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D 4.3. Data Management Plan

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Abstract

This document is the Data Management Plan (DMP) for the LASTING project, funded by the EU's Horizon 2020 Programme under Grant Agreement number 101006923. The purpose of the DMP is to provide an overview of all datasets used in the project and generated by the project and to define the LASTING consortium's data management policy that is used with regard to these datasets.

The purpose is to provide guidelines to the partners handling data in the context of the project.

The DMP offers an overview of the way data will be collected, used, made accessible and further preserved and identifies roles and responsibilities of the partners at the different stages of the data life-cycle.

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1. Introduction

1.1 The LASTING Project

Considering the diversity of the waterborne transport sector, its geographical scope, the international dimension and the challenges and opportunities upfront, LASTING (Let's go for Waterborne Transport Research – Broadening engagement and increasing impact) will broaden engagement of the broader waterborne transport sector in European RD&I activities, by developing a communication strategy, and implementing a long-lasting communication campaign beyond the lifetime of this project, ultimately increasing, stakeholder engagement in the sector and thereby increasing impact of European waterborne transport RD&I.

The communication strategy, and thereby the campaign will be based on clear KPI's set at the starting point of LASTING, jointly developed with the relevant European Commission Services and the broader waterborne transport sector. The achievement of the KPI's will be measured at fixed intervals, to ensure that the final communication strategy and the campaign will be fit-for purpose and ready for roll-out. An essential element of the communication strategy will be the development of a plug-and-play system for participation in European, national or regional strategic maritime and/or inland waterway transport events. In the framework of LASTING, the plug-and-play system will be tested at a number of occasions, to ensure the system is fit-for-purpose.

In addition, high quality dissemination materials (such as flyers and banners) and templates will be delivered. There will be a main focus on the use of digital tools for dissemination purposes, to ensure that the communication efforts of the waterborne transport community will easily follow the concept launched in the framework of LASTING. Finally, yet importantly, the Waterborne Technology Platform will take over the communication strategy and campaign after the lifetime of LASTING and will ensure a durable implementation of the concepts and materials developed in the framework of the project.

LASTING is coordinated by the Waterborne Technology Platform (SEA Europe is responsible for its secretariat), counting with the participation of a total of five partners from four EU countries.

Figure 1: LASTING's partners

LASTING is funded by the European Commission research and innovation programme Horizon 202, with an investment of 1,3 million Euro over the course of 36 months, starting in January 2021.

1.2 Purpose of Deliverable 4.3 – Data Management Plan

Deliverable 4.3: Data Management Plan presents the rationale of the LASTING policy for data management and protection, and provides guidelines to the partners handling data in the context of the project. If offers an overview of the way data will be collected, used, made accessible and further preserved by the project partners.

LASTING is an Horizon 2020 project participating in the Open Research Data Pilot on a voluntarily basis. This pilot is part of the Open Access to Scientific Publications and Research Data Programme in Horizon 2020. The goal of the programme is to foster access to data generated in Horizon 2020 projects. According to European Commission guidelines, projects participating in the Pilot have to develop a Data Management Plan (DMP).

The present Data Management Plan is generated in accordance with Horizon 2020 rules and guidelines, and the FAIR attributes set by the European Commission, i.e. it will ensure that research data are findable, accessible, interoperable and reusable. For concerns around ethical issues related to sensitive data, the ethical guidelines and standards set by the European Commission will be applied, with particular attention devoted to the clauses of the GDPR regulation, and the principles set in the LASTING project will be retained.

The document is divided into five chapters, which correspond to the following questions:

➢ What type of data will the project collect/generate?;
➢ Where will data be stored and how will it be secured?;
➢ How will data be exploited and/or shared/made accessible for verification and re-use? If data cannot be made available, why?;
➢ How will data be curated and preserved?;
➢ How will ethical as well as privacy issues be addressed?

2. Data Management in the framework of the LASTING project

2.1 Objectives of the LASTING Data Management Plan

The LASTING Data Management Plan describes the data management life-cycle for the data to be collected, processed and/or generated by the project.

Given the objectives of the LASTING project, effective management of related knowledge and data will serve a key role in realizing and sustaining benefits or project measures, and will also support the innovation dissemination and exploitation of knowledge created in the project.

The LASTING Data Management Plan serves to provide guidance to partners involved in data collection, generation and use to handle the full life-cycle of data in a coherent and consistent manner, throughout the duration of the project, whilst respecting privacy and ethical issues and complying with the EC attributes of data being findable, accessible, interoperable and reusable.

Guidance embraces all stages of data management, including information on what data will be collected, processed and/or generated, and how it will be handled during and after the end of the project, including storage and preservation.

