold, a simplified version of the questionnaire was created with all the projects appearing in the same questionnaire. This modified version required tricking Limesurvey into handling heterogeneous number of questions between respondents using some Javascript to fill ragged arrays that were transformed into regular Limesurvey Q&A structures.

Generic addresses were a clear hint that some of the contacts were not coordinators of the projects. Thus, the questionnaire started with a question asking whether the person was indeed the project coordinator and, if not, he or she was asked to give the coordinator contact information.

The token list was then updated on the fly once the survey started as new contacts were provided by respondents.

Other issues with the contact list surfaced at various stages in the course of the survey. For instance, there is no one to one correspondence between name and addresses. Some persons gave several addresses and some addresses were associated with several different persons. In addition, some names were spelled differently from one project to another. This was often the case with people whose name contains diacriticals symbols (such as á, à, ä, é, í, ń, ó, Ö, etc.) which sometimes were written as such and sometimes were substituted with their ASCII characters counterparts. Some addresses did not point to person or position but to moderated lists.

Hence, for all the aforementioned reasons, uniquely identifying all the persons in the database turned out to be impossible.

There was also a concern that some of the addresses were invalid because of all the errors found.

In theory, email address can be checked through the SMTP protocol by issuing certain requests to the SMTP[6] server the address binds to. But in practice, sysadmin (or spamfilters) often set response to this kind of query to either true or false for security reason. Results are thus unreliable and the only remaining way to tell if the address were valid was to send emails and see what happens.

Since persons in the contact list might not be FP7 coordinators and email might not be valid (and other reasons mentioned below), the contact list has to updated dynamically either between or during interrogation waves. As a consequence, the "true" response can only be computed once the survey will be completed.

3.2.2 Data collection

First wave of initial survey (questionnaire 1)

The first wave of mailing started on the12th of June 2012. As usual with web surveys, most answers came shortly after the posting of the survey. But the people contacted turned out to be especially diligent when responding. 500 answers came to the questionnaire within two hours and 1,000 just after one day. Then, the response rate decreased very rapidly over time (-see Figure 3 Kaplan-Meier survival curve estimates[7] in figure 3 top panel). When the first wave was halted, over 1,700 persons had answered the questionnaire (redirections included) and 255 FP7 projects willing to take part to the second phase of the survey had been identified.

6 Simple Mail Transfer Protocol (SMTP) is an Internet standard for electronic mail transmission across Internet Protocol (IP) networks. It was first defined in 1982 by RFC 821 and is one of the most widely used email transmission protocol.

7 Kaplan-Meier curves empirically estimates the "survival" function *S(t)*, that is the probability that individual "survives" at least to time *t* (-ie: the probability that an individual have not known an event before *t*). It basically amounts to compute the proportion of contacted persons that have not answered the questionnaire before time *t*. Standards errors shown in the plot where computed using Greenwood's formula. Note that the sake of comparison, the graph for the first wave of interrogation was "scaled", that is to say that the survival function was computed for the minimum duration of both waves (56 days).

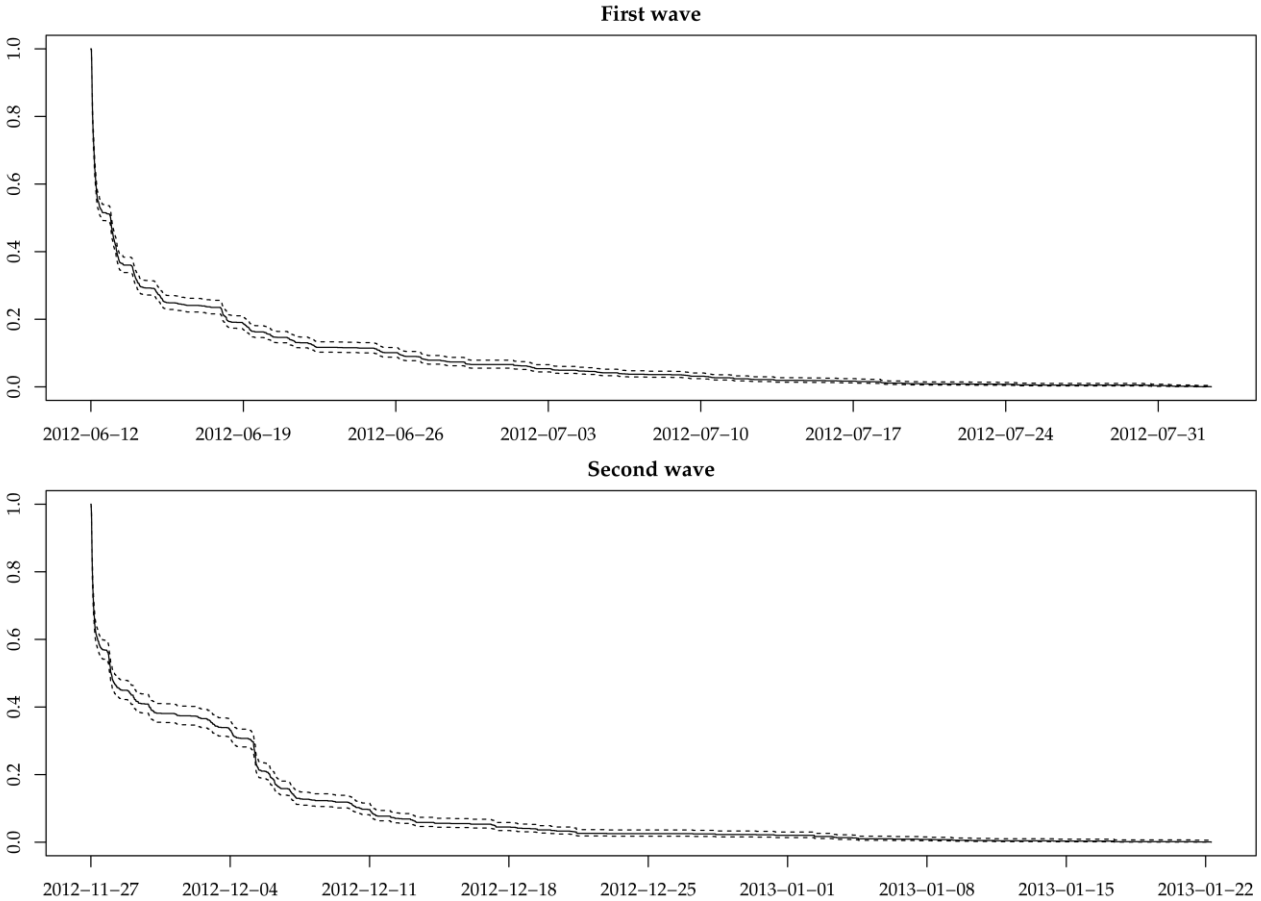


Figure 3:Kaplan-Meier estimates of response survival curve for wave one and two of the first questionnaire.

But, in addition to the questionnaire answers, this first mailing also generated over 1,000 email answers of various kinds (see Table 3 below).

Various e mail answers	count
Acknowledgement of receipt	21
Do not wish to participate the survey	4
ERC grant	1
Further details required	12
Invalid email address	565
Marie Curie grant	7
Moderated list	1
No consortium	3
No CSO	11
On leave	39
Out of office	327
Project already terminated	2
Project cancelled	2
Redirection	39
Technical problems	2
Wishes to get information on the results of the survey	5
Wrong coordinator	13

Table 3 : Answers to first wave classification

Most of those answers were automatically generated answers, either out-of-office replies, redirection to another address for people who have changed position or were retired, status messages from moderated list or undelivered messages notifications. Some answered that no CSO took part to their project or that they were not the project coordinator without filling the questionnaire or claimed that the project was canceled. Other did not wish to take part to the survey. There were also a few Marie Curie grants that had to be removed from the contact list.

Once those email answers were classified, matching them back with the original contacts turned out to be a very tedious and difficult task. SMTP messages are notoriously known to be hard to parse programmatically. Using messages headers and the metadata it (might) contain per RFC specification to track conversations is hard in practice when dealing with messages coming from hundreds of servers (and just as many configurations) using dozens of different SMTP servers implementations.

When possible, tokens sent with the invitation to participate to the survey were extracted from the body of messages. But the original message was not always attached to the answers (this was especially the case for automatically generated answers). In those cases, the only thing left was to parse the addresses contained in the message header. But exact

matches were impossible for almost a hundred cases. This was mainly due to mail redirections where local part of the addresses and|or domain names were different. In some cases, match failed because of changes in the domain name (for instance, one was promoted from *.de to *.org). Those messages were match with Perl scripts using various parsing strategies based on global or partial matches on either local part or domain name of the email addresses.

Second wave of questionnaire 1

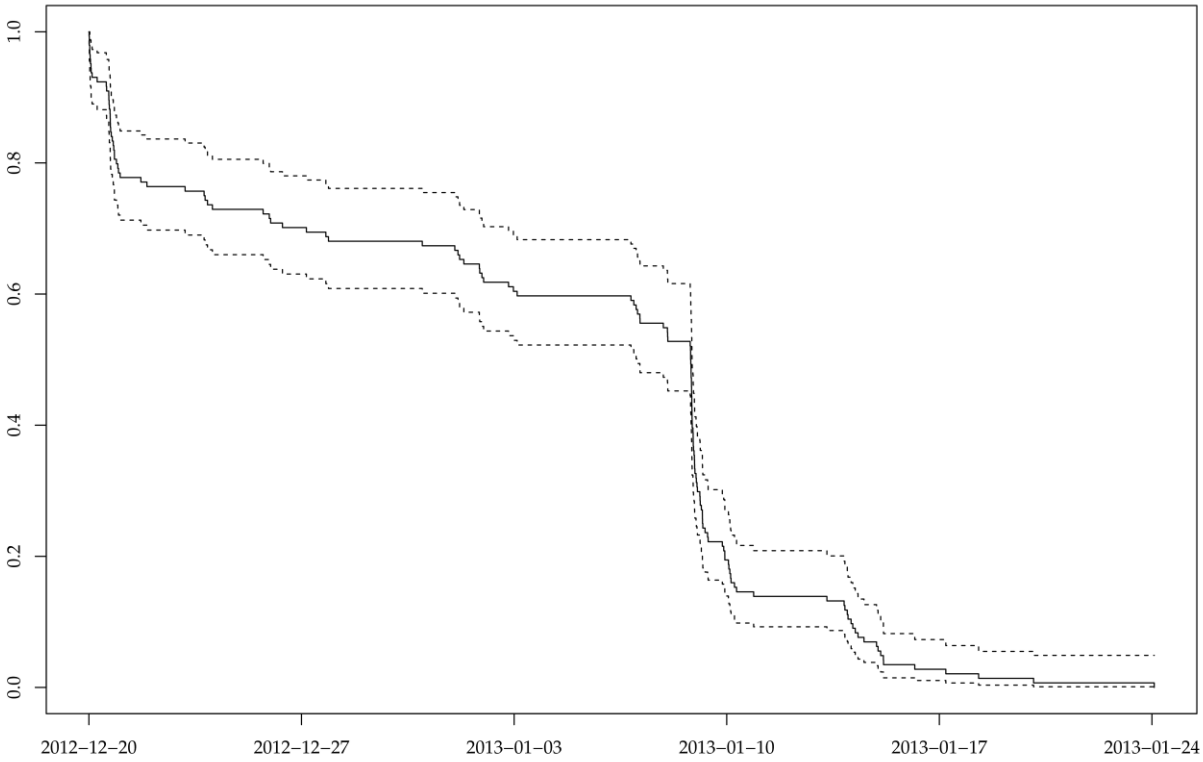
Finally, over 600 contacts were removed from the original list for one reason or another. About 350 contact information fields were also updated based on the answers to redirection questions. Second wave started on November 27th 2012 and answers came at a slightly lower rate than the first one (Figure 3 bottom panel), both curves nonetheless follow a similar trend. The main discrepancy between the curves appears on December 4th 2012 and was caused by a batch update of the contact list from redirections gathered from wave two.

