Employ ID

Scalable & cost-effective facilitation of professional identity transformation in public employment services

www.employid.eu

D1.2
Project Handbook
Including quality guidelines and ethical guidelines

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Contents

List of Figures

List of Tables

List of Abbreviations

APN	Associate Partner Network
DOW	Description of Work
EC	European Commission
IPR	Intellectual property rights
PES	Public Employment Service
PMB	Project Management Board
PU	Public
RE	Restricted
RRI	Responsible Research and Innovation
WP	Work package
WPL	Work package leader

Executive summary

This Project Handbook describes the internal procedures of the EmployID consortium in terms of management structures, communication and collaboration as well as quality control measures. It also defines the way the partners are dealing with ethical issues, especially related to personal data collection, analysis and storage. In addition the open source and open access strategy of the consortium is reflected in this document.

The main target group for this deliverable are the consortium partners themselves as this handbook defines the project internal processes for securing high quality research work to be performed across a set of complementary partner institutions. It serves as a reference document for all EmployID team members and may be especially helpful for individuals joining in the project at a later stage.

Being a relatively large project with a set of diverse experts from different fields and backgrounds a core principle guiding internal processes is open participation and flexibility. Transparency about the project status as well as risk recognition are additional principles that the project partners are committed to.

Still, in order to effectively operate in a big distributed team we have defined some procedures of how to best communicate and structure our collaboration. Regular meetings are held via videoconference as well as face-to-face. Communication is also strongly taking place via e-mail and the project mailing list. The main two tools for sharing and collaborating on documents are a Wiki and Google Drive.

The consortium is committed to produce high quality research outcomes and deliverables and thus quality control is important. Quality guidelines describe the internal peer review process, which is applied to all project deliverables. In order to continuously improve our internal processes regular internal surveys are performed, normally before project meetings. These surveys are intended for the whole group to serve as a self-reflection and self-evaluation tool about the project structures.

In terms of ethics the consortium is following the general rules defined by the EC and commits strongly to respect the individual and their privacy at all times. Templates have been prepared for informed consent as well as the exchange of primary research data amongst partners that may contain personal data from study participants.

Finally, openness is a core value of the project and thus the consortium is looking into open strategies with regards to the research outcomes. This relates to software that is published under specific open licenses, following and where possible contributing to open standards as well as the research publications, which should be made openly accessible as far as possible.

This handbook is a living document and most of the aspects covered in the handbook are reflected in the project wiki. There, continuous updates are made in order to improve the internal processes. A revised version of this deliverable will be made available at the end of the second project year.

1 Introduction

The EmployID project is committed to high quality output and responsible research and innovation. Thus this document defines a set of procedures that the consortium is committed to adhere to and to improve in the course of the project.

Openness and transparency are two of the guiding principles that the reader will see reflected in the different processes and methods described. At the same time there is a strong awareness within the consortium related to privacy and data protection of individual citizens. This is also reflected in the guidelines presented here.

In Section 3 the management structure is described, including the main project bodies and their representatives. Section 4 is dedicated to specific quality management procedures, including communication structures and tools as well as the peer reviewing process for high quality deliverables. In Section 5 the technical infrastructure for communication and collaboration is presented while Section 6 outlines the specific ethical guidelines that the project is following. In Section 7 the consortium's strategy towards openness is described and relates to open source in terms of software as well as open access in terms of publications and other project results.

Finally the appendix includes examples of templates mentioned throughout the project.

2 Management structure

EmployID is a large-scale project with a broad scope in topics, partners and regions. Therefore, the management structure and procedures work in a **flexible manner** in order to:

- Achieve integration of all consortium members and to mobilise their expertise, knowledge and networks in every stage of the project
- Efficiently coordinate the processing of the work plan in a collaborative environment
- Continuously involve contextual expertise and knowledge of relevant practitioners and their networks

Our approach is a combination of integration and decentralisation strategies. *Integration* is achieved through the composition of a consortium with complementary skills and knowledge, the development of a joint framework, the agreement on common guidelines for theoretical and empirical analyses, the joint work on the comparative analysis and the synthesis, and project workshops and meetings. The resources of all partners will be mobilised by *decentralisation of responsibilities* through the assignment of leadership for work packages and defined work package tasks with a clear task sharing based on the different competence fields of the partners.

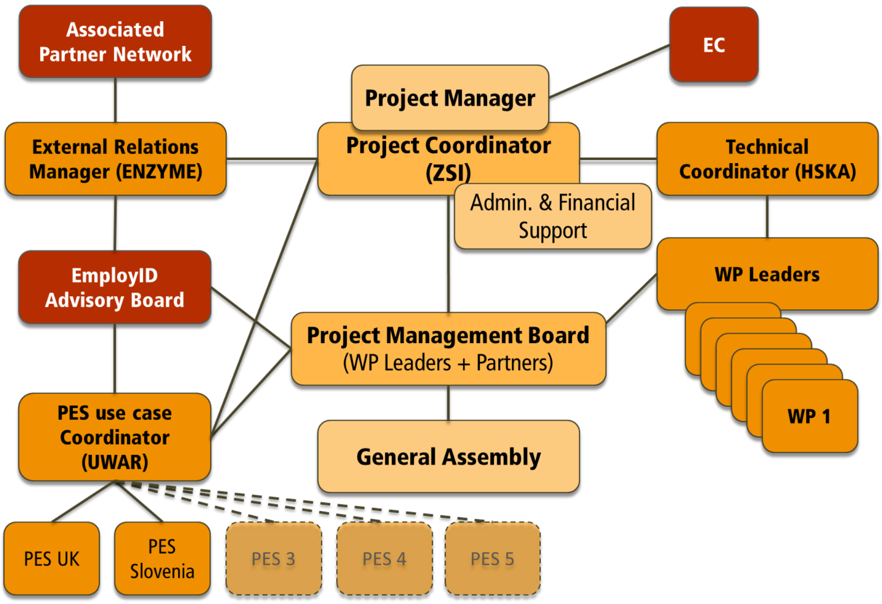

Figure 1: Project Management Structure

The management structure defines the basic roles and responsibilities. The *Coordinator* (Barbara Kieslinger) is responsible for the overall line of actions and the day-to-day management carried out by the project. A financial manager as well as an administrative employee of ZSI support the coordinator.

