HAVEN — HORIZON-CL5-2023-D2-01

Data Management Plan

D 9.1

Lead Contractor: BRING

Author(s): Christopher J. Haruna

Date: 27/05/2024

This document is the HAVEN (contract no. 101137636) report corresponding to D9.1 **(M6)** led by BRING. This document contains all relevant information regarding the Data Management plan of the project. It provides a short and comprehensive description of Data management aspects of the project. Additional advice and support can be sought from the coordinator.

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Type of Action	**HORIZON-IA**	**Coordinator**	BRING
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Website	**https://havenproject.eu**		

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1. Executive summary (DMP)

The data management plan (DMP) for the HAVEN project, funded by the European union's Horizon Europe research and innovation programme under grant agreement number; 101137636, is hereby explained in this report. The purpose of the DMP is to provide a review of all the datasets that will be collected generated and disseminated by the project and to define the data management policy used by the HAVEN consortium for these data sets. The HAVEN DMP also indicates the status of the data that is collected, generated, processed, the standards, employed methodologies, how the data will be shared, publicised as well how it will be preserved by the consortium. The DMP will define the general policy and approach to data management in HAVEN, which will handle data management related issues at both administrative and technical levels. Principles on FAIR data management will be handled during the project's lifecycle. Project technical reports will deliver information on policy aspects and provide more detailed information on the data sets collected and produce by HAVEN PROJECT.

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2. Acronyms and abbreviations

CERN	**European Council for Nuclear Research**
DMP	**Data Management Plan**
DOI	**Digital Object Identifier**
DPO	**Data Protection officer**
EC	**European Commission**
EOSC	**European Open Service Cloud**
EU	**European Union**
FAIR	**Findable accessible Interoperable and Reusable**
GA	**Grant Agreement**
GDPR	**General Data Protection regulation**
IP	**Intellectual Property**
IPR	**Intellectual Property rights**
LCA	**Life cycle assessments**
OA	**Open Access**
ORCID	**Open Researcher and Contributor ID**
OS	**Open science**
SEDIA	**Single Electronic Data Interchange Area**
WP	**Work Package**

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3. Objective

The primary objectives of this document are focused on various aspect; these include organizing, documenting and storing data in a systematic and convenient manner, this makes researchers ease in locating and utilizing it in the future. Additionally, it also involves the outline of measures to ensure that data is secure and confidential, by specifying storage and access protocols. Data sharing and reuse is also promoted which can encourage novel insights and discoveries. Another crucial aim is to comply with relevant regulations and guidelines governing data management, encompassing ethical and funding requirements. Lastly, the preservation and archiving of data for extended periods are crucial to ensure its continued availability and utility for future research.

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4. Introduction

This deliverable 9.1 offers a comprehensive map of the generated and managed data by the project, including the methodologies and standards employed, in line with the relevant EC guidelines and HORIZON Europe DMP template. It outlines how the data is made accessible for verification and reuse, as well as how it is curated and preserved in line with the FAIR (Findable Accessible Interoperable and Reusable) principles. The ownership of intellectual property rights (IPR), data and other key knowledge details among the participating beneficiaries is defined in the signed consortium agreement.

The DMP is a document which will be updated periodically, to support the data management lifecycle for all collected, processed or generated data within the project throughout the project's duration and beyond with the sole aim of minimizing the risk of data loss or other potential threats which could compromise the integrity or usability of the data. The DMP ensures the measures for promoting the projects findings during HAVEN's lifecycle and defines the procedures for sharing project data adhering to the FAIR principles for research data.

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5. Data Management Plan

5.1 Data Summary

The aim of this section is to provide a summary of the project scope, that would ultimately provide a clear understanding of how it relates to the generated, collected and processed data within the project.

5.1.1 Data Management Methodology

The HAVEN project will ensure that adequate resources for managing data are fully functional and accessible to all project partners. These tools will be regularly updated in order to align with project requirements and deliverables, they will also undergo Biannual review procedures.

The information collected during the lifecycle of the project will be logged and classified in a living document titled "*HAVEN_Data repository*" which will be located in the projects SharePoint (WP9 folder) where partners will add and/or update any new datasets which are generated in the project, following the indications of BRING and AEIMIS. To support the implementation of the data management plan (DMP) and intellectual property rights (IPR) principles, HAVEN partners utilize a shared storage on SharePoint as the primary collaborative working tool. This storage serves as a centralized location for information and documents related to the project.

