
**CIVIL SOCIETY ORGANISATIONS IN DESIGNING RESEARCH GOVERNANCE**


# Framework for the Comparison of Theories and CSO Participation in Research Governance

CONSIDER Project

(GA number 288928)

Deliverable D 3.1

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## Executive Summary

This deliverable provides the conceptual basis for the development of the model to be undertaken in WP3.

The deliverable recaptures and discusses the research challenge of the CONSIDER project and discusses the basic problems to be addressed to support the development of models of CSO engagement in research. Particular emphasis is given to the relationship of theoretical and empirical research in the project.

The methodology section of the deliverable outlines the steps that led to the consortium's methodological choices. It outlines hypotheses and objectives and lists the different parameters of investigation.

On this basis the deliverable discusses how the numerous parameters can be investigated in a way that will allow the construction of meaningful models. The discussion of the possible shapes of models leads to a review of the knowledge claims that can be raised on the basis of the research as well as the problems that may arise from the approach.

The deliverable concludes by outlining further steps.

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# 1 Introduction

The research of the CONSIDER project was summarised in the project abstract as follows:

> "CONSIDER will undertake conceptually sound and empirically rich research to establish a model of CSO participation in research. This will contrast theoretical views on benefits and limitations with empirical findings on the practice of CSO participation. Based on a grid of analysis, the project will survey all FP7 research projects. It will investigate 30 relevant projects as in-depth case studies. Using the conceptual grid of analysis and empirical data, a model of CSO participation in research will be developed. This model, representing relationships and causal effects of factors influencing CSO participation, will allow for comparative analysis of such factors to determine the role they play in achieving participation objectives." (Annex II, abstract)

The consortium has specified the overarching research question of the project further:

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

WP3, the WP in which the present deliverable is located, has the task of developing the models of CSO participation in research governance. This deliverable, D3.1, is the first step in establishing the models. The purpose of the deliverable is to establish the principles, according to which the models can be developed, discuss the options, outline the approach and present a roadmap for the further development of the model.

## *1.1 Title of the Deliverable*

This deliverable, D.3.1, was wrongly named in Annex II. It should be the "Framework for comparison of theory ***and*** CSO participation", not the "Framework for comparison of theory ***of*** CSO participation". This becomes clear from the description of the deliverable and its context in the proposal. The description of task 3.1 which is the basis of this deliverable makes this clear:

> "The point of this task is to make a difficult link – to synthesise the normative and the empirical-analytical elements of the project up to that stage in order to arrive at a soundly-based picture of the present state of the art regarding CSO involvement. The empirical research in work package 2 follows two different analytical strategies. The first is to analyse and describe cases of CSO involvement (2.3). For this we need the analytical grid that is developed in 1.3. It comes from the review of the different normative approaches towards participation. Within the other, major empirical material is analysed. The (separate) grid developed in 2.1 is applied in this analysis. This second grid is empirically grounded.
>
> In 3.1 the two grids are put together. This common grid informs the tasks 3.2 and 1.4. Because we have both elements in the models, we can make recommendations that pertain to governance: we then have a basis both in normativity and in empirical research." (Annex II, Task 3.1)

These points of the DoW are important in several ways. The first paragraph demonstrates the purpose of the theoretical work: the synthetic nature of this step means using the theoretical work, not thinking of it as separate. The 'empirical-analytical' elements imply the empirical work as interpreted through CONSIDER analysis, which means through the grid work and theory of 1.2 and 1.3. The analytical grid is meant to inform the focus of the interpretation of the empirical work so that the empirical research can focus on appropriate issues. This can mean, for example, the theory could provide a basis for some coding.

With regards to the latter point, it is important to point out that the CONSIDER consortium agreed during a workshop in Lille to have only one grid enabling a deductive empirical analyses as well as an inductive and maybe abductive one as suggested with the framework of the Grounded Theory (see below). An example of what such an integration of the two approaches could look like is given in D2.1

The present deliverable seeks to chart a course for the development of empirical findings and theoretical views with the aim to prepare the model.

# 2 Research Challenges

In order to understand the research challenge of the CONSIDER project that the present deliverable aims to address, it is useful to visualise the overall research plan as depicted in the following figure:

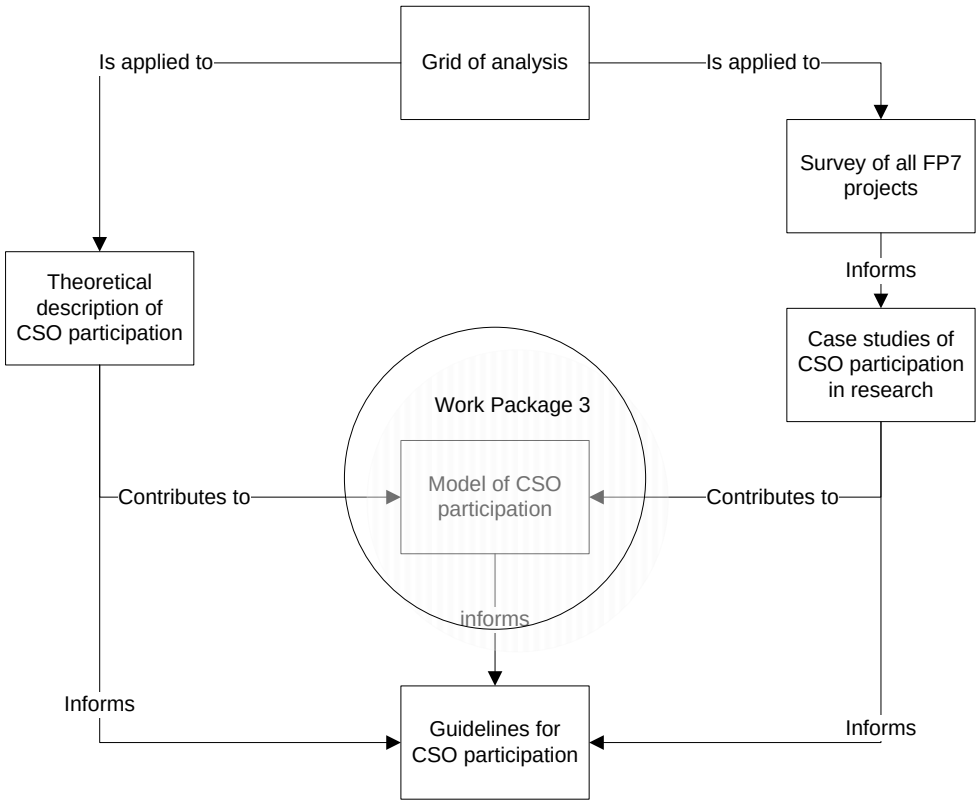


**Figure 1: Concept of CONSIDER, adapted from DoW, Part B, p. 14, focus on WP3**

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. This change is important for the project and the present deliverable because it requires some of the thought processes necessary to develop the model to be integrated into the development of the second survey, as will be detailed in more depth below.

The main challenge of the model development is the integration of the different research steps of the project. These are: the theoretical exploration leading to the grid of analysis, the two surveys and the approximately30 case studies. In order to understand how these are to be integrated, a short characterisation is in order:

- Theoretical landscape (D1.2) and Analytical Grid (D1.3)
  These two deliverables represent the project's view of current theoretical perspectives on the role of CSOs in research governance.
  "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." (D1.3, executive summary)
- Surveys as planned in the Methodology Definition and Observation tools (D2.1) and to be reported in the FP7 Survey Report (D2.2) and the Main Findings Report (D2.3). The surveys will provide a general and high level overview of current involvement of

CSOs in research governance. They will be undertaken for all FP7 projects and may be extended to cover other projects as well. The responses to the initial survey lend themselves to quantitative analysis. The second and more detailed survey is likely to include qualitative data as well, requiring different data analysis strategies.

- Case studies: the originally planned deliverable was removed during contract negotiations, but there remains the Main Findings Report (D2.3).
  Then up to 30 case studies that will be collected in task 2.3

## *2.1 The Relationship of Theoretical and Empirical Research*

A key challenge of the project and of the present deliverable is located in the relationship between the theoretical work undertaken in WP1 and the empirical work in WP2.

We should avoid characterising the theoretical work as deductive and the empirical work as inductive. Such a characterisation would miss that most of the theory on research governance and participation relies heavily on empirical studies. At the same time the bottom-up data collection in the case studies is heavily influenced by theoretical perspectives that will focus the research questions and subsequent data analysis.

The dichotomy of bottom-up and top-down is therefore misleading as it might be read to suggest that there is a contradiction between the two aspects of the research which does not really exist or that there is a dominance of one over the other, which is also not the case. The specific purpose of the analytical grid in this project is to present a guiding thread and to frame the study in terms of the background literature to highlight some key areas of research interest.

The best way of addressing the question of the relationship between theory and empirical work in CONSIDER may be to go back to the overall purpose of the project and its different steps. The main aim of the project is to give advice and support to the different stakeholders who are involved in CSO participation in research. One key stakeholder is the European Commission. Others include researchers, research organisations and CSOs themselves. In order to develop such advice the project will need to have a model of CSO participation that includes the most important aspects and variables, but that at the same time needs to be sufficiently small and delimited to be accessible to stakeholders.

