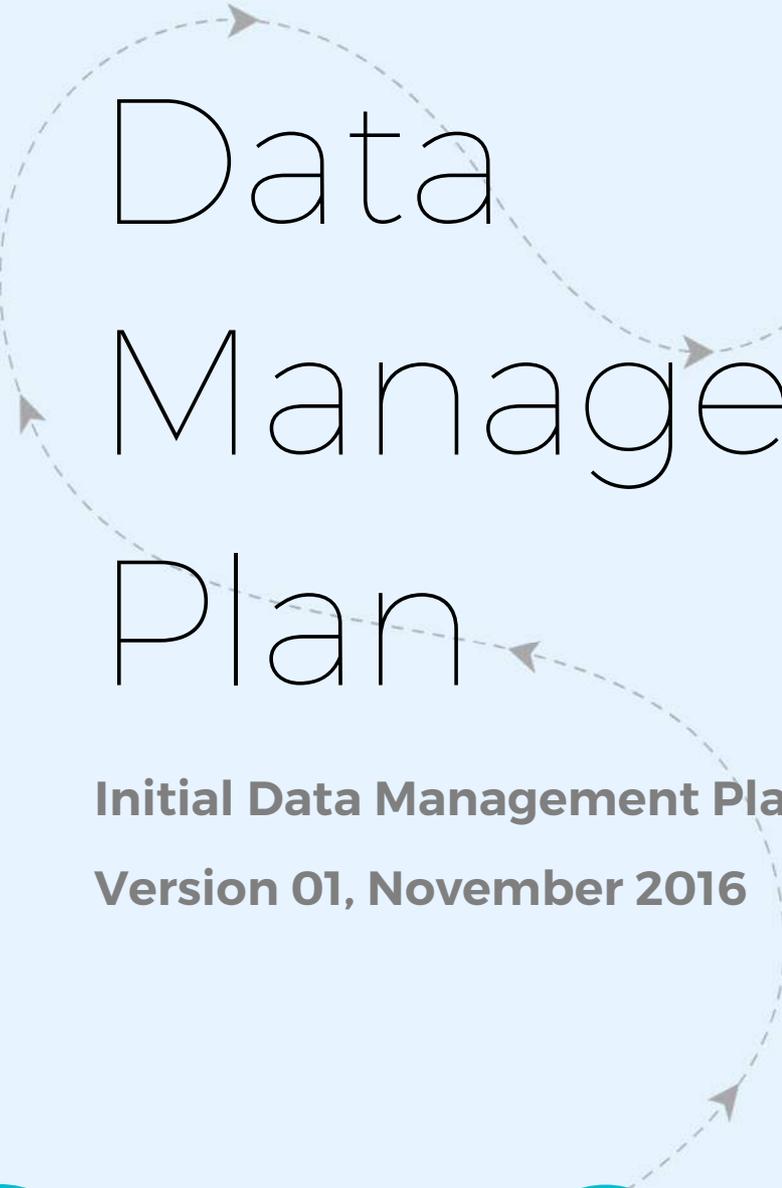




# Data Management Plan



**Initial Data Management Plan.**

**Version 01, November 2016**





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# 1. Introduction

This Data Management Plans (DMP) describes the data management life cycle for the data to be collected, processed and/or generated by COMPASS (710543). As part of making research data findable, accessible, interoperable and re-usable (FAIR), this DMP includes information on a) the handling of research data during and after the end of the project, b) what data will be collected, processed and/or generated, c) which methodology and standards will be applied, d) whether data will be shared/made open access and e) how data will be curated and preserved (including after the end of the project). This DMP is prepared according to the specifications for participating in the EU Pilot on Open Research Data (ODR).

## 1.1. Background Information on COMPASS (710543) Project

The concept of “Responsible Research and Innovation” has been around for almost a decade. So far, it has been the subject of discussion among policy-makers and researchers; without including the key actors of Responsible Research and Innovation: businesses.

The aim of the COMPASS (710543) project is to make Responsible Research and Innovation accessible, comprehensible and feasible for Small and Medium-Sized Enterprises. The COMPASS (710543) project will set the stage on which SMEs will be able to co-create their own visions of Responsible Research and Innovation – for their particular sector and for their particular business context. Physical and virtual interaction will take place in “Responsible Innovation Labs” for SMEs in the areas of nanotechnology, healthcare and ICT.

