



7.2 Update Management Plan

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UPDATE DATA MANAGEMENT PLAN

Document History

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Caroline Lackinger	04.04.2023	1.0	Inserting all text from D7.1 V2.0 written by Nikolas Reschen, Peter Biegelbauer and Lina Bittner; Updating the text
Peter Biegelbauer, Caroline Lackinger	06.04.2023	1.1	Revision and additions
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1. Data Summary

In the course of the Co-Change project, data was collected from external sources as well as generated internally within the consortium. Internally generated data included emails, minutes of meetings, and other communications among consortium members as well as indicators derived from external data and results from surveys, workshops and the like.

In the Co-Change project, most data was internally generated and served only administrative functions. Nevertheless, some of the data was used directly as empirical evidence in research activities, for example in the context of the work with Change Labs (WP3). During the project the majority of the data collected and processed, apart from the ones serving administrative functions, consisted of externally sourced data with scientists, stakeholders and lab contact persons actively involved in the creation. To achieve the goals and objectives of the project external data needed to be collected, processed and the results exchanged between the research partners to ensure learning and better understanding of Responsible Research & Innovation (RRI). In general terms, three phases of external data collection can be distinguished in the Co-Change project, as described in the following.

As a first step, Work Package 1 included a stocktaking as well as institutional environmental and ecosystem analysis report. Most of this data was derived from primary and secondary sources as well as additional interviews as outlined in the Work Package description in the proposal.

The second step in Co-Change consisted of the interaction with and between the Co-Change Labs. The data generated through this process was mainly derived from interviews, but also from literature on the organizations that the Labs were embedded in. This stage of data collection was the responsibility of WP3. Findings from WP3 were also utilized in the creation of deliverables of WP4 “Tool and Field Book for Implementing RRI Related Institutional Changes” and communicated in WP5 “Dissemination”. Regarding ethical aspects involved in generating data such as the collection data, see the ethics documents D8.1 – 8.3.

Third, data was generated in WP6 on “Monitoring and Assessment”. The data was of quantitative nature and therefore potentially more suitable for further research within subsequent projects.

According to the information risk classifications of the project coordinator, all data generated within Co-Change was of low or moderate risk. High risk data refers to strictly confidential information (e.g., patient records, passwords, and credit card numbers) or high-risk research (e.g., biomedical research, high risk chemical experiments) which are not applicable to Co-Change.

More detailed information on data collection and utility in Co-Change can be found in Table 2 in the Annex.

What was the purpose of the data collection/generation and its relation to the objectives of the project?

In Co-Change data was only collected in order to achieve the following objectives:

1. Describing the Co-Change Labs, mainly in a qualitative manner;
2. Acquiring data in order to test and validate the findings of the Co-Change Labs;
3. Build up knowledge based on the experiences of the Co-Change Labs in the respective organisation;
4. Initiation of change towards RRI by workshop discussions with stakeholders and members of the community of practice.
5. Collection of data for dissemination of results
6. Creation and collection of data for Monitoring and Assessment

For data analysis and evaluation, the personal data was dealt with in an anonymised or pseudonymised way so that it cannot be traced back to an identifiable natural person, but may retain criteria relevant for the analyses such as gender, age, job experience, cultural background etc.

As part of the creation of the “Co-change platform for co-creation and mutual learning” (WP2), data had to be stored and processed to ensure a well-functioning means of interaction. For a detailed overview of the data, information by work package is provided in Table 2. To ensure compliance with data protection legislation, personal data:

- was only used for the purpose of conducting the project, to the exclusion of other applications, in particular for commercial purposes;
- was not and will not be disclosed, distributed, transferred or licensed to a third party, for any purpose whatsoever, without prior written authorisation from the supplier and in accordance with the authorisation/declaration necessary for the transfer;
- was used and stored in accordance with the applicable legal and regulatory provisions. In particular, the recipient ensures that it has obtained any necessary authorisations and/or opinions and taken appropriate measures for the storage and use of the concerned Personal Data;
- will be returned to the supplier (or destroyed, at the supplier’s discretion and without any copy being made thereof) in the event of the withdrawal of the consent or the exercise of the opposition right of the person which would be communicated by the Supplier to the Recipient;
- is stored exclusively on the premises of the recipient within the performance of the project and only used by scientists working on the premises of the Recipient or under its direct responsibility and with the same degree of security that applies to its own Personal Data.

What types and formats of data did the project generate/collect?

As stated above, for data analysis and evaluation the personal data was dealt with in an anonymised or pseudonymised way so that it cannot be traced back to an identifiable natural person, but may retain criteria relevant for the analyses such as gender, age, job experience, cultural background etc. The pseudonymisation was conducted through a coded reference (“key”) which was stored separately.

Data formats collected in the different work packages can also be found in Table 2. Because not all data types could be foreseen at the beginning of the study, the Data Management Plan was updated on types of data collected.

Within the Co-Change project there was no collection and processing of sensitive personal data that could reveal any political opinions, religious or philosophical attitudes/values nor any data concerning health or sex-life.

Data was primarily qualitative, describing the status quo, the ecosystem, the staff and the measures taken in Co-Change Labs. More details on the format were communicated throughout the study.

An unforeseen type of data were screenshots during all workshops (due to the online format in the Covid-19 pandemic), as well as video and audio recordings during two events (Forum 4 and the Final Conference). This additional data collection was agreed upon within the consortium and informed consent was obtained from all data subjects.

Did you re-use any existing data and how?

Data collected through the stock-taking exercise of WP1 was used as a basis of the study. Any re-used data was clearly cited and acknowledged. Furthermore, data provided through participants (e.g., Co-Change Labs) and publicly available data was also used for analyses. Public documents were shared on the website of the project and, if desired, published by the European Commission. Confidential material would have only been shared with the explicit consent of the European Commission.

A more detailed overview of the collected data and data analyses conducted in all work packages (e.g., in the Labs) can be found in Table 2. Both raw and analysed data can be requested from the project coordinator. The release of this data was and will be closely coordinated with the European Commission and data subjects.

What is the origin of the data?

Data was acquired through interviews, questionnaires, primary and secondary literature, video and audio recordings as well as observation. A detailed recruitment plan is provided below and is provided in more detail in Deliverable 8.1 on the “Recruitment of Humans”:

Recruitment plan:

Target group

The recruitment of persons involved in interviews, questionnaires and workshops was aimed to address persons from the broad field of research and innovation.

Procedure

All ethical issues regarding human participants were addressed by providing consent forms and confirm understanding and participative agreement in all consortium countries, including Serbia. No minors or individuals unable to give consent were included in the research. Project Information Sheets and GDPR compliant Informed Consent Forms were utilized for each event when dealing with human participants (for example see annex: Informed Consent Form Forum 4). All project partners were

involved in the recruitment process, so that a representative sample of a broad European perspective included in the project results could be guaranteed. Furthermore, the project partners also aimed to address people beyond their usual organisational and established networks.

Criteria and ethical issues

Recruits were selected through staff of the partner organisations and their network via personal invitations or through public advertisement on different social media platforms. The recruitment policy considered the gender dimension, so that the final number of participants in the different events includes a balanced number of males and females. In every case, and at any time, the researchers of the project ensured that participants fully comprehend that they have the right to discontinue involvement in the study at any time without explanation and without penalty.

Responses to questionnaires were anonymised or pseudonymised during the processing, so that they cannot be traced back to named individuals, but may retain criteria relevant for the analyses such as gender, age, job experience, etc. As mentioned before the interview data was not made accessible for processing without the informant's consent.