For this purpose it is important that the research will be based on current theory, but it is equally important that it remains open to discovery and surprise. The understanding of grid parameters as ‘centres of gravity,’ or ‘focal points’ is important here. They are supposed to orient interpretation and reflection from a constructed perspective, that of the CONSIDER project problematic. The point of this normative approach is to foreclose on unconscious perspectives skewing research, or an inductive reliance on the random salience of the ad hoc, based in random presuppositions. There is *nothing* in a constructed perspective that affects at all the openness of research. It serves only to orient interpretation and reaction to it.It is therefore possible that there will be important factors that will not be discussed in the literature. Indeed, one should assume that such factors are there. The theoretical reflection should allow the consortium to contextualise the empirical findings and reflect on its biases and presuppositions.

To put it differently, the different steps of the project should be seen as iterative and mutually enriching. Data collection will benefit from theoretical insights in both the selection of data sources and the interpretation of findings. At the same time it will not be exclusively determined by theory but open to serendipity. Theory will be developed on the basis of prior theory but also on the basis of findings. The model will be developed in cooperation between both theoretical and empirical work and will inform both.

The following figure represents the mutual dependencies of the different steps of the project.

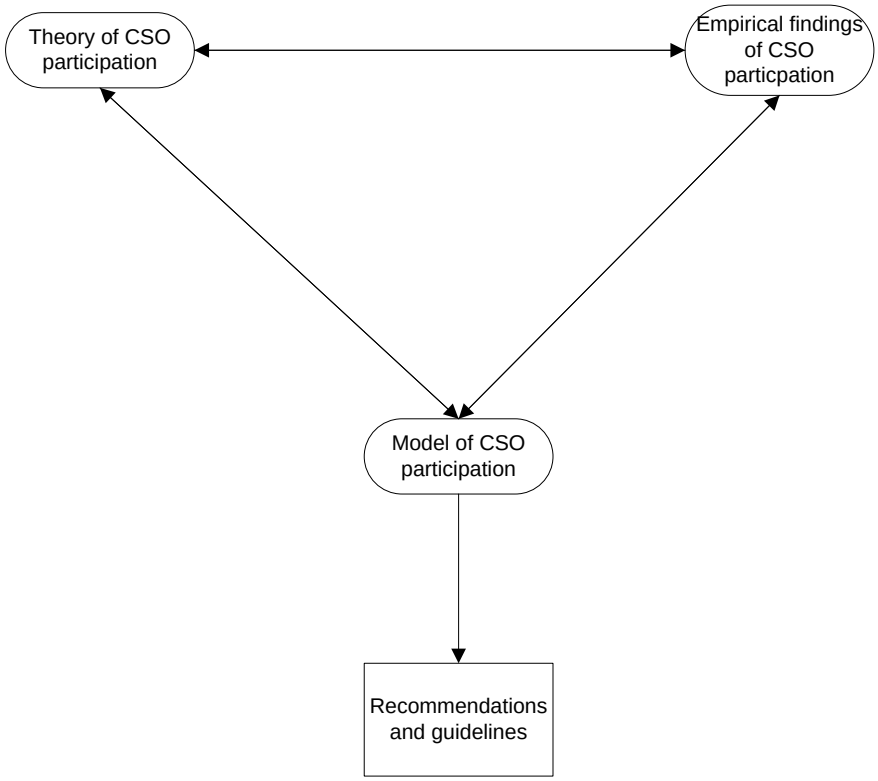


**Figure 2: Relationship of theory, empirical work and model development**

A slightly different way of framing this is that the model development is neither deductive nor inductive but abductive. The idea of abduction as one of the principal types of reasoning can be traced back to pragmatism, in particular to the work of Peirce. Abduction complements induction and deduction. Put simply, one can say that deduction shows that something must be the case, induction that something is the case and abduction that something is probably the case. Abduction is the form of argumentation that enhances our knowledge. It is the rule according to which we introduce new hypotheses.[1] Abductive reasoning has limitations(Patokorpi, 2006), but its characteristics just outlined explain how the different aspects of CONSIDER can work together to allow the theoretically sound discovery of novel relationships that will be conducive to the development of relevant guidelines.

The discussion of abductive reasoning might be helped by using terminology of necessary and sufficient conditions. In pointing to sufficient conditions this manner of reasoning has similarities with transcendental inference. But this all still depends on the descriptions, apprehensions and interpretations of that from which x is abduced. This is not settled where theory and practice are still at issue, so abductive reasoning is a tool within the problematic of the project, but it's not privileged above other forms of reasoning or explanatory of them: it has the problem of interpretation and all that goes with it at step one. In the Pierce conception it's about 'guessing,' but not from nowhere – the construction of the position

[1] See:(Habermas, 1968, p. 144): "Peirce unterscheidet drei Schlußformen: Deduktion, Induktion und Abduktion. Die Deduktion beweist, daß sich etwas in bestimmter Weise verhalten muß; die Induktion, daß sich etwas faktisch so verhält; und die Abduktion, daß etwas sich vermutlich so verhält. Die Abduktion ist die Form der Argumentation, die unser Wissen erweitert; sie ist die Regel, nach der wir neue Hypothesen einführen. Insofern treibt allein abduktives Denken den Forschungsprozeß weiter."

from where the guess happens is really important. It's guessing in the sense of "Given what we know, I guess X must be behind this" or "Given all we've read, it seems X is at play here." Hence the theoretical background and the appeal to literature.

A final way of conceptualising the relationship between the different research activities of the project and the way they can be combined is via the principles of Grounded Theory (GT). The DoW states clearly that GT is one of the ways in which the CONSIDER data is to be analysed:

**B.1.2.2.4 Empirical data analysis**

**Analysis of the empirical data** will be done in two different ways. On the one hand, there will be an analysis of the CSO case studies using the **analytical grid.**This will help confirm the categories and establish whether hypothesised relationships are present and relevant. Where relevant quantitative data stemming from the survey will be analysed using established methods of inferential statistics.

In parallel to this top-down approach to data analysis, there will be a **bottom-up approach** following the ideas of Grounded Theory(K. Charmaz & Bryant, 2007; K. C. Charmaz, 2006; Corbin & Strauss, 2008; Ferreira, Antunes, Chadwick, & Correia, 2010; Urquhart, Lehmann, & Myers, 2010).

This dual data analysis will allow the development of two related but **separate views of CSO involvement**. It will ensure that no blind spots arise, neither because of the idiosyncrasies of the investigated case studies, nor because of oversights during the construction of the grid of analysis. Data and findings will continuously be compared with the grid of analysis in the development of the model. (DoW, v 2011-11-21, p. 21

From the perspective of the project this raises the question of which approach to GT should be taken and how it relates to the other research activities. We will avoid getting involved in the discussion of the different traditions of GT and whether a Glaserian or Straussian position is to be preferred (Glaser & Strauss, 1999). It is nevertheless important to note that at the bottom of this discussion within GT is the same question that is relevant to the current deliverable, namely the question of the relationship of empirical data and theory. For our purposes it suffices to point to the fact that this territory is well covered and that there are established positions in GT as well that are compatible with the points made above, namely that one can use empirical findings and theoretical awareness to discover interesting phenomena. This position can be characterised as constructive GT (K. C. Charmaz, 2006) and it reflects our approach to the problem.

We follow Reichertz' (2009) argument that GT can be interpreted as an abductive approach to research. Without rehearsing the fine points of the philosophy of social sciences behind the different discourses we have just enumerated one can point to what Reichertz (2009, p. [22]) describes as the aim of abduction: "the achievement of an attitude of preparedness to abandon old convictions and to seek new ones". He continues to state that "Abductive inferencing is, rather, an attitude towards data and towards one's own knowledge: data are to be taken seriously, and the validity of previously developed knowledge is to be queried. It is a state of preparedness for being taken unprepared." The CONSIDER consortium recognises the value of this stance of allowing the empirical research to be the cause of surprise while simultaneously valuing the contribution that theoretical awareness as expressed in the analytical grid has in reflecting on the research approach and findings.

# 3 Methodology of this Deliverables

This deliverable should be understood as a milestone on the way to discovering possible models of CSO involvement in research, rather than as a final product. It represents a step in the discussion of the different activities of the project and establishes a temporal consensus on how to move forward. It therefore has a strong emphasis on the process of achieving this temporal consensus.

## *3.1 Collaboration*

In order to gain agreement on the way in which the different aspects of the project should collaborate and interface, a series of discussion papers was written during the late summer of 2012. This series of discussion documents is available as Appendix B: Discussion documents of this deliverable. This discussion was initiated by the coordinator (see Appendix B.1: Discussion Plan, Methodology). It had the purpose of kindling discussion in the consortium by asking all WP leaders to outline their strategy and their likely future activities.

This discussion provided the basis for the development of the present deliverable as well as that for related ones, namely the analytical grid in D1.3 and the survey report in D2.2. It ensured that the consortium partners were aware of the respective positions and could accommodate these in their work.

## *3.2 Preparation, time line*

In addition to the content discussion a timeline for all deliverables was developed / updated. The timeline for the present deliverable is shown in Appendix A: Deliverable Time Line.

## *3.3 Objectives, Hypotheses and Parameters*

During a methodology meeting in Lille on 25./26.10.2012, the key contributors to the empirical part of the research met to agree on a more detailed account of their work and a definition of key terms in light of the progress of the project. In the first step this meeting defined the overall project research objectives and the resulting hypotheses:

### *3.3.1 Objectives (making the analytical grid operational):*

1. Define criteria for the choice of case studies that will allow choosing a variety of cases. These will include :
   a. Different modes of participation;
   b. Methods of evaluation the achievement of expectations by various actors.
2. Identify how actors define the public good.
3. Find ways of reconstructing norms and social processes in research projects beyond participant statements or formal structures.
4. Analyse and observe the actual practices of CSOs participation in research project.
5. Identify and explore links between CSOs participation, research agenda, methodology, funding mechanisms, results and other factors.
6. Analyse the impact of research governance policies on CSO involvement in research in various contexts.
7. Construct case study sample based on the grid of analysis.
8. Infer models of CSO participation in research from theory and empirical data.
9. Contribute to the development of theory of CSO participation in research governance.