The Project Coordinator is supported by a *Technical Coordinator* (Andreas Schmidt) who manages the project scientific work and technical development from a strategic point, the *External Relations Manager* (Pablo Franzolini) who is responsible for the extended network of external partners related to the project and the *PES Use Case coordinator* (Jenny Bimrose) who takes specific care of the involved application partners from European Public Employment Services.

Each work package has been appointed a *Work Package Leader* (see below), who is responsible for the progress within the work package and who is supported by task leaders and other members of the consortium involved in each of the WPs. Clear responsibilities (based on the competences of each partner) are described in the Work Package Description.

Project Management Board (PMB): The project is managed through the Project Management Board. It provides the overall direction for the project, both strategic and operational. The PMB maintains the project directions and obtains advice from the Work Package Leaders, to ensure that the project meets its stated and implied goals. The PMB ultimately supervises all project management processes, including initiation, planning, execution, control, and closure of project phases. Within this framework, the Work Package Leaders coordinate the detailed planning, execution and control of the technical tasks to meet the project's scientific and technical objectives relevant to their work packages.

The Project Management Board is responsible for the proper execution and implementation of the decisions of the General Assembly and makes suggestions to the General Assembly on pending decision such as:

- Accept or reject changes to the work plan, changes in the Grant Agreement and amendments to the Consortium Agreement
- Make changes in the Project Management structure

The PMB is chaired by the Project Coordinator and composed of the Work Package Leaders plus a representative from partners not leading a work package. The PMB is currently composed of the following persons (as decided during the kick-off meeting):

Person	Organisation	Role
Barbara Kieslinger	ZSI	WP1 Lead
Jenny Bimrose	UWAR	WP2 Lead
Andreas Schmidt	HSKA	WP3 Lead
Michael Prilla	RUB	WP4 Lead
Graham Attwell	PONT	WP5 Lead
Jordi Fernandez	ENZYME	WP6 Lead
Teresa Holocher	ZSI	WP7 Lead
Carmen Wolf	KIT	WP8 Lead
Pablo Franzolini	ENZYME	WP9 Lead
Tomaž Klobučar	JSI	Partner representative
Urša Dolinar	ZRSZ	Partner representative
Angela Dunlop	DWP	Partner representative

Table 1: Project Management Board

Work package Leaders (WPL)

Each work package is coordinated by a Work Package Leader, to ensure the performance and progress of the work package regarding the overall work plan and provision of the work in progress. The WPL is in charge of the coordination of the different tasks and involved partners, as well as the gathering of material from all partners required to produce the reports according to the deliverable list and the work plan. WPLs have been appointed according to their specialisation, scientific expertise, and management skills (see list above). The WPLs are in regular contact with the coordinator to inform her about the on-going and planned WP activities, and recent and future WP results and achievements.

The responsibilities of the Work Package Leader are:

- Distributing and coordinating the different tasks among all participating consortium members
- Monitoring the progress of the WP according to time and budget allocations, ensuring that the WP fulfils the objectives listed as milestones and deliverables, alerting the coordinator in case of delay or default
- Delivering quarterly management reports to the coordinator for internal use
- Participating in the monthly EmployID's meetings for keeping the consortium up to date and aligning activities

General Assembly

The General Assembly is the ultimate decision-making body of the consortium and functions as highest authority, as last resort of all relevant project decisions. The body consists of one representative per partner.

The following table lists the current members of the General Assembly as approved during the kick-off meeting:

Person	Organisation
Barbara Kieslinger	ZSI
Andreas Schmidt	HSKA
Carmen Wolf	KIT
Jenny Bimrose	UWAR
Graham Attwell	PONT
Pablo Franzolini	ENZYME
Michael Prilla	RUB
Urša Dolinar	ZRSZ
Tomaž Klobučar	JSI
Angela Dunlop	DWP

Table 2: Member of General Assembly

A face-to-face general assembly comprising all project consortium partners takes place at least once a year, to coordinate overall project work. Ad-hoc meetings can be called in case of important decisions to be taken.

2.1 Consortium agreement

Before the start of the project a consortium agreement has been signed by all partners. It defines the specific operational procedures for the different project bodies described above. This includes amongst other aspects the responsibilities of the parties and their liabilities towards each other as well as the governance structure, financial provision and IPR issues.

The consortium agreement also describes the decision making structures and defines the *General Assembly* is the ultimate decision making body. Decisions taken by the General Assembly include the content, e.g. changes in the DoW, finances and intellectual property rights. This body also has the right to decide on the evolution of the partnership (e.g. entry of new partner), and the project as such (e.g. termination of the project).

2.2 EmployID Advisory Board

In addition to the internal structures for operating the project, the consortium agreed on establishing an EmployID Advisory Board consisting of three to four project-external experts in fields related to the project.

These experts are appointed to evaluate and comment the outcomes of the different WPs. They are integrated in face-to-face meetings as well as via videoconferences and give their feedback on the progress of the project and specific questions that might be posed to them. Apart from their advisory role they are also project "Ambassadors" and promote the project within their respective networks. Thus the suggested candidates have been selected based on their strategic position for the project and representing the main stakeholder groups of the project, especially related to PES.

Current members of this Board are:

Person	Organisation
Pedro Moreno da Fonseca	CEDEFOP
Ian Borkett	Unionlearn, UK
Wolfgang Müller	German Federal Employment Agency, Representation in Brussels
tbd	Representative of the EC responsible for PES-to-PES dialogue

Table 3: Advisory Board Member

3 Quality procedures

Quality assurance is of high priority in collaborative research, such as EmployID, and the consortium is committed to a set of quality procedures to guarantee high quality project output. Measures to ensure good quality include e.g. the definition of internal communication structures, regular internal surveys for self-assessment and a proper SWOT analysis as well as a defined peer review process for any project deliverable. The detailed procedures will be described in more detail in the following sections.

In addition, WP7 will be closely monitoring the performance indicators defined for the project and report regularly on these to the Project Management Board and the project coordinator, who performs continuous monitoring and trigger quality assurance project reviews during the general assemblies.

3.1 Internal communication structures

Internal communication is first and foremost based on the concept of openness and transparency. An active communication strategy is implemented to establish a strong project identity in order to obtain maximum transparency for all partners involved, and to increase synergy in cooperation.

