



HERON (No: 649690): Deliverable D.2.6

DATA MANAGEMENT PLAN

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Partners: “Oxford Brookes University” and “Università Commerciale Luigi Bocconi”



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HERON: Forward – looking socio-economic research on Energy Efficiency in EU countries

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GLOSSARY

Participant Information Sheet	The information sheet is an important part of recruiting research participants. It ensures that the potential participants have sufficient information to make an informed decision about whether to take part in your research or not. (http://www.kcl.ac.uk/innovation/research/support/ethics/training/infosheet.aspx)
Consent Form	A form signed by a participant to confirm that he or she agrees to participate in the research and is aware of any risks that might be involved.
Metadata	Metadata is data that describes other data. Meta is a prefix that in most information technology usages means "an underlying definition or description." Metadata summarizes basic information about data, which can make finding and working with particular instances of data easier. (http://whatis.techtarget.com/definition/metadata) Or http://www.data-archive.ac.uk/media/54776/ukda062-dps-preservationpolicy.pdf
Repository	A digital repository is a mechanism for managing and storing digital content. Repositories can be subject or institutional in their focus. (http://www.rsp.ac.uk/start/before-you-start/what-is-a-repository/)

ACRONYMS

DMP	Data Management Plan
EU	European Union
LEAP	Long range Energy Alternatives Planning system
OBU	Oxford Brookes University
ODF	Open Document Format
ODT	Open Document Text
UB	Università Commerciale Luigi Bocconi
UB-FMG	University of Belgrade - Faculty of Mining and Geology
UK	United Kingdom
UoA-KEPA	University of Athens – Energy Policy and Development Centre
WP	Work Package

EXECUTIVE SUMMARY

This document describes the Data Management Plan (DMP) for the HERON project. The DMP provides an analysis of the main elements of the data management policy that will be used throughout the HERON project by the project partners, with regard to all the datasets that will be generated by the project. The documentation of this plan is a precursor to the WP-2 Project Survey. The format of the plan follows the Horizon 2020 template¹ and its content has been guided by the advice from the UK Data Service².

¹“Guidelines on Data Management in Horizon 2020”
(http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-data-mgt_en.pdf)

² <http://ukdataservice.ac.uk/manage-data.aspx>

CHAPTER 1: DATA MANAGEMENT PLAN

1.1 INTRODUCTION: DATA COLLECTION PROCEDURES

1. This Data Management Plan (DMP) has been prepared by taking into account the template of the “Guidelines on Data Management in Horizon 2020” (http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oadata-mgt_en.pdf). The elaboration of the DMP will allow to HERON partners to address all issues related with ethics and data. The DMP is a Deliverable on Month 3 (D.2.6). However, the DMP will be a live document throughout the project. *This initial version will evolve during the project according to the progress of project activities.*
2. The consortium will comply with the requirements of Directive 95/46/EC of the European Parliament and of the Council of 24 October 1995 on the protection of individuals with regard to the processing of personal data and on the free movement of such data.
3. *Type of data, storage, recruitment process, confidentiality, ownership, management of intellectual property and access:* The Grant Agreement and the Consortium Agreement are to be referred to for these aspects, particularly Articles 18, 23a, 24, 25, 26, 27, 30, 31, 36, 39 and 52 and “Annex I – Description of Work” of the Grant Agreement. The Grant Agreement was signed on 19/4/2015 while the Consortium Agreement was set into force on 17/4/2015. The procedures that will be implemented for data collection, storage, access, sharing policies, protection, retention and destruction will be according to the requirements of the national legislation of each partner and in line with the EU standards.
4. The Steering Committee of the project will also ensure that EU standards are followed. Regarding the issue of informed consent for all survey procedures, all participants will be provided with a *Participant Information Sheet* and *Consent Form* to provide informed consent. The default position for all data relating to residents and staff will be anonymous.
5. An ethical approach will be adopted and maintained throughout the fieldwork process. The responsible partners will assure that the EU standards regarding ethics and Data Management are fulfilled. Each partner will proceed with the survey according to the provisions of the national legislation that are adjusted according to the respective EU Directives for Data Management and ethics. The Serbian partner (University of Belgrade - Faculty of Mining and Geology (UB-FMG) - No.7) will follow the EU standards as the two task leaders will set.
 - a. The consortium will preserve the right to privacy and confidentiality of data of the participants in the surveys by providing all participants to the survey with two documents: the *Participant Information Sheet* and the *Consent Form* (examples of the Oxford Brookes University Documents are attached). These documents will be sent electronically and will provide information about how the answers will be used and what is the purpose of the survey. The participants will be assured that their answers will be used only for the purposes of the specific survey. The voluntary character of participation will be stated explicitly in the *Consent Form*.
 - b. The consortium will examine before conducting the survey – following the requirements of the national legislation in line with the EU standards - whether the proposed data collection requires special local/national ethical/legal permission. Furthermore, the questionnaire will be approved by the University Research Ethics Committee of Oxford Brookes University (OBU - No. 4) and confirmed to be in accordance with Bocconi University’s Policy (UB – No. 2) on personal data

management, defined in the framework of Italian national Law n.196/2003 (“Privacy Law”).