The tools and services designed in these labs will be tailored to the needs of innovative SMEs. SMEs will get the chance to test the tools in their daily operations. They will get access to all services on the “Responsible Innovation COMPASS”, a custom-made web platform.

## 1.2. Information on Data

The project objectives require collection and processing of information which is not available from other sources. As the concept of “Responsible Research and Innovation” is still fairly novel and not much data is available on it, the project will need to generate its own data sets. It will rely on industry experts, businesses and civil society actors to provide first-hand information about their experiences, views and opinions.

The project will build up the following data sets: 1) Stakeholder & multiplier database; 2) Website; 3) Interviews; 4) Responsible Innovation Labs; and 5) Pilot Testing.

The data sets will be appropriately handled by the consortium in accordance with confidentiality obligations (article 36) and principles of processing data (article 39.2) outlined in the Grant Agreement.

### 1.3. Timetable for Updates

Project month	Data set	Chapter	Expected updates
M18	Stakeholder & multiplier data set	2.1 Data set description	Amount of data, size of largest files
M18	Website	3.2 Data set description	Documentation of data, time stamps, access to page
M18	Interviews	4.1 Data set description	Amount of data, size of largest files
M36	Responsible Innovation Labs	5.1 Data set description	Amount of data, size of largest files
M36	Pilot testing	6.1 Data set description	Amount of data, size of largest files
		6.5 Re-use and distribution	Strategy

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## 2. Stakeholder & Multiplier Database

### 2.1. Data Set Description

The COMPASS (710543) project will set up a stakeholder & multiplier database to compile contact information of actors that might be interested in taking an active part in the project (e.g. as participants in the Responsible Innovation Labs) or receiving and disseminating project output (e.g. innovation networks).

The database is being compiled and administered by consortium partner FBLC and owned by all COMPASS (710543) partners.

The compilation of the COMPASS (710543) stakeholder database will be the central point of reference for all stakeholder interaction during the running time of the project. These data stored in the COMPASS (710543) stakeholder database will be used for the following tasks:

- Persona analysis (i.e. analysis of influence / position in an organisation, analysis of relevance / type of organisation) in order to determine an efficient communication strategy with the platform's stakeholders; stakeholder contacts will be stored in a WP leader (FLBC) access database.
- Monitoring participation of the stakeholders in the online and on-site interactions in order to provide analyses of stakeholder participation according to (a) type of organisation, (b) country, (c) gender balance and (d) areas of expertise. The results of these analyses will be used for guiding further stakeholder recruitment efforts in order to achieve a balanced representation of different stakeholder groups and to ensure gender balance.
- Collecting input from the stakeholders (feedback on the Responsible Innovation COMPASS and roadmaps and online knowledge repository prepared by the consortium and new ideas through "idea sourcing") as important source of the Responsible Innovation COMPASS content and information provision functionality.

### 2.2. Standards and Metadata

Data is documented in form of entries (rows) and different fields, including type of entity, country, sector, basic information and contact details into an MS Office Excel File. Each entry includes metadata in form of a) information about who (i.e. which of the consortium partners or advisory board members) has provided the contact and will need to establish first contact between the project and the respective stakeholder/multiplier and b) which of the project tasks/activities might be of interest for the respective stakeholder/multiplier.

No particular metadata standards are being applied.

### 2.3. Ethical and Legal Issues

Data contained in the COMPASS (710543) stakeholder & multiplier database will not be publicly available, but solely serve the purpose of involving potentially interested stakeholders and multipliers in the different project activities.

The stakeholder data base does not include any ethically questionable material.

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Personal data (i.e. name, organisation, position, email, telephone number) which are not publicly accessible, but provided by individuals during the course of the project, will be treated confidentially by FBLC.

Any data contained in the COMPASS (710543) stakeholder & multiplier database will be anonymised for further use (i.e. academic or other publications). COMPASS (710543) parties will make sure that any data that is used outside of the scope of the COMPASS (710543) project will be unlinked (anonymised) from any personal data information.

## **2.4. Access and Sharing**

Data storage in the scope of the COMPASS (710543) project will be secured so as for the data not to become accessible to unwanted third parties and to be protected against disaster and risk.