In order to maintain a dynamic and up to date record of all generated datasets throughout the project, HAVEN will have a project data tracker. This tracker is an excel file that meticulously tracks each data set, which includes the identifier, the responsible entity details of its confidentiality, it's accessibility, repository location and other additional comments.

When made available, the public datasets will be published in OpenAire (or any other reliable public repository) and will as well be included in the SEDIA platform as knowledge generated from the project, which is in accordance with the Open Science

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policy of the Horizon Europe program which calls for; "*making data as open as possible and as closed as necessary".*

The conditions and requirements for sharing datasets will be determined by the data owner (the respective project partner). Some datasets may not be shareable due to ethical, intellectual property rights (IPR), or commercial exploitation constraints. Datasets labelled as confidential will be regarded as sensitive and will not be shared unless explicitly authorized by the owning party.

The HAVEN data repository was established to monitor data generation and collection and to report any restrictions on their potential reuse by third parties. The project partners responsible for each dataset will update and amend the content as needed. AEIMIS will act as the data protection officer, reminding beneficiaries to review the repository every six months to ensure the information remains current.

5.1.2 Dataset description Elements

Data Summary

- **Data set Indicator:** Provides an indicator number within the project of the form (Dataset 1, dataset 2…dataset n)
- **Name of Dataset** provides a dataset title that serves as a very brief description
- **Relation to WP/tasks:** WP number and Task number Dataset is related to.
- **IPR Owner:** Entities that own the data.
- **Data Collector:** The organizations/Entities that collect the data
- **Persistent Identifier:** Long-lasting reference to a digital resource (e.g ORCID ID) An identifier is a label which gives a unique name to an entity: a person, place or thing. Unlike URL's which may break, a persistent identifier reliably points to a digital entity.
- **Data source**: Re-use of existing data or original data
- **Data set description**: In this section, the dataset is put into context, offering an explanation of the fields it contains, the dataset's size, and any additional pertinent details.

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- **Category type**: Experimental data, Images, Audio, Video, Database, Computational data, Scripts. In case that the dataset combines more than one type of data, the template refers to the main one.
- **Data Format:** Data formats of spreadsheets, documents, image, videos, etc
- **Dataset origin**: It provides a description of the specific activity in which the data was gathered, encompassing various activities such as simulation outputs, monitoring, and more.
- **Purpose:** Reason why the data was collected.
- **Data Size:** Approximate size of the files .
- **Number of the files:** The number of the files
- **Data utility:** Target to which the data should be easy to localise.

Making Data Findable

- **Keywords:** Short Keywords to facilitate others to find and reuse this data.
- **Meta data and standards:** Is there use of metadata for the generation of this dataset?
- **External archives:** Will the data be archived in an external repository Yes/No?
- **Object Identifier description:** DOI

Making Data Accessible

- **Access Level:** Public restricted, private, mixed.
- **Requirements of access**: Public, restricted, private, Mixed
- **Availability for sharing**: Yes/No/Restricted access
- **Reasons for not sharing**: If the data can't be shared, it should be stated why
- Embargo date: In the case the data cannot be published yet, but it is expected to be made available publicly after a certain amount of time
- **Procedure for sharing:** Explanation of sharing which have conditions.
- Ethical/Legal impacts of sharing: Ethical or legal aspects which have to be considered as regards to sharing
- **Period of time for Preservation:** For how long is the data to be stored?

Making Data Interoperable

- **Use of standard Vocabulary:** What kind? (e.g. Business terms)

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- **References to other Data:** Yes/No, if yes mention the data which need to be referenced

Data Re-Usability

- **Availability of Data:** Will data be freely available on Public Domains (Yes/No)
  Data Reusability at end of the project: Will data be reusable at the end of the project by third parties?

5.1.3 Types of Data

The HAVEN project will consist of various types of data and research outputs, which would include existing literature, experimental data, methodologies, life cycle assessments (LCA), environmental assessment data, market data, internal project communications, official HAVEN deliverables, peer-reviewed articles and HAVEN demonstrators. These choices are facilitated by existing knowledge as well as the expectations of partners during the proposal development phase.