- c. The recruitment process to be followed by the consortium for the engagement of stakeholders (including inclusion/exclusion criteria for all the surveys) will be transparent and such criteria will be included and explained in the *Participant Information Sheet*. Participants to the survey will be invited by each partner by e-mail. The third parties that will be invited to participate in the survey will have no role in HERON and no professional relationship with the consortium. The consortium will also examine whether personal data will be collected and how to secure the confidentiality in such a case.

1.2 OVERALL DATASET STRUCTURE

The Data Management Plan will present in details **only** the procedures of creating ‘primary data’ (data not available from any other sources) and of their management. As such, only the dataset grouping named HERON-001 - Survey of key actors and organisations in energy efficiency in the building and transport sectors (related to WP2, Tasks 2.4, 2.5, 2.6, 2.7) is described in detail in the following sections, as any other datasets already exist and their creation is not foreseen in the Grant Agreement.

Within HERON-001, eight separate datasets will be created; one per the country from which the partner comes from. The datasets will have the same structure, in accordance with the guide of Horizon 2020 for the Data Management Plan.

1.3 MANAGEMENT PLANS FOR INDIVIDUAL DATASETS

This section will develop as the project progresses, and reflects the current status within the consortium about the primary data that will be produced.

Table 1. HERON-001 Survey of key actors and organisations in energy efficiency in the building and transport sectors

Data set reference and name	HERON-001 SURVEY OF KEY ACTORS AND ORGANISATIONS IN ENERGY EFFICIENCY IN THE BUILDING AND TRANSPORT SECTORS
Data set description	<p>For each country in the study, a list of at least 10 key actors and organisations in terms of energy efficiency in the transport and building sectors will be identified and asked to fill in a questionnaire accompanied with the necessary material.</p> <p>The survey will investigate, among other topics, the cost efficiency of measures, their bankability, rebound effect, policy integrations, etc. The aim of the survey will be:</p> <ul style="list-style-type: none"> • To collect experts’ and stakeholders opinions on the relevance of each barrier for each country, • To suggest possible ways to overcome them, and if necessary to map additional barriers which had not been considered.
Origin of data	Data will be collected through a survey with the key actors and organisations identified, following the template provided by

	the WP2 leader.
Scale	Dissemination of questionnaires to at least 80 recipients (10 per country), with the questionnaires transcribed into word document format (.doc)
Standards and metadata	<p>The data from the questionnaires shall be held in transcript form in accessible file formats such as .xls (Excel), .accdb (Access) or .doc (Word).</p> <p>Existing suitable standards in the relevant discipline shall be adhered to. <i>The type of metadata that will be created is to be confirmed.</i></p>
Data collection procedures	<ol style="list-style-type: none"> 1. Data will be collected through a combination of closed-ended questions, focused / targeted, short-answer or open-ended ones. Exact content will be determined under the task. 2. Clarifications if necessary will be provided by phone from the respective partner. 3. All answers will be collected centrally through an on-line survey facility. 4. Each of the filled questionnaires will be valid only if the participant of the survey has signed the Consent Form. In a different case the consortium will not use that information. An example consent form can be found in Annex B and should be followed by each partner. 5. All data related to respondents will be held anonymously. 6. All collected data will be anonymous and held securely in line with University ethics requirements, national legislation requirements that are in line with EU Directives. 7. The collected and elaborated data will optionally be stored in the repositories of relevant project partners, with a second option of using the OpenAir depository. Any other options considered will always be examined under the aforementioned national legislative framework. 8. An example participant information sheet can be found in Annex A and should be followed by each partner. The information sheet should be provided to each participant to the survey.

1.4 DATA SHARING

The data sharing procedures are the same across the datasets and are in accordance with the Grant Agreement. Table 2 outlines the project access procedures and rights in relation to the data gathered through the HERON project.

Table 2. Access procedures and rights

Access Procedures	In accordance with Grant Agreement Article 17, data must be made available upon request, or in the context of checks, reviews, audits or investigations. If there are ongoing checks etc. the records must be retained until the end of these procedures.
Access rights	<p><i>HERON partners:</i></p> <ul style="list-style-type: none"> • The HERON partners must give each other access — on a royalty-free basis — to data needed to implement their own tasks under the action, where is legally and practically possible. • The HERON partners must give each other access – under fair and reasonable conditions – for exploiting their own results to data, where is legally and practically possible. • Requests for access may be made — unless agreed otherwise — up to one year after the period set out in Article 3 (26 months). <p><i>Affiliated entities:</i></p> <ul style="list-style-type: none"> • Unless otherwise agreed, access must be given, under fair and reasonable conditions, and where is legally and practically possible. • Requests for access may be made — unless agreed otherwise — up to one year after the period set out in Article 3 (26 months).