What was the expected size of the data?

Given the mainly qualitative nature of data collection, the size of the data was rather small. Quantitative data was mostly collected for monitoring and assessment purposes.

In the case of a more extensive quantitative analysis, such as increasing the expected size of data, the data management plan was updated accordingly. More information on the exact nature and extent of data collection can be found in Table 2.

To whom might it be useful ('data utility')?

Data might be useful for researchers in the fields of Responsible Research & Innovation (RRI), Ethical, Legal and Social Aspects (ELSA) or other studies on ethical and responsible science and science-society relations. Data might also be of interest for organisations who are aiming to implement RRI methods in their research activities. As data might also be of interest for third parties for malicious purposes, data security was emphasised throughout the project.

2. FAIR data

Co-Change has chosen to utilize the Open Research Data pilot (ORDP) scheme under Horizon 2020. This requires Co-Change to create a DMP (the present document) and to follow the guidelines on FAIR data management, making research data “findable, accessible, interoperable, and re-usable” (FAIR) to the greatest possible extent, especially with regard to data needed to validate the results presented in scientific publications. If deviations from the FAIR principles occur, they should be explained in the DMP.¹

¹ http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-data-mgt_en.pdf



Personal data, meaning data including personal identifiers such as personal information of interviewed participants or survey respondents (and the “keys” used for pseudonymisation), were not made publicly available. This means that documents containing personal data were not uploaded to the selected repository but were kept in a safe way at the local repository of the partner(s) that collected the data.

2.1 Making data findable, including provisions for metadata

It has to be ensured that the existence and some basic information about datasets collected and used can be easily discovered by other researchers to follow the first of the FAIR principles. This concept of findability is distinct from the concept of accessibility: A dataset might be findable but subject to access restrictions or it might be freely accessible but difficult to find.

In Co-Change, the major datasets were made as findable as possible by the end of the project. All datasets which contain no personal information and therefore can be published Open Access were made publicly available by uploading them on Zenodo. Concrete information on data used can be found in Table 2.

Are the data produced and/or used in the project discoverable with metadata, identifiable and locatable by means of a standard identification mechanism (e.g., persistent and unique identifiers such as Digital Object Identifiers)?

The data was labelled in a consistent and transparent manner in order to be available for further research. While ensuring the privacy of personal data, metadata analysis should be enabled through a clear data structure by the use of naming conventions.

Co-Change also obtained DOI entries for publications to make all public output of the project findable. The DOI is conceived as a generic framework for managing identification of content over digital networks, recognising the trend towards digital convergence and multimedia availability. The DOI system has been standardised through the International Standards Organisation, ISO (within the responsibility of committee ISO TC46/SC9, Identification and documentation) as “ISO 26324, Digital Object Identifier System”.

What naming conventions did you follow?

Deliverables were named in the following format “DX.X_DATE_Name of Deliverable_V.X.DATAFORMAT” (e.g., D7.1_200629_Data Management Plan_V1.0.pdf). Individual data was pseudonymised and assigned with numbers. Data entries were machine-readable as far as possible. A change to the naming conventions was that the deliverable naming ultimately did not include the date, the version and “.DATAFORMAT” for the purpose of better readability (e.g., D7.2 Update Management Plan), this information can be found in the document.

Were search keywords provided that optimize possibilities for re-use?

Keywords were used on platforms on which data created through the Co-Change project were saved to facilitate the search for future research on the topic.

The following non-exhaustive list includes typical keywords to be used for Co-Change documents: responsible; research; innovation; science; policy; RRI; Responsible Research and Innovation; RRI Tools; R&D management; Social innovation;



Sustainable innovation; Corporate social responsibility; CSR; Industry; Business ethics; Research ethics; ELSA; Ethical, Legal and Social Aspects.

Did you provide clear version numbers?

Yes, clear version numbers and dates of release were provided throughout the project. The system of numbering was clearly discussed in the course of the project.

What metadata was created? In case metadata standards do not exist in your discipline, please outline what type of metadata was created and how.

Metadata created throughout the project are described in Table 2. This table as well as the data management plan was updated according to new additions in terms of metadata. Metadata creation was discussed in the project management committee.

2.2. Making data openly accessible

The second FAIR principle is to provide open access to the data used in a research project, enabling other researchers to verify the published findings of the project and conduct further research using the same data. Co-Change aims to make all research data, with a few exceptions, used in the project openly accessible. The exact extent of shared deliverables, data and other products of the project as well as the exceptions were discussed in a consortium meeting.

To ensure the commitment to open access, Co-Change adopted the following approach:

- Consortium members had access to the data collected in Co-Change, as data used in the project was shared internally in the consortium. For this, AIT is responsible and hosts a MS SharePoint to share data files within the consortium.
 - All Co-Change deliverables which are classified as “public” were made freely available for download on the Co-Change website (<http://www.cochangeproject.eu/>) after their submission to and approval by the Commission. For the website and uploading of deliverables, the leaders of WP 5 took responsibility. After the end of the project Co-Change does not commit to keeping the website operational indefinitely. The following repositories were used for storage of project generated results in order to make data more visible and accessible:
 - The Co-Change website (with links to the Social Media groups);
 - Individual Partner websites and the mailing lists they are part of;
 - The portals of the academic publishers where scientific publications were and will be accepted;
 - Zenodo (has been developed through the OpenAIRE Consortium through the Horizon 2020 programme and thus developed in cooperation with the European Commission)
 - As stated before, data used and collected by Co-Change was made openly accessible by the end of the project, unless it concerns personal data. The major datasets were updated and are discussed in Table 2. Data was made accessible in common file formats that can be read using open-source software.
- All personal data (e.g., from surveys, workshops, or other activities) was anonymised or pseudonymised to protect the privacy of participants (see the respective deliverable D8.3 for details on ethics in Co-Change, submitted in

July 2020). All data was anonymised in such a way that the value of the data as a research and verification tool is preserved. In addition, if stakeholders or other data providers, including partners, request that data they provide should be kept confidential, this request was strictly obeyed.

- Technically, datasets were made available in common file formats such as Microsoft Excel or Word. No advanced or prohibitively expensive software was required to access the data.

Results were shared and made openly accessible via:

- Open Access journals: Data was disseminated through the submission to leading Open Access (if possible) scientific journals with broad dissemination. The partners disseminated the results as swiftly as possible, but only after all other partners had been informed about the intention to disseminate as well as the content of the dissemination and have been given a reasonable timeframe in which they can object to (elements of) the intended dissemination. The time frame defined by the CA is 30 calendar days before the publication. Each partner ensured open access to all publications relating to its results, free of charge. At a minimum, each partner made publications and datasets without personal identifiers available by archiving them in Zenodo, at the time of submission of the publication ('green' model). Additionally, the publications and datasets might be archived in an institution- based repository. If access cannot be granted, each partner will ensure open access to all peer-reviewed scientific publications relating to its results, free of charge.

Which data produced and/or used in the project was made openly available as the default? If certain datasets could not be shared (or needed to be shared under restrictions), explain why, clearly separating legal and contractual reasons from voluntary restrictions.

Deliverables indicated as public in the grant agreement were shared with a wider audience. Deliverables classified as confidential were and will only be shared with the contractee, the European Commission. Personal data, collected as part of the project, was only shared publicly if agreed with individuals included in the dataset.

Note that in multi-beneficiary projects it is also possible for specific beneficiaries to keep their data closed if relevant provisions are made in the consortium agreement and are in line with the reasons for opting out. This was not the case within Co-Change.