Daily communication among the WPs, the partners, etc. is established mainly through

- e-mails and a central mailing list including all project partners,
- a project space (Wiki) for internal exchange of documents as well as offline communication,
- web-conferencing (Flashmeeting) for regular online meetings, VOIP (e.g. Skype or SIP) or phone,
- face-to-face communication (during physical project meetings)
- online storage of all documents (deliverables, contract, etc.).

The consortium partners meet approximately every three months face-to-face (at synchronisation points) to coordinate the research process.

Each month, at least one virtual consortium meeting takes place via video conferencing, currently Flashmeeting. These meetings ensure the internal communication among partners, allow the WP Leaders/thematic leaders to coordinate the various tasks, and report the progress of work to the team members. All meetings are recorded and are made accessible to all partners, to view at a later time. The recoding is available in the internal Wiki, together with the notes from the meeting.

In addition to these virtual consortium meetings thematic groups (similar to WPs, but overlapping in some cases) have started to emerge and virtual meetings are organised by these working groups. Similar to the consortium meetings notes and recordings are available at the project Wiki and each member of the consortium is invited to attend any of these meetings.

3.2 External communication structures

The communication strategy also aims to effectively communicate with parties outside the consortium, such as other European project consortia, our Associate Partner Network, Public Administration Entities, training providers, etc. Interested parties can sign up at the project website and join the Associate Partner Network as well as receive a regular newsletter with updates from the project. This is coordinated by WP9.

The **Associate Partner Network (APN)** is a special instrument for the project to establish relationships with project-external entities. It is a formal mechanism for structuring relations with the wider community (public administration, research, industry) and a forum for exchanges between EmployID and various sectors relevant for an early feedback, use and further uptake of the results of EmployID. The APN ensures the relevance of the research and development with respect to the public entities' needs and it conducts two-way communication with other research structures and training initiatives. Potentials for specific collaboration on project-related activities are evaluated on an individual basis.

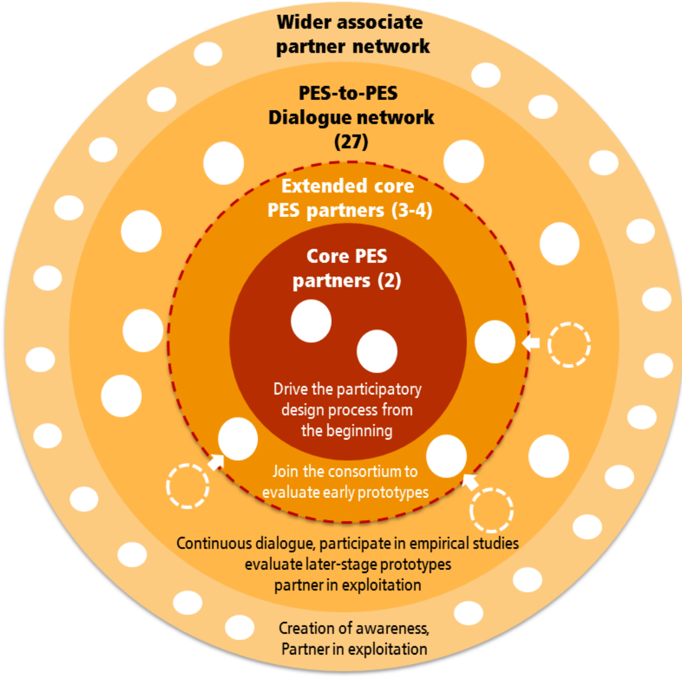

Figure 2: Associate Partner Network

Communication with the APN is mainly via events and regular electronic consultation. All APN members receive the project newsletter on a regular basis. Additional benefits that the project offers to the members of the APN include:

- Participation in selected project activities
- Meetings at major events in Europe related to EmployID topics (possibility to reimburse travel costs)
- Mutual knowledge exchange
- Potential for further collaboration initiatives
- Name and logo on EmployID website
- Banner to include in own website (Member of EmployID Associate Partner Network)

The mechanism for joining the APN is kept simple and can be managed by any consortium member:

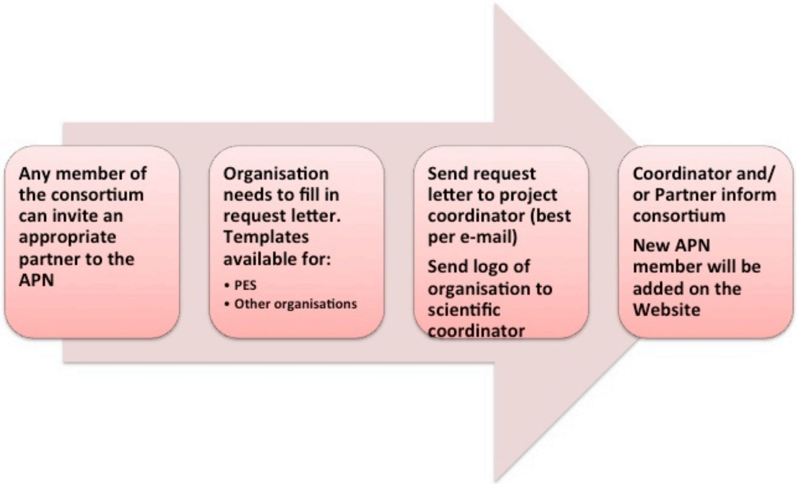

Figure 3: Associate Partner Network Membership Process

For external communication a series of promotional material has been prepared in a flexible manner, allowing partners to address external stakeholders with content specifically adapted to their interests. A **flexible flyer** will be used and adapted by any project partner, including translations into different languages. All partners are involved in dissemination activities to address their contacts and networks for the purpose of promoting the project and widening the user community of EmployID. WP9 is coordinating the external communication and dissemination activities and its planned to have several types of contents and media objects to support it.

The consortium agreement specifies the procedures that should be applied when preparing or submitting a publication, e.g. journal or conference paper, which is based on the project results. In addition, the following sentence should be added to any publication or dissemination material:

"This project has received funding from the European Union's Seventh Framework Programme for research, technological development and demonstration under grant agreement no. 619619."