### *3.3.2 Hypotheses*

A. There is a variety of practices of CSO participation in research governance.

B. The participation of CSOs in research is embedded in a set of assumptions and procedures which affect the achievement of internal or external expectations.
C. Research governance of CSOs participation in research has to accommodate tensions between e.g.:
   a. Public interest
   b. Research
   c. Policy / politics / governance
   d. External and internal expectations.

### *3.3.3 Research Parameters*

On the basis of research objectives and hypotheses the group then defined the parameters of interest. The idea was to define which parameters the project would concentrate on. These were derived from the analytical grid as well as the other contribution to the discussion as described in the previous section.

It was also discussed whether the respective parameters were more likely to be of interest in research on project coordinators of CSO representatives and which source of data (s=survey 2, c=case study, d=publicly available project data) would be of relevance. During this exercise the relevant survey questions were defined and options for answering were developed. These are not replicated here because they are specific to the second survey and will be discussed in D2.2, the FP7 Survey Report.

Below we only list the parameters, as these are crucial for the development of models and the relationship between the theoretical and empirical aspect of the project.

| ***Parameter*** | ***Coord*** | ***CSO*** |
|---|---|---|
| 1. Actors | S | S |
| a. Biographical, demographics, | S | S |
| i. Age | S | S |
| ii. Gender | S | S |
| iii. Occupation | S | S |
| iv. Education | S | S |
| v. Length of experience | S | S |
| 1. In research | S | |
| 2. In CSOs | | S |
| 3. With CSOs in previous projects | S | |
| 4. CSO prior research experience | | S |
| iv. How did they personally get involved | C | C |
| b. organisational detail | | |
| i. Organisation name | S | S |
| ii. Legal status | S | S |
| iii. Homogenous / heterogeneous | C | C |
| iv. Purpose of the organisation | | S |
| v. Size (employee number in unit) | S | S |
| vi. Overall Budget | C | C |
| vii. Percentage of research income | C | C |
| a. Motivation to participate in research | S | |
| b. Motivation to participate in research | | S |
| c. Place of research in the organisation | | |
| i. Leadership | C | C |

| | | |
|---|---|---|
| ii. Location | C | C |
| iii. Additional research in CSOs | | S |
| iv. Additional research with CSOs | S | |
| e. Expectations | S | S |
| i. Organisational | | |
| ii. Individual | | |
| f. Values & norms | C | C |
| i. Ideal of good research | | |
| ii. Ideal of participation | | |
| g. Public interest | S | S |
| h. Evaluation of their involvement | C | C |
| i. Mechanism | C | C |
| 1. External / internal | | |
| ii. Content | C | C |
| iii. Timing (when do they evaluate) | C | C |
| 2. Impact, outcomes of the project | S | S |
| | S | S |
| f. Impact on actors | C | C |
| i. CSO | | |
| ii. Research organisations | | |
| iii. Etc. | | |
| 3. Research project | | |
| a. Content of the project | C/d | C/d |
| i. Socially contested | | |
| b. Research field | D | D |
| c. Discipline | C/d | C/d |
| d. Basic / applied | S | S |
| e. community-based | S | S |
| f. Beneficiaries | S | S |
| g. Communication | S | S |
| i. Internal | | |
| 1. Mechanisms | S | S |
| a. Who is in charge? | C | C |
| 2. Frequency | S | S |
| 3. Flexibility, possibility of change | C | C |
| 4. Availability / access to information | C | C |
| ii. External | S | S |
| 1. External feedback | s | s |
| g. Timing / stage of the project | S | S |
| i. Stage of CSO involvement | S | S |
| ii. Current stage of the project | S | S |
| h. Project governance | | |
| i. Hierarchy | C | C |
| ii. Management structure | C | C |
| iii. External influences | C | C |
| i. Consortium | | |
| i. Quantitative aspects | S | S |
| ii. Initial composition of the consortium | C | C |
| iii. Criteria for inclusion | C | C |
| iv. Evolution of the consortium | C | C |
| j. Ethics | | |
| i. Consideration of ethical issues | S | S |

| | | |
|---|---|---|
| ii. Ethics review | S | |
| k. Confidentiality | C | C |
| l. Funding structure | | |
| i. Funding source | D | D |
| ii. Additional sources | S | S |
| iii. Project budget | D | D |
| iii. Conditions of payment | C | C |
| m. Dissemination, knowledge diffusion | | |
| i. Mechanisms | C | C |
| ii. Content | C | C |
| iii. Responsibilities | S | S |
| n. History of collaboration | | |
| i. Was there a previous project | S | S |
| ii. Will there be a follow-up project | S | S |
| iii. Intention to remain involved | S | S |
| iv. Origin of participation | | s |
| 4. Conflict resolution (can people take initiative, can they voice dissent with their role?) | | |
| a. Mechanisms of conflict resolution | C | C |
| i. Internal | | |
| ii. External | | |
| b. Practice / experience of conflict resolution | C | C |
| c. Content of conflict | C | C |
| i. Science | | |
| ii. Organisation. | | |
| iii. Social problems | | |
| iv. Etc. | | |
| 5. Practice of participation (what roles to CSOs have in a project, how is this organised?) | | |
| a. Invited / uninvited | C | C |
| b. Methods | S | S |
| i. … | | |
| c. Role of CSO | S | S |
| d. Participation in scientific events | S | S |
| e. Participation in CSO-led events | S | S |
| 6. Evaluation | S | S |
| a. Public interest (cui bono) | C | C |
| b. Mechanisms | C | C |
| c. Timing | C | C |
| d. Feedback to CSOs | C | C |
| e. Areas of evaluation | C | C |
| i. Scientific | | |
| ii. Participation | | |
| iii. Other outcomes | | |
| 7. Context | | |
| a. Societal | c/d | c/d |
| i. Timeliness of topic, social relevance | | |
| b. Political | c/d | c/d |
| i. National research governance | | |
| c. Legal | c/d | c/d |

| | | |
|---|---|---|
| i. Legal status of CSOs | | |
| d. Funding | | |
| i. Funding schemes | D | D |
| ii. Funding incentives for CSOs | S | S |
| iii. Incentives for researchers to include CSOs | S | S |
| e. Epistemological | c/d | c/d |
| f. Scientific | c/d | c/d |
| g. Media | c/d | c/d |

**Figure 3: Research parameters of the CONSIDER research (s=survey, c=case study, d=data)**

This list of parameters is based on the literature review as well as the combined experience of consortium members. It is too broad to be of practical use. This demonstrates that the consortium will have to continue to hone the research question to come to useful outcomes. Despite these shortcomings it is a good starting point to inform the empirical research. It is likely to be reduced to those aspects that turn out to be of most interest during the further course of the study.

# 4 Towards a Model of CSO Participation

Having discussed the background, principles and methodology of the present deliverable, the present section engages in the substantive discussion of the content and shape of the model of CSO participation in research governance that will be presented in D3.3.

## *4.1 Possible shape of models*

A core question that is at the beginning of this discussion is that of the definition and use of models. Due to the relevance of the term, it was discussed in CONSIDER deliverable D1.1, Glossary. Below are the definitions / contributions to the term in the glossary[2]

> KIT : Models aim at explaining a very specific process or result. Depending on the selection of starting criteria or goals, the description and explanation of the focused matter varies. Hence, models can not represent the reality. They reduce it to some necessary constructed variables. They construct a reality with respect to selected variables which are seen as important to get a specific function or picture. They are enabled by a justified normative view on the world.
>
> In our understanding models refer to the definition of guidelines and by this illustrate how 'particular processes could work according to set routines or sound practices'. Models as well as guidelines are important concepts of which CONSIDER will make use.
>
> LU : Models in CONSIDER project are closed to Weber's "ideal types". They sum up normative characteristics derived from the theoretical landscape and form the patterns identified through the survey results analysis. Models are the junction between our original normative approach and the grounded theory model we use to analyse our qualitative data.
>
> It might not be easy to find the proper way to build the bridge between normative grid of analysis and grounded theory. This might become one of consider major contribution to data analysis theory.

The models to be developed in CONSIDER thus can be described as a representation of the relevant aspects of social reality that influence the success or failure of CSO engagement in research, in particular in so far as they pertain to "expectations related to defining public interest when constructing norms in research projects" (see CONSIDER research question, above). It is worth emphasising that social reality is itself a complicated construct of historical, political, philosophical etc. trends.

Such a model, in order to be useful and to feed in to the creation of guidelines and recommendations, needs to be sensitive to numerous variables and the relationship between these variables. One way of graphically representing such a model is shown in the figure below. The figure is meant to show the actors involved in research related CSOs, the factors that influence them and their expectation and ways of measuring them. A model such as this might be used to demonstrate the main research findings and underline the key insights arising from the CONSIDER research.

