STEERER

STRUCTURING TOWARDS ZERO EMISSION WATERBORNE TRANSPORT

D 4.2. Data Management Plan

Work Package	WP4: Communication, dissemination and exploitation
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Abstract

This document is the Data Management Plan (DMP) for the STEERER project, funded by the EU's Horizon 2020 Programme under Grant Agreement number 875285. 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 STEERER 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. About the document

STEERER 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 (H2020). The goal of the programme is to foster access to data generated in H2020 projects. According to European Commission (EC) guidelines, projects participating in the Pilot have to produce a Data Management Plan (DMP).

The DMP presents the rationale of the STEERER policy for data management and protection, and provides guidelines to the partners handling data in the context of the project. It offers an overview of the way data will be collected, used, made accessible and further preserved by the project partners.

The present Data Management Plan is generated in accordance with H2020 rules and guidelines, and the FAIR attributes set by the European Commission, i.e. it will make sure 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 STEERER project will be retained.

The document is divided into five sections that correspond to the following questions:

- What types of data will the project collect/generate? (Chapter 3 – Data to be collected and generated);
- Where data will be stored and how it will be secured? (Chapter 4 –Processing, Management and Storage);
- How will data be exploited and/or shared/made accessible for verification and re-use? If data cannot be made available, why? (Chapter 5 – Policies for data access and sharing);
- How will data be curated and preserved? (Chapter 6 – Data curating and preservation);
- How will ethical as well as privacy issues be addressed? (Chapter 7 – Ethical issues)

2. Data Management in the framework of the STEERER project

2.1 Objectives of the STEERER project

STEERER coordinates the establishment and communication of a strategic research and innovation agenda and an implementation plan towards zero-emission waterborne transport, in cooperation with all key stakeholders needed to facilitate the transformation to clean waterborne transport. The project will develop and execute an effective communication strategy, not only to raise awareness to the key stakeholders of the waterborne transport sector, but also to raise the awareness of citizens regarding the sector's strategic importance and its commitment to mitigate climate change and contribute to a healthy living environment.

The main objectives of STEERER are:

- Establishing a European Community jointly working towards zero-emission waterborne transport as part of the logistics chain, delivering clear commitment to reaching zero-emission transport by latest 2050 by:
  - reaching agreement on emission targets towards 2050;
  - developing a Research and Innovation Agenda, based on jointly agreed priorities;
  - designing an implementation plan consisting of business models, as well as supporting policies and regulations, ensuring European competitiveness regarding solutions for zero-emission waterborne transport.
- Create and execute an awareness campaign on the strategic importance of waterborne transport and its commitment to become a fully sustainable mode of transport.

2.2 Objectives of the STEERER Data Management Plan (DMP)

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

Given the objectives of STEERER, such as creating a European Community jointly working towards zero-emission waterborne transport and its high priority on creating an awareness campaign on the importance of waterborne transport (see section 2.1), effective management of related knowledge and data will serve a key role in realizing and sustaining benefits of project measures, and will also support the innovation dissemination and exploitation of knowledge created in the project.

The STEERER 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, while 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 STEERER Data Management Plan comprises specific provisions for the partners concerned for the entire data life-cycle (see fig 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 data 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.

2.3 Partners roles and responsibilities in implementing the DMP

All STEERER partners are involved in one way or another in data management. However, some have specific roles and responsibilities. Under the supervision of the Task leader 4.2 on DMP (WP4) ISINNOVA, responsible for the overall DMP, the STEERER Coordinator, i.e. SEA, will play a major role in ensuring that data management provisions are applied.

2.4 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.

2.5 DMP and GDPR

The STEERER project will apply the concept of legitimate interest with regards to its compliance with the General Data Protection Regulation. This DMP is developed in line with the General Data Protection Regulation (EU) 2016/679 (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 organizational 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 the data gathered in the project is considered to be private. Private data is mostly concentrated in the work organised in the WP3 "Green Shipping Expert Group/Stakeholder Consultation", because it will involve stakeholder engagement, and thus information, which relates to certain persons. Also, private data will be collected in WP4 "Communication, dissemination and exploitation" in order to organise communications to targeted audience.

Private data will be collected in following activities of STEERER:

- On-line survey data;
- Organisation of the Green Shipping Expert Group;
- Organisation of the Scientific Committee;
- Subscribers of the regular STEERER newsletter.
- Others.

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 STEERER project) outweighs an individual's right to privacy protection.

Each STEERER partner contacting a stakeholder for the purposes of the project has to explain the 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 STEERER 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 compilations 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 STEERER collect?

The data to be collected is mostly associated with the information of the members of the Scientific Committee, of the Green Shipping Expert Group and the Broader Community. 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 organisation, business telephone numbers (mobile and / or fixed), and email address;

Out of above the only personal related data that are collected are a name & surname, an email 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 to setup the Scientific Committee (SC), the Green Shipping Expert Group (GSEG) and to carry out consultations for this group and also to a wider audience (the Broader Community). The records in the database will be used for:

- Invitation of identified stakeholders for the project events on a selective basis and depending on the topic of the event (e.g. workshops of the Green Shipping Expert Group, Midterm or Final Conference);
- Directed provision of information to the identified stakeholders;
- Consultation purposes to fulfil the objectives of the STEERER project.

The following table presents a summary of the main data collection activities that will take place in the project.