3.3 Quality of deliverables and peer review

The **peer-review process** for the EmployID project is set up in order to obtain and guarantee the quality of the deliverables (documentation, reports, software modules, prototypes, etc.) that will be produced during the course of the project and delivered to the European Commission, and more globally to the potential exploitations in the industry or service sectors. This section describes standards for the EmployID deliverables and presents the EmployID peer-review procedure. A checklist for the deliverables and a template for peer-review reports are given in Appendices to this document.

3.3.1 Project Deliverables

EmployID deliverables serve different purposes. Most of them are communication within the consortium and communication with other people outside the consortium. They are aimed at transferring the know-how, to exploit the results and knowledge generated by the project.

Deliverables should be written with their target readers in mind. They should be concise and easy to follow. The readability of a document is vital ingredient for its success. The following general structure should be followed and is as such provided in the deliverable template of the project:

- Cover page
- Amendment History
- List of Authors/Contributors
- Table of Contents
- Abbreviations/Acronyms
- Executive summary
- Introductory part
- Core part
- References
- Annexes (optional)

Annex I includes a checklist that should serve as a guideline when preparing a deliverable. An EmployID deliverable may be comprised of one or more volumes and may consist of the following parts:

- The *Main part* is the part that summarises the results for high-level executives, technical managers and experts with decision-making competence. It is typically one document and may contain Appendices
- *Annexes* are optional and have detailed technical information for experts and implementers. They are added to the main part at the end of the document

Project deliverables may be classified according to different confidentiality levels, such as public (PU) or restricted (RE). In the DoW the big majority of EmployID deliverables have been classified as PU and a few have been defined as RE regarding their dissemination level. While PU means completely public access, RE means that the deliverable may only be distributed to partners within the EmployID consortium and to a restricted group of persons specified by the consortium, including Commission Services. Marking most of the deliverables as PU follows the openness strategy of the project. In the case consortium members want to change the level of confidentiality of any of the deliverables this requires a decision by the General Assembly.

In the following the steps to be taken for publishing a deliverable are listed:

1. These part form the basis for the deliverable
    1. Title and description of the project deliverables
    2. The name(s) of the deliverables editor(s)
    3. The deliverable history including names(s) of contributors and internal reviewer(s) in charge of the peer review for the deliverable
2. The people appointed to generate parts of the Deliverable – the authors – provide their contribution to the editor.
3. The editor(s) prepare draft 0.1 of the Deliverable by assembling and integrating all contributions. This draft is discussed with all authors. It is recommended to involve the internal reviewers already at this stage.

4. When the editors and the authors are satisfied with the results achieved, the editor issues draft 1.0 and puts it on the EmployID Google Drive and sends a note to the consortium.
5. They inform the internal reviewers and asks for a quality check, opinions and constructive comments within a defined deadline (normally one week)
6. The editor deals with all the comments and problems raised, if necessary with the help of the authors. This is a critical phase due to the many interactions involved. It may be necessary to have a meeting (physical, audio- or video conference) in order to speed up the process for reaching a consensus on the amendments.
7. The editor prepares draft 2.0, puts it on the EmployID Google Drive and informs the project manager (Barbara Kieslinger) and the whole consortium that the deliverable has reached final status and can be submitted to the EC and the reviewers.
8. The deliverable is sent to the PO and the EC reviewers only by the project manager.

3.3.2 Peer review process

One of the feasible means to enhance the quality of the project deliverables is an internal peer review system. EmployID deliverables shall be evaluated by 2-3 reviewers so as to gather diversified and balanced viewpoints. For restricted EmployID deliverables, only reviewers from the participating institutions shall be invited to the peer review procedure. Public deliverables can also be reviewed by invited external experts, for example from an Advisory Board member.

Peer reviewers should be nominated by the editor(s) at least 3 weeks before the due date of the deliverable and communicated to the consortium. Nominated peer reviewers can turn down the invitation with clear justification (e.g. lack of expertise) and would thus be requested to nominate another candidate.

Consented peer reviewers are required to produce a peer review report within 7-10 days after receiving the deliverable from the editor. In case of any expected delay, peer reviewers should have notified the editor and the project manager immediately. During the review process, peer reviewers are encouraged to discuss the problems identified in the deliverable with the main author/editor. Peer reviewers are advised to pay particular attention to the following points:

- Is the deliverable aligned with the objectives of the project and relevant work packages?
- Does the deliverable makes a significant contribution to the project or not?
- Is the content of the deliverable focused on the intended purpose? Is the content of the deliverable presented in a precise and to-the-point manner?
- Is the length of the deliverable justified? Are there superfluous or irrelevant parts that should be deleted? Are there overlong parts that should be shortened? Are there any parts that are written in flowery language and/or that are unspecific or redundant?
- Are there many grammatical errors and/or typographical errors and/or incomprehensive sentences? Specifically, clear annotations indicating errors and suggested corrections are very helpful for the authors of the deliverable. The annotated deliverable may be sent back to the editor/authors via email together with the peer review report.
- Does the deliverable require substantial revision or rewriting? If yes, it will facilitate the revision process if some concrete suggestions how to improve the deliverable are given.

Review results are described in a peer review report (see Annex II), which contains the following information:

- Basic information about the deliverable, author and peer reviewer
- Comments on the length and content of the deliverable
- Major strengths and weaknesses of the deliverable
- Review summary

If minor or substantial revisions are necessary, authors of the deliverable should make changes and produce the final version of the deliverable before due submission date. The final responsibility for the content of the deliverable remains with the editor and authors and it is thus their final decision about how to address and integrate the feedback from the peer reviewer. The review reports will be made available internally for the consortium only.

Figure 4: Peer review process

3.4 Regular internal surveys

Based on experiences from previous projects such as MATURE, EmployID is committed to a **continuous improvement process** on the project management level. In addition to open and transparent communication and decision-making, the project management uses anonymous surveys every three months. These surveys are kept brief to ensure broad participation by each project member. The survey consists of three sections

- *Project management.* In this section, participants are asked to shared their positive and negative observations about the project, both in terms of a four scale rating and open comments.
- *Current topics.* The second section changes from survey to survey and focuses on topics that are currently important within the project. This can range from collaboration infrastructure, via satisfaction about results, to specific WP-level topics.
- *Expectations and perceived risks*. The third section focuses on the future and asks participants to share their perception about risks and expectations.