The following figure is based on the parameters that were listed in section "Research Parameters". There are three top level parameters, each of which could potentially relate to

[2] http://www.consider-project.eu/wp-content/uploads/2012/08/D1.1_Glossary-2012-06-27-submitted.pdf, accessed 10.10.2012

or influence any of the others. A top level and abstract representation of the model(s) implied in these parameters could be this:

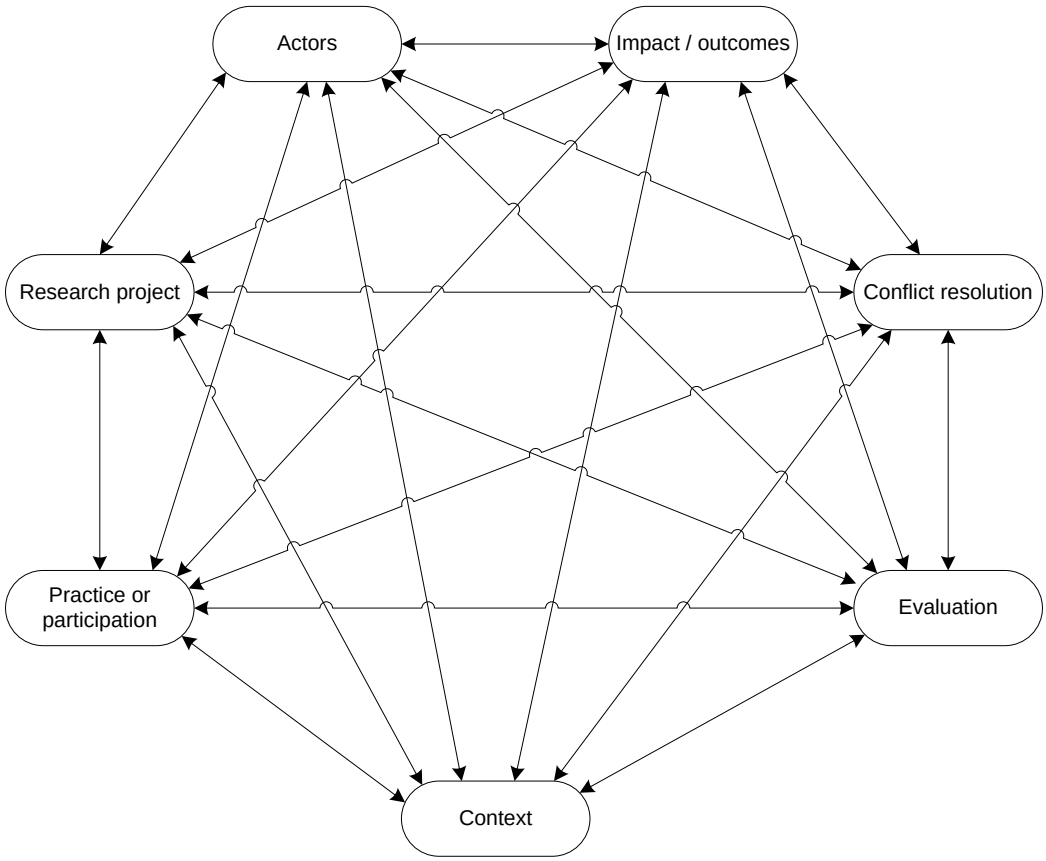


**Figure 4: Representation of possible relationships between top level parameters.**

It is important to note that each of these parameters include a large number of sub-levels and individual components or variables, each of which can be in a number of relationships with other parameters or variables. If we concentrate, for example, only on the top left parameter, on actors, we could easily break it down into the following.

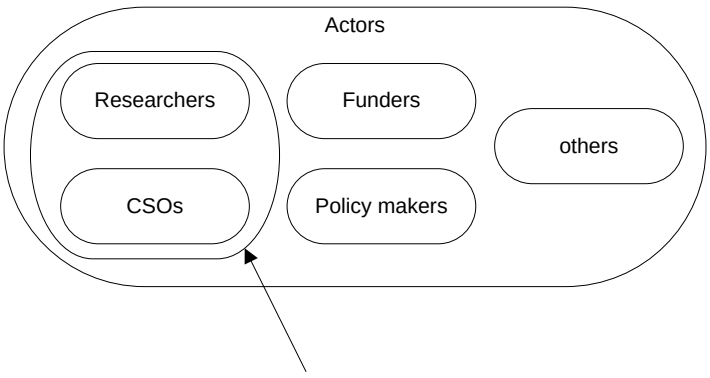


**Figure 5: Graphical representation of the parameter "actors"**

Within the parameter “actor” one can find a number of sub-units, such as researchers, CSOs, funders, policy makers and others. The arrow in the figure points to the two main types of actors who will be explored in the second survey. This representation of the

parameters should not be misunderstood to be a comprehensive description. In fact, many actors will cover more than one role, for example be a researcher and a member of a CSO.

Going back to the list of parameters, one can easily see that each of the components of the parameter can be further broken down into constituent parts. For the parameter "researchers", for example this could take the following shape.

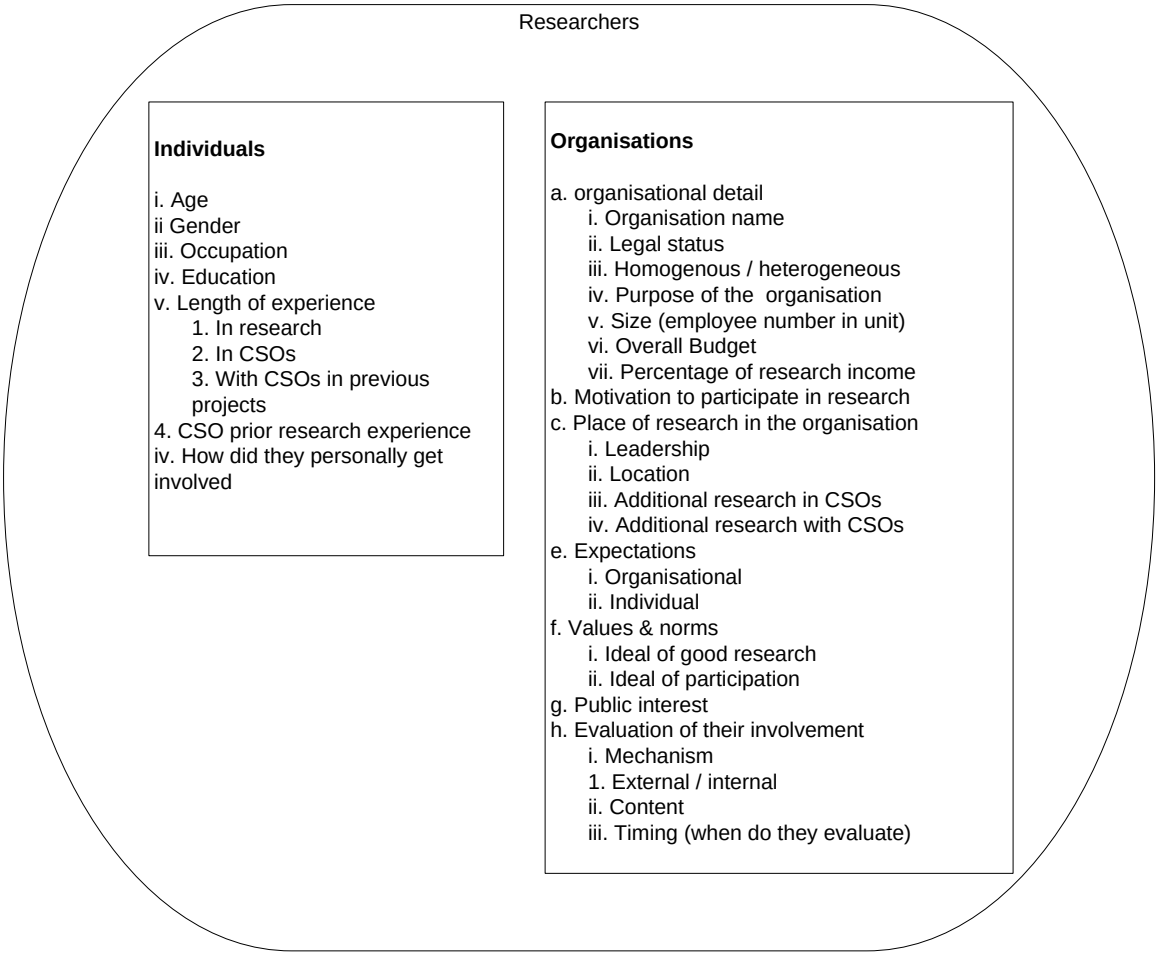


**Figure 6: Components of parameter "researcher"**

Figure 6 demonstrates that the parameter "researchers" can be broken down into individuals and organisations. Each of these again contains a number of variables that have the potential to affect the way CSOs are integrated into research projects.

By breaking down the set of parameters in the three different levels of actors and showing the complexity and sheer number of variables, we have now demonstrated that a comprehensive model of CSO engagement in research governance is unlikely to be feasible and that it would be too complex to be of practical use.

It is therefore important that from the overall set of parameters and their possible relationships, a sub-set of models will be developed that will help understand specific problems or solutions and that can demonstrate the insights to be developed in the empirical work.

The following figure is a suggestion of one possible model that might be distilled from the findings. The research may lead to numerous such models which may or may not allow more general abstractions.