Figure 1: Data life-cycle

The LASTING Data Management Plan comprises specific provisions for the partners concerned for the entire data life-cycle (see figure 1):

➢ Collection and generation of data: what data are being collected (the volume, type, content and format) and what collection activities will take place;

➢ Processing: what data processing and analysis activities will take place and which standards and methodologies will be used;

➢ Storage: how and where data will be stored and who will be responsible for security, maintenance and access;

➢ Access: how data are made available and shared within and outside of the project, and who determines the level of sensitivity of the data to be shared;

➢ Archiving: how data are made available for posterity.

2.2 Partners role and responsibilities in implementing DMP

All LASTING partners are involved in data management in one way or another. However, some have specific roles and responsibilities. The LASTING Coordinator, i.e. SEA, will play a major role in ensuring that data management provisions are applied.

2.3 DMP updates

The DMP will be updated over the course of the project whenever significant changes arise, such as (but not limited to): new data; changes in consortium policies; changes in consortium composition and external factors (e.g. new consortium members joining or old members leaving); and changes in applicable EU regulation. The DMP will be updated as a minimum at the time of the submission of the progress reports.

2.4 DMP and GDPR

The LASTING project will apply the concept of legitimate interest with regards to it compliance with the General Data Protection Regulation. This DMP is developed in line with the General Data Protection Regulation (EU) 2016/879 (GDPR) which was adopted on 14 April 2016, and became enforceable beginning 25 May 2018. The regulation contains provisions and requirements related to the processing of personal data in order to preserve data protection and privacy for all individual citizens of the European Union. Controllers of personal data must put in place appropriate technical and organisational measures to implement the data protection principles

(for example, using pseudonymization or full anonymization if appropriate), and use the highest-possible privacy settings by default, so that the datasets are not publicly available without explicit, informed consent, and cannot be used to identify a subject without additional information.

According to GDPR, data is considered to be private as "any information which are related to an identified or identifiable natural person". Thus, not all data gathered in the project is considered to be private. Private data is mostly concentrated in the work organised in the Work Packages 1 and 3, because it will involve stakeholder engagement, and thus information, which relates to certain persons.

Private data will be collected in following activities of STEERER:

- ➢ On-line survey data;
- ➢ Organisation of meetings of the Advisory Board;
- ➢ Subscribers to the regular LASTING newsletter;
- ➢ Conducting interviews;
- ➢ Other.

In cases where data may be considered personal (for example, survey or focus group data), WP leaders and Task leaders are fully aware that they have to act in accordance with GDPR principles as required by their organisations.

It should be noted that using legitimate interest as a lawful reason for processing data is only considered legal if the interest (in this case of the LASTING project) outweighs an individual's right to privacy protection.

Each LASTING partner contacting a stakeholder for the purposes of the project has to explain reasons for the contact and how his/her contact details shall be processed. Furthermore, each new stakeholder to be included in the project's data base will receive a standardised set of information about LASTING as well as information on the use of their personal data.

3. Data to be collected and generated

Data collection will take place both as complications of existing data to set baseline information for research (Section 3.2) and collecting and forming new datasets (Section 3.1). Partners will record, collect and generate data (analyses) for the purpose of reporting.

3.1 What type of data will LASTING collect

The data to be collected is mostly associated with the information of organisations involved in the on-line surveys and interviews. As such, it is foreseen that the following data will be collected:

- ➢ Organisation name, address (street with number, ZIP code, city, country), website, contact point person (with information as below), type of organisation;
- ➢ Contact point person; a name & surname, position in the organization, business telephone numbers (mobile and/or fixed) and e-mail address.

Out of the above the only personal related data that are collected are a name & surname, an e-mail address such as name.surname@company.com and business telephone numbers (optional field).

Purpose of data collection: The primary purpose of collection and processing of data within the scope of the project, is the involvement of stakeholders to carry out consultations. The records in the database will be used for:

- ➢ Invitation of identified stakeholders for the project on-line surveys/interviews on a selective basis and depending on the topic of the survey/interview;
- ➢ Directed provision of information to the identified stakeholders;
- ➢ Consultation purposes to fulfil the objectives of the LASTING project.

4. Processing, Management, Storage and Security

The collected data will be stored in the project's MS Teams folder, on a MS Excel document, following a principle of "Data Minimization" with no association costs. Notably, only minimum personal data (e.g. name, surname, e-mail address & business telephone numbers) of the contact persons of entities (companies, organizations) identified as target groups of the LASTING project will be stored.

A recovery option will be set to the correspondent MS Teams account. In order to protect data from external attacks, a back-up process will be organized. Only a limited number of users will have access to the MS Teams folder, where the information is stored.

There will be an "Opt-out" or "unsubscribe" option set. Thus, each partner contacting a stakeholder included in the project's database or a new one will use the following sentence in the e-mail: "If you are not interested and do not want to be contacted by us again, just reply to this e-mail with "Unsubscribe" and you will be removed from the LASTING mailing list". The opting out can also be requested through the project's official e-mail to be setup.