Data contained in the COMPASS (710543) stakeholder & multiplier database will not be publicly available; i.e. these personal data will not be shared with third parties nor attributed to commercial use.

Sharing of personal data among COMPASS (710543) consortium partners will take place only if consented by the stakeholder/multiplier in question, and shall be organised through the server-based and password-protected “WU Owncloud system” (<https://owncloud.wu.ac.at/>).

## **2.5. Re-Use and Distribution**

Information contained in the database that has been obtained from publicly available sources in the Internet (such as name of the entity, country, or URL) might be re-used for education or further research purposes in the future.

Any contact information is not expected to be re-used for education, research or non-profit purposes. Data contained in this dataset will not be distributed to third parties (see section 2.4).

## **2.6. Archiving and Preservation (including Storage and Backup)**

### **2.6.1. Spaces for Data Storage and Respective Data Security Measures**

The stakeholder & multiplier database will be stored on state-of-the-art secured laptops, protected by most recent and regularly updated anti-virus software. The FBLC team with access to the stakeholder database will adhere to a level of confidentiality (as outlined in the COMPASS (710543) Grant Agreement article 39.2). Furthermore, the consortium partners will comply with WU institutional data protection policy (“WU Information Security Policy” ; “The Organization of Information Security at WU”; “WU Directive on Confidentiality Classification”; “WU Directive on Data Erasure and Disposal” ) which outlines measures guaranteeing “protection from loss and damage to information” (availability), “protection from unauthorised access and disclosure of information (confidentiality)”, “protection from unintended and manipulative modification of information (integrity)”, and “protection from loss of non-repudiation or comprehensibility of information flows”.

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### **Duration of data storage and access**

Data stored in the COMPASS (710543) stakeholder database will be securely stored within FBLC secure servers for the total duration of the COMPASS (710543) project and for 6 months after the completion of the project.

Security measures as outlined above will be kept active as long as the respective data is in use or until terminated.

### **Procedures for data destruction/deletion**

Data will be destroyed according to the WU Directive on Data Erasure and Disposal in order to guarantee proper off- and online data protection. COMPASS (710543) consortium parties will apply appropriate tools and procedures for data deletion in order to guarantee irreversibility.

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## 3. Website Subscriptions Data Set

### 3.1. Data Set description

The COMPASS (710543) consortium maintains a website for the purpose of making RRI more accessible to SMEs. To complement the stakeholder & multiplier database, the website offers a sign-up function: Website users are able to sign up to the website to receive news about the project. To subscribe, it is only necessary to enter a name and email address as well as agree to the website Terms and Conditions (see section 3.3). The website subscriptions data set thus compiles contact information of additional actors that might be interested in taking an active part in the project (e.g. as participants in the Responsible Innovation Labs) or receiving and disseminating project output (e.g. innovation networks).

The website subscriptions data set will be administered by WU.

The website is created using WordPress software. There are three software plugins (plugins for WordPress) COMPASS (710543) uses to collect website users data as an email subscription data:

1. Email Subscribers – a plug developed for WordPress sites that allows to create forms where users can enter their name and email address to subscribe to receive news from the respective website. COMPASS (710543) uses a double opt-in system, where the user receives an email to confirm his/her subscription to the COMPASS (710543) website news.

2. Maintenance Mode – a plug developed for WordPress sites that displays a “Coming soon” webpage and allows interested users to leave their email address to be informed of when the site is launched. COMPASS (710543) uses a single opt-in system, where the user enters their email address only and this email address is entered into the database of interested users without them having to reconfirm his/her subscription to the COMPASS (710543) website news.

3. Newsletter - Newsletter is a newsletter system plug-in for WordPress sites: it is used for list building, creating, sending and tracking emails. The plug in also collects data on whether the users have opened the email sent. It allows to create forms where users can enter their name and email address to subscribe to receive news from the respective website. COMPASS (710543) uses a single opt-in system, where the user enters their email address only and this email address is entered into the database of interested users without them having to reconfirm his/her subscription to the COMPASS (710543) website news.

The email addresses and names collected through these plugins are stored on COMPASS (710543) website server and are visible online to COMPASS (710543) consortium partners. The data can only be exported from the site by COMPASS (710543) consortium partners when they log-in to the COMPASS website confirming their identity.