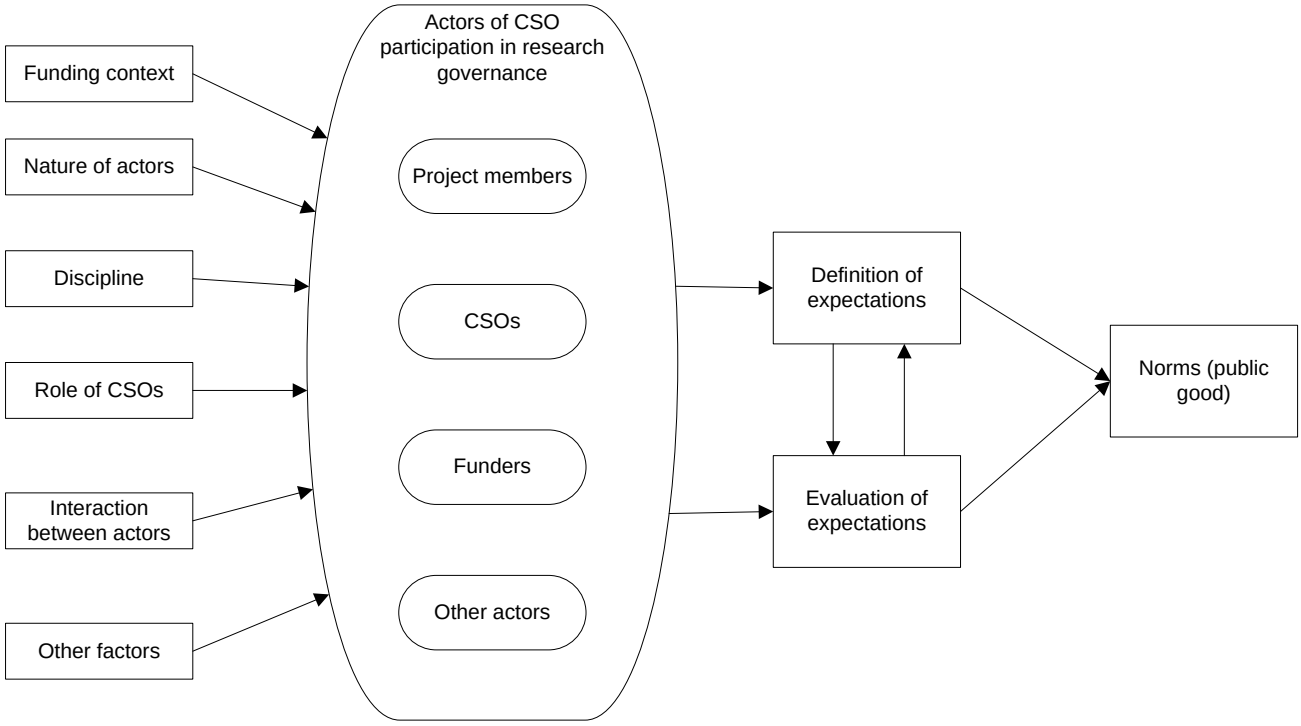


**Figure 7: Possible graphical representation of the models of CSO participation in research governance**

This figure provides a possible view of a possible case. It demonstrates how the research findings might be graphically represented. Such a representation will not cover the complexity of the cases nor of the findings. It will nevertheless be important to explore ways in which the case study findings can be communicated to stakeholders and users and how the basis of later recommendations can be made explicit. It is therefore suggested to attempt to develop such graphical representation of models to see whether they can fulfil the purpose of communicating key findings.

## *4.2 Possible Problems Arising from Models*

Developing such models raises a number of issues. The first one is related to the choice of variables to be represented. The problem isthat the overall number of variables is potentially very large and not all of them can be represented in a model that is meant to be of practical use. This is covered in D.1.3 section 4 and is handled by not thinking of parameters a tick boxes. As indicated above and outlined in the DoW, the consortium will reduce the number of parameters. This will be helped by the analytical grid which has underlined a number of parameters as central.

This point needs to be heavily emphasised- it's key to the point of the grid as agenda-setting and interpretation-guiding.In order to arrive at such a practically useful model, the project will need to find ways of eliminating less relevant variablesIn addition to the variables the project will need to explore the relationship between variables. For example, it is plausible that a particular type of funding context will favour a particular type of CSO and certain research questions to lead to specific expectations. The problem with this type of relationships and chains of relationships is that they are permutations of variables and therefore potentially innumerable.

However, it is possible that on the basis of the case study analysis and theoretical reflection important rules and contexts will be emphasised and others will be shown as irrelevant. The empirical research will find out which of the different parameters, the consortium identifies, are the relevant ones influencing the modes of CSO participation in research projects.

Depending on the analytical shape of the parameters and interrelation to others parameters different models of CSO participation can become obvious. These models of CSO participation could be arranged in varying types or in one typology of CSO participation. In the typology the parameters and contexts of the different models will need to be styled following each goal of each model in the context of the typology.

This rather bottom-up approach will need to be contrasted to a top-down approach. So, the case studies might also be organized taking into account a typology of CSO participation which can be retrieved from the scientific literature. This could be a typology which is oriented at the societal functions of CSO participation. From what we know so far from the literature, CSO participation is expected to fulfil four main societal functions: (1) influencing the scientific efficiency in research projects, (2) solving CSO-related problems, (3) improving technology development and (4) increasing policy legitimacy. In the following these functions are illustrated with reference to exemplary articles.

(1) In his famous study Steven Epstein found out how patient organizations influenced the course of HIV research. These organizations mainly consisted of gay men who before HIV was discovered were fighting for their social recognition and identity. Gay men or lesbian women were fighting against the socially prevailing view that their sexuality is a mental illness but to be honourable persons. The groups' activism against prejudgement, social norms and for civil rights and liberties made the grounds for the AIDS activism movement. Beyond protests and demonstrations for cures and therapies, the groups gained credibility among experts of HIV research by participating in scientific discussions. And, some of them became recognized as representatives of AIDS activists. They were recognized as powerful spokesmen of the patients who for HIV science meant to be objects of research. Furthermore, the activists brought together the scientific and the moral discourse, for example arguing for the use of medicine tests for people who following usual scientific standards would not have been allowed to participate in series of tests. Of course, the activists not only developed new positions but also took their powerful position in already existing debates and by this influenced the course of research (Epstein, 1995, p. 425ff).

Having gained scientific credibility and having been acknowledged politically the patient organizations could participate in the expert talk, they were able to contribute to scientific discussions on the construction of research problems, to the setting of research agendas, to the application or non-application of specific research methods and the evaluation of results. The CSOs took the roles of normative experts in the discussion with scientists. They were normative because they intended to reach an own advantage for themselves or their members. The outline of Epstein's article illustrates that if CSOs gain credibility in the science community and have a powerful political position they can influence the progress of science. More examples of how CSOs interact with scientists at all steps of the research process can be found especially in health research (Delisle, Roberts, Munro, Jones, & Gyorkos, 2005).

(2) Science shops embody another functional type of the interaction between science and civil society. They work as intermediary organizations which pass CSOs' problems to scientists. Articles reflecting their commitment show how science participates in the civil society. In the Netherlands the science shop movement has been strong. There science shops accepted social problems to be handled by further scientists when the asking organization has no commercial aims, seeks for a policy change by relying on the scientific results and has limited financial means available. Example clients are environmental organizations, labour unions, care organizations neighbourhood organizations etc. Once an organization contacts the science shop, the science shop evaluates the problem and discusses its specificity with the organization. Together they develop a research question and choose disciplinary methods and resources. Then, the science shop searches a scientist or mostly a student who could develop solutions to the problem. In exchange

between the scientist and the organization further adaptations regarding the questions, methods and efforts might be taken.

“The product the science shops deliver to their client exceeds that which is regularly considered science. Within the rubric of scientific research and advice the client receives a report that can be distributed to, among others, political officials, the press, other organizations and individuals; (…) the science shop may also advise the client on public relations strategies, press coverage, and implementation of research results” (Farkas, 1999, p. 44).

Taking in account the results of the described scientific participation in civil society, the difference to CSO participation in science becomes obvious. Most commonly no publications or any enrichment to a scientific problem comes out in the end. However, the societal function of these processes is to improve arguments in policy debates or to increase the public knowledge base on a socially relevant issue. So, the quality of the scientific results is less assessed through scientific criteria but more through its social or political usefulness.

This approach is closely related to participatory action research (PAR) which seeks to understand the world by trying to change it. PAR is based on principles of collaboration and reflection(Argyis&Schon, 1989; Whyte, 1991). One particular flavour of this is community-based participatory research where scientifically trained experts and community members work in an equal partnership(Minkler&Wallerstein, 2011).

(3) Similarly, but in another societal field, CSOs can become engaged within the innovation process. Science shops rarely are involved in such actions, for example in projects about improving techniques for disabled people in a local community. However, projects driven by industrial needs are deemed to profit from the participation of the end consumer groups. Experiences have been made with assistive technologies for disabled people. Concepts like Design for All, Universal Design or Inclusive Design offer solutions. Their common approach is that either a product is adapted in cooperation with other users after a product has been developed or the product is developed bottom-up. The latter case is deemed to be very time and resources consuming as users are involved in the whole process whereas mostly these adaptive products are for niche markets. However, partly innovations can be created within the community of the latter users without or with very little economic support. Might be materials for new sport activities like kite surfing, open source software like different Linux systems or maybe in the future applications based on synthetic biology knowledge. In these cases civil society or the involved individuals could hardly be seen participating in a project but rather as cooperating with each other (Hippel, 2006, p. 121ff; Plos, Buisine, Aoussat, Mantelet, & Dumas, 2012)

(4) If CSOs participate in a research project, then this could also have political implications. In science and technology it is deemed necessary to make the complicated research fields accessible to others. Therefore, workshops at the end of research projects present research results. Participatory technology assessment approaches are also well known. It leads to information about new science or technologies which is communicated to stakeholders or citizens. For example at consensus conferences, participants are asked to take positions to various political issues like innovation regulation strategies. At the end of such events the results are passed symbolically to responsible politicians, representatives of the relevant administration or of science and the economy. Most studies show these procedures rarely affect political decision making or scientific projects but they are seen as a useful communication tool between science, politics and citizens or lay people. Furthermore, the fact that participation processes take place are often used as an argument for political deliberation in order to increase the legitimacy of policy, of a research field or maybe of a specific project. On the other hand, uninvited forms of participation like protests,

demonstrations, the occupation of test areas, the destruction research materials etc. question the political legitimacy of research and the policy supporting it(Bogner, 2010; Saretzki, 2003, p. 56f).