5. Policies for data access and sharing

LASTING will, in terms of knowledge, research data management and protection, adopt Green Open Access (self-archiving in an online repository) regarding its results. The related scientific information will be easily accessible, free of charge, to the end-user. This will allow for the project's results to be widely accessible to everyone interested, increasing the project's dissemination and exploitation capabilities. The project will follow Horizon 2020 guidelines for data management and open access meticulously, for their compliance regarding data quality, sharing and security.

Verification of results and re-use are, in fact, key motivations for the partners to make data public and shared, although in some cases, the desire to make data and results public has to be carefully weighed against concerns of privacy and security.

The Data Management Plan has been conceived in accordance with Article 29.3 of the Model Grant Agreement called "Open access to research data". Project participants must take measures to make data available to third parties who should be able to access, mine, exploit, reproduce and disseminate the data. However, this provision does not change the obligation to project results in (Article 27), the confidentiality obligations (Article 36), the security obligations (Article 37) or the obligations to protect personal data (Article 39).

The project will therefore provide online public access, free of charge to the end-user, of the majority of the material collected and produced during the project (e.g. Deliverables and reports, videos and PowerPoint presentations). In case data require permission for wider use, LASTING partners will ensure that all this data has the correct, documented approval for use in analysis.

5.1 The Open Access Policy

LASTING will aim at providing open access to publications according to the "Green" standard, meaning that information of LASTING will be available on open repository and on the website of the project. LASTING pursues a policy to provide open access to data directly or anonymized to enable verification and re-use.

The project consortium will ensure that these public data are properly identified and released as Open Data providing information via the European Commission portal for open data on request. The project consortium will take measures to preserve anonymity and appropriately curate the

collected data. The aim is to gather data valuable for technological and scientific evaluation of the project achievements, while respecting privacy-related issues and legislation.

Openly accessible research data can typically be accessed, mined, exploited, reproduced and disseminated, free of charge for the user.

5.2 Data sharing

There is a clear objective in LASTING to provide public access to data and knowledge to highlighting the importance of European Research, Development and Innovation for and by the European waterborne transport sector. In order to mitigate privacy and risk concerns, specific provisions have been made in the Consortium Agreement on data ownership and potential disclosure risk. Data will be categorized as public domain, shared within the consortium or private/confidential to a particular partner.

On request, further or original data can be asked to the responsible partners. Based on the type of data, size and level of confidentiality, the responsible partner can provide further information or data, but always in line with their own data policy and applicable legislative framework. The level of sensitivity of data used within the project is defined locally by each partner who delivers and is responsible for the data.

6. Data curating and preservation

A substantial amount of data will be collected and analyzed, and particular results will be published. In order to preserve this data and provide long-term access, the project partners will define hosting sites and archives for data and publications. Each partner is responsible for preserving the original data sets based on their own data policy and legislative framework in terms of archiving.

At project level the information collected and knowledge produced will be disclosed in deliverables, working documents and reports which will be stored and preserved on the LASTING website.

7. Ethical issues

LASTING will collect and process data in accordance with all applicable ethical guidelines and industry standards, in particular the EU's Data Protection Directive, the General Data Protection Regulation and others. LASTING will rigorously apply Horizon 2020 ethical standards in all dimensions of the project's work. Following European Commission guidance, the project will work in compliance with Directive 95/46/EC and 'Article 29 working group 8/2010 opinion' and the conditions of Decision 2013/743/EU.

Privacy and data protection are the major ethical issue for LASTING to address. The project team will adhere to the principles of ethical research practice, namely to conduct the research fairly and ethically, in the spirit of openness and with the highest standards of integrity. At all times the project will seek to adopt best practice in terms of research governance and other legislative requirements and endeavor to minimize any impact or potential impact on the environment from research activities.

7.1 Confidentiality and informed consent

In general, there are tow key rules in LASTING in terms of analysis, data storage and dissemination: (i) That it is well documented and approved who has access to use and receive the information and (ii) There will be no dissemination of personal information without written consent. The analysis of data will not reveal or publish the intelligence from specific respondents to questionnaires or interviews/discussions. Respondents will be presented by anonymous codes

and addresses coded by broad areas to prevent tracking (there is a good body of experience on how to avoid data tracking). Where possible, LASTING will produce standard templates and statements for customized translation for recruitment and selection approvals and informed consent, in compliance with the local ethical regulations. It will state clearly that the information collected will:

- ➢ Be handled in a confidential manner;
- ➢ Only be used for exploratory research purposes;
- ➢ Identifiable data will not be disclosed to any external partners.