How was the data made accessible (e.g., by deposition in a repository)?

All public output was placed in a suitable open-access repository to ensure their long-term accessibility. Zenodo was chosen as the most suitable repository.

Deliverables indicated as public in the grant agreement were made available through channels of the European Commission, where suitable, as well as on the Co-Change website. If deemed appropriate, data was shared on the data repository Zenodo. The approval to use Zenodo was obtained in a project management committee meeting.

Scientific publications were developed based on data collected throughout the project. Specifications on the access rights for data during and after the project, general rules and specific rules for Co-Change can be found in Section 9 of the Consortium Agreement. As already stated, personal data was only collected following ethical

guidelines on data collection and anonymised in an appropriate manner. More information on this can be found in Deliverable 8.3.

What methods or software tools are needed to access the data?

The software necessary to access the data depends on the nature of the data. The Microsoft Office Suite (Word, Excel, PowerPoint) was used as the main software to access and share data.

Where is the data and associated metadata, documentation and code be deposited?

Preference was given to certified repositories which support open access where possible. Data including more sensitive or confidential data was saved on the AIT SharePoint. Metadata, documentation and code were made available through Zenodo, where seen appropriate as a part of the deliverables.

Have you explored appropriate arrangements with the identified repository?

AIT has gathered extensive information on the use of secure storage opportunities for data on the AIT SharePoint and with data repositories such as Zenodo.

If there are restrictions on use, how was access provided?

Access to data was managed by the project coordinator. Data on SharePoint can only be accessed on invitation. Consortium partners were instructed about the appropriate conduct with sensitive data.

Was there a need for a data access committee?

There was no need for a data access committee.

How was the identity of the person accessing the data ascertained?

Access was only granted to trustworthy and known mail addresses. E-mail addresses of consortium members were gathered through secure communication at the beginning of the project.

2.3. Making data interoperable

To allow data exchange between researchers, institutions, organisations and countries and to make the data compatible with other, existing datasets or particular tools of analysis the third FAIR principle was followed to ensure that research data can be used by others without first undergoing costly and time-consuming adaptations. Most of the output collected in Co-Change was of a qualitative nature, consisting of summary reports, survey responses, interview transcripts, workshop minutes and similar products.

A list of collected data is shown in Table 2 in the Annex and was updated according to ongoing developments of the project. Reporting documents and datasets were stored and made available in common file formats, such as PDF or CSV, that can be read using open-source software. Technological interoperability was not considered a major concern by the consortium. Also, it was not deemed necessary or worthwhile to encode data using a database processing language.

The consortium is aware that the value of the datasets that were created within the project depended on the ease with which the data can be compared to other, similar

datasets. Therefore, the consortium took care of this issue through careful metadata provision and aligning as much as possible with terminologies and methods commonly used in research fields relevant for Co-Change, namely Responsible Research and Innovation as well as associated research fields.

What data and metadata vocabularies, standards or methodologies did you follow to make your data interoperable?

The applied data and metadata vocabularies, standards and methodologies to enable interoperation of data were decided in the course of the study. The Data Management Plan was updated accordingly.

Were you using standard vocabularies for all data types present in your data set, to allow inter-disciplinary interoperability?

As discussed above, the use of standard vocabulary was decided in the course of study. The Data Management Plan was updated accordingly.

In case it is unavoidable that you use uncommon or generate project specific ontologies or vocabularies, did you provide mappings to more commonly used ontologies?

Co-Change used standard vocabulary and ontology.

2.4. Increase data re-use (through clarifying licences)

The Project Management Consortium took measures to make it possible for third parties to access, mine, exploit, reproduce and disseminate data. If such access cannot be granted, each partner aims to ensure open access to all peer-reviewed scientific publications relating to its results, free of charge. Data access was not granted to third parties when this would have interfered with relevant data protection legislations in the countries participating in this project and any applicable EU legislation regarding data protection.

Consortium partners decided if a license (e.g., CC BY, CC BY-SA) needs to be put to the dataset before publication. Data-access will be preserved and maintained for a minimum of 10 years after the project has finished and after the moment of publication.

How was the data licensed to permit the widest re-use possible?

It is aimed to make public data broadly available. Consortium partners decided whether a license (e.g., CC BY, CC BY-SA) needs to be put to the dataset before publication.

When was the data made available for re-use? If an embargo is sought to give time to publish or seek patents, specify why and how long this will apply, bearing in mind that research data should be made available as soon as possible.

Data suitable for release publicly was made available after confirmation of the European Commission, the potentially necessary anonymisation or pseudonymisation and, if necessary, the granted permission of the data subjects described in the data.

Was the data produced and/or used in the project useable by third parties, in particular after the end of the project? If the re-use of some data is restricted, explain why.

It was aimed to make data usable for third parties if classified as public data. Data release was and will be closely coordinated with the European Commission as well as data subjects described by the data. Any changes to the release policy were updated in the Data Management Plan and communicated publicly, through e.g., the project website. In one instance, a recording of a session of the Final Conference was used by a third party to create a podcast. The data subjects were informed and had previously signed the Informed Consent Form that covered this case.

How long is it intended that the data remains re-usable?

Data-access will be preserved and maintained for a minimum of 10 years after the project has finished and after the moment of publication.

Are data quality assurance processes described?

Qualitative data, produced through interviews, workshops, conferences etc. were recorded through notes and minutes. Their accuracy was checked by another person. All products and deliverables of the study were peer-reviewed internally by consortium partners. Quantitative data produced throughout the project was similarly reviewed internally. Improvements and adjustments to the quality assurance processes were reviewed throughout the project and added to the Data Management Plan.

In addition to the FAIR principles, DMPs should also address:

3. Allocation of resources

What were the costs for making data FAIR in your project?

The costs to make data fair were discussed in a project management committee meeting. Costs for one Open Access publication have been estimated around 2,500 € in the consortium agreement. Co-Change resources were used by the partners at TU Delft for the open access fee (EUR 2.958,45) of a paper in Science and Engineering Ethics. All other open access costs for their other publications were covered by university agreements. Otherwise, no project budget has been used for Open Access publications because Zenodo is funded by the EU, which means archiving data in this repository is free of charge. Additionally, some publications were underway but have not been published by the end of the project.

How were these covered? Note that costs related to open access to research data are eligible as part of the Horizon 2020 grant (if compliant with the Grant Agreement conditions).

The costs for Open Access publications have been covered in the budget in "Other Goods and Services". The estimation of other costs to make data FAIR were discussed in a project management committee meeting.

Who was responsible for data management in your project?

The project management committee as well as the coordinator were responsible for the general data management in the project. For work package specific data collection not generally shared among consortium members, work package leaders were responsible with the management of this data. The management of created datasets

was a subject of discussion of a project management committee meeting. General data management including the necessary updates of the DMP is centred in WP7, led by AIT.

Within the project several publications in the form of papers based on Co-Change data in academic journals were made by consortium members. These papers were published on an open-access basis, following the general H2020 regulations. The costs for open access publications are regarded as an expense eligible for reimbursement under the Grant Agreement during the duration of the project. Costs for open access publications after the end of the project will fall within the author's own budget.

Were the resources for long term preservation discussed (costs and potential value, who decides and how what data will be kept and for how long)?

The Co-Change webpage will be kept online for at least three more years after project end.

4. Data security

What provisions are in place for data security (including data recovery as well as secure storage and transfer of sensitive data)?

Transfer of the personal data between the EU and non-EU countries is strictly limited to project partners.