### 3.2. Standards and Metadata

No particular metadata standards are being applied.

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### 3.3. Ethical and Legal Issues

It is clearly stated on the website sign-up page (<http://innovation-COMPASS.eu/sign-up/>) that by signing up users agree to accept COMPASS (710543) Terms and Conditions (<http://innovation-COMPASS.eu/terms-and-conditions/>).

By subscribing to the COMPASS (710543) website, users authorise COMPASS (710543) to process personal data for, and only for, the following purposes:

- To send users information on COMPASS (710543) activities and project updates, both as general newsletters and specific communications from the COMPASS (710543) project
- To send users information about the opportunity to participate in COMPASS (710543) activities, either in face-to-face format (workshops, seminars, etc.) or online, via the internet (contributions to the contents of the COMPASS (710543) website, participation in surveys, etc.).

Users are informed that they may at any time exercise their rights to unsubscribe. Each communication they receive will detail free means whereby they can request not to receive further communications from COMPASS (710543).

When users are asked to supply personal details to complete a form, they will be informed of the recipient of the data and the purpose for which it is being collected; the identity and address of the body responsible for the file (file manager). Users at all times may exercise their rights of access, rectification, cancellation and opposition to the treatment of their data. The personal data collected will only be used and/or transferred for the purpose specified, and always with the consent of the user.

### 3.4. Access and Sharing

Data storage in the scope of the COMPASS (710543) project will be secured so as for the data not to become accessible to unwanted third parties and to be protected against disaster and risk.

Data contained in the website subscriptions data set will not be publicly available; i.e. these personal data will not be shared with third parties nor attributed to commercial use.

Sharing of personal data among COMPASS (710543) consortium partners will take place only if consented by the stakeholder/multiplier in question, and shall be organised through the server-based and password-protected “WU Owncloud system” (<https://owncloud.wu.ac.at/>).

### 3.5. Re-Use and Distribution

As this dataset contains contact information only, we do not expect any re-use for education, research or non-profit purposes. Data contained in this dataset will not be distributed to third parties (see section 3.4).

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## 3.6. Archiving and Preservation (including Storage and Backup)

### **Procedures for the storage of personal data**

Data storage in the scope of the COMPASS (710543) project will be secured so as for the data not to become accessible to unwanted third parties and to be protected against disaster and risk.

### **Duration of data storage and access**

Data stored in the COMPASS (710543) project website will be stored for the total duration of the COMPASS (710543) project and for 6 months after the completion of the project.

Safe procedures outlined during the project's running time will be kept active as long as the respective data is in use or until terminated.

### **Procedures for data destruction/deletion**

Data will be destroyed according to the WU Directive on Data Erasure and Disposal in order to guarantee proper off- and online data protection. COMPASS (710543) consortium parties will apply appropriate tools and procedures for data deletion in order to guarantee irreversibility.

### **Technical safety measures for personal data**

As regards any personal data compiled in COMPASS (710543) project website, all data will be subject to strict safety procedures as well as technical measures. At WU data will be stored on WU institutionalised SAN system. Safety measures include physical protection of server data centres, SAN system protection includes Data Protection Manager and TSM as well as physical protection.

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## 4. Interviews Data Set

### 4.1. Data Set description

In order to collect first-hand insights on the potential of RRI in two of the three the project's key innovation fields, three consortium partners (WU, DMU and UCLan CY) will undertake 30 fact-finding interviews with key industries representatives across Europe. Interviews will cover critical responsibility issues as well as success factors and barriers for adoption of RRI in industry.

These interviews will include, besides expert knowledge on responsible innovation policy issues, the collection of personal data (i.e. name, organisation, position, type of organisation, country, email).

Interviews will be conducted based on a semi-structured interview guideline and, subject to interviewees' permission, recorded using digital audio recording (e.g. MP3). Interviews will be transcribed verbatim. Consortium partner UCLan CY will analyse the collected information and compile it in a synthesis report (D1.2 Synthesis report "Success factors and barriers for mainstreaming RRI in SMEs").