WP	WP name	Activities involving collection of data
1	Project Managment	• Administrative management of the Scientific Committee; • Administrative management of the GSEG
2	Strategic Research and Innovation Agenda and Implementation Plan	No collection of data is planned

3	Green Shipping Expert Group/Stakeholder Consultation	• Collection of data for the GSEG and from the GSEG • Colllection of data for the SC and from the SC Collection of data for on-line survey and from the on-line survey
4	Communication, Dissemination and Exploitation	• Collection of data for the subscibers of the newsletter • Collection of data for the participants of the mid-term and final conference • Collection of data for the STEERER Ambassador videos and for their dissemination

3.2. Data used by STEERER

STEERER will also use a variety of data from secondary sources mainly for the research purposes in the WP 3 "Strategic Research and Innovation Agenda and Implementation Plan"

WP	WP name	Open and non/open data used for STEERER
1	Project Managment	No secondary sources are used
2	Strategic Research and Innovation Agenda and Implementation Plan	• Data used for this WP will be based on publicly available, open data (e.g. EU Regulations / Strategies, etc.); and feedback and discussions from the GSEG
3	Green Shipping Expert Group/Stakeholder Consultation	• Data produced in the WP2 will be used
4	Communication, Dissemination and Exploitation	• Data processing (analysis to examine the outreach to all stakeholders and general audience) • Data from WP3 – GSEG

4. Processing, Management,Storage and Security

The collected data will be stored in the project's Google Drive folder, on a MS Excel document, following a principle of "Data Minimisation" with no associated costs. Namely, only minimum personal data (e.g. name, surname, email address & business telephone numbers) of the contact persons of entities (companies, organisations) identified as target groups of the STEERER project will be stored.

A recovery option will be set to the correspondent Google account. In order to protect the data from the outside attacks, a backup process will be organised. Only limited number of users will have an access to the Google Drive, where the information is stored.

There will be "Opt-out" or "unsubscribe" options set. Thus, each partner contacting a stakeholder included in the project's database or a new one will use the following sentence in the email: "If you are not interested and do not want to be contacted by us again, just reply to this email with "Unsubscribe" and you will be removed from the STEERER 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

STEERER 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 H2020's 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 protect 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, STEERER partners will ensure that all this data has the correct, documented approval for use in analysis.

5.1 The Open Access Policy

STEERER will aim at providing open access to publications according to the "GREEN" standard, meaning that information of STEERER will be available on open repository and on the web-site of STEERER. STEERER 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 STEERER to provide public access to data and knowledge to highlighting the strategic importance and associated added value of the greening potential of the waterborne transport sector, creating widespread awareness, simultaneously promoting the sector and strengthening the visibility of the research and innovation landscape in Europe, with a particular emphasis on the wider society, press and the 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 analysed, 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 STEERER web-site.

7. Ethical issues

STEERER 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. STEERER 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 STEERER 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 endeavour to minimise any impact or potential impact on the environment from research activities.

7.1 Confidentiality and informed consent

In general, there are two key rules in STEERER 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 represented 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, STEERER will produce standard templates and statements for customised translation for recruitment and selection approvals and for 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 STEERER 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 STEERER, 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.

In line with police, the call for expressions of interest to participate in the GSEG and the SC, included the informed consent (ANNEX I).

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 websites.

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 to participate in the Green Shipping Expert Group (GSEG) of the STEERER project

Introduction

You are being selected to take part in the GSEG because we feel that your experience can contribute much to improve our study and outcomes. If you accept, you will be asked to participate in the consultation process of the study, including attending face-to-face meetings and taking part in on-line surveys.

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 the study and the consultation process, including risks and benefits. At all times, we assure the compliance with the current legislation.

Overview and Purpose

The STEERER project will coordinate the establishment and communication of a Strategic Research and Innovation Agenda and an Implementation Plan towards zero-emission waterborne transport, in cooperation with all key experts and stakeholders needed to facilitate the transformation to clean waterborne transport. In this framework, the STEERER project is tasked with the creation of a "Green Shipping Expert Group" (the GSEG).

The primary objective of the GSEG is to gather the input of key opinion leaders to develop a common view on achieving zero-emission waterborne transport and defining the actions needed to provide the required framework conditions.

The group will be tasked with reviewing and commenting documents, participating to the Strategy evaluation meetings and contributing by presenting pre-competitive developments regarding zero-emission transport at the level of their organisation. Although the GSEG will be installed in the framework of the project, the activities will continue after the project lifetime, by monitoring and assessing the implementation of the Strategy defined and adapting where necessary.

Duration

The STEERER project started on 1 December 2019 and has a duration of 30 months. During the project's lifetime, the GSEG will be gathered in four face-to face meetings which are planned to be organised in Brussels, unless indicated otherwise. The meetings will have a duration of one working day maximum.

Risks or Inconveniences

No risk is foreseen. You are only requested to be available to participate and share with STEERER 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 the workshops and in questionnaires will be recorded. Your recorded data will not include any personal identification; hence it will not be possible to identify you afterwards. Information will be processed during the phase of data analysis and will be shown in project

reports. It will not be possible to identify the source of the 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 study 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

STEERER 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 H2020's 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 TP, jaap.gebraad@waterborne.eu.

Certificate of Consent

Your participation in this expert group is only possible with the following consent

- I have been fully informed about the aims and purposes of the STEERER Project. I understand that there is no compulsion to participate in the STEERER Green Shipping Expert Group 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 workshops and questionnaires) 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: _____