This research follows the guidelines based upon Article 89 General Data Protection Regulation and Regulation (EU) 1291/2013 on establishing Horizon2020, as well as the protection of the natural persons in relation to the processing of personal data according to regulation EU 2016/675. The consortium also includes the University of Novi Sad in Serbia. A detailed discussion on the safe storage and transfer of sensitive data from and to third countries was discussed in a project management committee meeting and equivalence of data protection was ensured. The Serbian legal situation is described in more detail below.

A document informing all consortium members of the legal situation and the correct conduct was prepared. The matter was also discussed in a consortium meeting. A document "Sideletter to the Co-Change Standard Contractual Clauses for International Transfers from Controller to Controller" was signed by all consortium partners.

In case activities undertaken in non-EU countries raise ethics issues, the applicants must ensure that the research conducted outside the EU is legal in at least one EU Member State. In fact, on November 9, 2018, Serbia's National Assembly enacted a new data protection law.

The Personal Data Protection Law, which became effective on August 21, 2019, is modelled after the EU General Data Protection Regulation ("GDPR"). Key features of the new Serbian law include:

Scope - the Personal Data Protection Law applies not only to data controllers and processors in Serbia but also those outside of Serbia, who process the personal data of Serbian citizens.

Database registration - the Personal Data Protection Law eliminates the previous requirement for data controllers to register personal databases with the Serbian data protection authority ("DPA"), though they were required to appoint a data protection officer ("DPO") to communicate with the DPA on data protection issues.

Data subject rights - the new law expands the rights of data subjects to access their personal data, gives subjects the right of data portability, and imposes additional burdens on data controllers when a data subject requests the deletion of their personal data.

Consent - the Personal Data Protection Law introduces new forms of valid consent for data processing (including oral and electronic) and clarifies that the consent must be unambiguous and informed. The prior Serbian data protection law only recognized handwritten consents as valid.

Data security - the new law requires data controllers to implement and maintain safeguards designed to ensure the security of personal data.

Privacy by Design - the new law obligates data controllers to implement privacy by design when developing new products and services and to conduct data protection impact assessments for certain types of data processing.

Data transfers - the Personal Data Protection Law expands the ways in which personal data may be legally transferred from Serbia. Previously, data controllers were required to obtain the approval of the Serbian DPA for any transfers of personal data to non-EU countries. The new law permits personal data transfers based on standard contractual clauses and binding corporate rules approved by the Serbian DPA. Organizations can also transfer personal data to countries deemed to provide an adequate level of data protection by the EU or the Serbian DPA or when the data subject consents to the transfer.

Data breaches - like the GDPR, the new law requires data controllers to notify the Serbian DPA within 72 hours of a data breach and requires them to notify individuals if the data breach is likely to result in a high risk to the rights and freedoms of individuals. Data processors must also notify the relevant data controllers in the event of a data breach.

Is the data safely stored in certified repositories for long term preservation and curation?

Project deliverables as well as data are being stored for long term preservation on Zenodo and AIT SharePoint. Approval for this was obtained at a consortium meeting.

Storage: File sharing platform AIT SharePoint

To store and share data with other partners, partners of Co-Change make use of file sharing platform SharePoint. The Co-Change main page as well as the sub-pages are

accessible for all consortium partners. Specific pages are only accessible for a selection of relevant (consortium) partners.

All data on the AIT SharePoint is encrypted at datacentre level to secure data storage. However, this does not mean that documents uploaded to the AIT SharePoint are automatically encrypted. Therefore, researchers should not leave their computer unprotected. Researchers should not only sign out from AIT SharePoint before leaving the room, but they should also close their browser.

Persons who stop being involved in the project were denied access to data and results on AIT SharePoint and any other repository as soon as notice had been given to the project coordinator.

Storage: Institutions internal network system and the potential need for encryption

Documents containing personal data – referring to personal identifiers – need to be stored at institutions internal network system in a secured way. Depending on the security level of institutions' internal network systems, these documents need to be encrypted. This can be done by special software. Word and Excel files can be encrypted using a password. Although documents are encrypted, researchers may not leave computers unprotected. Computers should always be locked with a password before leaving the room.

Storage: Employees

Consortium members should comply with the local legislation of their country regarding the removal of personal data after all data has been generated.

Partners need to make sure their employees take necessary measures to prevent unauthorized access to files which include personal data. These may include, among others, the following:

- The storage of personal data on private notebooks, mobile devices or external hard disks should be prevented.
- Transcripts or voice recordings held outside of the approved systems of the partner must be stored on an encrypted device for temporary storage only. They must be transferred to the systems of the partner and deleted from temporary storage as soon as possible.
- Non-useful copies of data and results need to be destroyed after the project has finished.

Survey tools

When using a survey tool within Co-Change, or if free online survey tools are used, the Terms and Conditions should be read carefully. The Terms and Conditions should tell the researcher:

- Where the provider stores the data; this should be in Europe;
- If the data will be used for commercial activities.
- If the personal data of your respondents is well protected.

When in doubt, the partners were encouraged to consult the project coordinator to check if the service provider they are dealing with is operating in compliance with the GDPR.

Archiving and preservation (long term): Storage at AIT platform

According to the internal AIT quality management specifications, project data must be stored for 10 years after the end of the project. At the end of the project all data from the AIT SharePoint will be moved to AIT servers so that AIT can guarantee the availability and the restricted access to stored data for eligible persons. Besides the standard backup procedure, AIT has no further dedicated central data archiving system. Because of that, AIT cannot guarantee the unchangeability of stored data. Additional research data such as personal notes, unused photos and video clips etc. will be safely deleted and discarded after the end of the project. This includes all data not intended to be made publicly available for the long term.

Storage at Zenodo and partner's networks

After processing of data during the course of the project, relevant data was archived safely in the repository Zenodo – and potentially in partners' own repositories – at the time of submission of publications ('green' model). Zenodo is an open and public research data repository funded by the European Commission (via the OpenAire Projects FP7 and Horizon 2020), CERN and the Alfred P. Sloan Foundation. Data containing personal identifiers, which includes, among others, transcripts, meeting notes and minutes, should not be archived on Zenodo, but should be archived in partners' own network with adequate level of security. Near the end of the project and before archiving, an overview was created of the data archived in Zenodo (see Co-Change website). For this, we used the PDF/A format (rather than in MS Word), to guarantee access (in its original form) during the entire archiving period.

Data transfer and security

Research data and stakeholder data were treated differently in this project. Stakeholder data, including personal identifiers, can be transferred among the consortium partners without restrictions. Certain personal identifiers of stakeholders (e.g., name, position and organisation) can be included in the external reports, depending on their consent.

Research data is subject to a number of restrictions for transfer. In case of research data, it is only allowed to transfer pseudonymized data among partners of the consortium. This means, research data containing personal information – called personal identifiers – should be pseudonymized to secure personal information before it is transferred to other partners. The AIT SharePoint can be used to transfer research data, including pseudonymized transcripts or survey results (meaning data without personal identifiers).

As described in the CA, pseudonymisation means: *“the processing of personal data in such a manner that the personal data can no longer be attributed to a specific data subject without the use of additional information, provided that such additional information is kept separately and is subject to technical and organisational measures to ensure that the personal data are not attributed to an identified or identifiable natural person”*.

To pseudonymise data, each participant needs to be given a numerical code to replace identifying information and ensure anonymity. The document containing the personal

identifiers and numerical codes (the 'key') needs to be stored separately from the document containing the anonymized data.