As of January 28th2013 , almost 1,200 people filled the questionnaire and yielded over 150 additional contacts to projects with CSO.

Follow on Survey (second questionnaire)

The second questionnaire was sent on December 21st 2012 to the 455 respondents who accepted to further participate to the survey. Answers first came slowly (most likely because the invitations were send only a few days before Christmas) and accelerated one week after New Year's Eve.A reminder was sent on January the 9th. As of January 28th 2013, 149 persons had completed the questionnaire and an extra 26 had started answering(See figure 4).

Figure 4 :Kaplan-Meier estimates of response survival curve for wave one of the second questionnaire



We received 162 questionnaires completed out of the 455 questionnaire sent, a 28 % response rate, which is very satisfactory. At the end of this second questionnaire we asked the project coordinator if he would let us know the contact detail of one CSO member of his team. Some project coordinators were CSO members, nevertheless the majority of them weren't. We received 78 new contacts information. We sent another questionnaire to those 78CSO members on the 22nd of January 2013, and received 12 answers so far.

3.3 Sample/ Population

CONSIDER had the opportunity to study all FP7 projects instead of concentrating on particular areas, funding methods or disciplines, because only a comprehensive coverage of all research project going on in the Seventh Framework Program will allow the development of comprehensive deadlines for the relevant stakeholders.

The population itself (FP7 projects) bears boundaries and characteristics (funding schemes, types of call, methodological devices) that cannot reach general representativeness. The aim of the survey is to gain information from diverse disciplines and fields of research, in order to get the scope of existing diversity. This is necessary because our intention in CONSIDER is to identify and analyze the actual participation practice running in research projects.

The research population includes more than 14,000 projects completed during our initial survey and identified form EU Cordis data base, all contacted by email**. We received more than 2,900** answers. Each project coordinator received an invitation e mail containing a link to click. The questionnaire presented the Consider project aims and included an

introductory statement that assured confidentiality and anonymity of the respondent. A confirmation was sent by email.

The FP7 research projects repartition:	Number of projects	Percent
FP7-PEOPLE	5,940	41.90
ERC	2,322	16.38
FP7-ICT	1,388	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
Others projects call	295	2.08
FP7-INFRASTRUCTURES	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	14,175	100

Table 4 :Cordisdatabase extraction of the FP7 projects dated March 1st2012

In this deliverable the respondent names and project titles are not named to **maintain anonymity** according to our statement of respecting legal rules and our own commitment as researchers.

No data will be shared outside the consortium, the data are accessible to CONSIDER team members only, and they are already anonymized.

3.3.1 Who is contributing to CSO participative projects ?

According to our second survey data (second questionnaire, questions 40, 42,43,44,46,48) we can paint a portrait of the coordinators and CSO members of projects and their organizations, what will give us a precise idea of our sample[8].

Project coordinators and CSO members are skilled, and experienced. The median research experience is of 19 years either for both of them. They hold PHDs for 62% of the project coordinators and 50% of the CSO members. They are 50 years old (median), some 30% are 40 years old and less (the youngest project coordinator is 27 years old, the youngest member of a CSO is 30 years old). There is a majority of male among project coordinators (67%). The CSO members' population is more balanced, with still a majority of male among our respondents (52%). The organizations they both belong to are mostly belonging to public and non-profit sector. The private sector is only 16% of the total responses.

The boundaries in terms of education level, skills and experience are thus very thin, and one hypothesis we can already suggest is that **there is a circulation of people between academic spheres and CSOs present in FP7 projects**. We also know from open ended question that a few project coordinators are CSOs members. We might have here very specific CSOs, already trained and used to research matters. This appears when 75% of CSOs members say that their organization engage in other research projects. We will see in our data analysis if this hypothesis is confirmed or not. It also seems that we have an effect of generation, the project coordinators and the members of CSO belong in same age group. They also seem to appreciate their role in the FP7 projects and to be motivated, because 79 % (PC) and 75 % (CSO) of them wish to continue in a similar research. They seem to have a high involvement in the project as we will see in the next section.

The CSOs are rather small units, hiring 5 to 7 people as median value, even if there are bigger associations hiring 200 and more people (foundations for instance). Project coordinators belong to bigger department, hiring for the majority of them 30 people or less. Here again there is a wide range of organizations, some hiring more than 600 people (universities for instance).Ten different organizations compose the median consortiums described in our sample.

The next section present the other data gathered from questionnaires.

[8] Since the survey is still on-going, results presented here are raw uncorrected figures. Data quality will be assessed once data collection is over and analyses adjusted accordingly. One major concern is selection bias, which is common in self-administered questionnaires. But, in practice, selection processes are hard to capture as a whole. Only some aspects can be modelled. For instance, respondents' characteristics might significantly differ from the overall population. In that case, individual selection probabilities are unequal and non-response is not random any more. Thus, based on the CORDIS database, respondents' profiles will be compared with those of non-respondents. If significant differences were to be detected, sample will be adjusted using methods such as post-stratification.

4 Data coming from questionnaire responses

The first, very short questionnaire was sent in june 2012 to 14000 FP7 project coordinators. The second more detailed questionnaire was sent on December 21st 2012 to the 455 project coordinators who accepted to further participate to the survey. We sent this more detailed questionnaire to every project coordinator who claimed CSO participation, and when possible to another team member, belonging to a CSO; in order to be able to cross social representation of CSOs roles and thus address the implicit normative framing (C.f. paragraph 3.1) It includes quantitative and qualitative data as well (open responses), requiring different data analysis strategies.

In this section we refer to both questionnaires on paragraph 4.1 . We then only use the second questionnaire data in the following sections (4.2, 4.3). In order to make it easier to read, we specify in each section first paragraph the question numbers we refer to in our analysis.

The data analysis highlights three main research questions. First what are the main CSOs role inside the research project consortium, and what are the motives for their participation (linked to governance approach and norms and values analytical parameters[9]) ? Second, how is the team work and meetings organized, how do people communicate with each other (linked to means of expressing interest parameters)?

Third, what are project coordinators and CSO members main expectations about project achievements ?

4.1 What for CSOs participation and why are there CSOs included?

Questions responses analysed in this section are :

Initial survey question 1, 2, 3 and 5.

Second survey Question 1, 5, 34 and cross tabulation of question 4 and 13.

When sending our initial survey questionnaire we hoped to find out a proportion of maximum 10% of projects involving CSOs in various ways. We were surprised to find a higher rate. There is a possibility for self selection bias. Our study respondents might be more interested by our research topic (CSOs participation in research project) than the median FP7 project coordinator, and thus be more active in CSOs enrolment. We will be able to clarify this point once data collection is over and analyses adjusted accordingly. Our major concern is selection bias, which is common in self-administered questionnaires. For instance, respondents' characteristics might significantly differ from the overall population. In that case, individual selection probabilities are unequal and non-response is not random any more. Thus, based on the Cordis database, respondents' profiles will be compared with those of non-respondents. If significant differences were to be detected, sample will be adjusted using methods such as post-stratification

[9] Those parameters are detailed in section 2 « the theoretical bacjground for empirical data » in this document.

Was there any CSO participation in your research project ?	Frequency	Percent
Yes	519	21.16
No	1,774	72.32
I don't know	160	6.52
No answer	403	14.11
TOTAL	2,856	100

Table 5 Initial Survey Question 1 responses.

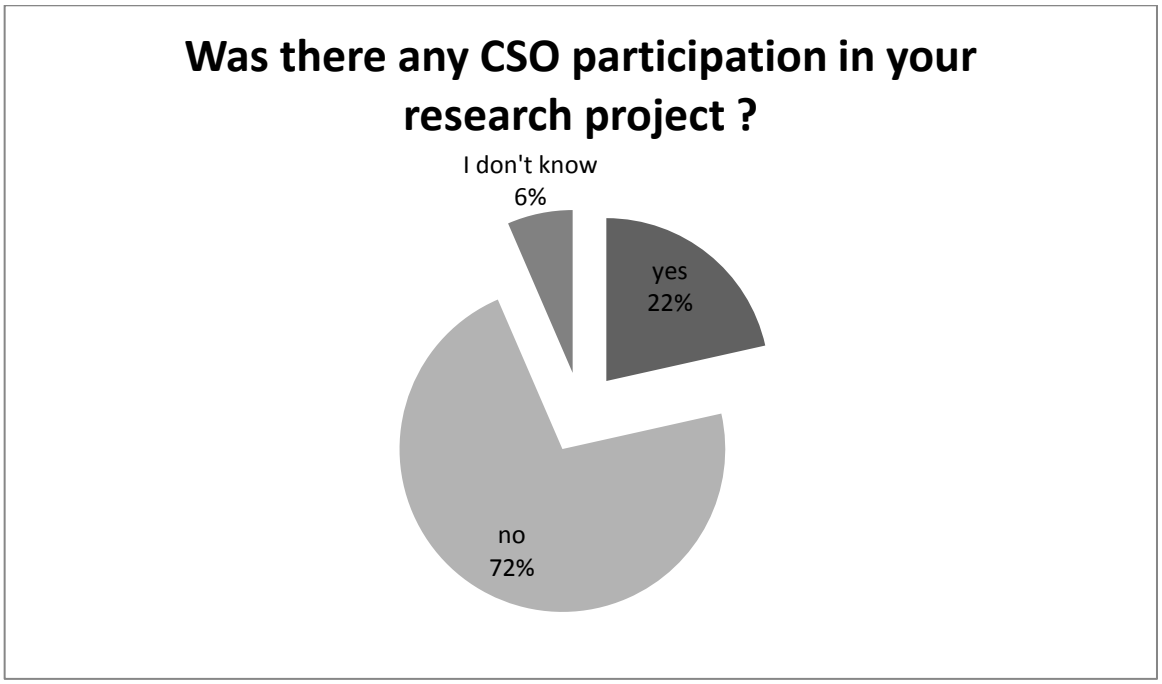


Figure 5 : Initial survey first question responses repartition.

21% of the total number of the respondents says they collaborate with at least one CSO.

The roles of CSOs in the project are diverse, according to the respondent of our initial survey. (multiple choices answer), like figure 6 shows. The main one is **to provide expertise, be a member of the team, results discussion or contributing to publications**. Compared to the CSOs involving project coordinator responses (questionnaire 2), **CSO roles here are more focused on information activities** (local knowledge, facilitating information, contribution to publications). The second questionnaire gives more insights on the role of CSOs.