### 4.2. Standards and Metadata

Metadata will include:

- About the interviewee:
  - Affiliation to key innovation field (i.e. healthcare or nanotechnology)
- About the interviewer:
  - Name
  - Affiliation (i.e. consortium partner institution)
- About the interview:
  - Date
  - Length
  - Form of conduct (i.e. face-to-face, telephone, skype or other)

No particular metadata standards are being applied.

### 4.3. Ethical and Legal Issues

Potential participants will be identified by all consortium partners. Interviews will be conducted face-to-face, via skype or telephone by experienced interviewers from UCLan CY, WU and DMU. All potential interview partners will receive detailed information about their involvement in the project. Participants will be asked to demonstrate their understanding of their involvement by consenting explicitly to their participation in the data collection activity.

Each interview partner will receive an information sheet form clearly stating the following:

- Details of who will be conducting the study;
- Details about who is sponsoring the study and what the terms of the sponsorship are (i.e. who will 'own' the data and how the data will be used): In this case, reference will be made to the EU Horizon 2020 funding;
- Details about the nature, purpose and duration of the study;

- What kinds of procedures will be used and what the participant will be asked to do;
- Details about any hazards, inconveniences and risks associated with the study;
- What benefits are attached to the study;
- What procedures will be employed to maintain confidentiality and anonymity (e.g. removing personal details from data/reports, keeping data in locked files);
- What will happen to the data (how it will be used, how it will be stored, in what form it will be disseminated and if it is likely to be used for further analysis);
- How to withdraw from the study;
- Details about who to contact if questions or problems arise.

Participants will also be provided with clear opportunities to provide feedback regarding their participation. The procedure regarding informed consent will be carried out prior to each interview. Participants will confirm having received:

- Information on the purpose of the study;
- The opportunity to ask any questions related to this study, and received satisfactory answers to questions and additional details;
- Information that participation is voluntary;
- Information, that words and phrases from the interview may be included in the final report and publications to come from this research but any quotations will be kept anonymous;
- Information on withdrawal;
- Information, that the interview will be recorded using audio recording equipment.

The interviews do not include any highly sensitive personal data. Any data related to personal data collected by the COMPASS (710543) project will be anonymised for further use. COMPASS (710543) parties will make sure that any data that is used outside of the scope of the COMPASS (710543) project will be unlinked (anonymised) from any personal data information.

#### 4.4. Access and Sharing

Analysis of the collected information will be compiled in a synthesis report (D1.2 Synthesis report “Success factors and barriers for mainstreaming RRI in SMEs”). The report will be openly accessible and available as free download on the project website.

##### **Procedures for the circulation of personal data**

Sharing of personal data (i.e. name, organisation, position, type of organisation, country, email address) among COMPASS (710543) consortium partners will take place only if necessary to achieve project output and if consented by the stakeholder/multiplier in question.

##### **Confidentiality and safety procedures of personal data handling**

All consortium partners will store collected data in state-of-the-art secured computers, protected by most recent and regularly updated anti-virus software. Data will only be accessible to the COMPASS (710543) consortium who will adhere to a level of confidentiality (as outlined in the COMPASS (710543) grant agreement article 39.2). Furthermore, the consortium partners will comply with WU institutional data protection policy (“WU Information Security Policy”; “The Organization of Information Security at WU”; “WU Directive on Confidentiality Classification”; “WU Directive on Data Erasure and Disposal” ) which outlines

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measures guaranteeing “protection from loss and damage to information” (availability), “protection from unauthorised access and disclosure of information (confidentiality)”, “protection from unintended and manipulative modification of information (integrity)”, and “protection from loss of non-repudiation or comprehensibility of information flows”.

## 4.5. Re-Use and Distribution

The synthesis report (D1.2 Synthesis report “Success factors and barriers for mainstreaming RRI in SMEs”) due in M14 of the project will be openly accessible and available as free download on the project website at least until the end of the project duration. Insight from the task will feed directly into the preparation of the Responsible Innovation Labs (WP2) and will thus become immediately available to up to 75 SMEs and SME support organisations.

## 4.6. Archiving and preservation (including storage and backup)

### Spaces for data storage and respective data security measures

Consortium partners WU, DMU and UCLan CY will store interview data in state-of-the-art secured computers on secured server-based storage drives, protected by most recent and regularly updated anti-virus software. Sharing of personal data among COMPASS (710543) consortium partners will be organised through the server-based and protected WU Owncloud system (i.e. IT Cloud system). Sharing of (anonymised) data with third parties for transcription purposes will also be organised through WU Owncloud system. Third parties will store data in state-of-the-art secured computers on secured server-based storage drives and agree to adhere to a level of confidentiality (as outlined in the COMPASS (710543) grant agreement article 39).