When personal data that is collected for research purposes (i.e., that is also research data) needs to be transferred, this needs to be processed in accordance with the article 11.9 of the CA:

“Each Party ensures that any processing of personal data carried out for or in occasion of the Project is legitimate and compliant with both the General Data Protection Regulation (EU) 2016/679 and its respective national Data protection regulation. Each Party also ensures that any supply of personal data to any other Party is legitimate and compliant with both regulations. In case personal Data is processed for the implementation of the Project, a Personal Data Addendum (PDA) shall govern the processing and, use of Personal Data collected and processed during the actual performance of an activity. A PDA is not needed for the use of communications details of data subjects processed by the Parties for the purpose of administering this Project, including Names, Email addresses and other related tele contact information which shall only be processed to the limited extent required to manage the business relation between the Parties. The PDAs will be prepared, agreed and formalized before a separate activity by the Parties concerned.”

Strategy to transfer personal data, in the context of research data

To transfer the personal identifiers of research data (e.g., keys), the AIT SharePoint cannot be used, since the entire consortium has access to this platform. Therefore, a specific service should be used to transfer personal data. The tool FileSender is an open-source web-based application and was available for use to send documents securely. This means it is specifically aimed to transfer sensitive data, including personal data. However, personal data should be encrypted before sending for extra security. The approval for the use of FileSender was obtained at a project management committee meeting.

Data transfer agreements

In the context of research data, before the transfer of personal data to specific partner(s), a separate bilateral or multilateral data transfer agreement specifying the conditions of transfer and processing of personal data by the recipient was agreed upon by the supplier and the recipient of the data.

However, if data is collected as a collaborative effort between consortium partners, there is no need for a separate bilateral or multilateral data transfer agreement. For security reasons during the transfer, pseudonymisation is still necessary and personal data (the keys) still needs to be sent separately and securely to the other consortium partner(s). Most data within Co-Change was collected through collaborative efforts.

Data recovery

All consortium partners should use data storage facilities that allow for data recovery. Such data recovering strategies should be checked in advance. The consortium used MS Teams and the AIT SharePoint, which allow for data recovery.

MS Teams

To store and share stakeholder level information, which does not contain sensitive or personal information, with other partners, partners of Co-Change made use of the file sharing platform Microsoft Teams. All data this platform is encrypted at datacentre level to secure data storage. Partners and users of MS Teams are advised not to leave their computer unprotected or sign out and close the browsers should they leave the room. It is the responsibility of project partners to save administrative data on the project MS Teams page and to delete the data on their local saving devices. The project MS Teams is curated by AIT, who makes sure all measures are applied in order to safeguard the data from being accessed by third parties. Consortium members are advised not to save sensitive or personal data on MS Teams. Teams was also used as a communication platform for video conferences.

Persons who stop being involved in the project were denied access to data and results on the MS Teams platform and any other repository as soon as notice has been given to the project coordinator.

5. Ethical aspects

Are there any ethical or legal issues that can have an impact on data sharing? These can also be discussed in the context of the ethics review. If relevant, include references to ethics deliverables and ethics chapter in the Description of the Action (DoA).

The protection of personal data according to the Regulation EU 2016/679 is given high priority in the Co-Change project. Data was only shared if it is anonymised or pseudonymised or does not include personal data, unless given explicit consent by the respective individuals included in the data set.

Was informed consent for data sharing and long-term preservation included in questionnaires dealing with personal data?

For questionnaires, workshop participations or subcontractors (e.g., for the Advisory or Sounding Board), informed consent for data sharing is being ensured through a Data Processing Agreement as outlined in the GDPR (see annex). Participants are informed about the duration of the storage of their data. The template is attached to the Data Management Plan.

6. Other issues

Did you make use of other national/funder/sectorial/departmental procedures for data management? If yes, which ones?

No other procedures were applied.

SUMMARY TABLE 1

FAIR Data Management at a glance: issues to cover in your Horizon 2020 DMP

This table provides a summary of the original Data Management Plan (DMP, D7.1) issues to be addressed, as outlined above. All issues were addressed during the Co-Change project.

DMP component	Issues to be addressed
1. Data summary	<p>State the purpose of the data collection/generation</p> <p>Data will be collected for the purpose of the conduct of the study with the aim to study and implement RRI methods in research organisations. Data might also be collected to allow for further research in the future.</p> <p>Explain the relation to the objectives of the project</p> <p>The different objectives of the work packages depend to some extent to the collection of data from the literature, qualitative data through stakeholder interaction as well as complementing quantitative data.</p> <p>Specify the types and formats of data generated/collected</p> <p>The types and formats of the data will be collected and communicated in the next iteration of the data management plan.</p> <p>Specify if existing data is being re-used (if any)</p> <p>Data collected through the stock-taking exercise of WP1 will be used as a basis of the study. Any re-used data will be clearly cited and acknowledged. Further re-use of data will be specified by work package in the next iteration of the data management plan.</p> <p>Specify the origin of the data</p> <p>Data will be acquired through interviews, questionnaires, primary and secondary literature as well as observation. Further data collection will be specified by work package in the next iteration of the data management plan.</p> <p>State the expected size of the data (if known)</p> <p>Through the mainly qualitative nature of the data, large data collection is not expected, any changes to this will be mentioned in the data management plan.</p> <p>Outline the data utility: to whom will it be useful</p> <p>Data might be useful for researchers in the fields of Responsible Research & Innovation (RRI), Ethical, Legal and Social Aspects (ELSA) or other studies on ethical science.</p>
2. FAIR Data 2.1 Making data findable, including provisions for metadata	<p>Outline the discoverability of data (metadata provision)</p> <p>Co-Change has chosen the Open Research Data pilot (ORDP) scheme under Horizon 2020. This requires Co-Change to create a DMP (the present document) and to follow the guidelines on FAIR data management, making research</p>

	<p>data “findable, accessible, interoperable, and re-usable” (FAIR) to the greatest possible extent, especially with regard to data needed to validate the results presented in scientific publications.</p> <p>Outline the identifiability of data and refer to standard identification mechanism. Do you make use of persistent and unique identifiers such as Digital Object Identifiers?</p> <p>The data will be labelled in a consistent and transparent manner in order to be used for further research. While ensuring the privacy of personal data, metadata analysis should be enabled through a clear data structure by the use of naming conventions. DOIs will be entries will be applied.</p> <p>Outline naming conventions used</p> <p>Deliverables will be named in the following format “DX.X_DATE_Name of Deliverable_V.X.DATAFORMAT”</p> <p>Outline the approach towards search keyword</p> <p>Keywords will be used on platforms on which data created through the Co-Change project will be saved to facilitate the search for future research on the topic. Typical keywords can be found in the document.</p> <p>Outline the approach for clear versioning</p> <p>Clear version numbers and dates of release will be provided throughout the project. The system of numbering will be clearly discussed in the course of the project.</p> <p>Specify standards for metadata creation (if any). If there are no standards in your discipline describe what type of metadata will be created and how</p> <p>Metadata created throughout the project are described in Table 2. This table as well as the data management plan will be updated according to new additions in terms of metadata.</p>
<p>2.2 Making data openly accessible</p>	<p>Specify which data will be made openly available? If some data is kept closed provide rationale for doing so</p> <p>Data used and collected by Co-Change will be made openly accessible by the end of the project, unless it concerns personal data after having the approval of the European Commission and potentially the data subjects. The extent of data that will be shared is specified in Table 2.</p> <p>Specify how the data will be made available</p> <p>Data will be made available through Zenodo.</p> <p>Specify what methods or software tools are needed to access the data? Is documentation about the software needed to access the data included? Is it possible to include the relevant software (e.g. in open source code)?</p> <p>The Software necessary to access the data will depend on the nature of the data. The Microsoft Office Suite (Word, Excel, PowerPoint) will be used as the main software to access and share data. Other software, such as STATA, R or SPSS, might be required for accessing additional data. The research team will aim to provide data formats that can be accessed with open source software. Documentation about recommended software for further analysis will be provided. Links to download the appropriate software will be provided where appropriate. It is not planned to include the relevant software.</p> <p>Specify where the data and associated metadata, documentation and code are deposited</p> <p>Data including more sensitive or confidential data will be saved on the AIT SharePoint. Metadata, documentation and code will be made available through Zenodo</p>