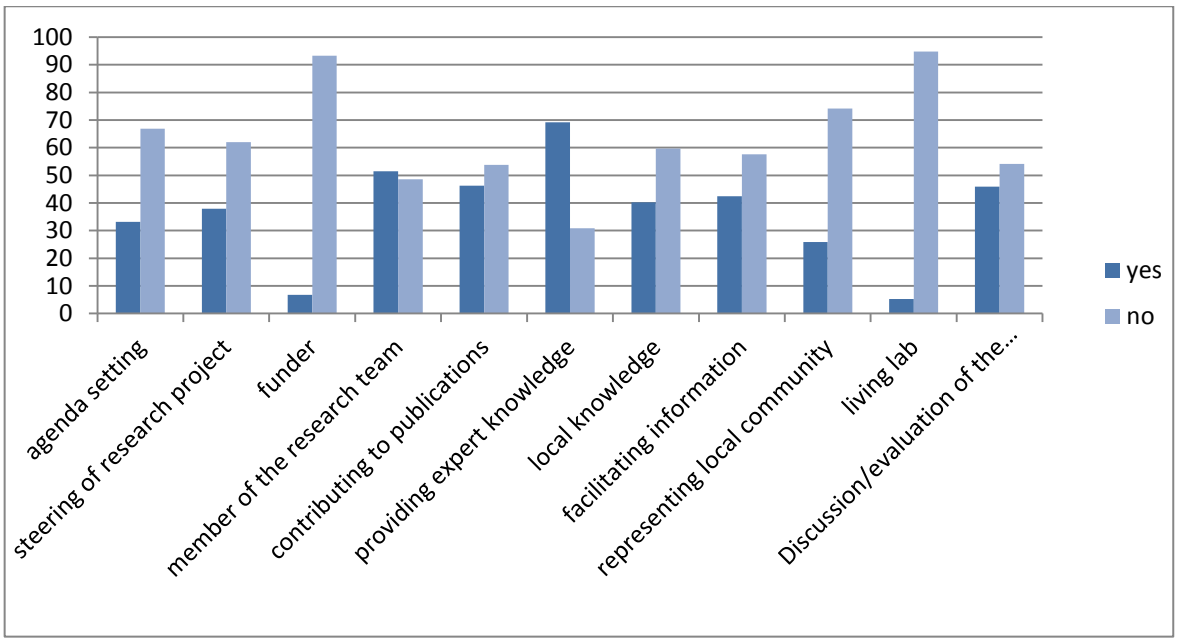


Figure 6 Initial survey question 5 responses (multiple choices "what is their role ?")

In the second questionnaire we asked the same question, with slightly different multiple choice responses, linked to the analytical grid parameters.

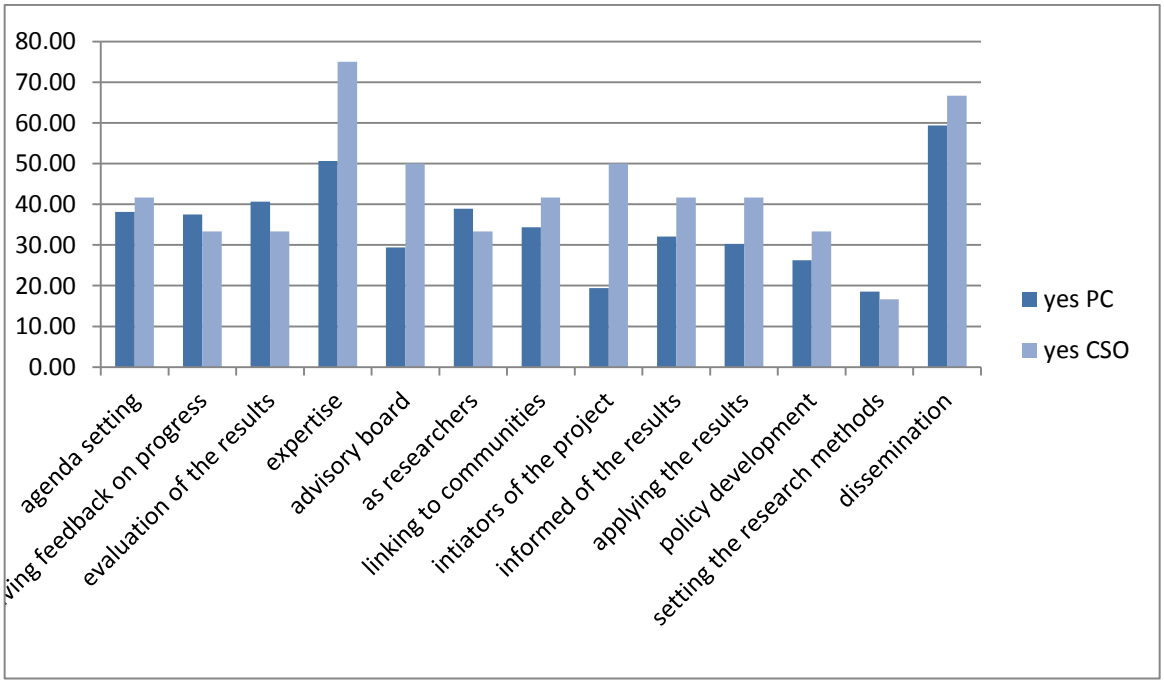


Figure 7: Follow on Survey Question 1 What is the role of the CSO in the project ? Comparison of Project Coordinators (PC) and CSO members (CSO) responses

This multiple choice question (figure 7) shows clearly that **CSO roles are perceived as being fundamental when they give their expertise and when they disseminate the project results and guidelines**.Expertise here isn't coming from lay people; as we underlined in our sample description that CSO members who answered our questionnaire are well educated and skilled in research projects. CSO members' value added seems to help the research project get more context relevant, for policy needs, or other beneficiaries (patient, children etc.) needs.

Table de respons_diss_SQ004 par cso_role__13			
respons_diss_SQ004(IN CHARGE OF THE PROJECT'S DISSEMINATION ACTIVITIES= CSO)	cso_role__13(ROLE CSO= Dissemination)		
Frequency Percent row percent column percent	Not selected	Yes	Total
Not selected	51 31.88 49.51 78.46	52 32.50 50.49 54.74	103 64.38
Yes	14 8.75 24.56 21.54	43 26.88 75.44 45.26	57 35.63
Total	65 40.63	95 59.38	160 100.00

Table 6 : Survey 2 Crossed tabulation CSOs in charge of project dissemination activities x Dissemination as a CSOs role according to project coordinators responses.

The traditional model of roles distribution between researchers and stakeholders usually implies that CSOs should disseminate the results. The latter are perceived as relays which are going to translate and to pass on the produced knowledge or to test the developments of R and D. Nevertheless, if in our case 75 % of the project coordinators who did assign the responsibility of the activities of dissemination to CSOs, *entrusted this responsibility to another consortium member*. This can correspond to a professionalization of this activity which could be more and more confided to a partner specialist of the project management. It could also be a characteristic of the FP7 projects, the success of which are more and more depending on organizational and project management process (quality insurance plan for instance).

Their mutual representation of CSO roles differ when considering CSO involvement in the project. According to CSO members' responses CSOs are initiators of the project more often than what PC acknowledge (50% /19% responses), as well as CSO members claim to be advisory board members more usually than PC mention they are (50%/ 29%). This tends to indicate a tendency for project coordinators to **assign a more passive role in the project to CSOs members**, which does not seem to suit CSO members pointing their initiatives. These different perceptions of CSO involvement in research activities may indicate **a normative framing conflict** about what ought to be CSO role inside the research team.

This conflict is not about their skills, if we refer to the fact that the first role attributed to CSO members is their expertise. Besides they seem to be also seen as researchers (39 % of the PC agreed on that stance / 33% of the CSO). The tasks reserved to other members of the team are setting the research method and policy development, according to both respondent categories. This is more a **governance conception discussion** : should the Project coordinator take the leadership, or should the project governance be more participative ?

The CSO role attribution also indicates that CSOs **are scarcely able to discuss the research project design from its start**. Only 30% of project coordinators indicate that

CSOs are involved from the start of the project. The majority report they are involved at the planning stage only which is confirmed by CSOs member responses to the questionnaire (second survey question 5). They seem to "**slot" in a predetermined format**, or be more in a position to discuss a pre defined plan. Considering that CSOs claim they are sometimes initiator of the project (see above section); it might be that they are involved during all the lifetime of the project but that they lose leadership on research agenda setting, and research method.

The next question highlights the CSOs role : why not involving CSOs to a research project ? In our initial survey, we asked project coordinators if they had thought about involving CSOs in their project, **91% simply did not think about it**(see table 7 below).

Did you think about involving CSOs in your project ?		
Answer	**Frequency**	**Percentage**
No	1601	91.12
Yes	156	8.88

Table 7 : Initial Survey question 2 : did you think about involving CSOs in your project ? (no answer : 403)

Furthermore, when they give their reasons why they did not think about it, it is **not because the scientific norm could be endangered** (only 4% say they did not think about involving CSOs because it might compromise the scientific validity of the project) but more because **it was not required** (see figure 8 below).

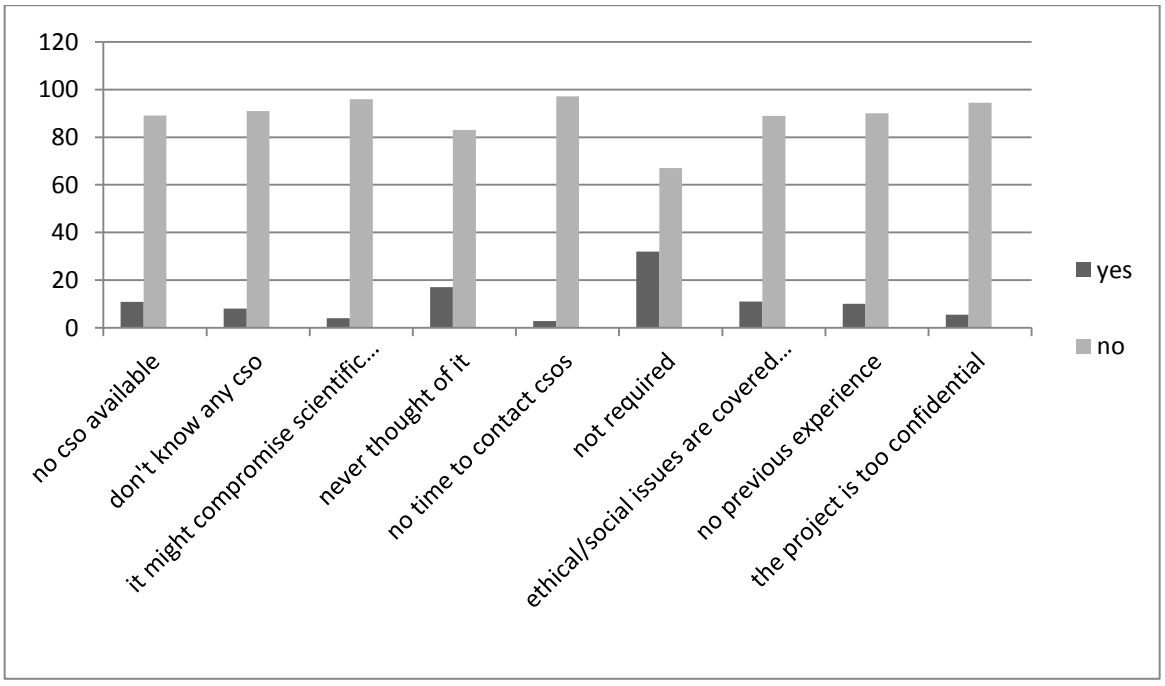


Figure 8 : Initial Survey question 3 responses "why not ?"

What are the main **stumbling blocks to CSOs involvement** in research project according to project coordinators ?

Usual justifications, like "no time" or project confidentiality clauses or no availability of CSOs have really low scores. The main question is more if it is suitable for the project. The response "not required" might as well point the fact that **CSO participation was not compulsory** in the call and we can gain some information from survey 2 on that point, or

that CSO participation was not useful or asked by other team members. Is this a matter of the relationship between methodology and topics or an implicit assumption ? It is difficult to tell from the survey results, still it raises the question **of the scope of the projects for which CSOs participation would not be useful**. It might be interesting in the further developments of the global survey to look for ways of investigating this question.