The four types of CSO participation retrieved from the literature are interpreted in a functional sense. However, the short overview has also shown that the interpretation of CSO participation could also be put differently. Depending on the goals of the involved actors as well as on the given structural – political, scientific etc. – reality the participation setting and the results vary. Both conditions – actors' motivation or societal structures – could be further axes of typologies of CSO participation in research. The empirical plausibility of these suggestions for organizing the different forms and functions of CSO participation needs to be explored by the case study analysis. This leads to the question of the claims that can be made on the basis of the research and thus to the reach of resulting recommendations and guidelines.

## *4.3 Knowledge claims arising from the research and reflected in the model*

The models will be constructed from theoretical insights as well as empirical findings from two surveys and the in-depth case studies. Some of the findings will come from a comprehensive survey of all FP7 projects and will therefore be able to make general statementsabout CSO involvement in research inFP7. Much of the deeper insight into relevant variables and relationships will, however, come from the qualitative data collected in survey 2 and in the case studies. This data will be subject to hermeneutic analysis (Gadamer, 1990; Myers, 2004)and thus not be able to claim universal validity in the way that positivist research might assume.

This is perfectly acceptable in the interpretive research paradigm (Klein & Myers, 1999; Walsham, 1995, 2006) chosen for the case study work. It nevertheless requires a clear statement of the limitations of the models. The models and the resulting recommendations should not be understood as providing hard scientific proof of relationship but they will allow interested parties to understand relationships, engage with them and thereby develop their own position by thinking through cases and findings.

Read in this way, one can state that the research relies on a cross-paradigm research strategy (Mingers, 2004). Aspects of the first and second surveys are quantitative, and framed according to our Analytical Grid.The surveys will help identify case studies of interest. The qualitative aspects of the second survey and the case studies will require an interpretive approach and serve the understanding of specific circumstances rather than the development of generalizable rules. Overall the models to be developed in WP3 will follow the interpretive paradigm, correlated with our normative and reflexive stances (presented in D 1.2 theoretical background).

Given that the order of research will be to start the quantitative investigation and progress from there to the interpretive research.The CONSIDER project will have the opportunity to triangulate the different sets of results. The metaphor of triangulation here refers to the combination of different methodologies in the study of the same phenomenon (Jick, 1979). More specifically, the qualitative research will be able to concentrate on surprising or counterintuitive findings of the survey research. The findings of the survey can thus be used to highlight interesting cases which can then be explored in depth in the case study research.

# 5 Further steps

When undertaking the research and developing the model all consortium members should keep in mind that the purpose of the research is to come up with relevant and practicable recommendations and guidelines that can make a positive difference to CSO involvement in research. The following points should help achieve this aim.

## *5.1 Standard reporting template for case studies*

The discussion concerning the detail of the case study selection, case study protocol and analysis of case study data is still on-going and will be detailed in deliverable 2.3. Independent of the eventual decision that the consortium will make on these issues, it is important to keep in mind that the case studies are likely to be an important result in their own right and that they may help stakeholders better understand issues of CSO involvement. Initial discussions with stakeholders have shown that a set of practical case studies of CSO involvement in research would be of broad interest.

It is to be expected that each case study will lead to the collection of considerable amount of data including several interviews, website content, deliverables, publications etc. It is therefore suggested that a case study reporting template is used by the consortium members undertaking the case study research. Such a template would make it easier to communicate about the case both internally and externally.

The table below gives an initial indication of a template for reporting the case studies. It is important to note that the purpose of the use of templates is not to develop benchmarking exercises. Using templates will, however, require the reduction of the complexity of the cases according to the perceptions of the case study research team. They should therefore be seen as a high level summary of the data analysis of each case. In order to ensure that the biases and preconceptions that contributed to data analysis and summary, the template concludes with a critical reflection of the case.

| **Item** | **Maximum Length** |
|---|---|
| Case study name (anonymized) | |
| Research team (UL, DMU, KIT, EN) and project code | |
| Abstract | 200 words |
| Data collected (e.g. project call, media coverage, stakeholder positions, deliverables, interviews, publications, promotional material,…) | |
| Description of data collection and data analysis | 500 words |
| Project description | 500 words |

| | |
|---|---|
| Characterisation of the main stakeholders | 200 words each |
| Why is the case of interest? | 500 words |
| What worked particularly well according to the stakeholders? | 500 words |
| According to the stakeholders, what were notable problems? | 500 words |
| What are the lessons learned (from the point of view of the case under consideration)? | 500 words |
| Critical reflection (relationship to theoretical background, relevance to CONSIDER research) | 1000 words |
| Model of CSO engagement in the case | |
| How could the case study inform guidelines? | 500 words |

**Table 1: Indicative short description of case studies**

In the first instance the case study template descriptions are an internal tool of the CONSIDER consortium that will allow the communication about cases. The case study templates can be seen as initial models of each case study that emphasise aspects that the case study team views as relevant, pertinent and worth underlining.

If the case study templates prove to be of high quality and the consortium is happy to share them, then they could eventually be published on the CONSIDER project website. They could furthermore be used in an interactive tool and might form a supporting document for any guidance or recommendation. Case study descriptions following this template could furthermore be used to provide input into further relevant projects, such as the EU projects on responsible research and innovation. Any publication of case studies will need to be reviewed with regards to legal compliance with regards to data protection and confidentiality. Prior to such publication the consent of those involved in the case will need to be gathered.

In addition it is recommended that each individual case study is summarised by a graphical representation that highlights the most salient variables and relationships as they arise out of the data analysis. These representations could take the form of some of the figures show earlier such as “Figure 7: Possible graphical representation of the models of CSO participation in research governance.” Having a collection of some 30 cases together with their graphical representations will allow the abstraction of more general and broadly relevant aspects. Again, the graphical representations are open to the critique of being idiosyncratic. And, as in the case of the case study templates, the initial use of the figures will be to communicate within the consortium about cases. If the consortium feels the figures are useful in highlighting relevant aspect of the research, then they may be shared more widely. In this case it will be important to underline the nature and limitations of such graphical representations of the cases.

## 5.2 Model development

As indicated earlier, the actual survey and case study research is located in WP2 and will be reported in deliverables in this WP. This section only touches on the question of how the research can best be developed into models.

For this purpose it is suggested that each case study is individually peer reviewed within the consortium as well as by external experts or stakeholders from outside of the consortium. Such review would have the advantage that the biases of research teams are likely to be discussed and that further views can be incorporated.

The actual shape and content of the models cannot be predicted at this stage. Model development will be an iterative process that will be undertaken in conjunction with empirical and theoretical research. This deliverable has outlined how the different activities come together to increase the consortium's understanding.

The actual development of the model will, however, involve a creative step that cannot be reduced to methodology or algorithms.

## 5.3 CSO involvement

CONSDER claims to be a reflective project that incorporates CSO contributions. The development of the model would clearly benefit from the insights of CSOs and other members of the network of associates.

There are several ways in which CSO will be involved in the development of the models:

1. CSOs will be one main group of respondents to both surveys and case studies
    a. There will be a specific version of the second survey tailored to CSOs
    b. Each case study will include at least one, ideally two interviews with CSO representatives.
2. A CSO (EN) will be involved in the design of case study collection (through conducting a pilot case) and undertake some of the case study research including data collection and analysis itself.
3. CSOs will be invited to join the case study review process and contribute their expertise and experience to model development in this way.

## 5.4 Timeline

The main deliverable on the models, deliverable 3.3 "Models of CSO Participation in Research Governance" is to be submitted in month 30, i.e. August 2014.

Due to the iterative nature of the further research and the development of models, it is proposed to integrate the initial steps of model development into the further research steps. Consortium meetings and discussions should therefore contain a standing item on the agenda on "models".

Important milestones that will need to reflect on model development are:

- D1.7 Governance models (M17)
- MS4 First policy brief (M18)
- D3.2 Report on the analysis of theory and practice of CSO participation in research governance (M24)

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## Appendix A: Deliverable Time Line

| *Date* | *Activity* | *Responsible* |
|---|---|---|
| 31.01.2013 | Last date for submission of deliverable | DMU |
| 18.01.2013 | Planned submission of deliverable | DMU |
| 16.01.2013 | PCC decides whether to accept the deliverable, based on recommendation of review chair (during GA meeting) | PCC |
| 11.01.2013 | Review chair gives recommendation to PCC, on the basis of reviews | Martine (Review chair) |
| 09.01.2013 | Final version of deliverable, including response to reviews to review chair | DMU |
| 04.06.2014 | Reviewers submit reviews to deliverable DMU and review chair | Reviewers |
| 21.12.2012 | Second draft of deliverable submitted to reviewers and review chairs | DMU |
| 09.11.2012 | Reviewers submit first round of reviews to review chair and owner | Reviewers |
| 02.11.2012 | DMU submits first (rough) draft of deliverable | DMU |
| 11.10.2012 | All members of the consortium provide feedback on structure / outline | All |
| 05.10.2012 | DMU circulates structure / outline of the deliverable | DMU |

# Appendix B: Discussion documents

## *Appendix B.1: Discussion Plan, Methodology*

# CIVIL SOCIETY ORGANISATIONS IN DESIGNING RESEARCH GOVERNANCE

**Discussion Plan, Methodology**

28.08.2012

B. Stahl

### Background

During the teleconference on 28.08.2012 the CONSIDER consortium decided not to meet in Karlsruhe in September because the meeting would have been premature and will need more preparation. The meeting has been postponed to 25/26 October in Lille.