Table 1: HAVEN Data Type table

DATA TYPE	ACCESSIBILITY	LOCATION
Collection of existing literature	Open	HAVEN repository Partner servers
Experimental Data	Experimental methods and measurement types are open unless specified otherwise. Actual Data is closed	HAVEN repository Partner servers EOSC
Methods	Public – Except stated otherwise	HAVEN repository Partner servers EOSC
Component designs	Methods and functionality are open. However, the actual designs are	HAVEN repository

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	Closed. Except stated otherwise.	Partner servers
LCA, Environmental assessment data and market data	Mostly open except internal or competition-sensitive info	HAVEN repository Partner servers
Project Internal communication	**Fully- Confidential**	Partners own servers
Official HAVEN reports	**Specifics** **Public: 30** **Confidential: 14**	HAVEN website HAVEN repository
Peer reviewed articles	**Open Access Journals**	Publicly accessible repository
HAVEN Demonstrators	**Demonstrator Planning Methods**	Partner Servers HAVEN repository Selected Data on EOSC

5.1.4 Data Origin

The main objective of the HAVEN project is to develop a hybrid energy storage system capable of supporting multi grid systems. Throughout the project, significant data will be generated from different sources. This data serves different purpose, including building models will be originated from test results or requirements provided by use cases. Additionally, data utilized to create simulation inputs, analyse the results of simulations and validate the outcomes of simulations are also examples of data which is expected to be acquired throughout the project's duration.

Other data forms such as; strategic documents, deliverables, reports and lessons learned will as well be produced so support the adoption and replication of HAVEN methodologies, technologies and solutions. Furthermore, methodologies such as risk assessment, dissemination materials and other tools will be utilized to facilitate the development evaluation and dissemination of HAVEN solutions.

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5.1.5 Data Utility

The primary recipients of the DMP are essentially the HAVEN consortium and the European commission. As regards to the entirety of the project, the research data has the potential for a number of interested parties, such as;

Project Members- Can utilize the data internally to carryout tasks and activities related to the project.

Stakeholders: This encompasses sector associations, the scientific community, service providers, policy makers and industry, who can benefit for the research data.

5.2 F.A.I.R Data

HAVEN will guarantee the adherence to the FAIR (Data-Findability, accessibility, interoperability and reusability) data management principles, although certain restricted data will be safeguarded and not accessible to the public, the project will strive to optimize accessibility and utilization of the generated research data within the project.

5.2.1 Data Findability- Provisions for Meta-data

HAVEN, aims to ensure that all data and supplementary material adhere to standard formats and make use of identifiers which can facilitate easy discovery.

- Reports, deliverables and documents will be clearly versioned so as to provide a transparent record of their progression and status.
- The deliverables and other documents will possess unique identifiers.
- Scientific papers will utilize the Digital Object Identifier (DOI) assigned by the respective Journals.
- In order to identify each data set and provide the context within the projects tasks and objectives, a data identifier will be assigned to each dataset.

Table 2: Naming Convention to be used for the project.

File Naming convention for HAVEN

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"HAVEN"	**PROJECT NAME**
"WPX"	**Related work Package number e.g "WP 1" work Package 1**
"TX.Y"	**Task number E.G. "T1.1" for task 1.1**
"DX.Y"	**Deliverable, e.g. D1.1**
"Title"	**Short description of the document**
"Version"	**Version number, e.g. „V 1.0" for the first version**
"Date"	**Date in "DDMMYY" format**

In this manner, all files must be named with this example; "ProjectName_WPX_TX.Y_DX.Y_Title_Version_Date," they must be stored in the corresponding WP and task subfolder in the project SharePoint. In this way, if one were to name Deliverable 9.1 (this DMP), the name should be as follows: "HAVEN_WP9_T9.5_D9.1_Data Management Plan_v1.0_27062024" and it should be stored in WP9>Task 9.5 subfolder.

5.2.2 Data Accessibility

Referencing article 17 of the grant agreement; "The beneficiaries must disseminate their results as soon as possible by public disclosure via the appropriate means, with the only exception to this being having their legitimate interests infringed by doing so".

Thus, the HAVEN project follows the OS approach, which requires partners to;

1. Procure maximum possible openness of the project results, as long as it doesn't jeopardize the safekeeping of their IP.
2. Participate in the scientific sphere, as well as in general communication and dissemination activities with other key EU initiatives
3. Involve several stakeholders in project activities so as to identify any requirements and/or to identify bottle necks for scale-up or market uptakes.