	<p>Specify how access will be provided in case there are any restrictions</p> <p>Access to data will be managed by the project coordinator. Data on SharePoint can only be accessed on invitation. Consortium partners will be instructed about the appropriate conduct with sensitive data.</p>
2.3 Making data interoperable	<p>Assess the interoperability of your data. Specify what data and metadata vocabularies, standards or methodologies you will follow to facilitate interoperability.</p> <p>If deemed appropriate, data will be shared in an interoperable format to be used for further research. Data anonymisation and pseudonymisation standards apply. To pseudonymise data, each participant needs to be given a numerical code to replace identifying information and ensure anonymity. Standard data and metadata vocabularies will be used and communicated throughout the study.</p> <p>Specify whether you will be using standard vocabulary for all data types present in your data set, to allow interdisciplinary interoperability? If not, will you provide mapping to more commonly used ontologies?</p> <p>The applied data and metadata vocabularies, standards and methodologies to enable interoperation of data will be decided in the course on the study. The Data Management Plan will be updated accordingly.</p>
2.4 Increase data re-use (through clarifying licences)	<p>Specify how the data will be licenced to permit the widest reuse possible</p> <p>It is aimed to make public data broadly available. Consortium partners will decide if a license (e.g. CC BY, CC BY-SA) needs to be put to the dataset before publication.</p> <p>Specify when the data will be made available for re-use. If applicable, specify why and for what period a data embargo is needed</p> <p>Data suitable for release publicly will be made available after confirmation of the European Commission, the potentially necessary anonymisation or pseudonymisation and, if necessary, the granted permission of the data subjects described in the data.</p> <p>Specify whether the data produced and/or used in the project is useable by third parties, in particular after the end of the project? If the re-use of some data is restricted, explain why</p> <p>It is aimed to make data usable for third parties if classified as public data. Data release will be closely coordinated with the European Commission as well as data subjects described by the data.</p> <p>Describe data quality assurance processes</p> <p>Qualitative data, produced through interviews, workshops, conferences etc. will be recorded through notes and minutes. Their accuracy will be checked by another person. All products and deliverables of the study are peer-reviewed internally by consortium partners. Quantitative data produced throughout the project will similarly be reviewed internally.</p> <p>Specify the length of time for which the data will remain re-usable</p> <p>This will be determined throughout the study.</p>
3. Allocation of resources	<p>Estimate the costs for making your data FAIR. Describe how you intend to cover these costs</p>

	<p>The costs to make data fair have not been discussed yet in the consortium, but will be an agenda point for the next PMC meeting. Costs for one Open Access publication have been estimated around 2,500 € in the consortium agreement.</p> <p>Clearly identify responsibilities for data management in your project</p> <p>The costs for Open Access publications have been covered in the budget in “Other Goods and Services”. The estimation of other costs to make data FAIR will be subject of discussion in the upcoming PMC.</p> <p>Describe costs and potential value of long term preservation</p> <p>As discussed above, estimations are difficult to assess at this stage, but will be clarified in the next consortium meeting and added to the Data Management Plan.</p>
4. Data security	<p>Address data recovery as well as secure storage and transfer of sensitive data</p> <p>Sensitive and Personal data will be stored on the AIT SharePoint. Safeguarding secure storage will be ensured through a number of measures. Data recovery will be assured through constant backups and an automatic version history.</p>
5. Ethical aspects	<p>To be covered in the context of the ethics review, ethics section of DoA and ethics deliverables. Include references and related technical aspects if not covered by the former</p> <p>The protection of personal data according to the Regulation EU 2016/679 is given high priority in the Co-Change project. Data will only be shared if they are anonymised or pseudonymised or do not include personal data, unless given explicit consent by the respective individuals included in the data set.</p>
6. Other	<p>Refer to other national/funder/sectorial/departmental procedures for data management that you are using (if any)</p> <p>Will be updated according to new developments.</p>

Annex

Table 2: Data collection by work package (updated from D7.1 for D7.2)

			What was the intention, the objective for collecting the data?	Which data was collected?	How did we collect the data?	What was the type of the data? What was the format of the data?	Which source did we use for the data? (re-using existing data or not)	What was the usefulness of the data?	How does the result look like? How can we recognise it?	Est. Del.	Upload
WP 1 Stocktaking and ecosystem analysis											
D1.1	Stocktaking report	TEC	The data was collected to identify RRI project coordinators and principal investigators to participate in the stocktaking workshop. This collection of data is related to the objectives of WP1: 1. To incorporate the explicit and tacit knowledge of previous EU RRI projects related to organizational change 2. To explore the main barriers and drivers around RRI institutionalization in other EU funded projects. 3. To discuss critical implementation	Personal data of 14 EU RRI project representatives and project sounding board experts: Name, organizational affiliation, e-mail address, age, gender, occupation, professional background, education, personal opinions	Desk research and E-mail registration to three virtual stocktaking workshops	Personal data that can be displayed collectively in an excel spreadsheet, Word or PDF file (excl. Personal opinions). Regarding personal opinions, the session was recorded for research purposes and screen captures or videos were taken. All the participants signed the Informed Consent Form (ICF).	Existing data of project partners, lab members and board members; Existing data on EU-funded RRI projects. Data on personal opinions was generated during the workshops.	To establish the starting point of the project and state of the art including explicit and tacit knowledge of previous EU RRI projects related to organizational change.	The result is a list of participants (name, affiliation, e-mail address) which won't be displayed publicly, but stored on the secured server of TECNALIA and VTT. D1.1 is not a public report. Anonymised, summarised data will be available in any published document (i.e summary report at the project website).	M6	30.09. 2020