"Informed consent" within LASTING means that external experts, practitioners, stakeholders, citizens or any person outside the project who is asked to participate in project activities (surveys, interviews, questionnaires, workshops, etc.) have a clear appreciation and understanding of the facts, implications and future consequences of any input and information they provide to the consortium.

Therefore, whenever external people will be involved in LASTING, the following procedure will be taken:

- ➢ Participants will be informed about the purposes of the research and what use will be made of the information they provide;
- ➢ They will be formally asked to respond on a voluntary basis;
- ➢ They will be informed that they may cease participation at any time, and for any reason;
- ➢ They will be able to choose whether they want to provide their personal data, or not;
- ➢ They will be asked to provide indication of informed consent.

All information in public reports will be presented in an anonymized way ensuring that none of the inputs/views can be traced directly to a person or entity.

7.2 Copyright/Intellectual Property Right (IPR)

The partners will jointly own the data generated. Online and archival sources will be cited and clearly acknowledged in the research outputs. Permission will be sought from secondary sources to share the findings of the research on public website.

Provisions have been made within the Consortium Agreement to address IPR issues. To safeguard project IPRs, without decreasing the impact of the project results within the wider community, it is important to find the right balance between public information and private information. Thus, as part of the project, the knowledge produced will be continuously tracked and registered to the respective owner.

ANNEX I: INFORMED CONSENT FORM and INFORMATION SHEET

Introduction

You are being selected to take part in the LASTING research project, because we feel that your experience can contribute to improve our study and outcomes. If you accept, you will be asked to participate in one or more of the various activities of the LASTING project, including attending face-to-face meetings and on-line consultations.

Before making a decision on whether you want to participate or not, please read this document carefully. Please ask all the questions you may have so you can be completely sure to understand all the proceedings of this project and the project activities, including risks and benefits. At all times, we assurance the compliance with the current legislation.

Overview and purpose

Considering the diversity of the waterborne transport sector, its geographical scope, the international dimension and the challenges and opportunities upfront, LASTING (Let's go for Waterborne Transport Research – Broadening engagement and increasing impact) will broaden engagement of the broader waterborne transport sector in European RD&I activities, by developing a communication strategy, and implementing a long-lasting communication campaign beyond the lifetime of this project, ultimately increasing, stakeholder engagement in the sector and thereby increasing impact of European waterborne transport RD&I.

Your participation in LASTING project involves the granting of information stemming from specific expertise, your know-how, or your network.

Duration

The LASTING project started on 1 January 2021 and has a duration of 36 months. During the project's lifetime, experts are consulted to participate in questionnaires, meetings and other activities that will contribute to achieving the objectives of the LASTING project.

Risks or inconveniences

No risks are foreseen. You are only requested to be available to participate and share with LASTING your professional experience and opinions. You do not have to answer any question if you don't wish to do so. You do not have to give us any reason for not responding to any question.

Privacy and confidentiality

Responses you give in questionnaires, meetings and other activities will be recorded. Your recorded data will be processed during the phase of data analysis and anonymised before it is processed in the final project reports.; hence it will not be possible to identify you afterwards and to identify the source of information. The results of this investigation may be published in scientific journals or conferences and may be used in further studies. Nothing of the provided personal data will be handled out to third parties.

The authorization for the use and access to this information is valid until the end of the project unless you decide to cancel it before. If you should decide to deny your consent, please contact the Project Coordinator and let him know of your intention of leaving the consultation process. Your decision to whether or not give your authorization for the use and diffusion of the information provided by you is completely voluntary.

Sharing the results

LASTING will publicly share the results of the consultation process. The related scientific information will be easily accessible, free of charge, to the end-user. The project will follow Horizon 2020 guidelines for data management and open access meticulously, for their compliance regarding data quality, sharing and security.

Who to contact

In case of questions, Project Coordinator, Jaap Gebraad, Executive-Director Waterborne Technology Platform, jaap.gebraad@waterborne.eu

Certificate of Consent

Your participation in this consultation process of the LASTING project is only possible with the following consent:

- I have been fully informed about the aims and purposes of the LASTING project. I understand that there is no compulsion to participate in the LASTING activities and, if I choose to participate, I may at any stage withdraw my participation;

- I have read, or had read to me, a document providing information about this project and this consent form. I have had the opportunity to ask questions and all my questions have been answered to my satisfaction and understand the description of the consultation process that is being provided to me;

- I agree that my data (collected by meetings, questionnaires and other ways of interaction) is used for scientific purposes and I have no objection that my data is published in scientific publications in a way that does not reveal my identity;

- I understand that, subject to the constraints above, no recordings will be replayed in any public forum or made available to any audience other than the current project partners;

- I freely and voluntarily agree to be part of this consultation process, though without prejudice to my legal and ethical rights;

Signature: _____

Name: _____

Date: _____