Again, in survey 2 (question 34) we find out that among CSOs involving projects a few calls made CSO participation compulsory (6, 45%) and only 16,95% proposed specific incentives of CSOs in the funding scheme. As there are only 30 % of the projects benefiting from multi funding, the **Seventh Frame Program does not seem to be very appealing for CSOs involvement in research project**.

We demonstrate in this section that CSOs involvement in research is still embedded in a normative setting of research as to their role and attribution, even if they try to resist the tendency to assign them a passive role. Project coordinators seem to see CSOs more as **end users representatives than as equal partner**. CSOs scarcely define the research method and agenda and are perceived as experts. There might be a norm construction process here about what CSOs role and researchers role ought to be, and implicit power relations. **CSOs are valued for their expertise and their network**, which will facilitate the dissemination of the results as well as the test of the developments. Nevertheless they are also invited to the academic conferences and to the meetings of project. Researchers usually master the project research methodology and problematic setting.

The decision not to resort to CSOs in one consortiums of research is **not directly connected to a positivist vision of the scientific validity**, it seems more bound to the funding scheme and to the fact that it is doubtless even simpler for certain research teams to escape the integration of CSOs, because the planning of the project and the modes of collaborative work can turn out complicated as we are going to show in the following part.

4.2 Work and communication inside the teams

Questions responses analysed in this section are : second survey questions 8,9,12,14,15 and 16.

Questionnaires, as survey tools, show their limits and it is not possible from the sample responses to gather information about *actual* work setting inside the concerned teams. The case study will provide more data through observation and interviews.

It is still possible to grasp a few characteristics of the way team members work together.

First the ways people inside the teams mmet and communicate with each other are relevant to understand better the way they work together. Main FP7 consortiums include teams from different European countries, which means long distance work. The consortium might also have to coordinate the work of many partners (up to 50 in some cases). The other characteristic of our sample is that only a few (26%) had experienced a prior project directly linked to the actual project (second survey question 9), which means less experience of working together. But project coordinators already had the experience of working with CSOs in a research project (58 %) see table below and 96% CSOs members had experienced a research project before. There is **a high level of pre-existing cross socialization.**

Have you worked with CSOs prior To this project?	Frequency	Percent
No	22	16.30
Yes, in another project	79	58.52
Yes, outside research projects	34	25.19
TOTAL	135	100

Table 8 : Survey 2 Project coordinators responses to question 8 "have you worked with CSOs prior to this project ?"(total responses = 162, 23 no responses)

The first information is the frequency of face to face meetings.

It appears that according to the project including CSOs coordinators, (second questionnaire), 51% of the teams physically meet twice a year (please refer to table 6). This is seldom occasions, which one can think might focus on research developments rather than collaborative work. 31% meet once a quarter, a frequency that makes team work plausible. It appears that **there are not so many teams able to actually work in a collaborative way**. Is this a clue on their **governance mode**l ?

Answers	Frequency	Percentage	Percentage. cumulated
More than once a month	7	4.76	4.76
Once a month	9	6.12	10.88
Once a quarter	47	31.97	42.86
Once a year	9	6.12	48.98
Twice a year	75	51.02	100.00

Table 6 : Second questionnaire question 14 Project Coordinators'responses

To get a better understanding of the way people work together, we need to know how they communicate with each other's and with external stakeholders. A majority of project coordinators and CSO members say that they regularly organize events with external stakeholders or get feedback from them (89%) (Survey 2 question 15 and 16).

The first mean of communication in the project is emails, followed by meetings, phone, skypeconference type of tool and letters (see table 5 below).

Communication means

	Emails		Letters		Meetings		Phone		Skype	
Ordering of communication means	*Frequency*	*Percentage*	*Freq*	*Percen*	*Freq*	*Percen*	*Freq*	*Perce*	*Freq*	*Percen*
1st mean of COMMUNICATION	141	96.58	.	.	3	2.05	1	0.68	1	0.68
2nd mean of COMMUNICATION	4	2.74	2	1.37	59	40.41	40	27.40	41	28.08
3rd mean of COMMUNICATION	1	0.72	1	0.72	66	47.48	50	35.97	21	15.11
4th mean of COMMUNICATION	.	.	20	19.80	18	17.82	42	41.58	21	20.79
5th mean of COMMUNICATION	.	.	44	75.86	.	.	1	1.72	13	22.41

Table 5 : :Survey 2 question 12 Project coordinators responses “How do you most usually communicate ?” (Multiple choice ranking question)

If meetings are the second most usual way to communicate, according to the fact that consortium members only meet a few times a year, there might be either meetings gathering only part of the consortium, either most of the work is done inside each consortium members team. This is one aspect that would need deeper investigation, thanks to our case study. **We can already assess the link between communication means and habits and working schemes**. CSO involvement in research project need a minimum time spent to discuss and share research concern, in order to create a common language and a common vision of the project aims. **Meeting frequency might be an indicator of the research governance model** at stake in one project. To deliberate, people need to meet and discuss options before the decision process itself takes place.

In this section we demonstrate that FP7 projects have certain characteristics that frame the working and communication context of each research team. There is a link between most usual communication means and physical meetings frequency on one part, and working organization on another part, especially concerning leadership and decision process : dialogue is a central notion in governance and suppose regular meetings. Its deployment in terms of inclusion is important to grasp as well as its consequences on decision making process.

Here 31% of our 149 CSO including teams seem to be able to develop a collaborative working organization and thus ***might be able to*** **act in a participative governance model. It gives us an idea of what proportion of projects could refer to participation processes, as the minimum conditions are present (pertinent work organization) even if we would need to go further to deepen our knowledge about those research projects.**

4.3 Expectations

Questions responses analysed in this section are Second survey question 24, 25, 2- and 27.

As we already demonstrated, there is a thin boundary between project coordinators and CSOs members profile (see section 3.3.1). As we wonder about each partner expectations and how those expectations are reached through research outcomes bestowing general public good, we will keep in mind that categorization may lead to naturalize existing socially built categories and that they might even influence the way we grasp reality.

A way of getting insights about people’s expectations is to ask them what they define as initial outcomes of the project. According to both project coordinators and CSOs members the **first initial outcome of the project is to enhance scientific knowledge** (75% and 50%). They both are also keen on **policy outcomes**. This is congruent with the expectation of project coordinators that CSOs will provide information that will enhance their project (see CSOs role section p.17) (please see figure 9 below).

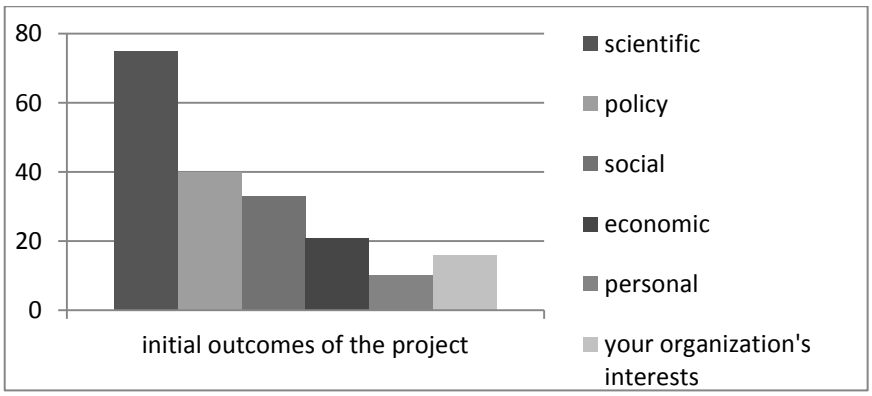


Figure 9 Second survey question 25 project coordinators' responses in %("what are the initial outcomes of the project") ?

Then what are the expected final outcomes contribution to ? For CSOs members the final outcomes should mostly enable them to give advice to decision makers (75%), then enhance scientific knowledge and help people not participating to solve a problem. The main beneficiaries are often team members themselves and industry (58 %) and then European commission and their organization members. Project coordinators expect to enhance scientific knowledge (67%) and to be able to give advice to decision makers (61%). Those differences in terms of expectations are important, and show that **CSOs members expect to enhance scientific knowledge and in doing so might expect to affect the trajectory of a research project.** The research background might also give sense to those data, in a drive to include more CSOs within the projects.

CSOs members are also pointing at industry and European Commission as central beneficiaries of their research project outcomes. Their expectations are more often to give a contribution to societal needs than PC's. They both (PC and CSOs) consider of great importance to be able to contribute or to influence decision making processes. These points would need further investigation, during case study.

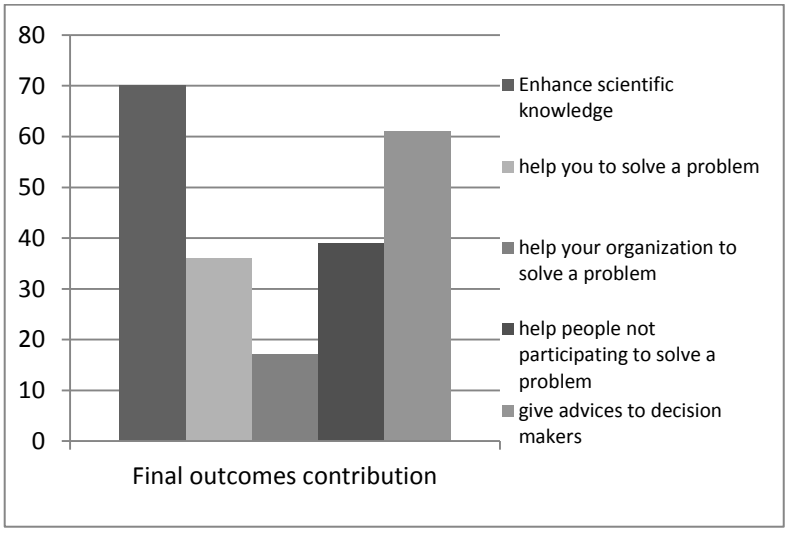


Figure 10 second survey question 26 project coordinators' responses in % ("what do you think the final outcomes will contribute to ?" multiple choice)

Those who expect to help external stakeholders (80%) or to produce new scientific knowledge are often more optimistic about their objectives achievement, as they say they will achieve or have achieved their project objectives. **CSOs members are less confident in the project capacity of reaching its objectives, they are only 25% (against 72% of PC) thinking the objectives of the project have been or are likely to be achieved**. This

underlines the fact that as leaders, project coordinators might be very confident, but also highlights the **different ways of assessing the project results**, linked to actors expectations and aims; and at that point values seem to differ.

In this section we demonstrate that expectations are diverse. CSOs **members expect to enhance scientific knowledge and in doing so might expect to affect the trajectory of a research project.** The research background might also give sense to those data, in a drive to include more CSOs within the projects.

CSOs members are less confident in the project capacity of reaching its objectives, they are only 25% (against 72% of PC) thinking the objectives of the project have been or are likely to be achieved. This underlines the fact that as leaders, project coordinators might be very confident, but also highlights the **different ways of assessing the project results**, linked to actors expectations and aims; and at that point values seem to differ.

5 Results discussion

We did highlight in the precedent part a set of results, including working hypothesis, which we intend to discuss in this chapter.

5.1 Uniformity ?

This deliverable main challenge lies in three points. The first one is about results validity scope. The second one is about CSO concept definition and how we deal with its conceptual fuzziness in the next step of our survey. Third point is about actors' multipositionality.