The present document aims to organise work and discussions in order to ensure that the Lille meeting will be wee prepared.

### Activities

The main purpose of the meeting will be to come to an agreement on methodology of the further steps, in particular of the empirical research, of the project. The work over the next two months will need to clarify in particular:

- Research question(s) guiding the second survey
- Research question(s) guiding the case study research
- Ways of meaningfully integrating the Network of Associates into the research design

In order to ensure that we come to a greater understanding of each other's position and that the different steps taken by different partners and WP build on one another, it is proposed a series of brief discussion papers is produced.

The present document outlines possible topics of these discussion papers with a view to jump-starting discussion. These topics are chosen from the coordinator's perspective on the basis that they are likely to be of importance. The document should be seen as an invitation to structure and support the discussion, not to limit it. Partners are welcome to add topics and develop the suggested topics in ways they see fit.

### Tasks

The first set of discussion documents should cover the following:

- Questions of survey 2 (UL)
    - We need clarification of which research question(s) exactly the second survey should answer.



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    - On this basis, actual survey questions need to be developed. The survey questions are likely to build on the survey questions discussed at the Porto meeting.
    - The document will contribute to the development of D.2.2.
- Case study protocol (KIT)
    - D2.1 has outlined the principles of the case study protocol. We now need to clarify now:
        - Which research questions the case studies should answer
        - Which data needs to be collected (including interview schedule)
        - How the data is to be analysed (GT principles, practices)
    - This will feed into D2.3 and D3.3.
- Theoretical input / grid of analysis (FUNDP)
    - D1.2 has provided an initial overview of the theoretical background of CSO participation. This now needs to be presented / translated, so that it can inform research questions, survey and interview questions and data analysis (see above).
    - This work will feed into the Grid of Analysis in D1.3.
- Comparison of theory and practice (DMU)
    - D3.1 will develop a framework for the comparison of theory and practice of CSO participation. It will link the work undertaken in WP1 and WP2 to contribute to the model in WP3 and the recommendations in WP4. Principles of how this can be achieved will need to be developed.
- Contribution of the Network of Associates (EN)
    - CONSIDER aims to be a reflective project that applies principles of participation to its own work. CSOs should therefore be involved in the development of research questions and tools. The project needs to develop a strategy of how to do this in practice.

Each of the main bullet points should lead to the development of a short discussion paper. These can be uploaded to the following folder in the sharepoint site:

CONSIDER>Research>Methodology discussion>Discussion documents 2012-09-07

The direct link to this folder is here:

https://team-extern.kit.edu/sites/consider/Research/Forms/AllItems.aspx?RootFolder=%2fsites%2fconsider%2fResearch%2fMethodology%20discussion%2fDiscussion%20documents%202012%2d09%2d07&FolderCTID=&View=%7b909773E3%2d6CBB%2d47CE%2d892C%2dF0E4587E20CE%7d

## Deadlines

Deadline for uploading the discussion papers is the **7th of September 2012**. This will allow all partners time to read them prior to the next skype conference on 11 September.

*Appendix B2: UL Discussion paper*


# CIVIL SOCIETY ORGANISATIONS IN DESIGNING RESEARCH GOVERNANCE


## Methodology, discussion paper
## Survey 2

10.09.12
Martine Legris Revel

**Background**
We need to discuss the next survey steps, bearing in mind the global architecture of CONSIDER methodology and building on the theoretical landscape and the analytical grid, as well as what we already decided in Porto.
We are currently analyzing the first questionnaire (survey 1) answers.

**Purpose of this document**
To give some highlights on the future survey 2 structure and links with deliverable D1.3 and D2.2.

The main research scheme and research questions of Survey 2

Once we agree on main parameters and their theoretical justification (deliverable 1.2 and 1.3) and that we define our concepts notions (deliverable 1.1) **THEN**
we can adapt those dimensions to the different surveys (deliverable 2.1).

The grid of analysis is not already set. Still we can at this stage focus on several parameters :

- aggregative/deliberative/ dialogicaldemocracy,
- dialogue,
- context,
- value and norm,
- actorsselection,
- aims
- inclusion.
- research project model (participatory/standard),
- research funding model (Public/private, Foundation),
- decision/management process (directive, participatory/ laissez faire).

In Porto we structured those parameters in three different sets of questions :

1. Societal expectations towards participation
2. Performance of participation / influencing science and debates
3. Evaluation of participation.

We suggest to start from these three sets of questions, knowing that they will certainly evolve according to the grid of analysis content.

Survey 2 will focus on FP7 projects and others which include CSOs participation.
We will develop an understanding of the pertinent aspects of CSOs participation and contribute to the identification of CSOs engagement rules and patterns in research. We will also explore the research clues and effects those collaboration may create.

In the second questionnaire we will use different sets of questions some addressing norms construction and reaching of actors expectations, others dealing with concrete aspects of the project life itself (funding, management, organization, legal status, deliverables, etc).

For instance

| Social expectations towards participation | Main dimensions | questions |
|---|---|---|
| What are the expectations thatstakeholdersinvolved in researchprojectsincludingcso participation have ? | Pratical : researchresults to help solve one specific issue | Whatwouldyouexpectmostfromthisresearchproject ? (multiple choice question) |
| | Social status : gain in legitimacy or credibility in one group or network of groups | |

When we come to a first draft of the questionnaire we should test it on a few projects before actually sending it.

This step will help defining the main dimensions we will explore in the case studies.

*Appendix B3: KIT discussion paper*

# CIVIL SOCIETY ORGANISATIONS IN DESIGNING RESEARCH GOVERNANCE

# KIT'S DISCUSSION PAPER

# (on the base of D. 2.1 & Porto Presentation)

07.09.2012

Simon Pfersdorf

## Research Questions for the Case Studies

**Societal expectations towards participation**

- What are the expectations that stakeholders involved in CSO participation in research have?
- How are these expectations formed?
- How do actors' expectations influence the evaluation of CSO participation in research?
- Which role does the social debate on the research topic play for the participation process or its results?

**Performance of Participation / Influencing science & debates**

- How is CSO participation performed?
- What is the relationship between scientific and non-scientific knowledge in the specific cases?
- How do CSOs exercise influence on the research project/the scientists and vice versa?
- What is the nature of this influence and are there specific types of influence?
- How can we describe the interaction between CSOs and scientists?
- Could these interactions be classified typologically?

**Evaluation of participation**

- How are success criteria for CSO engagement defined and by whom?
- What assumptions / conditions are implied in such criteria?
- Do they differ in any way from success criteria of participative activities in general?
- What are the consequences of CSO-participation with respect to governing research?



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- What are the consequences of CSO-participation with respect to governing societal debates/conflicts?
- What further consequences become observable?

# Data Collection

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

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

Interviews are necessary to understand as precisely as possible how actors act in such projects, how the norms are constructed, etc. It is important to conduct face-to-face interviews because this is the way to obtain individual accounts, and also to recognise what is unformulated: as the context. This context is crucial to understand properly what it is at stake, and especially under what conditions (Becker 2002: 101). The interviews are closely linked to observation sessions of several meeting and/or working time of those projects. By observation we mean being in the place where interactions are.

> "Au sens le plus étroit et le plus déterminé, l'observationconsiste à se trouverprésent et mêlé à une situation sociale pour l'enregistrer et l'interpréter en s'efforçant de ne pas la modifier. Cette situation socialeesttoujours le produitd'une interaction entre les participants eux-mêmes et, d'unefaçonoud'uneautre, entre les participants et l'observateur ;elleprend la formed'évènementscomposés de séquencessuccessives avec un début et une fin" (Peretz 2004: 5).

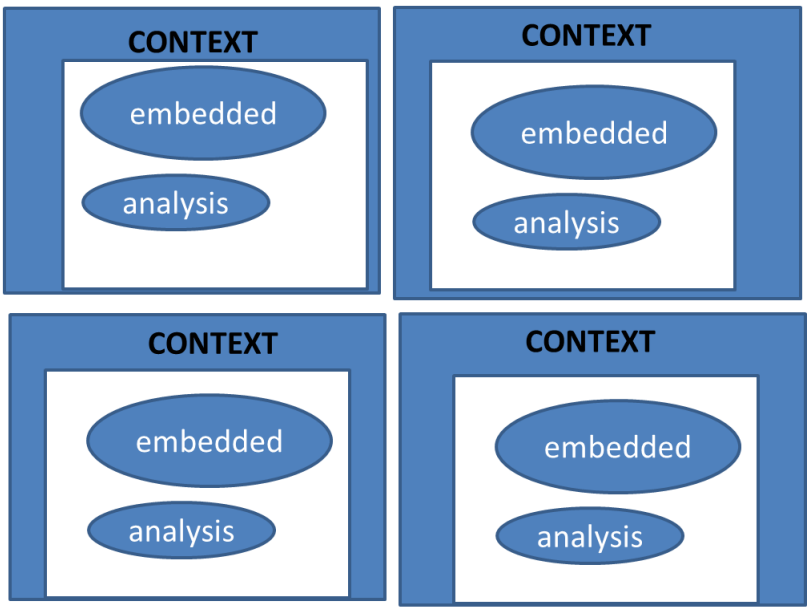
However, if CONSIDER analysis already finished projects an ethnographic observation is not possible anymore. Then, not only face-to-face but also telephone interviews could be a further possibility of data collection. The ethnographic task will require building a team of researchers from the consortium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

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

the most relevant interviews, and for the others, the researcher him/herself will translate the most relevant extracts.