An essential element of this survey process is that the results are discussed and reflected upon as the first slot in project meetings. This allows for reacting to arising issues quickly and addressing them collaboratively, e.g., by adapting the agenda.

The first survey is provided in Annex III.

3.5 Risk management

As stated above, the regular internal surveys are checking perceived concerns and risks by all consortium partners. Thus risk management is closely connected to the regular survey method and the project management receives important input from the surveys. In addition, the quarterly reports that each partner submits online in the project Wiki also include a section on possible risks, deviations or corrective actions be reported to the project management.

The basic risk management methodology to be followed in the project and which is mainly being fed by the internal surveys as well as the quarterly reports and internal discussions, consists of four subsequent steps:

- Risk identification – areas of potential risk are identified and classified.
- Risk quantification – the probability of events is determined and the consequences associated with their occurrence are examined.
- Risk response – methods are produced to reduce or control the risk, e.g. switch to alternative technologies.
- Risk control and report – lessons learnt are documented.

Risks with medium or high probability and severe impact are handled with particular caution during the project. At this point, it is expected that the project safely achieves its expected results. This is also supported by the preliminary risk analysis. Normal project risks are managed via "good-practice" project management and rely on the experience from the successful research projects that the partners have been performing. The close supervision and tight control both by the project management and by the various Boards ensures that results are available in time and with adequate quality.

WP1 is responsible for close monitoring of the progress and risk identification. Risk identification is however also collaboratively encouraged as part of reflective sessions during the project meetings Early communication of risks is encouraged as well as discussions, in order to achieve a profound understanding of risks. The project management promotes an open communication culture to openly discuss any issues arising.

3.6 SWOT

Another instrument closely connected to the internal survey is the SWOT analysis, as the results of the surveys can also provide valuable input for the SWOT analysis, which is planned to be performed yearly.

The SWOT analysis is a structured planning method to evaluate the Strengths, Weaknesses Opportunities and Threats of a particular undertaking, be it for a policy or programme, a project or product or for an organization or individual. It is generally considered to be a simple and useful tool for analysing project objectives by identifying the internal and external factors that are favourable and unfavourable to achieving that objective. Strengths and weaknesses are regarded internal to the project while opportunities and threats generally relate to external factors.

Strengths can be seen as characteristics of the project that give it an advantage over others while weaknesses are regarded as characteristics that place the team at a disadvantage relative to others. Opportunities comprise elements that the project could exploit to its advantage whilst threats include elements in the environment that could cause trouble for the project.

Question to be answered during the SWOT analysis comprise:

Strengths:

- What do we do well? What are our assets?
- What advantages does the project have? What do we do better than anyone else? What unique resources can we draw upon that others can't?
- What are our core competencies? What is the Unique Selling Proposition (USP)?

- What do other people see as our strengths?

Weaknesses:

- What could we improve? What can we do better?
- What should we avoid?
- Where do we lack resources?
- What factors minimise the outcome?
- What are external people likely to see as weaknesses?

Opportunities:

- What good opportunities can we spot? What are the emerging political and social opportunities?
- What interesting trends are we aware of? What are the economic trends that benefit us?
- What new needs of PES and other future users could we meet?

Threats:

- What obstacles do we face?
- Where are we vulnerable?
- Could any of our weaknesses seriously threaten our results? What are the negative political and social trends?

To develop strategies that take into account the SWOT profile, a matrix can be constructed. The SWOT matrix (see below) includes strategies that make best use of strengths and opportunities and minimise weaknesses and threats. SO-Strategies pursue opportunities that are a good fit to the strengths. WO-Strategies overcome weaknesses to pursue opportunities. ST-Strategies identify ways that the project can use its strengths to reduce its vulnerability to external threats. WT-Strategies establish a defensive plan to prevent the weaknesses from making it highly susceptible to external threats.

SWOT Matrix	**Strengths**	**Weaknesses**
Opportunities	SO-Strategies	WO-Strategies
Threats	ST-Strategies	WT-Strategies

Figure 5: SWOT Matrix

After the first matrix has been drawn from the answers by the consortium, the following questions should be answered during the discussion and establishment of the project strategy:

- How to make best use of strengths and opportunities?
- How to best minimise weaknesses by making best use of opportunities?

- How to make best use of strengths by reducing risk of threats?
- How to best minimise weaknesses even with the expected threats?

While SWOT can be a good complementary tool for analyzing the project and redefining strategy, it has also several blind spots. These comprise, for instance that SWOT is a linear analysis and an expert's or group's monophonic analysis. In the case of the EmployID project some external view, e.g. from the Advisory Board would give an important complementary interpretation of the project development. Overall, SWOT is an easy usable tool that provides quick access to the positive and negative aspects of a project and its environment and seems appropriate for the EmployID project to be performed on a yearly basis.

3.7 Glossary/Definition of core concepts

For a better common understanding of the core concepts of the project the consortium decided to prepare a glossary on the internal Wiki. It is understood as a living document that should support the whole team in shaping a common understanding of the terms and concepts used in the project. The glossary is thus serving as an internal communication tool.

At the moment, the glossary includes the following terms:

- Coaching
- Career Adaptability
- Conceptual Model
- eCoaching
- Employability
- Facilitation
- Identity Transformation
- Intervision
- Learning Analytics
- Method
- MOOC
- Professional identity
- Reflection
- Reflexivity
- Self-Coaching

3.8 Project templates

A series of templates have been prepared so far in order to streamline processes and achieve a unified approach to project documentation and communication amongst project partners. The following templates are currently available for the whole consortium and are accessible via the project Wiki and the shared Google Drive:

- Deliverable template
- Peer review template

- Online reporting template for quarterly/6-monthly and yearly reports
- Informed consent
- Confidentiality agreement
- Data exchange form
- Project presentation
- Project flexible flyer
- Project poster

4 Tools and collaboration infrastructure

While Section 4 was concerned with the processes of communication and collaboration there is also a technical side to this and a number of technical tools are used to provide the EmployID collaboration infrastructure. It consists of several pieces:

- **EmployID mailing list** is used for project-wide asynchronous communication. The address of the mailing list is: employid@lists.employid.eu
- **Flashmeeting** (http://fm.ea-tel.eu/index.html), an online meeting tool provided by the Open University UK, is used for web conferencing.
- **Google Drive** is used for sharing files and for real-time co-creation of documents
- **MediaWiki** is used for adding structure and linking the various activities in the project (e.g., used for meeting calendar and minutes, overview of a living project plan etc.)
- **Skype and telephone** are used for smaller or bilateral meetings and time critical matters
- **EmployID Website** is used for presenting our work to the public

Special technical support is provided by the technical/scientific coordinator for all project members in order to make best use of the collaboration infrastructure. During the kick-off meeting a hands on session demonstrated to partners the use of these technologies.