			questions with experienced experts								
D1.2	Institutional environment and ecosystem analysis report	VTT	To contact key interviewees to inform on the local/organizational ecosystems the project is working with	Personal data: Names of interviewees, organizational affiliation, e-mail address	Each partner identified 1-2 key interviewees	Personal data that can be displayed in an excel spreadsheet, Word or PDF file	Existing data on participating organizations and their partner organizations	For conducting interviews	List of interviewees which will not be displayed publicly	M7	31.08. 2020
WP 2 Co-Change Platform											
D2.1	Guidelines for forums and labs	AIT	No data collected	No data collected	No data collected	No data collected	No data collected	No data collected	No data collected	M8	30.11. 2020
D2.2	Short Report on Forum 1	AIT	The data was collected to identify the participants of the Forum and contact them for information purposes.	Name of participants and their organizational affiliation, e-mail address, screenshots from the sessions	Web-based registration form, screenshots	Personal data that can be displayed collectively in an excel spreadsheet, Word or PDF file; screenshots	Existing data of project partners, lab members and board members, self-entry by additional participants via web-based form; screenshots	The data was useful for contacting participants by organizers and for the internal Forum documentation, the screenshots were useful for illustrating the deliverable	The result is a list of participants (name, affiliation, e-mail address) which won't be displayed publicly, but stored on the secured server of AIT	M10	30.11. 2020
D2.3	Short Report on Forum 2	AIT	The data was collected to identify the participants of the Forum and contact them for information purposes.	Name of participants and their organizational affiliation, e-mail address, screenshots from the sessions	Web-based registration form, screenshots	Personal data that can be displayed collectively in an excel spreadsheet, Word or PDF file; screenshots	Re-use of existing data of Forum 1 participants, self-entry by additional participants for Forum 2 via web-based form; screenshots	The data was useful for contacting participants by organizers and for the internal Forum documentation, the screenshots were useful for illustrating the deliverable	The result is a list of participants (name, affiliation, e-mail address) which won't be displayed publicly, but stored on the secured servers of AIT and VTT	M12	31.03. 2021
D2.4	Short Report on Forum 3	AIT	The data was collected to identify the participants of the Forum and contact them for information purposes.	Name of participants and their organizational affiliation, e-mail address, screenshots from the sessions	Web-based registration form, screenshots	Personal data that can be displayed collectively in an excel spreadsheet, Word or PDF file; screenshots	Re-use of existing data of Forum 1 & 2 participants, self-entry by additional participants for Forum 3 via web-based	The data was useful for contacting participants by organizers and for the internal Forum documentation, the screenshots	The result is a list of participants (name, affiliation, e-mail address) which won't be displayed publicly, but	M21	

							form; screenshots	were useful for illustrating the deliverable	stored on the secured server of the project partner who organizes Forum 3		
D2.5	Short Report on Forum 4	AIT	The data was collected to identify the participants of the Forum and contact them for information purposes.	Name of participants and their organizational affiliation, e- mail address, screenshots from the sessions	Web-based registration form, screenshots	Personal data that can be displayed collectively in an excel spreadsheet, Word or PDF file; screenshots	Re-use of existing data of Forum 1, 2 & 3 participants, self-entry by additional participants for Forum 4 via web-based form; screenshots	The data was useful for contacting participants by organizers and for the internal Forum documentation, the screenshots were useful for illustrating the deliverable	The result is a list of participants (name, affiliation, e- mail address) which won't be displayed publicly, but stored on the secured server of the project partner who organizes Forum 4	M29	
D2.6	Update to CoChange Guidelines	VTT	No data collected	No data collected	No data collected	No data collected	No data collected	No data collected	No data collected	M32	
WP 3 Co-Change Labs											
D3.1	Situated adaption of guideline on common framework for change labs	TEC, AIT	The objective was to improve the quality of the collaboration framework	Opinions of Lab members about their availability and desired forms of collaboration	Anonymous online surveys and meetings	Non-sensitive data about the collaboration of the Labs (frequency, format of collaboration) which can be displayed in a Word or PDF file	Lab members were asked to provide their opinions	Creating the collaboration form of the project	The input was used to create the STIRRI workshops which will be explained in D3.3	M9	31.01. 2020
D3.2	Report on call for innovative RRI practices	TEC	The data was collected to identify ideas that create change in terms of practices, procedures, routines or rules along the research cycle	Personal data from innovators (individuals, teams and organisations) to come up with solutions tackling the SDGs or the societal challenges defined by the EC through an ecosystem	Via e-mail from innovators who participate in the call	Personal data of the innovative RRI Practices call applicants (names and affiliations) that can be displayed collectively in an Excel spreadsheet, Word or PDF file	Existing data of call applicants provided by them	The data was useful for contacting them and documentation of the call	The result is a list of participants (name, affiliation, e- mail address) which won't be displayed publicly, but stored on the secured server of the project partners AIT and TECNALIA	M16	

D3.3	Report on change labs	TEC	To report and collect the information about the co-change labs	approach Data was collected from lab managers and the lab external persons, as well as other Forum 4 participants	Via e-mail from lab coordinators, audio and video recordings at Forum 4	Non-sensitive data about the performance of the labs which can be displayed in a Word or PDF file, audio and video recordings at Forum 4	Original data that was collected from the labs, as well as other Forum 4 participants	The data was useful to report on the lab narratives	The collected data was used for the confidential deliverable document and for a publication (in review)	M32	
D3.4	Report on sustainability plan for CoChange labs	TEC	Labs were required to assess the situation and acquired assets at the end of the project.	Data was collected through consortium partners that will design their own sustainability plans.	Via e-mail from lab coordinators	Non-sensitive data about the future sustainability plans of the labs which can be displayed in a Word or PDF file	Original data that was collected from the labs	The data was useful to create a Long-term sustainability plan that is about ensuring that the CO-CHANGE Labs will be continued for years to come	The collected data was used for the deliverable document	M32	
WP 4 Tools											
D4.1	Tool for a systemic RRI self-evaluation and impact assessment	VTT	The data was collected to identify the stakeholder participants for the modelling workshops	Name of participants and their organizational affiliation, e-mail address.	E-mail registration to the workshops	Personal data that can be displayed collectively in an excel spreadsheet, Word or PDF file	Existing data on participating organizations and their partner organizations	For contacting the participants	List of participants which will remain confidential	M30	
D4.2	Toolbox on implementing RRI on organization and system levels	VTT	No data collected	No data collected	No data collected	No data collected	No data collected	No data collected	No data collected	M35	
WP 5 Dissemination											
D5.1	Communication and dissemination plan	ESSRG	Taking stock of partners' communication channels and networks	Twitter accounts and users' statistics	Users' statistics from social media accounts	Tweet and LinkedIn analytics (impressions, tweets) which can be displayed in an Excel spreadsheet	Twitter, LinkedIn, Websites	To show the engagement with the project target groups	Table summarizing the communication and dissemination activities	M3	12.05. 2020

D5.2	Construction of website portal	ESSRG	Promoting project partners, results and achievement	User statistics	Google analytics	Google analytics on users' engagements which can be displayed in an Excel spreadsheet	Website	To show the engagement with the project target groups	Table summarizing website analytics	M5	31.08.2020
D5.3	Policy brief 1	ESSRG	Presenting policy conclusions of the first half of the project	No data collected	No data collected	No data collected	No data collected	No data collected	No data collected	M15	30.04.2021
D5.4	Policy brief 2	ESSRG	Presenting policy conclusions of the first half of the project	No data collected	No data collected	No data collected	No data collected	No data collected	No data collected	M33	
D5.5	Final report on dissemination activities	ESSRG	Summarizing partners' communication activities	User statistics, and estimations of partners communication achievement	Users' statistics, partners estimations	Analytics on users, partners estimations on their audiences which can be displayed in an Excel spreadsheet	Website, social media	To show the engagement with the project target groups	Table summarizing the communication and dissemination activities	M35	
WP 6 Monitoring and Assessment											
D6.1	Assessment of added value of RRI based on change labs and KPIs	TUD	Reflection survey with the labs to understand the level of RRI awareness, implementation and awareness before the labs started	Data has been collected from lab managers and the lab external persons – They scored different RRI key performance indicators	Collected by contacting all lab managers, data has been received via email	Excel file	Original data collected from the labs	To assess the added value of RRI for labs	The collected data influenced the assessment	M18	
D6.2	Comparative analysis of the change labs: Insights emerging from the application of the framework to the change labs	TUD	To tailor-make a set of operational RRI performance criteria for each lab	Relevant RRI performance indicator per lab has been collected + custom indicators for each lab + indicator clusters + weighting the	The lab members took part in a workshop for the first round of data collection, more data will be collected at least for two more rounds	Online whiteboard tool called MIRO, can be displayed in a PDF file	Original data collected from the labs	To assess the added value of RRI (indicators) for labs	The collected data influenced the results of the analysis	M33	