Our results validity is not universal. Those results are exhaustive on a specific target :FP7 research projects known in Cordis database in march 2012. FP7 projects are uniform because they are framed by FP7 requirements. They are European centred, in terms of scientific culture and interests, they gather European countries research and organization units, and they require specific arrangements to reach the EC expectations. As we already stated FP7 projects are also diverse : they encompass numerous fields of research, different calls (different rules) and a wide range of topics and methodology. Still they are oriented to have an impact on European Commission members and to enhance knowledge.

Those different factors make it difficult to generalize our results outside the FP7 projects group. This survey gives clues and research questions that will be investigated in the next survey stages, mainly a comparison with the EPSRC database (English research founding agency) and 30 case studies.

Second, the Civil Society's concept fuzziness. From the data gathered, one can see notion like "public sector" for instance are defined in various ways across European countries. For instance some respondents believe that a university is a CSO. For others it is a public service. For some respondents non-profit organizations are not CSOs. Foundations are sometimes conceived as CSOs, sometimes as private sector. As an analytical concept, civil society has proven useful heuristics in contemporary social thought. Its lack of clarity stems from variations across the existing different "civil societies". It is a contextual concept.

Considering next stages of CONSIDER survey, we might have to **investigate how actors define themselves their position between state and market**. Those organizations delineate a population of groups separate from market and government that play a real role

in social, political, scientific and economic life. In fact, depending on context, any given form of civil society organisation might have quite different meaning for the individual and groups involved. Consider could report how those positions are constructed and embedded in normative framing.

Third, actors multipositionality is a prevailing factor. There might be a network linking CSOs and research units at a European level. This network might be transnational. As we already demonstrate CSOs members and project coordinators curriculum are very similar in terms of experience of research, diploma, gender and age. Some of them are simultaneously project coordinators, CSOs members and experts for instance. Others are funders, project team members and policy makers.

5.2 Limits

This deliverable reports one stage of a global survey. Data collected through questionnaires are declarative per se. We **rely on project coordinators and CSOs' members discourses**. This is important to bear in mind, as, again, **there might be a discrepancy** between their discourses and the actual participation practices they live.

As it is an online survey there has been no interaction between the respondents and the interviewer. This may produce more ambiguities in the way people understand the questions, because they cannot ask for further explanation. The investigator is either not aware of the difficulties or misinterpretation that might have occurred. We can grasp some of them thanks to the open-ended questions. In this survey it does not appear, excepted for the ambiguity lying in CSOs definition (see 5.1), but we cannot be exhaustive at this stage.

Two further actions are planned to develop our global survey of CSOs participation in research. First to send a reminder to our second survey non respondents and eventually send our two questionnaires to project leaders recorded in the ESPRC database, and establish a comparison with FP7 main data. This stage will help us define more precisely FP7 projects characteristics and inner logic, compared to commensurable data. The second action plan is the realization of up to 30 case studies, which will provide opportunity to observe people in their work setting and get a deeper understanding of their norms and values in context. We expect to find out some differences between formal rules of participation and real participation practices (Argyris). To account for discrepancy between formalized rules, discourses and participation practices we will conduct semi-structured interviews with CSOs and team members on one side and European commission policy makers on the other side and whenever possible, direct participant observation of the discussion, or projects meetings.

Since the survey is still on-going, results presented here are raw *uncorrected figures*. Data quality will be assessed once data collection is over and analyses adjusted accordingly. One major concern is selection bias, which is common in self-administered questionnaires. But, in practice, selection processes are hard to capture as a whole. Only some aspects can be modelled. For instance, respondents' characteristics might significantly differ from the overall population. In that case, individual selection probabilities are unequal and non-response is not random any more. Thus, based on the Cordis database, respondents' profiles will be compared with those of non-respondents. If significant differences were to be detected, sample will be adjusted using methods such as post-stratification

A danger is that we might a priori over-rate the role of CSOs. Much of the empirical literature on how civil society might affect the trajectory of a research project or play a role in global research agenda setting choices should make us cautious. **There is first the possibility that CSOs may be more consulted than really empowered.** We ought to investigate the concrete conditions of access and institutional responsiveness to CSOs. This investigation could be run according to three factors (Nanz and Steffek, 2005).

Are CSOs members free, informed, and include in the deliberation arena? “”Free” means that interested participants should be allowed to listen, to speak and to amend the agenda. “Informed” signifies that participants should have equal access to all available information pertaining to the issue at stake. “inclusive” means that the concerns and arguments of all stakeholders affected by the decision at stake should be present in the debate”(idem p 372).

5.3 Overview of our main hypothesis

In this section we recall the main hypothesis we draw from our data analysis, which will feed our case study protocol (30 case studies).

The boundaries between project coordinators and CSOs members groups in terms of education level, skills and experience are very thin, and one hypothesis we can already suggest is that **there is a circulation of people between academic spheres and CSOs present in FP7 projects**. We also know from open ended question that a few project coordinators are CSOs members. We might have here very specific CSOs, already trained and used to research matters.

First what are the main CSOs role inside the research project consortium, and what are the motives for their participation (linked to governance approach and norms and values analytical parameters[10]) ?

CSO roles are perceived as being fundamental when they give their expertise and when they disseminate the project results and guidelines. Expertise here isn’t coming from lay people; as we underlined in our sample description that CSO members who answered our questionnaire are well educated and skilled in research projects. CSO members’ value added seems to help the research project get more context relevant, for policy needs, or other beneficiaries (patient, children etc.) needs.

This tends to indicate a tendency for project coordinators to **assign a more passive role in the project to CSOs members**, which does not seem to suit CSO members pointing their initiatives. These different perceptions of CSO involvement in research activities may indicate **a normative framing conflict** about what ought to be CSO role inside the research team.

This conflict is not about their skills, if we refer to the fact that the first role attributed to CSO members is their expertise. Besides they seem to be also seen as researchers (39 % of the PC agreed on that stance / 33% of the CSO). The tasks reserved to other members of the team are setting the research method and policy development, according to both respondent categories. This is more a **governance conception discussion** : should the Project coordinator take the leadership, or should the project governance be more participative ?

The CSO role attribution also indicates that CSOs **are scarcely able to discuss the research project design from its start.** They seem to “**slot” in a predetermined format**, or be more in a position to discuss a pre-defined plan.

When they did not think about collaborating with CSOs, it is **not because the scientific norm could be endangered** (only 4% say they did not think about involving CSOs because it might compromise the scientific validity of the project) but more because **it was not required.**

[10] Those parameters are detailed in section 2 « the theoretical bacjground for empirical data » in this document.

The decision not to resort to CSOs in one consortium of research is **not directly connected to a positivist vision of the scientific validity**. Our hypothesis is that this decision would be bound to the funding scheme and to the fact that it is doubtless even simpler for certain research teams to escape the integration of CSOs, because the planning of the project and the modes of collaborative work can turn out complicated.

Second main question, how is the team work and meetings organized, how do people communicate with each other (linked to means of expressing interest parameters)?

CSO involvement in research project needs a minimum time spent to discuss and share research concern, in order to create a common language and a common vision of the project aims. **Meeting frequency might be an indicator of the research governance model** at stake in one project. To deliberate, people need to meet and discuss options before the decision process itself takes place.

FP7 projects have certain characteristics that frame the working and communication context of each research team. Our hypothesis is that exists a link between most usual communication means and physical meetings frequency on one part, and working organization on another part, especially concerning leadership and decision process : dialogue is a central notion in governance and suppose regular meetings. Its deployment in terms of inclusion is important to grasp as well as its consequences on decision making process during our case studies.

Third main question we explored in this deliverable, what are project coordinators and CSO members main expectations about project achievements?

We found out that CSOs members expect to enhance scientific knowledge and in doing so might expect to affect the trajectory of a research project. The research background might also give sense to those data, in a drive to include more CSOs within the projects.

CSOs members are also pointing at industry and European Commission as central beneficiaries of their research project outcomes. Their expectations are more often to give a contribution to societal needs than PC's. They both (PC and CSOs) consider of great importance to be able to contribute or to influence decision making processes. These points would need further investigation during case study.

Expectations are diverse. CSOs **members expect to enhance scientific knowledge and in doing so might expect to affect the trajectory of a research project.** The research background might also give sense to those data, in a drive to include more CSOs within the projects.

CSOs members are less confident in the project capacity of reaching its objectives. This might underline the fact that as leaders, project coordinators might be very confident, but also may highlight the **different ways of assessing the project results**, linked to actors expectations and aims; and at that point values seem to differ.

we might have to **investigate how actors define themselves their position between state and market**.

This set of intermediate results and hypothesis will be explored during our case study, and may also indicate some FP7 participation patterns.

5.4 FP7 research project main patterns

One can start to underline what CSO roles **are not,** according to our data. **CSOs members are not lay citizens**. In our sample they are as skilled and educated as the project coordinators. **They are not seen as partial or biased**; for instance defending their cause or seeking practical results more than scientific knowledge. Rather, they are sought for and valued for their expertise.

Actors act in different roles, they can be researcher, citizen, and then decision maker or policy maker. Expectations might not be homogenous inside a category of actors (CSOs members for instance gather many different kind of activities and of organizational aims). There might be a risk of stiffening categories. During our workshop in Bonn (may 2012) CSOs members have already drawn our attention on this problem : there is a big variety of CSOs' motivations and expectations when they participate in research projects.

One of this FP7 projects survey objective was to get hits on main case study selection criteria. To be able to represent the global spectrum of the existing variety of forms or research participation, we can already define a set of criteria which will be discussed and formalized according to our theoretical background.

First the project aims should be linked to **different expectations** (social, economic, politic and also basic research). We need to be able to compare different **scales of analysis** : local/national/international projects. We also need to observe different governance model and political context : is it a citizen's initiative, is it part of a broader research program, is it a researcher's drive oriented project ? This is much tricky because team members have not always discussed that question.

Selection criteria could be synthesized in a matrix :

criteria	Variables selected
Actors expectations	Social, economic, politic basic research
Project outcomes	Social, economic, politic basic research
scales	Local, national, international
Political context	Citizen's initiative, broader research program, researcher's drive

Table 6 : selection criteria matrix

Those criteria need to be assessed both while construction governance models against theoretical background and against case study results.

5.5 Next steps

This section will look at the next steps following this FP7 projects survey.

This first stage of data collection will be further completed with first another set of quantitative surveys sent to all EPSRC (Engineering and Physical Sciences Research Council) project leaders , following the same data collection process we used with FP7 projects, in order to be able to compare our findings. Our analysis will be better settled and will get more pertinent information to construct our Comparison of theories and CSOs' participation in research governance (deliverable 3.1). In a second stage, 30 case studies

will be done and analysed, and the main results will be reported in deliverable 2.3 (Main findings report).

6 Conclusion

The EU, as well as most other political and economic powers, relies on innovation to achieve its policy goals. At the same time, the reach and impact of research and innovation is such that it can no longer be left to scientists and researchers alone. All citizens are stakeholders of research, partly because they provide required resources, partly, because they have to deal with the consequences. Left to its own devices, research can be blind to relevant social issues such as inclusion, justice or environmental concerns (Gallopin, Funtowicz, O'Connor, &Ravetz, 2001). Additionally, technology responding to societal needs is no longer produced by individual disciplines but is increasingly interdisciplinary in nature. The production of scientific knowledge is now frequently driven by societal needs rather than pure scientific curiosity so-called mode 2 research (P. M. Gibbons et al., 1994). This set of problems has led to a drive towards responsible research and innovation which aims to identify better ways in which stakeholders including scientists, citizens and policy makers can communicate with each other.