The choice for this collaboration structures has been made taking into consideration practical aspects as well as privacy issues and access restrictions by some project partners.

5 Ethical guidelines

Ethics is an integral part of research, from the conceptual phase to the publication of research results. The consortium of EmployID is clearly committed to show appreciation of potential ethical issues that may arise during the course of the project and has as such defined a set of procedures on how to deal with ethics in a responsible way.

The main aspects the project is dealing with in regards to ethics are the protection of identity, privacy, obtaining informed consent and communicating benefits and risks to the involved target groups.

The studies performed in EmployID may include data collection from individuals and organisations remotely as well as on site. In order to achieve the goals defined within the research tasks of the work programme the consortium needs to collect personal data from potential future users, mainly employees from European PES organisations. Such data may include interaction data with the tools, basic demographic data and responses to questionnaires. This data is essential for designing and validating the conceptual framework and tools as well as improving the developed technology and services.

5.1 Data protection and privacy

During the data collection the data protection issues involved with handling of personal data will be addressed by the following strategies:

Volunteers to be enrolled will be exhaustively informed, so that they are able to autonomously decide whether they consent to participate or not. The purposes of the research, the procedures as well as the handling of their data (protection, storage) will be explained. For online interviews these explanations will be part of the initial briefing of interviewees, for face-to-face interventions informed consent (see below) shall be agreed and signed by both, the study participants as well as the respective research partner.

The data exploitation will be in line with the respective national data protection acts. Since data privacy is under threat when data are traced back to individuals – they may become identifiable and the data may be abused – we will anonymise all data.

The data gathered through logging, questionnaires, interviews, observational studies at the workplace, focus groups and other possible data gathering methods during this research will be anonymised and therefore the data cannot be traced back to the individual. Data will be stored only in anonymous forms so the identities of the participants will only be known by the research partners involved. Raw data like interview protocols and audio files will be shared within the consortium partners only after having signed the confidentially agreement. For the exchange of highly sensible data a special data-exchange form (Annex V) will be used between the involved partners in addition. Raw data that may reveal the identity of individual study participants (employees) will not be shared with the PES organisations participating in the studies (employers). Reports based on the interviews, focus group and other data gathering methods will be based on aggregated information and comprise anonymous quotations respectively.

Given the sensitive data requested in some of the user studies all project partners, who were involved in data analysis and share personal data, sign a confidentiality agreement (Annex IV). These privacy guidelines ensure that personal data is treated with the utmost care to ensure privacy of individuals.

The collected data will be stored on password-protected servers at the partner institution responsible for data collection and analysis. The data will be used only within the project framework of EmployID, and will not be made accessible for any third party. It will not be stored after the end of the project (incl. the time for final publications) unless required by specific national legislation.

The stored data do not contain the names or addresses of participants and will be edited for full anonymity before being processed (e.g. in project reports).

5.2 Communication strategy

Study participants will be made aware of the potential benefits and identified risks of participating in the project at all times. Specific documents describe the engagement strategy on an organisational and individual level.

The main means of communicating benefits and risks to the individual is the informed consent. Prior to consent, each individual participant in any of the studies in EmployID will be clearly informed of its goals, its possible adverse events, and the possibility to refuse to enter or to retract at any time with no consequences.

In order to make sure that participants are able to recall what they agree upon when signing the informed consent the forms will be provided in the native language of the participants. In addition, the consortium partners will make sure that the informed consent is written in a language suitable for the target group(s).

5.3 Informed consent

As stated above informed consent will be collected from all participants involved in EmployID studies. An English version of the declaration of consent form is provided in the Annex VI.

5.4 Relevant regulations and scientific standards

The consortium is following European regulations and scientific standards to perform ethical research. The following lists some of the basic regulations and guidelines.

The EmployID project will fully respect the citizens' rights as reported by EGE and as proclaimed in the Charter of Fundamental Rights of the European Union (2000/C 364/01), having as its main goal to enhance and to foster the participation of European citizens to education, regardless of cultural, linguistic or social backgrounds. Regarding the personal data collected during the research the project will make every effort to heed the rules for the protection of personal data as described in Directive 95/46/EC.

In addition, the consortium is following the following European Regulations and Guidelines:

- The Charter of Fundamental Rights of the European Union: http://www.europarl.europa.eu/charter/default_en.htm
- EU Guidelines on ethics: http://cordis.europa.eu/fp7/ethics_en.html
- EU Code of Ethics: http://www.respectproject.org/ethics/412ethics.pdf
- European data protection legislation: http://ec.europa.eu/justice/data-protection/index_en.htm
- RESPECT Code of Practice for Socio-Economic Research: http://www.respectproject.org/code/index.php?id=de
- Code of Ethics of the International Sociological Association (ISA): https://www.zsi.at/attach/isa_code_of_ethics.pdf

- Guidelines and recommendations of Coaching as a Profession: http://www.dbvc.de/fileadmin/user_upload/dokumente/Coaching-Kompendium/DBVC-Kompendium_englisch.pdf
- Code of Ethics of the International Coach Federation: http://www.coachfederation.org/about/ethics.aspx?ItemNumber=854&navItemNumber=634

National and Local Regulations and Standards

In addition to the more general and EU-wide guidelines partners have to adhere to and respect national regulations and laws as well as to research organisational ethical approval. All partner are aware of their responsibilities in that sense and will follow the respective guidelines.

5.5 Privacy aspects as part of EmployID research

Apart from the ethics involved in the data gathering and analysis project EmployID is approaching privacy and data protection issues also from an investigators perspective as one of the objectives is to develop a concept for privacy for PES staff, organisations and clients in the context of new technologies. Privacy-awareness in facilitation is a core challenge to achieve in the project.

