Plan Overview

A Data Management Plan created using DMPonline

Title: Reactions of Vietnamese public Universities to the autonomy policy

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Template: University of Manchester Generic Template

Project abstract:

This project is to examine how and why Vietnamese public Universities react to the autonomy policy. This is a qualitative study. The data is gathered through document analysis and semi-structured interviews.

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Reactions of Vietnamese public Universities to the autonomy policy

Manchester Data Management Outline

1. Is this project already funded?

- No

Will you be applying for funding from any of the following sources? If your funder isn't listed, please enter in the free text box provided.

No, I will not.

3. Is The University of Manchester the lead institution for this project?

- Yes - only institution involved

4. What data will you use in this project (please select all that apply)?

- Acquire new data
- Re-use existing data (please list below)

New data: collected from semi-structured interviews
Existing data: documents from Universities (such as annual report, strategy, internal spending regulation, organizational structure, roles and tasks of units and key positions within the universities, the procedures and regulations in appointing / identifying key positions within the universities, the procedures in key activities within the universities, annual financial reports, policy and regulations regarding teaching, research, and human resource management).

5. Where will the data be stored and backed-up during the project lifetime?

- University of Manchester Research Data Storage Service (Isilon)

This data will be stored on the UoM's Research Data Storage space of my supervisor, Professor Maria Nedeva.

6. If you will be using Research Data Storage, how much storage will you require?

- < 1 TB

7. If you have a contractual agreement with a 3rd party data provider will any of the data associated with this project be sourced from, processed or stored outside of the institutions and groups stated on your agreement?

- Not applicable

8. How long do you intend to keep your data for after the end of your project (in years)?

- 5 - 10 years

I will not use the data after this study. I have selected "5-10 years" because UoM's policy is to keep data for at least 5 years after the last publication.

Questions about personal information

Personal information or personal data, the two terms are often used interchangeably, relates to identifiable living individuals. Special category personal data is more sensitive information such as medical records, ethnic background, religious beliefs, political opinions, sexual orientation and criminal convictions or offences information. If you are not using personal data then you can skip the rest of this section.

Please note that in line with data protection law (the General Data Protection Regulation and Data Protection Act 2018), personal information should only be stored in an identifiable form for as long as is necessary for the project; it should be pseudonymised (partially de-identified) and/or anonymised (completely de—identified) as soon as practically possible. You must obtain the appropriate ethical approval in order to use identifiable personal data.

9. What type of person identifying information will you be processing (please select all that apply)?

- Audio and/or video recordings
- Personal information

I will need to collect data from multiple positions within three Universities. The information to be processed will include the personal identifiable information, such as the position title, responsibilities, departments, roles, and terms. As I intend to do the recording, the voice in the recordings is also a personal identifiable information. This information will be anonimised at the analysis stage, however. The data files will not contain any personal identifiable information. Instead, a metadata file will be created - this file contains the linkage between the data explored with the person who provides the data. This metadata file will be saved with a password, and will be kept in the P drive.

10. Please provide details of how you plan to store, protect and ensure confidentiality of the participants' information as stated in the question above.

The data will be kept on RDS only. File names will be coded. The voices in the recordings will be altered. The code table will be kept in a separated file and will be password-protected. This code table will be saved on the P drive instead of the RDS in order to reduce the risk.

11. If you are storing personal information will you need to keep it beyond the end of the project?

- No

The personal information will be removed once the project complete.

12. Sharing person identifiable information can present risks to participants' privacy, researchers and the institution. Will the participants' information (personal and/or sensitive) be shared with or accessed by anyone outside of the University of Manchester? This includes using 3rd party service providers such as cloud storage providers or survey platforms.

- No

13. If you will be sharing personal information outside of the University of Manchester will the individual or organisation you are sharing with be outside the EEA?

- Not applicable

I will not share personal information outside of UoM.

14. Are you planning to use the personal information for future purposes such as research?

- No

15. Who will act as the data custodian or information asset owner for this study?

My primary supervisor, Prof. Maria Nedeva

16. Please provide the date on which this plan was last reviewed (dd/mm/yyyy).

29/04/2019

Project details

What is the purpose of your research project?

This research project is to examine how Vietnamese public Universities reacts to the autonomy policy, and why are these reactions used.