Therefore to remain compliant with this approach, the project partners must ensure OA to the scientific publications that are related to their research outputs,

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as specified in article 17 of the Grant agreement. For this purpose, beneficiaries are recommended to choose;

- ***Green open access:*** The author deposits the manuscript in institutional or other repositories, allowing free open access to users either immediately or after a delay.

- ***Gold open access:*** The author publishes the work in an open access journal or book with an open access publisher. While the publication process is similar to traditional methods, the key difference is that the public can access the material for free. Increasingly, open access publishers are waiving the associated fees. In the gold open access model, readers are not charged; instead, the author pays article processing charges (APCs). Costs for gold open access are eligible for coverage only if the platform is fully open access, excluding hybrid journals that mix open access and subscription-based articles.

Alternatively, data can as well be shared through publications in scientific journals which also follow the guidelines stated in the communication and dissemination plan.

Other possible options for an open access repository is to publish through the Open Research Europe platform, established by the European Commission for disseminating research produced under the H2020 and Horizon Europe programs (European Commission, 2022), or uploading datasets to Zenodo created by the (E.C) openAIRE program and operated by CERN DataCities servers. Zenodo Complies with the FAIR principles, allowing the uploading of files up to 50GB, stores data during the repositories lifetime with up to 20years and is free. Zenodo also requires authentication ascertaining the identity of the individual accessing the opendata.

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5.2.3 Data Interoperability

In order to establish effective management of research, data collected and generated within the project, a suitable file naming convention will be proposed following established guidelines for qualitative data. This convention will involve the identification of essential metadata elements for the different research outputs; which include content description, creation date, location and version.

To enhance the discoverability of datasets on the platform, searchable tags will be included to the metadata, which facilitates the findability and reusability of the data by others. When the dataset is also being uploaded, the creator will have the option to create new tags which accurately reflect the datasets contents, which further facilitates accessibility.

A consistent framework for the publication of machine-readable metadata about a dataset when appropriate will be standardized and adopted, whereby common ontologies and vocabularies to ensure compatibility and interoperability will be utilized.

5.2.4 Data Reuse

How an entity or third party is able to utilize a dataset depends entirely on the conditions of licensing as well as other permissions regarding the rights of intellectual property that are place. HAVEN partners will provide assistance to stakeholders in determining the most suitable licensing or protection options for the specificity of each case.

All the research data which are produced by the project will be openly available by default (Refer to the Grant agreement) therefore the chosen license should enable anyone to freely use, reuse and distribute the data, with at most the requirement to attribute and share in a similar manner.

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5.2.5 Resource Allocation

Based on the grant agreement, the project budget includes the provisions for data management costs, no additional expenses are expected for this activity since most partners have already allocated funds for open access fees.

HAVEN has setup a web-based repository on Microsoft SharePoint, which is freely accessible to all project partners for their use throughout the project duration.

For long term preservation, the data will be stored in the HAVEN repository-SharePoint for a period (Which will be decided by the consortium) at the conclusion of the project. After the project ends, the data will remain accessible to all partners through alternative means, as specified in the consortium agreement, for the duration of the specified availability period.

5.2.6 Data Security

All data will be handled, transferred, stored, protected, preserved, secured deleted and securely destroyed using the most up to date security measures. Each partner has the responsibility to ensure that the data is stored securely and in compliance with the data protection laws of the European union. When the project is completed, data recovery and secure data storage responsibility will be transferred to the repository handling the dataset.

Throughout the projects duration, datasets will be stored on the storage system of the partner that is responsible for data management (AEIMIS), in the case of a necessity secure auxiliary communication and data sharing channels will be established, employing state of the art end-to-end cybersecurity protocols and solutions which would guarantee data confidentiality safety, integrity and security.

5.2.7 Ethical Aspects

The HAVEN project generally does not contain any significant ethical concerns or problems apart from the generic data protection. The obtained data from

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results are not expected to be utilized in ways which could pose as ethical dilemmas; however, this will be continuously monitored.

As for legal matters, data sharing is governed by the grant agreement (*refer to grant and consortium agreement*) therefore when sharing or providing access to data, a careful review of the information is important to make sure that the dissemination and communication plans do not raise any confidentiality issues.