Especially two partners, RUB and JSI, have extensive expertise in this field and will lead the research work dedicated to this challenge. Together with other research partners they will look into the technical, organisational and legal side of implementing privacy-sensitive technology-enhanced facilitation at the workplace and define a **privacy-aware socio-technical engineering methodology** that forms part of the overall concept of facilitation and the technical implementation. The privacy concept is developed in WP3.

6 Open source and open access strategy

The project firmly believes in openness to be a major factor for innovation. There are many examples of how open innovation is a successful model, especially in domains where many different stakeholders are required to bring about effective change. Openness has many facets. The most important ones are:

- **Open project collaboration.** The Associate Partner Network as an instrument to collaborate with external partners, both PES organizations and other institutions, has been an integral part of EmployID from the beginning and builds upon experiences in other projects. All partners are committed to developing (working) relationships with external partners for mutual benefit.
- **Open source technology.** From a technology perspective, the project builds upon open source technologies and wants to share its results with the community. Business models and exploitation strategies are not based on locking down access to project results, but on providing added value through services. This also supports the open project collaboration with external partners.
- **Open access to scientific results.** From a scientific perspective, the consortium clearly favours open access to its scientific output, which is supported by several project members' internal policies of supporting open access in general.

The open source strategy and the open access strategy will be detailed in the following sections.

6.1 Open source strategy

An open source strategy has its clear advantages in lowering the barriers of reusing EmployID results in various contexts, and allows EmployID to build upon the assets developed by an open source community.

After the release as open source software, there is no further need for negotiation on licenses or similar. Furthermore, it allows for external individuals and organisations to join the further developments under fair and clear terms. This can strengthen the impact of the project, particularly for those parts, which need further research and implementation experience to evolve into a clear product offering.

Open source strategies do not limit the individual partners in exploitation their own achievements in the project if needed. They can still license under different conditions to their customers, e.g., without the need for making further developments open source (as GPL enforces), too.

This open source strategy applies to both source code, and the content that will become part of the EmployID MOOC offering, where CreativeCommons licenses will be considered.

As part of the exploitation activities, key questions will be investigated that are associated with open (source) licensing:

- *How to deal with pre-existing products?* While it is straightforward to agree on a common licensing strategy for the newly developed parts, there are many constraints associated with pre-existing software that might be partially bound to other IPR regimes. This will be also considered as part of the selection process for technologies to reuse.

- *Which license to choose?* Open source projects can choose from a variety of licenses. On the one end, there are very liberal licenses with almost no constraints like the Apache Software License where the software and its source code can be used and developed further for almost any purpose. On the other end, there are "viral licenses" which require any user of the software to open their source code as well, e.g., in case of changes of the components (LGPL) or even if our components form part of an application (GPL). The latter clearly fosters the open source community, while commercial organisations might be intimidated as some – especially bigger companies – have strict policies on not using (L) GPL. Dual-licensing can be a way out, but will only work as long as IPR are clearly identifiable, which will become difficult in a collaborative open source community. The choice of a license is further constrained by the libraries and components that were used by the project's developers. This similarly applies to content, where the Creative Commons regime is a useful framework.
- *How to create a living community?* One of the major benefits is that open source can leverage community development resources for further development. But this depends on a living community. To achieve such a living community with a sufficient visibility and a critical mass of interest in the field of technology enhanced learning.

6.2 Open access

In line with the EC policy initiative on open access[1], which refers to the practice of granting free Internet access to research articles, the project is committed to follow a publication strategy considering a mix of both 'Green open access' (immediate or delayed open access that is provided through self-archiving) and 'Gold open access' (immediate open access that is provided by a publisher) as far as possible.

All deliverables labelled as "public" will be made accessible via the EmployID website. The publications stemming from the project work will also be made available on the website as far as it does not infringe the publishers rights.

[1]http://ec.europa.eu/research/science-society/index.cfm?fuseaction=public.topic&id=1294&lang=1

7 Conclusion

This handbook describes the main procedures of the EmployID project to operate successfully and effectively in order to achieve high quality project results following a responsible research and innovation (RRI) approach. Open access, ethics, and engagement of all societal actors are amongst the key elements of the European RRI framework (European Union, 2012). EmployID is clearly committed to respond to societal challenges in a responsible way by the research topic itself as well as by the way the research is conducted.

While this handbook is provided in the form of a report and deliverable it is a living document in the sense of being continuously updated and challenged by the consortium. The processes described in here are implemented in the daily work of the consortium and most of the elements are separately available on the collaboration infrastructure such as the project Wiki and shared Google Drive.

An updated version of this handbook will be provided at the end of the second project year and will include all updates made during the first two years. In addition, it will report the results from the SWOT analysis and any additional elements added to the project structure related to high quality responsible research.

8 References

European Union, (2012): Responsible Research and Innovation: Europe's ability to societal challenges. http://ec.europa.eu/research/science-society/document_library/pdf_06/responsible-research-and-innovation-leaflet_en.pdf

Annex I: Checklist for deliverables

1. **Overall technical evaluation of the deliverable**
    1. Does the deliverable contain new, or value added information?
    2. Are there any major technical errors, omissions, lack of necessary details?
    3. How do the results compare with the state of the art and/or parallel activities?
    4. What value does the document add to the project partners?
2. **Executive summary**
    1. Are the following questions clearly asked and answered:
        1. Which problem(s) and key questions of interest to intended readers are addressed?
        2. What are the expected main benefits of this deliverable?
        3. What are the results contained in this deliverable?
        4. Who are the main consumers for this deliverable, e.g. who should read it?
        5. Why should I read the deliverable?
        6. Suggestions/recommendations for follow-up actions by project participants and/or by general public.
    2. Is the length acceptable (2 pages, maximum)?
3. **Introduction**
    1. Is the purpose of the document clearly stated?
    2. Is the technical subject properly introduced?
    3. If necessary, is there a guide to the reader (document structure, short description of chapters and relationships)?
    4. If necessary, are there statements on technical assumption, readers' prerequisites, relationships with other documents or parallel activities?
4. **Main part of the deliverable**
    1. Does it contain what was defined in the deliverable description in the DoW?
    2. If something has been left out, have clear and valid reasons been given as to why?
    3. Is the key part structured in a logical way?
    4. Is the content appropriate for the intended audience? Does it only include essential information?
    5. Does it duplicate or contradict standards or other on-going known initiatives? If yes, the affected standard or initiatives need to be identified.
    6. Is the length acceptable (approx. 30 pages maximum for main part)?
5. **Conclusion**
    1. Are conclusions reached? Are they within the consortium perspective?
    2. Are any necessary follow-up actions clearly indicated?

