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## Plan Overview

*A Data Management Plan created using DMPTool*

**Title:** Ethnic Diversity and Public Goods Provision Across Latin America

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**Funder:** National Science Foundation (NSF)

**Template:** NSF-SBE: Social, Behavioral, Economic Sciences

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### **Project abstract:**

This research project seeks to address two related, but distinct, research questions: 1) Is ethnic heterogeneity negatively associated with public goods provision across Latin America? As my preliminary attendant statistical analyses have revealed there is no negative relationship, I subsequently ask: 2) Why is ethnic diversity not negatively associated with public goods provision across the region? I use a multi-method research design exploiting variation across time and space in Latin American public goods provision utilizing: A) an originally-constructed panel data set consisting of 17 Latin American countries from 1990 to 2014 (425 observations) to assess several potential explanatory factors' influence on public goods provision in Latin America as measured by the infant mortality rate; B) a second statistical analysis examining individual-level political engagement with survey data collected by the Latin American Public Opinion Project (LAPO) at Vanderbilt University for a total of over 130,000 individual observations spanning the time period from 2004 to 2014 across 17 Latin American countries; C) qualitative field research of nearly 6 months located in Cauca (Colombia), Oaxaca (Mexico), and Sololá (Guatemala). In my qualitative analysis, the mechanisms linking ethnic heterogeneity to public goods provision will be assessed within each of these three regions. I will triangulate the strengths of each methodological approach to test several theories that potentially explain public goods provision across the region. These will be assessed against my own working hypothesis that where non-state local institutions are characterized by decentralized governance across ethnic boundaries, they incentivize individuals to overcome collective action problems, encourage cooperative interactions, aid in the development of organizational infrastructure, and subsequently encourage the grassroots growth of ethnically-diverse civil society demanding government-provided public goods.

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# Ethnic Diversity and Public Goods Provision Across Latin America

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## Roles and responsibilities

**The DMP should outline the rights and obligations of all parties as to their roles and responsibilities in the management and retention of research data. It should also consider changes to roles and responsibilities that will occur should a principal investigator or co-PI leave the institution or project. Any costs should be explained in the Budget Justification pages.**

I will control all matters in connection with this project related to data collection and publication. Curation and long-term storage of the data will be handled by the Qualitative Data Repository at Syracuse University, as detailed below. As there is only one PI, there will be no anticipated changes of responsibilities to the project.

## Expected data

**The DMP should describe the types of data, samples, physical collections, software, curriculum materials, and other materials to be produced in the course of the project. It should then describe the expected types of data to be retained.**

Collected qualitative data will include semi-structured interviews from an estimated 50 to 70 local and regional government officials, high-ranking Catholic officials, Catholic laity, social movement organization leaders, and so on. Each interview is expected to last approximately forty minutes in length, on average. The themes of the interviews are not expected to put subjects at risk. However, the interviews will cover political activism. Such activism has made individuals potential targets for violent retribution in the past. Accordingly, all interview data will go through a de-identification process as detailed below.

My quantitative data consists of two originally-constructed datasets. One consists of 425 country-level time-series observations of 17 Latin American countries with data collected from the World Bank's World Development Indicators, among other sources. The other consists of more than 130,000 individual-level survey responses collected from the Latin American Public Opinion Project and other sources. Please see my Project Description for further information on data sources.

## Period of data retention

**SBE is committed to timely and rapid data distribution. However, it recognizes that types of data can vary widely and that acceptable norms also vary by scientific discipline. It is strongly committed, however, to the underlying principle of timely access, and applicants should address how this will be met in their DMP statement.**

Data will be shared through the Qualitative Data Repository on publication of results in a journal article or within 12 months after project completion, whichever comes earlier.

## Data format and dissemination

**The DMP should describe data formats, media, and dissemination approaches that will be used to make data and metadata available to others. Policies for public access and sharing should be described, including provisions for appropriate protection of privacy, confidentiality, security, intellectual property, or other rights or requirements. Research centers and major partnerships with industry or other user communities must also address how data are to be shared and managed with partners, center members, and other major stakeholders.**

The qualitative interviews will be collected as digital audio files via digital voice recorder and subsequently transcribed into Microsoft Word documents. All statistical data will be stored in Stata format (.dta), which can be easily exported into a variety of other highly-accessible data formats. Metadata to be made available includes interview questionnaires, instructions to respondents, informed consent forms, and de-identifying procedures, all available in Microsoft Word format and exportable as rich-text format. It also includes the Stata code used to run the statistical analyses and the Stata code used to construct the datasets, for replication purposes. These files can also be converted into rich-text format upon request. A single folder will be created for all data collected in connection with this project. Subfolders will then be created for the quantitative datasets, metadata containing qualitative interview forms, IRB protocols, and so on, and finally an encrypted file containing two subfolders: one subfolder will contain the audio files themselves, while another subfolder will contain the de-identified interview transcriptions. Informed consent is of vital importance in conducting social research, as is the protection of the identity of respondents. This project will soon be under review with the Institutional Review Board. I have been trained to be sensitive to the ethics of research with human subjects. Prior to interviews, a written statement will be read to respondents to inform them of the nature of the research. They may then make an informed choice about whether they are willing to participate. Respondents will also be advised that, while data (including de-identified transcripts) will be made publicly available, personal and identifying information will remain confidential. I am in the process of obtaining a waiver of signed consent from the IRB in favor of verbal consent to protect participant de-identification.

A de-identification process will be developed prior to field work so that data can be de-identified as it is collected. Names will be replaced with demographic information and dates referring to specific potentially identifying events will be replaced by general markers. Prior to public dissemination, all interview data files will be solely kept in encrypted, password-protected folders on a laptop, back-up external hard drive, and the University of Alabama's secure cloud-based server. As soon as data is collected in each region, any lists, names, or identifying information will be permanently deleted or destroyed by shredding (if physical copies exist). The digital audio files of the interviews will be permanently deleted after five years.

## **Data storage and preservation of access**

**The DMP should describe physical and cyber resources and facilities that will be used for the effective preservation and storage of research data. These can include third party facilities and repositories.**

De-identified transcripts as well as survey data and all metadata in connection with this project will be indefinitely hosted, curated, and made freely available for research and teaching by the Qualitative Data Repository (QDR) at the Center for Qualitative and Multi-Method Inquiry at Syracuse University.[1] QDR is a third-party, National Science Foundation-funded data repository "dedicated archive for storing and sharing digital data (and accompanying documentation) generated or collected through qualitative and multi-method research in the social sciences" (<https://qdr.syr.edu/about>). QDR personnel have reviewed this plan. One-time costs for curation and storage are included in the project budget.

[1] This excludes the digital audio files which will be withheld and destroyed after five years to protect the de-identification of respondents.

## **Additional possible data management requirements**

**More stringent data management requirements may be specified in particular NSF solicitations or result from local policies and best practices at the PI's home institution. Additional requirements will be specified in the program solicitation and award**

**conditions. Principal Investigators to be supported by such programs must discuss how they will meet these additional requirements in their Data Management Plans.**

Question not answered.