### Duration of data storage and access

Data will be stored for the total duration of the COMPASS (710543) project and for 6 months after the completion of the project unless explicit consent is sought from participants for portions of it to be kept longer or included in dissemination/deliverable activities. Safe procedures outlined during the project’s running time will be kept active as long as the respective data is in use or until terminated. A data subject will have the right to have his or her personal data erased and no longer processed where the personal data are no longer necessary in relation to the purposes for which they are collected or otherwise processed (“Right to be Forgotten”).

### Procedures for data destruction/deletion

Data will be destroyed according to the WU Directive on Data Erasure and Disposal in order to guarantee proper off- and online data protection. COMPASS (710543) consortium parties will apply appropriate tools and procedures for data deletion in order to guarantee irreversibility.

### Technical safety measures for personal data

As regards any personal data compiled in personal interviews all data will be subject to strict safety procedures as well as technical measures. All collected data will be stored on secure servers or, for physical data such as signed informed consent sheets, in a physically secure



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location such as a locked cupboard/drawer within one of the partner institutions until destruction. At WU data will be stored on WU institutionalised SAN system. Safety measures include physical protection of server data centres, SAN system protection includes Data Protection Manager and TSM as well as physical protection. The primary university server location and storage system of UCLan Cyprus is in the UCLan UK campus and supported by a dedicated WAN link to the UCLan Cyprus campus, for which there exists a backup line supported by CYNET (Cyprus Research and Academic Network). The storage system is supported by a SAN (Storage Area Network) for which all necessary physical security and cybersecurity measures are taken to ensure data protection. Thus, the users are encouraged to use the network drives, which are provided by this SAN system.

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## 5. Responsible Innovation Labs Data Set

### 5.1. Data Set description

The Responsible Innovation Labs will combine virtual and in situ interaction between stakeholders from industry, policy-making and civil society organisations. Any personal data collected via labs will not be publicly available (i.e. these personal data will not be shared with third parties and are not attribute to any commercial use).

The operation of stakeholder interaction in the form of Responsible Innovation Labs will include, besides expert knowledge on responsible innovation policy issues, the collection of personal data (i.e. name, organisation, position, type of organisation, country, email).

Prior to the Responsible Innovation Labs participants will receive an email including information (e.g. that the labs will be recorded) and a link to attend the virtual meeting. The virtual meetings will be held via GoToMeeting. By clicking on the link participants agree to the recording of the meeting.

### 5.2. Standards and Metadata

Metadata will include affiliation to key innovation field (i.e. healthcare or nanotechnology) and region, company size, type of company, participants' position in the company and contact between company and the project consortium.

Metadata will also include date, length and form of conduct (i.e. face-to-face, webinar or other) of the Responsible Innovation Lab.

Data will be documented in form of entries (rows) into an MS Office Excel or Word file and in form of audio files.

No particular metadata standards will be applied.

### 5.3. Ethical and Legal Issues

The Responsible Innovation Labs do not contain any ethically questionable material.

Any data related to personal data collected by the COMPASS (710543) project will be anonymised for further use. COMPASS (710543) consortium partners will make sure that any data that is used outside of the scope of the COMPASS (710543) project will be unlinked (anonymised) from any personal data information.

Potential participants will be selected by the institutions conducting the labs, namely DMU, FBLC and SDS. All participants will receive detailed information about their involvement in the project. Participants will be asked to demonstrate their understanding of their involvement by consenting explicitly to their participation in any data collection activity.

## 5.4. Access and Sharing

Analysis of the collected information will be compiled in a methods report (D2.1 Responsible Innovation Lab Methods Report) and 3 roadmaps (D2.2 Responsible Innovation Lab Report & Roadmap 1, D2.3 Responsible Innovation Lab Report & Roadmap 2, D2.4 Responsible Innovation Lab Report & Roadmap 3). Insights will further feed into the Co-Creation Method Kit (D2.5 Responsible Innovation Co- Creation Method Kit) and a comparative assessment report (D2.6 Comparative assessment report). These reports will be openly accessible and available as free downloads on the project website.