3. Are the conclusions consistent with the executive summary?
4. Should this Deliverable be
    1. Utilised by other projects?
    2. Released (in full or part) to the Associated Partner Network or to PES initiatives such as PES-to-PES dialogue?

6. Annexes (optional)

1. Are they complete in all parts?
2. Relevant for the content described in the deliverable?

Annex II: Peer review template

Instructions:

- Peer reviewers should fill out all six sections in this template.
- For sections 2, 3, 4 and 5 please insert as much text as necessary.
- Please send the completed template to the editor/main author on or before the specified due date.

1. Basic Information

Deliverable Nr &Title:

Main Author/Editor:

Peer Reviewer (Institution, Person):

Date of Receipt of Deliverable:

Date of Sending out the completed peer review:

2. Length of the deliverable

- Is the length of the deliverable justified? – YES - NO
- If no, please specify by e.g. indicating parts that are superfluous, irrelevant, redundant, unspecific or would need more explanation?

3. Content

- Does the deliverable meet the objectives of the deliverable described in the respective Work Package Work Description? – YES - NO

If not, please indicate the parts where improvement is necessary.

- Is the content of the deliverable focused and presented in a precise and to-the-point manner? – YES - NO

If not, please indicate the parts where improvement is necessary.

- Does the deliverable require substantial revision or rewriting? – YES - NO
If yes, please give concrete suggestions how to improve the deliverable.

4. Major strengths

5. Major weaknesses

6. Review Summary

The current version of the deliverable is [ ]:

1: applicable and ready to be submitted to the EC, if required;

2: applicable, but requires minor revisions;

3: inapplicable and requires substantial revisions.

Is it necessary for the revised deliverables to be reviewed again before submitting it to the EC (1:Yes, 2: No)? [ ]

Other remarks:

Annex III: Project management survey

EmployID Project Management Survey No. 1

Period February - May 2014

Project management

1. Did the project management (for Feb-May) meet your expectations? What is your overall impression of

	very good	good	below average	very bad	N/A
Administrative coordination					
Scientific/technical coordination					

a) What was good in your opinion?

b) What was bad in your opinion?

Collaboration

Our collaboration infrastructure: how do you rate the following

	very good	good	below average	poor
Flashmeeting (for our online meeting)				
Wiki (http://wiki.employid.eu)				
Google Drive				

What are your suggestions for improvement for better collaboration
Could refer to tool features or how we use them

Overall: Do you feel well informed? What could be improved?
This does not only include technical tools, but also overall communication strategies

Plans & Risks

What are your expectations/concerns for the coming months? Which risks do you see? What would you propose to do?
Feel free to add anything that we should take into account in planning the next period(s)

Annex IV: Confidentiality agreement

Confidentiality Agreement

The user study data shared between the researchers in the EmployID project contains personal identifiable information (PII) which usage is protected by law. To apply to this law, usage and sharing is restricted and you should follow the rules and guidelines described in the ethical guidelines defined for EmployID for collecting, processing, sharing and storage of data.

In addition to this you have to accept the following terms:

- I will not share the data I received with any third parties, including the testbeds, employers of the participants, or other members of the consortium of the EmployID project without explicit consent from whom I received the data.
- I will instruct the people listed who have access to the data and ensure that they follow the guidelines defined for the project.
- I will delete the data at least ______ months after the resulting studies have first been published. (recommended time is 3 months).

Declaration on consent: I hereby declare my consent with the rules described above:

Date:...

Name & Organisation: ....

Signature: ....

List of persons in my organisation who have access to the data:

Annex V: Data exchange form

Data Exchange Form

As research partners in the EmployID consortium we agree to share personal identifiable information (PII) of individuals and/or organisations as defined in the Confidentiality Agreement.

This data exchange form documents the exchange between partners regarding sensitive data.

Researcher(s) responsible for the data (who collected the data originally)	
Type of data (e.g. interview recording, questionnaires, etc.)	
Sensitivity of data (describe briefly why this specific data is highly sensible)	
Consent form signed by all involved participants	
Storage location	
Person(s) who have access to the data	
Purpose of sharing	
Confidentiality agreement signed	
Data retention (timeframe for storing the shared data)	

Date:……………………………………………………………………………

Name & Organisation: ……………………………………………………………………………

Signature: ……………………………………………………………………………

Annex VI: Informed consent

Declaration of Consent

This data collection is part of research activities within the larger context of an EU-funded project named EmployID - Scalable & cost-effective facilitation of professional identity transformation in public employment services (PES).

EmployID is a major EU-funded 4-year project, which aims to support PES staff to develop appropriate competences that address the need for integration and activation of job seekers in fast changing labour markets. It builds upon career adaptability in practice, including career management skills and quality as well as evidence-based frameworks, for enhanced organisational learning. It also supports the learning process of PES practitioners and managers in their professional identity development by supporting the efficient use of technologies to provide advanced coaching, reflection, networking and learning support services. The project focuses on technological developments that empower individuals and organisations to engage in transformative practices, assisting their adaptation to rapidly changing pressures and demands.

Your data will be held and used on an anonymous basis only for the purpose of the project EmployID. It will not be stored after the end of the project unless required by specific national legislation. Your raw data will be kept confidentially and not disclosed to third parties. Reports on this study won't contain any personal data or data that could lead to the identification of a specific data subject.

The participation is voluntary, consent can be refused, and withdrawal is possible at any time.

Declaration on consent: I hereby declare my consent my data may be conveyed and documented for the above stated purpose. I confirm that my participation is voluntary. I am aware that I may withdraw my consent at any time.

Date:...

Name:...

Signature: ....

Signature EmployID representative: ....

For further information about the research project EmployID, please contact at any time:

____

Please provide your contact data if we are allowed to contact you again with regard to your data (*This information will of course be stored separately from your data!)*:

____