7 References

Blondiaux, L; Sintomer Y. (2002) Impératif déliberatif in Politix, vol 2, n°57.

Callon,M. Lascoume P. et Barthe, Y. .(2001), Agir dans un monde incertain. Paris, Seuil,.

Fung, A. (2006) Varieties of participation in complex governance. Public administration review, vol 66.

Gallopin, G. C., Funtowicz, S., O'Connor, M., &Ravetz, J. (2001). Science for the Twenty-First Century: From Social Contract to the Scientific Core. International Social Science Journal, 53(168), 219-229.

Gibbons, P. M., Limoges, D. C., Nowotny, P. H., Schwartzman, S., Scott, P. P., &Trow, M. (1994). The New Production of Knowledge: The Dynamics of Science and Research in ContemporarySocieties. Sage Publications Ltd.

Gutmann, A. (2011). The Ethics of SyntheticBiology: GuidingPrinciples for Emerging Technologies. Hastings Center Report, 41(4), 17–22.

Hennen, L., Petermann, T., &Scherz, C. (2004). PartizipativeVerfahren der Technikfolgen-AbschätzungundParlamentarischePolitikberatung (TAB Arbeitsbericht No. 96). Berlin: Buro fur Technofolgen-AbschatzungbeimDeutschenBundestak. Retrievedfrom http://www.tab-beim-bundestag.de/de/pdf/publikationen/berichte/TAB-Arbeitsbericht-ab096.pdf

Macnaghten, P., & Owen, R. (2011). Good governance for geoengineering. Nature, 479(7373), 293.doi:10.1038/479293aMumford, E. (2003). RedesigningHumanSystems. IGI Publishing.

Mumford, E. (2006). The story of socio-technical design: reflections on itssuccesses, failures and potential. Information Systems Journal, 16(4), 317-342.

Pestre, D. (2011) Des sciences, des technqiues et de l'ordre démocratique et participatif.in Revue Participation n°1.

Von Schomberg, R. (Ed.). (2011). TowardsResponsibleResearch and Innovation in the Information and Communication Technologies and Security Technologies Fields. Luxembourg: Publication Office of the European Union. Retrievedfrom http://ec.europa.eu/research/science-society/document_library/pdf_06/mep-rapport-2011_en.pdf

fWynne, B. (July 1992) Misunderstood misunderstanding *Public Understanding of Science*vol. 1 no. 3.

Appendix A: Deliverable Time Line

7.1.1 Deliverable	*7.1.2 Task*	*7.1.3 Month of project*	**Date**	**Leadership**
	Construction of the first set of questions for the survey 2.	8	26/10/2012	LU and consortium
	Construction of the sample and address file for the survey 2.	9 - 10	09/11/12 – 14/12/12	LU
	Create the questionnaire and test it	10	06/12/12 – 19/12/12	LU and consortium
	Create and test the survey instrument for survey 2	9 - 10	09/11/12 – 12/12/12	LU
	Send out the questionnaire	10	20/12/12	LU
	Follow-up	10	21/12/2012 10/01/12	LU
D 2.1	Data analysis for selection of case studies	11	21/01/2012	LU- KIT
	Data analysis	11	27/12/2012 – 21/01/2012	LU + KIT + Namur ?
	FP7 Survey report first draft	10	21/12/2012	LU
D. 2.2	Feed back from reviewers to review chair	11	10/01/2012	Philippe,Simon, Bernd
	Feed back from review chair to Lille	11	14/01/12	Philippe
	Second report draft	11	24/01/12	LU
	Feed back from reviewers to review chair and from review chair to Lille	11	28/01/12	Philippe, Simon, Bernd
	New report	11	29/01/12	LU + KIT
	PCC decides whether to accept the deliverable, based on recommendation of review chair	11	29/01/12	PCC
D. 2.2	Submission of the deliverable	11	31.01.12	LU

Appendix B: questionnaires

Appendix B.1: questionnaire 1

Appendix B.1.1: questionnaire 1 sent to coordinators of three or less projects

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 rEsearchgoveRnance) 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

Online 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 ourresearch

Thank you for your participation.

Appendix B.1.2: questionnaire 1 sent to coordinators of four projects and more

Q1. If you are not the scientific coordinator of one or more of the following projects, could you provide us with the contact informations of the people in charge?
To this aim, please complete those fields with the name, telephone and email address of the project coordinator:

- ❑ Mr
- ❑ Ms

First name: _____
Last name: _____
Email: _____
Telephone: +_____

Q2. Is/was there any Civil Society Organisations (CSOs) participation in one or several research projects of which you are or were coordinator?

- ❑ Yes
- ❑ No
- ❑ I don't know

Q3.*If yes at Q2:* What is/was their role (all projects combined)? (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 : _____

Q5. *If yes at Q2:*Please mark projects involving CSO:

Project #1:	
Project #2:	
Project #3:	
Project #4:	
Project #n:	

Q6. *If yes at Q2:*We will be undertaking more detailed research of projects that include CSOs. If one or more of your projects do include CSO input, would you allow us to contact you for more information?

- ❑ Yes
- ❑ No

Q7. Do you have any comments about this questionnaire or our research?

Thank you for your participation.

Appendix B.2: questionnaire 2

B.2.1 Questionnaire for the coordinators who have already responded to Survey 1

Invitation email (used also as first page of the online survey)

Dear [FirstName] [LastName],

A few weeks ago you have responded to our first questionnaire and we thank you. As we mentioned at the end of the survey, we would like now to better understand how the participation of Civil Society Organisationsin your research project works. For this purpose, we have a few questions about the organisation of your project, and the collaboration with CSOs partners.

A reminder: by CSO we mean any 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).

Our project called CONSIDER(Civil society OrgaNiSation In Designing rEsearchgoveRnance, 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 *FP7p*rojects and especially in the composition of their consortia in order to understand the extent of CSOs involvement**. The CONSIDER project is currently surveying FP7 research projects involving CSOs in orderto understand the benefits and limitations of CSO involvement in research.**

This survey will take around 20 minutes. Your participation in this study is of course entirely voluntarybut much appreciated. The answers will bekept 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.

Questionnaire

First, we would like to know a little bit more about your experience in research with representatives of CSOs:

What is the role or the actions of the CSO in this project?

- ❑ Agenda setting
- ❑ Giving feedback on progress,
- ❑ Evaluation of the results
- ❑ Providingtheir expertise on one topic
- ❑ Member of advisory board
- ❑ As researchers
- ❑ Linking to specific communities
- ❑ Initiators of the project
- ❑ Being informed on the results
- ❑ Applying the results to real world problems
- ❑ Policy development
- ❑ Setting the research methods
- ❑ Dissemination
- ❑ Other

What events are CSOs invited to?

- ❑ General assemblies
- ❑ Workshops
- ❑ Project meetings
- ❑ Academic conferences
- ❑ Media events
- ❑ Project review
- ❑ Other, please specify

What CSO-organised events are other partners invited to?

- ❑ General assemblies
- ❑ Workshops
- ❑ Media events
- ❑ CSO conferences
- ❑ Internal meetings
- ❑ Other, please specify _____

Which methods of CSO involvement does the project use?

- ❑ Participatory action research
- ❑ Community planning
- ❑ Collaborative inquiry
- ❑ Other :_____

Help: Participatory action research is planned to build new scientific knowledge and to solve a community based problem. The researchers are only facilitators among a team including all volunteers. Non academics are involved in all research stages and the researchers are invited to build solutions to the problem identified (Lewin, 1946).

Community planning is a planning carried out with the active participation of the end users.

Collaborative inquiry: research 'with' rather than 'on' people. all active participants are fully involved in research decisions as co-researchers. Cooperative inquiry creates a research cycle among four different types of knowledge: propositional knowing (as in contemporary science), practical knowing (the knowledge that comes with actually doing what you propose), experiential knowing (the feedback we get in real time about our interaction with the larger world) and presentational knowing (the artistic rehearsal process through which we craft new practices).

At what stage is/was the CSO involved in the project?

- ❑ Planning
- ❑ Start
- ❑ Middle
- ❑ End
- ❑ Intermittently

At what stage is the project now?

- ❑ Planning
- ❑ Start
- ❑ Middle
- ❑ End
- ❑ Finished

Why do you engage in research with CSOs?

Have you worked with CSOs prior to this project?

- ❑ Yes, in another project
- ❑ Yes, outside research projects
- ❑ No

Was there a previous project directly linked to this one?

- ❑ Yes
- ❑ No

Will there be a follow-up project?

- ❑ Yes
- ❑ No

- ❑ Don't know

Now, we would like to explore the running of the project.

How do you most usuallycommunicate within the project? (ranking)

- ❑ Mails
- ❑ Letters
- ❑ Skype conferences
- ❑ Meetings
- ❑ Phone
- ❑ Other, please specify _____

How often do you physically meet with other consortium members?

- ❑ More than once a month
- ❑ Once a month
- ❑ Once a quarter
- ❑ Twice a year
- ❑ Once a year

How do you communicate with external stakeholders?

- ❑ Website
- ❑ Social media
- ❑ Newsletter
- ❑ Academic publication
- ❑ Other publication
- ❑ Popular media
- ❑ Conferences
- ❑ Training
- ❑ Report
- ❑ Other, please specify _____

Do you receive feedback from external stakeholders?

- ❑ Yes
- ❑ No

eg feedback from experts not belonging to the project, - feedback from academics not belonging to the project, - feedback from stakeholders - feedback from users - feedback from citizens - feedback from policy makers - feedback from EC evaluators for instance.

Could you describe the composition of the project team

How many organisations are in the consortium? __

How many CSOs organisations are in the consortium? __

How many individuals work on the project? __

How many members of CSOs work on the project? __

Who is in charge of the project's dissemination activities?

- ❑ Coordinator / PI
- ❑ Dedicated person / partner
- ❑ Everybody
- ❑ CSO

Now, we would like to understand the purposes of the project

What do / did you hope to achieve at the end of the project?

What are the (initial) outcomes of the project?

- ❑ Scientific
- ❑ Policy
- ❑ Social
- ❑ Economic
- ❑ Personal
- ❑ Your organisation's interests
- ❑ Other, please specify _____

Now that the project is running,

What do you think the final outcomes will contribute to?

- ❑ Enhance scientific knowledge
- ❑ Help you to solve a problem
- ❑ Help your organisation to solve a problem
- ❑ Help people not participating to solve a problem
- ❑ Give advices to decision makers
- ❑ Other, please specify _____

In your view, have the objectives of the project been achieved or are they likely to be achieved?

- ❑ Yes
- ❑ No
- ❑ Partly
- ❑ Not concerned (still at the beginning)

Is the research

- ❑ Basic
- ❑ Applied

Is the project community-based?

- ❑ Yes
- ❑ No

help: By community-basedresearchwemean a researchtopic of practical relevance to the community, collaborative (communitymembers and researchersequitablyshare control of the research agenda) which has the aim of combiningknowledgewhith action and achieving social change thatbenefits to the community.

Who benefits from the project?

- ❑ Your organization's members
- ❑ Other CSOs
- ❑ All participants of the project
- ❑ European commission
- ❑ Industry
- ❑ Local community
- ❑ Elected representatives
- ❑ Citizens
- ❑ Specific social groups (patients for instance)
- ❑ Other, please specify _____

Did the project undergo ethics review?

- ❑ Yes
- ❑ No
- ❑ Don't know

Does the project raise ethical issues?

- ❑ Yes
- ❑ No
- ❑ Don't know
- ❑ Did not arise

Help: few examples could be Research involves people not able to give consent; Research having direct military use; research on human embryo; etc

Does the project benefit from multiple sources of funding?