### **Procedures for the circulation of personal data**

Sharing of personal data (i.e. name, organisation, position, type of organisation, country, email address) among COMPASS (710543) consortium partners will take place only if necessary to achieve project output and if consented by the stakeholder in question.

### **Confidentiality and safety procedures of personal data handling**

As regards the Responsible Innovation Labs all consortium partners will store collected data in state-of-the-art secured computers, protected by most recent and regularly updated anti-virus software. Data will only be accessible to the COMPASS (710543) consortium partners who will adhere to a level of confidentiality (as outlined in the COMPASS (710543) grant agreement article 39.2). Furthermore, the consortium partners will comply with WU institutional data protection policy (“WU Information Security Policy” ; “The Organization of Information Security at WU”; “WU Directive on Confidentiality Classification”; “WU Directive on Data Erasure and Disposal” ) which outlines measures guaranteeing “protection from loss and damage to information” (availability), “protection from unauthorised access and disclosure of information (confidentiality)”, “protection from unintended and manipulative modification of information (integrity)”, and “protection from loss of non-repudiation or comprehensibility of information flows”.

## 5.5. Re-Use and Distribution

The reports (D2.1 Responsible Innovation Lab Methods Report, D2.2 Responsible Innovation Lab Report & Roadmap 1, D2.3 Responsible Innovation Lab Report & Roadmap 2, D2.4 Responsible Innovation Lab Report & Roadmap 3, D2.5 Responsible Innovation Co- Creation Method Kit, D2.6 Comparative assessment report) will be openly accessible and available as free download on the project website at least until the end of the project duration. Insight from the task will feed directly into the preparation of the Responsible Innovation Compass (WP3) and will thus become publicly available.

## 5.6. Archiving and preservation (including storage and backup)

### **Spaces for data storage and respective data security measures**

The DMU, FBLC and SDS teams will store data in state of the art secured laptops on secured server-based storage drives, protected by most recent and regularly updated anti-virus software.

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Sharing of personal data among COMPASS (710543) consortium partners will be organised through the server-based and protected WU Owncloud system (i.e. IT Cloud system).

#### **Duration of data storage and access**

Data will be stored securely for the total duration of the COMPASS (710543) project and for 6 months after the completion of the project unless explicit consent is sought from participants for portions of it to be kept longer or included in dissemination/deliverable activities.

#### **Procedures for data destruction/deletion**

Data will be destroyed according to the WU Directive on Data Erasure and Disposal in order to guarantee proper off- and online data protection. COMPASS (710543) consortium parties will apply appropriate tools and procedures for data deletion in order to guarantee irreversibility.

#### **Technical safety measures for personal data**

As regards any personal data compiled in Responsible Innovation Labs all data will be subject to strict safety procedures as well as technical measures. All collected data will be stored on a secure DMU, FBLC or SDS server or, for physical data, in a physically secure location such as a locked cupboard/drawer within one of the partner institutions until destruction. Data will be made available to COMPASS consortium within the secure WU OwnCloud storage system.

## 6. Pilot-Testing Data Set

### 6.1. Data Set description

Pilot testing & demonstration is dedicated to testing the Responsible Innovation Compass prototype modules developed in WP2 & WP3 in cooperation with potential users to ensure their usability and market readiness. The pilot testing phase includes demonstration activities, showcasing and gathering feedback on three particular features of the Responsible Innovation Compass: the co-creation method kit, the Responsible Innovation Self-Check tool and the Responsible Innovation Roadmaps.

The “test groups” will be selected from (a) participants of the Responsible Innovation Labs (WP2); (b) networks of organisations in the Multiplier Programme and; (c) the networks of the consortium partners.

Any personal data collected will not be publicly available (i.e. these personal data will not be shared with third parties and are not attribute to any commercial use). The operation of stakeholder interaction will include the collection of personal data (i.e. name, organisation, position, type of organisation, country, email).

### 6.2. Standards and Metadata

Metadata will include affiliation to key innovation field (i.e. healthcare or nanotechnology) and region, company size, type of company, participants’ position in the company and contact between company and the project consortium.