What policies and guidelines on data management, data sharing, and data security are relevant to your research project?

There are several policies to be followed in my thesis, as follow:

1. The University of Manchester Research Data Management Policy
http://documents.manchester.ac.uk/DocuInfo.aspx?DocID=33802%20

2. The University of Manchester Records Management Policy
http://documents.manchester.ac.uk/display.aspx?DocID=14916

3. The University of Manchester Data Protection Policy
http://documents.manchester.ac.uk/display.aspx?DocID=14914

4. The University of Manchester Publications Policy
http://documents.manchester.ac.uk/display.aspx?DocID=28526

5. The University of Manchester Intellectual Property Policy
http://documents.manchester.ac.uk/display.aspx?DocID=24420

6. The University of Manchester IT policies and guidelines
http://www.itservices.manchester.ac.uk/aboutus/policy/

7. Taking recordings of participants for research projects
http://documents.manchester.ac.uk/display.aspx?DocID=38446

Responsibilities and Resources

Who will be responsible for data management?

The data management person is my primary supervisor, Prof. Maria Nedeva.

What resources will you require to deliver your plan?

My primary supervisor, Prof. Maria Nedeva, has agreed to let me use her University of Manchester's Research Data Storage (RDS) share.

Data Collection

What data will you collect or create?

Documents: I intend to collect the documents which describe the organisational structure, tasks and roles of key positions, the process of appointing key positions, human resource and financial policies, teaching and research policies, and key processes and procedures of the selected Universities. These documents are likely to be hardcopy. I will take their photos and turn them into softcopies.

These documents can be taken by asking for permission from the rector, and then I will need to go to respective departments / positions who have these documents. There may be sensitive data in these documents, such as the current strategy of the University. I will most likely be provided with these sensitive documents after agreed to only use these documents for the purpose of this study, and not to provide the documents or their content to anyone outside of the research team. The agreement may be in verbal or written form.

Interviews: I intend to interview the top managers, deans, and academics. Approximately 48 participants will be needed. The number is only estimated, base on the actual organizational structures of Vietnamese public Universities and the research questions of this study. Following the research questions, for each University, the following positions are sought after for interview:

- Rector: 1
- Vice rector: 2
- Secretary of the Communist party's committee: 1
- Members of the University's council: 2
- Deans: 3
- Academics: 6
- A representative of the external governance body of the University: 1

In total, there are 16 interviews for each University. However, since the rector can also be the secretary, and there are Universities without University's councils, the actual interviews can be less than 16. In addition, it is anticipated that the representative of the external governance body will be difficult to approach.

The interview's transcript will then be saved in Microsoft Word's docx format.

In order to pseudo-anonymise the data, I will need to keep a table which matches the documents with the personal identifiable information. This table will be kept in a separate, password-protected file. This file is to be saved on my P drive, not the RDS.

How will the data be collected or created?

The data will be collected following these steps:

1. I will use my personal relationship with my University (Hanoi University) to gain data in my University. As of current, I am an employee of Hanoi University, and also a PhD student in the University of Manchester. As a result, the people at Hanoi University know me and will find it easier to help me in collecting the data and information.

2. I will obtain the letter of introduction of my supervisors and of Hanoi University to gain access to the data in the other two Universities. I will also attempt to find the personal connections to these Universities by looking into my networks and try to extend it.

3. I will approach the Universities by both top-down and bottom-up approaches. The top-down approach means I will first approach the rectors and ask for their support in written form, and then work it down the chain of command within these Universities. Simultaneously, I will also look for data collection opportunities through personal relationship. This is necessary because not only certain people may not want to share data with me, but some also may not tell me what they really think and/or know, or not tell me the whole story. As a result, by asking someone who know and trust me, I have a better chance to collect the proper data in full.

The sampling method is purposive and convenient. Following this method, I intend to use the key informal sampling, i.e. to gain access to those who are most likely to understand the topic at hands. In addition, since Vietnamese are generally not opened to research, I intend to approach those who are most accessible.

For Hanoi University, where I am currently an employee, I have a good relationship with the rector as well as the dean of my faculty. Both of them were my teachers when I was a student there. Therefore, I think I will be able to obtain supports from them. As of current, for the other Universities, I can only be certain of using the top-down approach. I will need to ask for connections from my colleagues for these Universities so that the bottom-up approach can also be used.