- ❑ Yes
- ❑ No

Within the funding structure, are there specific incentives or requirements to include CSOs in the research?

- ❑ Yes
- ❑ No
- ❑ Compulsory

Are there specific incentives for CSOs to get involved in research in the funding scheme?

- ❑ Yes
- ❑ No

About your organisation

What is the name of your organisation? _____

help: werefer to theirresearch unit / department

What is the legal status of your organisation? _____

e.g. NGO, Association, Fundation, Cooperative, public research, etc.

How many people work in your organisation approximately?__

For scholars in your department.Include non salaried members if appropriate.

Does your organisation engage in other research projects with CSOs?

- ❑ Yes
- ❑ No
- ❑ I don't know

Briefly, few information about you

How long have you been involved in research? (in years) ____

What year were you born? ___

What is your gender?

- ❑ Male
- ❑ Female
- ❑ Other

What sector do you work in?

- ❑ Private sector
- ❑ Public sector
- ❑ Non-profit

- ❑ Else _____

What is your level of education?

- ❑ Primary School
- ❑ Vocational
- ❑ Further education
- ❑ Higher education
- ❑ PhD

What would be a successful project for you? (*multiple choice*)

- ❑ A project reaching its societal objectives
- ❑ A project constructing new knowledge
- ❑ A project which would deliver pertinent guidelines for policy makers
- ❑ A project informing stakeholders
- ❑ A project supporting human ideals
- ❑ A project boosting the economy
- ❑ A project supporting your work or your organization
- ❑ Other, please specify_____

Would you like to remain involved in similar research?

- ❑ Yes
- ❑ No
- ❑ Undecided

To conclude, we would like to ask few questions to a CSO partner of your project. Could you provide us a contact please?

First name:

Last name:

Email:

Name of his/her CSO:

If you have any comments, feel free to right it here:

Thank you for your participation in our survey.

You can follow us on: http://www.consider-project.eu, or you can also take part in our network of associates/Google Group which aims to create an enabling environment for researchers, CSOs, policy makers and other interested stakeholders. It will facilitate the sharing of information, experiences and ideas, allowing members to contribute to the different stages of the CONSIDER project. http://www.consider-project.eu/network/

B.2.2 Questionnaire for CSO contacts provided by the coordinators who have already responded to Survey 1 and survey 2

Invitation email (used also as first page of the online survey)

Dear {FIRSTNAME},
Your experience as a CSO member in the {ATTRIBUTE_1} project would greatly assist us in our project.
My name is Martine Legris Revel and I am leader of a research project called CONSIDER (Civil society OrgaNiSation In Designing rEsearchgoveRnance) 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 other national funding programs, and especially in the membership of their consortia in order to understand the extent of CSOs involvement. The CONSIDER project has already surveyed all FP7 research projects to identify those involving CSOs, that is to say more than 12,000 projects. A few weeks ago a colleague of yours, {ATTRIBUTE_4} {ATTRIBUTE_5}, has friendly responded to a questionnaire, and we thank him. To progress in our understanding of how does the participation of Civil Society organisation work in the {ATTRIBUTE_1} project we would like to ask you a few questions about the running of your project and the collaboration with the different partners.

In order to inform our investigation we believe your input as member 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.

This survey will take around 20 minutes. Your participation in this study is of course entirely voluntary but much appreciated. The answers will be kept 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.
To take the survey, please click on this link:
{SURVEYURL}
This link is uniquely tied to this survey and your email address. Please do not forward this message because it will not match.
Thank you very much for taking the time to support this research.
Best regards,

Dr Martine Legris Revel
Research engineer
Lille 2 University
Lille Center for European Research on Administration, Politics and Society
1 place Déliot
BP 629, 59024 Lille Cedex, France
Tel : +33 320 90 7683

We would like to thank you for responding to our questionnaire on CSOs in research. Your inputs are highly valuable and we would therefore like to gain a better understanding of the participation of Civil Society Organisations in your research project. For this purpose, we have a few questions to ask.

Our project called CONSIDER (Civil society OrgaNiSation In Designing rEsearchgoveRnance, FP7, Collaborative project, GA n°288298 www.consider-project.eu) 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 composition of their consortia.
The CONSIDER project is currently surveying FP7 research projects involving CSOs.

This survey will take around 20 minutes.
Your participation in this study is of course entirely voluntary but much appreciated.
The answers will be kept 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 our research.

First, we would like to know a little bit more about your experience in research

What is the role or the actions of the CSOs in this project?

- ❑ Agenda setting
- ❑ Giving feedback on progress,
- ❑ Evaluation of the results
- ❑ Providing their expertise on one topic
- ❑ Member of advisory board
- ❑ As researchers
- ❑ Linking to specific communities
- ❑ Initiators of the project
- ❑ Being informed on the results
- ❑ Applying the results to real world problems
- ❑ Policy development
- ❑ Setting the research methods
- ❑ Dissemination
- ❑ Other

What events are CSOs invited to?

- ❑ General assemblies
- ❑ Workshops
- ❑ Project meetings
- ❑ Academic conferences
- ❑ Media events
- ❑ Project review
- ❑ Other, please specify

What CSO-organised events are other partners invited to?

- ❑ General assemblies
- ❑ Workshops
- ❑ Media events
- ❑ CSO conferences
- ❑ Internal meetings
- ❑ Other, please specify _____

Which methods of CSO involvement does the project use?

- ❑ Participatory action research
- ❑ Community planning
- ❑ Collaborative inquiry
- ❑ Other : _____

Help: explain methods

At what stage is/was the CSOs involved in the project?

- ❑ Planning
- ❑ Start
- ❑ Middle
- ❑ End
- ❑ Intermittently

At what stage is the project now?

- ❑ Planning
- ❑ Start
- ❑ Middle
- ❑ End
- ❑ Finished

Why do you engage in research as CSOs?

Have you worked on research projects prior to this project?

- ❑ Yes
- ❑ No

Was there a previous project directly linked to this one?

- ❑ Yes
- ❑ No

Will there be a follow-up project?

- ❑ Yes
- ❑ No
- ❑ Don't know

Now, we would like to explore the running of the project.

How do you most usually communicate within the project? (ranking)

- ❑ Mails
- ❑ Letters
- ❑ Skype conferences
- ❑ Meetings
- ❑ Phone
- ❑ Other, please specify _____

How often do you physically meet with other consortium members?

- ❑ More than once a month
- ❑ Once a month
- ❑ Once a quarter
- ❑ Twice a year
- ❑ Once a year

How do you communicate with external stakeholders?

- ❑ Website
- ❑ Social media
- ❑ Newsletter
- ❑ Academic publication
- ❑ Other publication
- ❑ Popular media
- ❑ Conferences
- ❑ Training
- ❑ Report
- ❑ Other, please specify _____

Do you receive feedback from external stakeholders?

- ❑ Yes

- ❑ No

Could you describe the composition of the project team

How many organisations are in the consortium? __

How many CSOs are in the consortium? __

How many individuals work on the project? __

How many members of CSOs work on the project? __

Who is in charge of the project's dissemination activities?

- ❑ Coordinator / PI
- ❑ Dedicated person / partner
- ❑ Everybody
- ❑ CSO

Now, we would like to understand the purposes of the project

What do / did you hope to achieve at the end of the project?

What are the (initial) outcomes of the project?

- ❑ Scientific
- ❑ Policy
- ❑ Social
- ❑ Economic
- ❑ Personal
- ❑ Your organisation's interests
- ❑ Other, please specify _____

Now that the project is running,

What do you think the final outcomes will contribute to?

- ❑ Enhance scientific knowledge
- ❑ Help you to solve a problem
- ❑ Help your organisation to solve a problem
- ❑ Help people not participating to solve a problem
- ❑ Give advices to decision makers
- ❑ Other, please specify _____

In your view, have the objectives of the project been achieved or are they likely to be achieved?

- ❑ Yes
- ❑ No
- ❑ Partly
- ❑ Not concerned (still at the beginning)

Is the research

- ❑ Basic
- ❑ Applied
- ❑ Don't know

Is the project community-based?

- ❑ Yes
- ❑ No

help

Who benefits from the project?

- ❑ Your organization's members
- ❑ Other CSOs
- ❑ All participants of the project
- ❑ European commission
- ❑ Industry
- ❑ Local community
- ❑ Elected representatives
- ❑ Citizens
- ❑ Specific social groups (patients for instance)
- ❑ Other, please specify _____

Did the project undergo ethics review?

- ❑ Yes
- ❑ No
- ❑ Don't know

Does the project raise ethical issues?

- ❑ Yes
- ❑ No
- ❑ Don't know
- ❑ Did not arise

Help: few examples could be Research involves people not able to give consent; Research having direct military use; research on human embryo; etc

Does the project benefit from multiple sources of funding?

- ❑ Yes
- ❑ No

Within the funding structure, are there specific incentives or requirements to include CSOs in the research?

- ❑ Yes
- ❑ No
- ❑ Compulsory

Are there specific incentives for CSOs to get involved in research in the funding scheme?

- ❑ Yes
- ❑ No

About your organisation

What is the name of your organisation? _____

help

What is the legal status of your organisation? _____

HELP: e.g. NGO, Association, Fundation, Cooperative, public research, etc.

How many people work in your organisation approximately?__

Help: explain what a department means, include non-salaried members

Does your organisation engage in other research projects?

- ❑ Yes
- ❑ No
- ❑ I don't know

Briefly, few information about you

How long have you been involved in research? (in years) ____

What year were you born? ___

What is your gender?

- ❑ Male
- ❑ Female
- ❑ Other

What sector do you work in?

- ❑ Private sector
- ❑ Public sector
- ❑ Non-profit
- ❑ Else _____

What is your level of education?

- ❑ Primary School
- ❑ Vocational
- ❑ Further education
- ❑ Higher education
- ❑ PhD

What would be a successful project for you? (*multiple choice*)

- ❑ A project reaching its societal objectives
- ❑ A project constructing new knowledge
- ❑ A project which would deliver pertinent guidelines for policy makers
- ❑ A project informing stakeholders
- ❑ A project supporting human ideals
- ❑ A project boosting the economy
- ❑ A project supporting your work or your organization
- ❑ Other, please specify_____

Would you like to remain involved in similar research?

- ❑ Yes
- ❑ No
- ❑ Undecided

If you have any comments, feel free to right it here:

Thank you for your participation in our survey.