1.4.1 Exploitation and dissemination

Each HERON partner must, in accordance with Article 28 of the Grant Agreement, take measures to ensure the ‘exploitation’ of its results, up to four years after the period set out in Article 3 (26months). The HERON partners can use a variety of methods for this including:

- Using them in further research activities (outside the action);
- Developing, creating or marketing a product or process;
- Creating and providing a service, or
- Using them in standardisation activities.

This does not change the security obligations in Article 37, which still apply.

Each HERON partner must also ‘disseminate’ its results in accordance with Article 29 of the Grant Agreement. The partner must give advance notice to the other partners of at least 45 days. Each partner must also ensure open access to all peer-reviewed scientific publications relating to its results. As per Article 29.2, the partners must:

- As soon as possible and at the latest on publication, deposit a machine-readable electronic copy of the published version or final peer-reviewed manuscript accepted for publication in a repository for scientific publications; Moreover, the beneficiary must aim to deposit at the same time the research data needed to validate the results presented in the deposited scientific publications.
- Ensure open access to the deposited publication — via the repository — at the latest:

- On publication, if an electronic version is available for free via the publisher, or
- Within six months of publication (twelve months for publications in the social sciences and humanities) in any other case.
- Ensure open access — via the repository — to the bibliographic metadata that identify the deposited publication. The bibliographic metadata must be in a standard format and must include all of the following:-the terms “European Union (EU)” and “Horizon 2020”;-the name of the action, acronym and grant number;-the publication date, and length of embargo period if applicable, and-a persistent identifier.

Restrictions: 1) All national reports (which include data and information on the relevant topic) will be available to the public through the HERON web-site or a repository or any other option that the consortium decides and after verification by the partners so as to ensure their quality and credibility; 2) after month 18 so that partners have the time to produce papers; 3) Open access to the research data itself is not applicable.

1.5 ARCHIVING AND PRESERVATION (INCLUDING STORAGE AND BACK-UP)

Table 3 outlines the main management principles behind the archiving and preservation of the data collected through the HERON project.

Table 3. Dataset storage and preservation

Providing information and keeping records	<ul style="list-style-type: none"> • The collected and elaborated data will optionally be stored in the repositories of relevant project partners, with a second option of using the OpenAir depository. Any other options considered will always be examined under the aforementioned national legislative framework. • If there are changes made, each partner must immediately inform the coordinator (who in turn must inform the Agency and other partner countries). • The records and documentation must be in line with the accepted standards in the respective field.
Length of retention	<ul style="list-style-type: none"> • A period of five years (after the payment of the balance).
Type of documents retained	<ul style="list-style-type: none"> • The HERON partners must retain the original documents. Digital and digitalised documents are considered originals if they are authorised by the applicable national law.

1.6 ETHICS

The HERON partners are to comply with the ethical principles as set out in Article 34 of the Grant Agreement, which states that all activities must be carried out in compliance with:

- The ethical principles (including the highest standards of research integrity e.g. as set out in the European Code of Conduct for Research Integrity, and including, in particular, avoiding fabrication, falsification, plagiarism or other research misconduct) and Commission recommendation (EC) No 251/2005 of 11 March 2005 on the European Charter for Researchers and on a Code of Conduct for the Recruitment of Researchers (OJ L 75, 22.03.2005, p. 67), the European Code of Conduct for Research Integrity of ALLEA (All European Academies) and ESF (European Science Foundation) of March 2011.

http://www.esf.org/fileadmin/Public_documents/Publications/Code_Conduct_ResearchIntegrity.pdf

- Applicable international, EU and national law.

Furthermore, activities raising ethical issues must comply with the 'ethics requirements' set out in Annex 1 of the Grant Agreement.

Confidentiality

All HERON partners must keep any data, documents or other material confidential during the implementation for the project and for four years after the period set out in Article 3 (26months); as per Article 36 of the Grant Agreement. Further detail on confidentiality can be found in Article 36 of the Grant Agreement.

ANNEXES

ANNEX A EXAMPLE OF PARTICIPANT INFORMATION SHEET

ANNEX B EXAMPLE OF CONSENT FORM



PARTICIPANT INFORMATION SHEET

1. The participant information sheet, covering letter or leaflet should be printed on University headed paper, (where appropriate) with full contact details and should normally contain the following information:

2. Abstract of HERON

3. Study title

4. Invitation paragraph

'You are being invited to take part in a research study. Before you decide whether or not to take part, it is important for you to understand why the research is being done and what it will involve. Please take time to read the following information carefully'.

5. What is the purpose of the study?

6. Why have I been invited to participate?

7. What kind of information is asked from me?

8. Will what I say in this study be kept confidential?

9. Do I have to take part?

10. What will happen to me if I take part?

11. What are the possible benefits of taking part?

12. What should I do if I want to take part?

13. How much time do I need to devote in this survey?

14. What will happen to the results of the research study?

15. Who is organising and funding the research?

16. Who has reviewed the study?

17. Contact for Further Information

18. Thank you

19. Date



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