**Contexts:**
- Call for Projects
- Social debate
- Media Coverage
- Stakeholder positions
- Similiar projects
- Previous and current projects

**Case:**
- Deliverables
- Proposal
- Participant descriptions
- *Interview transcripts*
- *Ehtnographic observations (their transcripts)*



## DISTRIBUTION OF EFFORTS

| | DMU | FUNDP | LU | KIT |
|---|---|---|---|---|
| **WP 2** | 1 | 7,2 | 24,6 | 7 |
| **WP 3** | 3 | 3,6 | 3 | 13 |
| **Total (71,8)** | **4** | **10,2** | **27,6** | **20** |
| **30 Case Studies** | **3** | **4** | **11** | **8** |

*Appendix B4: EN Discussion paper*

# CIVIL SOCIETY ORGANISATIONS IN DESIGNING RESEARCH GOVERNANCE

# Contribution of the Network of Associates

10.09.2012

I.Fedulova and K.Duffy

## *Purpose of this discussion document*

EN is leading on the development of the Network of Associate Partners. As described by the Project Co-Ordinator CONSIDER aims to be a reflective project that applies principles of participation to its own work. CSOs should therefore be involved in the development of research questions and tools. This discussion document aims to highlight questions that need to be looked at when developing the Network of Associate Partners.

## *Network of Associate Partners- Why we need it*

The Network of Associate Partners will allow the sharing of knowledge and experience between the consortium and the Associate Partners and members themselves. Members of the network will be invited to attend the CONSIDER workshops and will provide feedback to the consortium on events, outputs, ideas and publications. Furthermore, they will serve as ambassadors of the project, disseminating information about the work of CONSIDER and in return attracting more members.

## *What has been agreed?*

The network of Associate Partners is one of the envisaged tools to ensure the inputs from CSOs throughout the CONSIDER project. The network, which is to consist predominantly of CSOs interested or active in participation in research as well as research organisations and policy organisation, is to be organised as a virtual network, using electronic means to communicate.

In addition, during the Porto meeting, the consortium has agreed on a number of benefits for Associate Partners, which are to act as a selling point to attract members to the network. It is therefore important that these benefits are made clear and are well defined, in order to appeal to potential members. The agreed benefits, as posted on the CONSIDER website, are:

- Be in a network of others interested in the topic of CSO and research
- Have access to early drafts of project documents, literature and other items of interest in a separate section of the website
- Have access to the CONSIDER forum
- Have priority access to CONSIDER events
- Influence and guide CONSIDER project approach, method and publications
- Influence on guidelines and policies
- Gain experience and share good practice
- Increase CSO participation in research



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• Contacts for follow-up projects
• Raise profile
• Profit from findings, results and concrete recommendations
• Profit from the expertise in the project and the network

### *How do we get Associate Partners to contribute?*

It is vital that the consortium sticks to all of the above points, if the Network of Associate Partners is to be a successful and efficient tool. As pointed out by Phillippe, we do not want people just joining and never hearing back from them. We need to sell the membership to them by following through with the benefits and we need to encourage them to contribute.

This can be done in a few simple ways:

- make the contribution space (whether forum, mailing list or Google Group) easily accessible in order to ensure that the network does contribute. This means easy login (as discussed in Porto), user friendly format and accessible information
- the information should be easy to monitor. This means that we need some sort of a daily digest email option or notifications to be sent out to people when someone posts. Otherwise, they will never be aware of what is going on unless they check regularly
- ask specific people to contribute. It needs to be personal so that they feel that their contribution matters. If you ask people to perform tasks that they are interested in and are able to perform, you are more likely to get contributions.

- request for contributions need to be simple and easy to do, that is to say that people are unlikely to review 50 page of text unless they are very passionate about the topic at hand. Alternatively, if we are asking them to review something lengthy, we should break it down in shorter sections.

### *Possible contribution spaces:*

- Mailing list- it is good if we would like people to be kept up to date but not ideal if we would like to them to give us feedback or interact with others. Furthermore, if we send most information solely through the mailing list, they will be no hook for people to join the forum, for example
- Forum- it allows people to contribute and we can divide it in different section that people can participate in according to their interests (Literature recommendations, General Discussion, Policy Briefing review, Workshop reports, Partnership requests, etc). However, people need to check the forum regularly and they need to see other people participating in order to do so themselves. The forum will need to be kept active in order for it to be meaningful (this would include tracking statistics)
- Google Groups- one of the newer means of communication that is increasingly used by Euclid Network. People can subscribe by accepting invitation (or inserting their email in the subscription box that can be put on the website). They can contribute by emailing information to the group email (similar to the CONSIDER list) but all exchanged emails are also available online in a Forum like format

### *What needs to be done:*

**Promotion**! The only way to kick start everything and to get the ball rolling is to promote the contribution space that we decide on and to promote it actively through our websites, social media

and newsletters. Invites and reminders should be sent out to the consortium's contacts, underlining the benefits of joining for the given person.

**Pro-activeness-** partners need to be proactive. That means posting relevant literature, deliverables, outputs, questions, discussions or anything else that might be or interest and relevance (**in a simple language**, posting and inviting comments as appropriate). This is where we need to deliver the benefits that we have already outlined.

*Appendix B5: DMU Discussion paper*

# CIVIL SOCIETY ORGANISATIONS IN DESIGNING RESEARCH GOVERNANCE

## *Comparison of Theories and CSO Participation in Research Governance*

07.09.2012

B. Stahl

### *Purpose of this discussion document*

DMU is leading on the development of D3.1 **Framework for the Comparison of Theories and CSO Participation in Research Governance.** This deliverable will define the principles of the development of the model of CSO participation, the main academic product of the project. This discussion document aims to highlight questions that need to be looked at when developing the Framework.

### *Deliverable 3.1*

As pointed out in the deliverable timeline, D.3.1 was wrongly named in Annex II. It should be the framework for comparison of theory ***and*** CSO participation, not for comparison of theory ***of*** CSO participation. This becomes clear from the description of the deliverable and its context in the proposal. The description of task 3.1 which is the basis of this deliverable makes this clear:

> *"The point of this task is to make a difficult link – to synthesise the normative and the empirical-analytical elements of the project up to that stage in order to arrive at a soundly-based picture of the present state of the art regarding CSO involvement. The empirical research in work package 2 follows two different analytical strategies. The first is to analyse and describe cases of CSO involvement (2.3). For this we need the analytical grid that is developed in 1.3. It comes from the review of the different normative approaches towards participation. Within the other, major empirical material is analysed. The (separate) grid developed in 2.1 is applied in this analysis. This second grid is empirically grounded.*
>
> *In 3.1 the two grids are put together. This common grid informs the tasks 3.2 and 1.4. Because we have both elements in the models, we can make recommendations that pertain to governance: we then have a basis both in normativity and in empirical research." (Annex II, Task 3.1)*

The deliverable is due in month 12. The description above shows that, in order to realise the deliverable outcome, D.3.1 will rely on the integration of two other deliverables, namely the analytical grid (D.1.3) due in month 13 and the survey results (D.2.2) due in month 12. As a consequence, the deliverable will need to be developed in parallel and in very close collaboration with both D.1.3 and D.2.2.



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The deliverable is key to the development of models of CSO participation particularly as the deliverable will show case the fit between theory and CSO participation. Furthermore, as the task of the deliverable is to make a link between the normative and the empirical elements of the project, there is a clear need for the integration of WP1, 2 and 3 in order to realise the outcomes which will also be instrumental in the subsequent development of policy advice and guidelines. Frequent informal interaction between DMU, FUNDP, UL and KIT with regards to the content is therefore imperative. Further input will be sought from EN in order to ensure that the CSO view is incorporated. Additionally, should there be any workshops that will take place before month 12 when the deliverable is due, results from these will have to be incorporated on the basis of understanding CSO perspectives and experiences in relation to participation in research governance. In light of this, there will also be need for interaction with UCL in order for resulting workshop content to be included and form part of D.3.1 framework results.

### *Questions*

The core question of the deliverable is how to conceptualise the relationship between theory and empirical research. The description of task 3.1 suggests that:

- Theory (i.e. the grid of analysis) will inform the surveys.
- The case studies will use a GT approach independent or only loosely informed by the grid.

Given that the GT analysis will not have been done by month 12, the deliverable will have to concentrate on the principles of GT analysis and outline how the results of this analysis are to be compared with the grid of analysis.

### *Risks / Concerns*

The deliverable is meant to provide the principles for the comparison of the theoretical description of CSOs in WP1 and the empirical findings in WP2. One problem with this is that WP2's empirical work at this stage is likely to cover the survey only. While the case study protocol and principles may be in existence, it is unlikely that much case study data will have been collected or analysed. This means that the second part of the comparison of theory and empirical material will be hypothetical and not be supported by data.

A second risk will be the requirement to rely on D.1.3 and D.2.2. if either of these deliverables fails to provide early versions that DMU can work with, then it will be difficult to produce D.3.1 on time.

***Appendix B6: 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)

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**IN DESIGNING RESEARCH GOVERNANCE**

# 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?<br>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 2: 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?*