				clusters	via a mini-survey and/or interview						
WP 7 Project Management											
D7.1	Data management plan	AIT	The document informs about the conduct of data collection, storage and distribution and the safeguards to ensure the safety of personal information.	Data on the purpose of data collection in the different work packages was collected in this table.	AIT team filled in the information for the deliverables.	Summary data on the purpose and extent of data collection will be provided in a Word or PDF file	Sources are provided by the work package leaders.	Provide an overview of data collected in the work packages in order to adapt the data management plan and thereby facilitate the safe storage of data and distribution of potential FAIR data.	The data will be provided as is the case for this entry.	M6	31.07. 2020
D7.2	Update management plan	AIT	The document informs about the conduct of data collection, storage and distribution as well as the safeguards to ensure the safety of personal information, incl. updates which occurred during the project.	Data on the purpose of data collection in the different work packages was collected in this table.	AIT team filled in the information for the deliverables.	Summary data on the purpose and extent of data collection is provided in a Word or PDF file	Sources are provided by the work package leaders.	Provide an overview of the data which was collected in the work packages in order to facilitate the safe storage of data and distribution of potential FAIR data.	The data was provided as is the case for this entry.	M35	
WP 8 Ethics requirements											
D8.1	H - Requirement No. 1	AIT	The document specifies which recruitment criteria were applied for humans.	No data was collected in the deliverable. It described the process for the collection in other deliverables though.	No data collected.	No data collected	No data collected	No data collected	No data collected	M6	10.07. 2020

D8.2	H – POPD - Requirement No. 2	AIT	The document provides information on the informed consent procedure. It provides the potential participants of workshops and interviews about the purpose of the data collection for the respective task.	No data itself was collected through this document. It rather informs about data collection. When issued for the separate tasks, the signature of the respective persons will be collected.	No data collected	No data collected	No data collected	No data collected	No data collected	No data collected	M6	10.07. 2020
D8.3	POPD - Requirement No. 3	AIT	The document informs about the appointment of a Data Protection Officer, the security measures for data protection, the data transfer procedures and the ethical and legal framework of data collection and storage.	No data was collected, but information about the conduct with data was provided.	No data collected	No data collected	No data collected	No data collected	No data collected	No data collected	M6	10.07. 2020

Information according to Art 13 General Data Protection Regulation and Informed Consent Co-Change – Participation in a Virtual Forum

This informed consent sheet explains the further processing of your data and information provided in the research process and documents your rights.

Description of the Project

Responsible research and innovation (RRI) implies that societal actors (researchers, citizens, policymakers, businesses and third-sector organisations) work together during the whole research and innovation process. The aim is to align both the process and its outcomes with the values, needs and expectations of society. The EU-funded Co-Change project will apply an innovative systemic approach to boost the transformative capacity and leadership for RRI. It will centre on the concept of change labs and focus on interactions and dependencies of actors in each research and innovation ecosystem. The goal is to generate transformative capacity for institutional change in terms of practices, procedures, rules and norms at individual, organisational and system levels. The outcomes will be analysed to produce a toolbox for RRI-related institutional changes.

This research follows the guidelines based upon Article 89 General Data Protection Regulation and Regulation (EU) 1291/2013 on establishing Horizon2020, as well as the protection of the natural persons in relation to the processing of personal data according to regulation EU 2016/679.

Name and contact details of the data controller ("investigator")

Contact details of the Data Protection Officer of the controller

AIT:

Beatrice Kornelis

AIT Austrian Institute of Technology GmbH

Giefinggasse 2, A-1210 Vienna, Austria

Mail: beatrice.kornelis@ait.ac.at; Phone: +43 50550 2003

Kind of Data collected

During this Virtual Forum personal data will be collected. This includes: your name, occupation, professional background, education and your personal opinions. Furthermore, screen captures with pictures of participants, audio and video recordings of sessions may be taken.

Purpose of the data processing

Your personal data will be processed for the purpose of conducting and analyzing virtual forum meetings, project dissemination and reporting to the EC.

Usage of your Data

The data generated within this method (interview/focus group/workshop/forum) will be used for Co-Change related research in the field of responsible research and innovation (RRI) only. This includes the processing for research purposes and dissemination activities in the field of

responsible research and innovation as well as reporting on project progress to the European Commission.

Data Recipients

Data recipients are the project partners AIT Austrian Institute of Technology, VTT, Tecnalia, TU Delft, ESSRG, WWTF, PL, and the University of Novi Sad. In regard to the UNIVERSITY OF NOVI SAD (TRG DOSITEJA OBRADOVICA 8;21000 Novi Sad; Serbia) please note that Serbia does have a different level of data protection than within the European Union. Hence there might not be a supervisory authority or data protection principles established. It may be the case that there is no possibility to file a complaint by an independent court e.g. to get access to your personal data or to demand the rectification/deletion of your data.

Processing and Storing of your Data

For the analysis of the Virtual Forum minutes will be taken. Your data will be stored in a safe and lockable place at AIT facilities. Only the Co-Change research team will have access to this data. At the end of the project by January 2023 personal data that allows to identification will be erased, but not the whole set of data. In the case a publication is not finished by this date the data may be used until the work is finalized. Processed anonymised person-specific data might survive after the project as it may become part of publications and other dissemination activities.

In the Virtual Forum you will state personal opinions which might be critical for you to some extent. While your names and screenshots may be published, we will protect the anonymity of personal opinions. Therefore, any personal opinions will be anonymized so that no relation can be established to the personal data of the participant. In addition, you have the explicit right to not answer a specific question. Your data will not be sent to third parties. The sole purpose of storing your data is for research. Your data will not be sent outside the confines of the consortium partners.

Supervision

Co-Change will have the supervision of Caroline Lackinger in terms of data management. You can contact her at caroline.lackinger@gmail.com. She will gladly answer all your questions on Data Protection and the Ethics Code applied in the Co-Change project.

Your rights

During the Virtual Forum, you are always free to not answer a specific question or leave without any consequences. If you would like to address a question or an issue, please feel free to do so. Furthermore, you shall have the right to access, to rectify, to erase, to restrict the processing and the right to data portability as granted in GDPR Article 15 -22. In addition you have the right to object to the processing of your personal data. You can also withdraw your consent at any time, by contacting us without any consequences. The withdrawal of consent does not affect the lawfulness of processing based on consent before its withdrawal. If you are of the opinion that your data is processed unlawfully, you have the right to file a complaint with the data protection authority. Upon request your local supervisory authority will provide you information on exercising your right according to Article 57(e) GDPR.

In order to exercise your rights, please contact caroline.lackinger@gmail.com.

Dissemination of Results

The data generated will be used for Co-Change related research purposes in the field of responsible research and innovation (RRI) and dissemination. This includes deliverables, publications, reports, booklets and commentaries, policy briefs, blog posts, social media, journal articles and books on RRI.

After having stated these general conditions and rules, we are looking forward to a good cooperation and positive project results. We would like to thank you in advance for your participation in the project.

As part of your registration in Co-Change Forum II, you are required to tick the box which addresses that you have accurately read and fully understood the information given in this document and you give your consent to participate in the Co-Change research project through taking part in this Forum and provide your consent to the data transfer to the University of Novi Sad in Serbia. You can download this document to yourself. Additionally, this document will be attached to the confirmation email regarding your registration. This email will be sent to the email address you provided in the registration page.