Based on the EU general data protection regulation (GDPR) all EU citizens are ensured to have their personal data privacy protected. (GDPR EU, 2018):Is centred around 7 key principles;

(1) Lawfulness, fairness and transparency
(2) Purpose Limitation
(3) Data Minimization
(4) Accuracy
(5) Storage limitation
(6) Integrity and confidentiality
(7) Accountability

Any ethical and legal aspects will be adjusted to accommodate any changes in the context and scope of the project. By definition, personal data is information that identifies an individual, however, for GDPR purposes, information that has had identifiers removed or exchanged in order to make the data anonymous, is still regarded as personal data (European Commission, 2018). Hence, all responsible partners must be aware of the GDPR requirements and endeavour to comply with the legislation in the instance that any generated or collected dataset which is part of the HAVEN project has data privacy issues (GDPR, 2020). As a requirement, the consortium is to adhere to the following GDPR rules when relevant (GDPR EU, 2018);

1. Conditions for consent

2. Increased Territorial scope

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3. Data Subject rights

Table 3: Checklist for GDPR compliance

What Information needs to be Provided?	What should we tell People?	When is it required?
1. Name and contact details of your organization...	Say who you are and how individuals can contact you.	Always
2. Name and contact details of your representative...	Say who your representative is and how to contact them (a representative is an organization that represents you if you are based outside the EU, but you monitor or offer services to people in the EU).	If Applicable
3. The contact details of your data protection officer...	Say how to contact your data protection officer (DPO) (certain organizations are required to appoint a DPO	If Applicable
4. The purposes of the processing...	Explain why you use people's personal data. Be clear about each different purpose (there are many different reasons for using personal data, you will know best the reasons why you use data. Typical purposes could include marketing, order processing and staff administration).	Always
5. The lawful basis of the processing…	Explain which lawful basis you are relying on in order to collect and use people's	Always

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	personal data and/or special category data.	
6. The Legitimate interests for the processing…	Explain what the legitimate interests of processing are	If Applicable
7. The recipients or categories of recipients of the personal data…	Say who you share people's personal data with. This includes anyone that processes the personal data on your behalf, as well all other organizations. Be as specific as possible if you only tell people the categories of organizations	If Applicable
8. The details of transfers of the personal data to any third countries or international organizations…	Tell people if you transfer their personal data to any countries or organizations outside the EU.	If Applicable
9. The retention periods of the personal data…	Say how long you will keep the personal data for. If you do not have a specific retention period, then you need to tell people the criteria you use to decide how long you will keep their information.	Always
10. The available rights to individuals in respect of the processing …	Tell people which rights they have in relation to your use of their personal data, e.g. access, rectification, erasure, restriction, objection, and data portability. The rights will differ depending on the lawful basis for processing – make sure what you tell people accurately reflects this. The right to object must be explicitly brought to people's attention clearly	Always

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	and separately from any other information	
11. The right to withdraw consent…	Let people know that they can withdraw their consent for your processing of their personal data at any time. Consent must be as easy to withdraw as it is to give. Tell people how they can do this.	If Applicable
12. The rights to lodge a complaint with a supervisory authority	Tell people that they can complain to a supervisory authority. Each EU Member State has a designated data protection supervisory authority. Individuals have the right to raise a complaint with the supervisory authority in the Member State where they live, where they work, or where the infringement took place.	Always
13. The details of whether the individuals are under a statutory or contractual obligation to provide the personal data	Tell people if they are required by law, or under contract, to provide personal data to you, and what will happen if they do not provide that data. Often, this will only apply to some, and not all, of the information being collected. You should be clear with individuals about the specific types of personal data that are required under a statutory or contractual obligation.	If Applicable
14. The details of the existence of automated decision making, including profiling	Say whether you make decisions based solely on automated processing, including profiling, which have legal or similarly	If Applicable

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	significant effects on individuals. Give people meaningful information about the logic involved in the process and explain the significance and envisaged consequences.	

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6. Conclusions

The DMP will undergo updates during the entirety of the project's lifecycle in sync with the periodic project evaluations scheduled on M18, M36 and M48. These updates could be as a result of noteworthy modifications, such as the addition of new data or important alterations to the consortium policies (Patent pursual decisions) as well as consortium membership changes.

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7. References

[1] Grant agreement HAVEN GA NO: 101137636

[2] Consortium agreement HAVEN Version no 3, 14-12-2023

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