The data collected will be digitalized into files if it is not one. The files are to be put into folders, as follow:

- All file and folder names contain only characters in the alphabet, the number, and the underscore (_) symbols. This convention is to ensure the maximization of understandability and compatibility.
- Each University has its own folder.
- In each University folder, the original data will be kept in a separate subfolder.
- The original data files (i.e. the recording files) will be named as follow: date of collection_position. If there are multiple records for a single position (because of, for example, interruptions or multiple interviews), the number 01, 02, 03, etc. will be added to the end of the file name.
- The extracted data (i.e. the transcript) will be kept in a separate folder, with the naming convention akin to that of the original data files.
- The interview questions will evolve following new data and better interviewing skills. All version of the interview questions will be kept in a separated folder.
- Change to original data, if any, will be recorded. The changes can be from misunderstanding, the correction of estimation data, or the availability of newer data.

For the interview, the following quality assurance activities are to be followed:
- Explicit consent must be obtained from the interviewee for the recording and taking notes.
- It is anticipated that some interviewees will not want to be recorded. Some probably will not want to be noted. These limitations may reduced the quality of the data collected.
- Interview schedule will always be kept online by google schedule.
- If possible, the documents will be analysed before the interview in order to maximize the quality of the interview.
- The interview will be recorded by using an encrypted recording device. After the recording is done, it will be uploaded as soon as possible to the University's RDS. After testing to make sure that the files on RDS are good, the files on the recording device will be deleted.
- Any handwritten notes will be scanned and stored according to the rules of the UoM (I'll be using my supervisor's dedicated server space). All paper records will be shredded after scanning.

Documentation and Metadata

What documentation and metadata will accompany the data?

A separate file name readme.txt will be provided. In this file, the conventions of file names, dates, descriptors of the data, file format, data origin, and access conditions are provided.

In order to clarify the meaning of the data and data collection methods, the documentation will be extensive. It will include the research context and design, the data collection methods used, and definitions of variables.

In addition, some documentation will be updated along with the new data collected, such as data preparations and manipulations and summaries of findings based on the data, and definitions of variables.

Ethics and Legal Compliance

How will you manage any ethical issues?

Several ethical issues are identified, as follow:

Anonymisation of personal data: the pseudonymisation will be used, as the data is expected to be used in future studies. However, the interviewee will explicitly and formally clarify if they want their information to be fully anonymised or pseudonymised. The formal consent agreements is to be obtained verbally from the interviewees.

There are ethical concerns regarding this study due to the use of interview, and the location of data collection being in Vietnam. The ethical issues are as follow:

- To clearly explain to participants how their data will be used and (if applicable) shared
- To only perform interviews, taking notes, and recordings with the explicit consent of the interviewees.
- To protect the confidentiality of participants by using pseudonymisation.
- To ensure the safety of data recording, transferring and storage.

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

I have discussed with my supervisors. I will have the copyright, however, I intend to have my research publicly available to all for free.

Storage and backup

How will the data be stored and backed up?

The data will be backed up by the University servers. Specifically, I intend to use the University of Manchester's Research Data Storage (RDS) of Prof. Maria Nedeva, my primary supervisor.

How will you manage access and security?

I will share my data with my supervisor, as I intend to use her RDS share.
In order to ensure the security of the data, the following considerations are taken:

- Physical security of the recording device
- Encryption of files (including audio recordings and transcripts), media and devices as appropriate
- Storing person identifying information separately and securely from data relating to research participants e.g. to store the pseudonymisation key on my P drive.
- Secure transfer of data from the recording device to the University’s Research Data Storage (RDS) service as soon as possible to ensure that a master copy is backed up and the file is encrypted
- The recording device is not to be shared.

Selection and Preservation

Which data should be retained, shared, and/or preserved?

All data is to be used for this study only. Therefore, it is not to be retained or preserved beyond the minimum requirement of the University of Manchester.

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

N/A

Data Sharing

How will you share the data?

My supervisors will need to have access to the data, and the University of Manchester also need to view the data for audit purposes.
Other than that, I will not share the data, as Vietnamese usually work on the basis of relationship. As a result, I think my participants are willing to talk to me, but are likely to not want their revealed information used by anyone else.

Are any restrictions on data sharing required?

N/A