You can follow us on: http://www.consider-project.eu, or you can also take part in our network of associates/Google Group which aims to create an enabling environment for researchers, CSOs, policy makers and other interested stakeholders. It will facilitate the sharing of information, experiences and ideas, allowing members to contribute to the different stages of the CONSIDER project. http://www.consider-project.eu/network/

Appendix B3: Lexical of the variables

Appendix B.3.1: Lexical of the variables for survey 1

Question nb	Variable name	Filter	Label	Response	type
	ident				
Q1	cso_particip		Is/was there any CSO participation in your research project (as research partner or as part of the research)?	Yes/No	dicho.
Q2	cso_involvt_idea	If the answer is no at cso_particip (Q1)	Did you think about involving Csos in your project?	Yes/No	
Q3	cso_non_idea	If the answer is no at cso_involv_idea (Q2)	Why not?	(multiple choices)	
	cso_non_idea_1		There is/was no csos available	check	
	cso_non_idea_2		I don't/didn't know any csos	check	
	cso_non_idea_3		It might compromise scientific validity of the project	check	
	cso_non_idea_4		I never thought of it	check	
	cso_non_idea_5		We didn't have time to contact csos	check	
	cso_non_idea_6		It's/was not required	check	
	cso_non_idea_7		The ethical/social issues are covered within the team	check	
	cso_non_idea_8		no previous experience	check	
	cso_non_idea_9		The project is/was too confidential	check	
	cso_non_idea_other		Other :	(open)	char
Q4	cso_non_involvt	if the answer is yes at cso_involvt_idea (Q2)	why didn't you do it ?	(open)	char
Q5	cso_role	If the answer is yes at cso_particip (Q1)	What is/was their role ?	(multiple choices)	
	cso_role_1		Setting the research project agenda	check	dicho.
	cso_role_2		Steering of the research project	check	dicho.
	cso_role_3		the funder	check	dicho.
	cso_role_4		Member of the research team	check	dicho.
	cso_role_5		Contribution to publications	check	dicho.
	cso_role_6		Providing expert knowledge	check	dicho.
	cso_role_7		Bringing in local knowledge	check	dicho.
	cso_role_8		Facilitating information	check	dicho.

	cso_role_9		Representing local community	check	dicho.
	cso_role_10		Living lab	check	dicho.
	cso_role_11		Validation/discussion or evaluation of the results	check	dicho.
	cso_role_other		Other :	(open)	char
Q6	cso_descr	If the answer is yes at cso_particip (Q1)	What are the CSO's names ?	(open)	char
Q7	project_web	If the answer is yes at cso_particip (Q1)	Do you have a website we could look at ?	(open)	char
Q8	recontact	If the answer is yes at cso_particip (Q1)	Would you be willing to answer further questions at a later stage ?	Yes/No	dicho.
Q9		If the answer is yes at project_fsurvey (Q8)	Can you complete those fields with your informations please:		
	rep_sex		Title	Mr/Ms	dicho.
	rep_fname		First name	(open)	char
	rep_lname		Last name	(open)	char
	rep_mail		Email	(open)	char
	rep_phone		Telephone	(open)	num
Q10	survey_contact	If the answer is no at project_fsurvey (Q8)	Do you know anyone who may be interested ?	Yes/No	dicho.
Q11		If the answer is yes at survey_contact(Q10)	Can you complete those fields with its informations please:		
	contact_sex		Title	Mr/Ms	
	contact_fname		First name	(open)	char
	contact_lname		Last name	(open)	char
	contact_mail		Email	(open)	char
	contact_phone		Telephone	(open)	num
Q12			To conclude, we would like to know about your project:		
	project_name		Project title	(open)	char
	project_acronym		Project acronym	(open)	char
	project_identifier		Project number	(open)	num
Q13			Do you have any comments about this questionnaire or our research?	(open)	char

Appendix B.3.2: Lexical of the variables for survey 2

	Question	Nom de variable	type de question	modalités
I 1	Whatis the role of the CSO in thisproject?	role_cso	QCM	Agenda setting Giving feedback on progress, Evaluation of the results Givingtheir expertise on one topic Member of advisoryboard As researchers Linking to specificcommunities Initiators of the project Beinginformed on the results Applying the results to real world problems Policy development Setting the researchmethods Dissemination Other
2	Whatevents are CSOsinvited to?	invit_cso	QCM	General assemblies Workshops Project meetings Academicconferences Media events Project review Other, pleasespecify
3	What CSO-organisedevents are otherpartnersinvited to?	invit_csoevent	QCM	General assemblies Workshops Media events

				CSO conferences Internal meetings Other, pleasespecify _____
4	Whichmethods of CSO involvementdoes the project use?	cso_involvt	QCM	Participatory action research Community planning Collaborative inquiry Other : _____
5	Fromwhat stage is/was the CSO involved in the project?	stage_involvt		Planning Start Middle End Intermittently
6	Atwhat stage is the projectnow?	stage_project		Planning Start Middle End Finished
7	Why do you engage in researchwithCSOs?	engag_cso	open	
8	Have youworkedwithCSOsprior to thisproject?	prior_cso		Yes, in anotherproject Yes, outsideresearchprojects No
9	Wasthere a previousprojectdirectlylinked to this one?	prior_project		Yes

				No
10	Will therebe a follow-up project?	follow_project		Yes No Don't know
II	Now, wewouldlike to explore the running of the project.	comment1		
12	How do youmostusuallycommunicatewithin the project	main_com	ranking	EMails Letters Skype Meetings Phone
13	If appropriateOther, pleasespecify	com_other	open	
14	How often do youphysicallymeetwithother consortium members?	freq_meetcons		More than once a month Once a month Once a quarter Twice a year Once a year
15	How do youcommunicatewithexternalstakeholders?	com_stake	QCM	Website Social media Newsletter Academic publication Other publication Popular media Conferences Training

				Report Other, pleasespecify ____
16	Do youreceive feedback fromexternalstakeholders?	feedb_stake		Yes No
III	Couldyoudescribe the composition of the project team	commentIII		
18	How manymembers of CSOswork on the project?	nb_csopeople	num	
19	How manyCSOs are in the consortium?	nb_cso	num	
20	How many organisations are in the consortium?	nb_org	num	
21	How manyindividualswork on the project?	nb_indiv	num	
22	Whois in charge of the project'sdisseminationactivities?	respons_diss	QCM	Coordinator / PI Dedicatedperson / partner Everybodyinvolved in the project CSO Other

IV	Now, wewouldlike to understand the purposes of the project	commentIV		
24	What do / didyouhope to achieveat the end of the project?	wish_achiev	open	
25	What are the initial outcomes of the project?	init_outcom	QCM	Scientific Policy Social Economic Personal Yourorganisation'sinterests Other, pleasespecify _____
26	What do youthink the final outcomeswillcontribute to?	final_outcom	QCM	Enhancescientificknowledge Help you to solve a problem Help your organisation to solve a problem Help people not participating to solve a problem Giveadvices to decisionmakers Other, pleasespecify _____
27	In yourview, have the objectives of the project been achieved or are theylikely to beachieved?	achiev_obj		Yes No Partly Not concerned (stillat the beginning)
28	Is the research	typ_resear		Basic Applied

29	Is the projectcommunity-based?	com_based		Yes No
	help: By community-basedresearchwemean a researchtopic of practical relevance to the community, collaborative (communitymembers and researchersequitablyshare control of the research agenda) which has the aim of combiningknowledgewhith action and achieving social change thatbenefits to the community.			
30	Whobenefitsfrom the project?	proj_benef	QCM	Yourorganization'smembers OtherCSOs All participants of the project European commission Industry Local community Electedrepresentatives Citizens Specific social groups (patients for instance) Other, pleasespecify _____
31	Did the projectundergoethicsreview?	ethic_review		Yes No Don't know
32	Does the projectraiseethical issues?	ethic_issu		Yes No Don't know Did not arise
	Help: e.g. Research involves people not able to give consent; Research having direct military use; research on humanembryo; etc			
33	Does the projectbenefitfrom multiple sources of funding?	multi_fund		Yes

				No
34	Within the funding structure, are therespecificincentives or requirements to includeCSOs in the research?	incent_inclucso		Yes No Compulsory
35	Are therespecificincentives for CSOs to getinvolved in research in the fundingscheme?	cso_incent		Yes No
V	About your organisation	commentV		
37	Whatis the name of your organisation? *help: werefer to theirresearch unit / department*	name_orga	open	
38	Whatis the legalstatus of your organisation? *HELP: e.g. NGO, Association, Fundation, Cooperative, public research, etc.*	status_orga	open	
39	How many people work in your organisation approximately? *Help: explainwhat a departmentmeans, includenon-salariedmembers*	size_orga	num	
40	Doesyourorganisation engage in otherresearchprojectswithCSOs?	other_projcso		Yes No I don't know
VI	Briefly, few information about you	commentVI		

42	How long have you been involved in research? (in years)	yearsearch	num	
43	*What*yearwereyouborn?	yearbirth	num	
44	Whatisyourgender?	gender		Male Female Other
45	Whatsector do youwork in?	sector		Privatesector Public sector Non-profit Else _____
46	Whatisyourlevel of education?	lev_educ		PrimarySchool Vocational Furthereducation Highereducation PhD
47	Whatwouldbe a successfulproject for you?	success_proj	QCM	A projectreachingitssocietal objectives A projectconstructing new knowledge A projectwhichwoulddeliver pertinent guidelines for policymakers A projectinformingstakeholders A projectsupportinghumanideals A projectboosting the economy A projectsupportingyourwork or yourorganization Other, pleasespecify_____

48	Wouldyoulike to remaininvolved in similarresearchthan [PROJECT NAME]?		wish_continue	Yes No Undecided
VI 50	To conclude, wewouldlike to ask few questions to a CSO partner of yourproject. Couldyouprovide us a contact please?	contact second respondent	contact_secrep	First name: Last name: Email: Name of his/her CSO:

Appendix B4: FUNDP discussion paper

(only the executive summary of the discussion paper is printed here because this was an early draft of D1.3, which will be published in due course)

IN DESIGNING RESEARCHGOVERNANCE

Analytical Grid

Deliverable D1.3

February 2013

Authors

Rainey, Stephen

Goujon, Philippe

FUNDP

Executive Summary

The analytical grid is a result of analysis of the theoretical background to civil society participation in research design. It is a distillation from more detailed research into, and critical analysis of, underlying themes in policy, history, society and philosophy as they appear in the (European) drive for participation in research. The grid permits a principled study of relevant cases and grounds tools of assessment that can inform policy design.

The grid of analysis is deduced from the set of concepts most relevant to the research question. The research question represents a focus on a determinate field within an overall problematic. For example, if we take the overall field of CSO participation and limit it in a question regarding expectations, we can immediately decide that governance is a relevant concept here, as it is through governance that expectations between parties in participatory endeavours are expressed and negotiated.

Having thus seen this, we can go deeper and determine that within governance, given this problematic of expression and negotiation, democratic uses of dialogue must be dealt with. This allows us to use the broad distinction between, for instance, representative and deliberative democracy. In mining these concepts, and analysing their origins, manifestations, potential and limits, we therefore determine fundamental notions that underwrite the very concepts constitutive of the field that our question inhabits.

These notions can therefore serve as parameters for a grid of analysis because, with respect to the research question, they are pervasive and their presence, absence and

construal represent all the possibilities for addressing the question in terms of the analysis undertaken.

How do actors define and reach their expectations related to defining public interest when constructing norms in research projects?				
Norms & Values	What norms? Whose?	What values? Whose?	Presupposed, ignored, excluded, constructed?	
Expectations	Of researchers	Of CSO participants	Of funders/ and other stakeholders	
Governance approach	Hierarchical, consultation, co-construction?	Aggregative, deliberative, dialogical?		
Public interest	Cui bono?	How is it *progress* rather than simple sectoral advance?	Capacitation	
Means of expressing interests	Mode of participation? Dialogue? Roundtable, focus group, questionnaire?	Impact: when are the means deployed – start, during, end, throughout?	Open ended or discrete?	Conflict resolution mechanism?
Research and its background	Funding source, aims, intentions?	Political context.	CSO involvement *for what*?	

Table 1: Grid of Analysis

Using the grid allows a consistent orientation within the overall field of participation, and in particular within the section of the field most relevant to CSO participation in research design. It is also a means of assessment.

Methodologically, within CONSIDER, the grid provides a touchstone that ensures principled, coherent, salient information to be gathered. In particular, it ensures that CONSIDER answers the question it has set itself: *How do actors define and reach their expectations related to defining public interest when constructing norms in research projects?*