Data will be documented in form of entries (rows) into an MS Office Excel File or Word File and in form of audio files.

No particular metadata standards will be applied.

### 6.3. Ethical and Legal Issues

The pilot testing & demonstration work package will not contain any ethically questionable material.

Any personal data collected will not be publicly available (i.e. these personal data will not be shared with third parties and are not attribute to any commercial use).

### 6.4. Access and Sharing

Output of the pilot testing phase will continuously feed back into WP3 for modifications and fine-tuning in order to optimise the finalized Responsible Innovation Compass. The work package will feed recommendations for revision into WP2 (method kit) and WP3 (self-check tool).

Analysis of the collected information will be compiled in a strategy (D4.1 Piloting and demonstration strategy) and reviews and recommendations (D4.2 Review and recommendations for revision of the Responsible Innovation Co-Creation method Kit, D4.3 Review and recommendations for revision of the Responsible Innovation Self-Check, D4.4 User feedback and implementation report on Responsible Innovation Roadmaps).

These reports will be openly accessible and available as free downloads on the project website.

### **Procedures for the circulation of personal data**

Sharing of personal data (i.e. name, organisation, position, type of organisation, country, email address) among COMPASS (710543) consortium partners will take place only if necessary to achieve project output and if consented by the stakeholder in question.

### **Confidentiality and safety procedures of personal data handling**

As regards the pilot testing phase all consortium partners will store collected data in state-of-the-art secured computers, protected by most recent and regularly updated anti-virus software. Data will only be accessible to the COMPASS (710543) consortium partners who will adhere to a level of confidentiality (as outlined in the COMPASS (710543) grant agreement article 39.2). Furthermore, the consortium partners will comply with WU institutional data protection policy (“WU Information Security Policy”; “The Organization of Information Security at WU”; “WU Directive on Confidentiality Classification”; “WU Directive on Data Erasure and Disposal” ) which outlines measures guaranteeing “protection from loss and damage to information” (availability), “protection from unauthorised access and disclosure of information (confidentiality)”, “protection from unintended and manipulative modification of information (integrity)”, and “protection from loss of non-repudiation or comprehensibility of information flows”.

## **6.5. Re-Use and Distribution**

The reviews and reports (D4.1 Piloting and demonstration strategy, D4.2 Review and recommendations for revision of the Responsible Innovation Co-Creation method Kit, D4.3 Review and recommendations for revision of the Responsible Innovation Self-Check, D4.4 User feedback and implementation report on Responsible Innovation Roadmaps) will be openly accessible and available as free download on the project website at least until the end of the project duration. Insight from the task will feed directly into the revision of the Responsible Innovation Compass (WP3) and the Method Kit (WP2), and will thus become publicly available.

Potential use of the Responsible Innovation Compass for profit purposes after COMPASS (710543) project has ended will be detailed in D5.8 Business and exploitation plan.

## **6.6. Archiving and preservation (including storage and backup)**

### **Spaces for data storage and respective data security measures**

The COMPASS (710543) consortium partners will store data in state of the art secured laptops on secured server-based storage drives, protected by most recent and regularly updated anti-virus software.

Sharing of personal data among COMPASS (710543) consortium partners will be organised through the server-based and protected WU Owncloud system (i.e. IT Cloud system).

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### **Duration of data storage and access**

Data will be stored securely for the total duration of the COMPASS (710543) project and for 6 months after the completion of the project unless explicit consent is sought from participants for portions of it to be kept longer or included in dissemination/deliverable activities.

### **Procedures for data destruction/deletion**

Data will be destroyed according to the WU Directive on Data Erasure and Disposal in order to guarantee proper off- and online data protection. COMPASS (710543) consortium parties will apply appropriate tools and procedures for data deletion in order to guarantee irreversibility.

### **Technical safety measures for personal data**

As regards any personal data compiled in the pilot testing phase all data will be subject to strict safety procedures as well as technical measures. All collected data will be stored in the EBN cloud storage system, which is available to EBN staff only (the EBN cloud is secure and password protected), or on a secure DMU, FBLC or SDS server or, for physical data such as signed informed consent sheets, in a physically secure location such as a locked cupboard/drawer within one of the partner institutions until destruction. Data will be made available to COMPASS consortium within the secure WU OwnCloud storage system.