



FAIRWAY

Farm systems management and governance
for producing good water quality for drinking water supplies

Ethics POPD Requirement No. 1

FAIRWAY Deliverable/milestone number: D9.1
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Description of deliverable D9.1

The 'ethics requirements' for H2020 indicate that FAIRWAY must provide the following information about collection of data:

- Detailed information must be obtained on the procedures that will be implemented for data collection, storage, protection, retention and destruction and confirmation that they comply with national and EU legislation.
- Detailed information on the informed consent procedures that will be implemented in regard to the collection, storage and protection of personal data must be obtained on request. Templates of the informed consent forms and information sheet must be obtained.

Grant Agreement and Consortium Agreement

The Ethics section of the Grant Agreement the following statement are included about data collection and management and informed consent procedures.

Data collection: “The partners of the Fairway project confirm that detailed information will be obtained on the procedures that will be implemented for data collection, storage, protection, retention and destruction and confirmation that they comply with national and EU legislation.”

Informed consent procedures: “The partners of the Fairway project confirm that detailed information on the informed consent procedures that will be implemented in regard to the collection, storage and protection of personal data will be obtained on request. Templates of the informed consent forms and information sheet will be obtained.”

Data management: “A data management plan will be developed early in the project (month 6) to set out mechanisms and procedures for: quality checking, ensuring consistency of message, ensuring consistency of the use of templates and brand images (project logo) for all outputs and all languages, and for decision making when questions, conflict or disagreement arises. It will outline: how research data will be handled; what data will be collected, processed or generated; what methodology and standards are to be followed; whether and how this data will be shared and/or made open access; and how it will be curated and preserved. Drafting the protocol will be a priority task within the dissemination and communication Strategy. The main aim of setting up the protocol will be to ensure that the project has unified, high quality and cohesive messages and that their delivery is well coordinated. The data management plan will also specify protocols for data sharing, ownership and use and publishing. To protect the copyright, the partners will agree on intellectual property rights in the Consortium Agreement, on the basis of the standard principles set in the DESCAs model CA (i.e. shared foreground ownership of the parties carrying on the activity; confidentiality; rights for publications; no activity will potentially infringe patents belonging to others or generate fees to be paid for patent registration or royalties on access rights).”

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Article 10.8 of the Consortium Agreement states that all partners will comply to national and EU (privacy law) legislation and abide the procedures for data collection, storage, protection, retention and destruction of personal data.“:

“10.8, Subject to the Ethics Summary Report which forms part of the Project Proposal, Parties explicitly will comply to national and EU (privacy law) legislation. Parties will abide to the procedures as agreed by and as applicable to the Consortium that will be implemented for data collection, storage, protection, retention and destruction of personal data.”

Data collection, storage, protection, retention and destruction

Personal data collection in FAIRWAY

According to the H2020 Guidance on ethics, personal data is ‘any information, private or professional, which relates to an identified or identifiable natural person.’ For example: name, address, e-mail, CV, medical records, etc. Sensitive data - e.g. health, sexual lifestyle, ethnicity, political opinion, religious conviction - require specific authorization by the national data protection authority. `

Processing of personal data means any operation which is performed on personal data. For example: collection (digital audio recording, video caption), recording, disclosure by transmission (share, exchange, transfer), retrieval and consultation etc.

In FAIRWAY no sensitive personal information will be recorded or stored during this project. Therefore, there are no permissions from competent local/national ethic/legal bodies required.

FAIRWAY will collect personal information which is usually provided on the experts or stakeholders business cards and which is usually accessible in the public space, or e.g. on their institutions' websites (i.e. information necessary to identify an expert or stakeholder in his or her official or professional role:

- Name
- Country of residence
- Represented institution
- Role in this institution (e.g. General Manager, project manager or similar)
- Email-address

This information and a photo of each participant is used for the FAIRWAY website. A consent form has sent by Wageningen Research to the all participants of FAIRWAY in which they could indicate that they agree that the information will be posted on the FAIRWAY website (See consent form Annex 1).

Films and videos are means to disseminate results of FAIRWAY to large audiences across Europe. For this reason, a professional film maker is part of the consortium. The films will be made available on YouTube, and other media such EIP Agri website, and relevant professional web portals, which are used by farmers. The consent form that is used to be filmed during an interview and for the film to be released on the FAIRWAY project website and various social media platforms is included in Annex 2.

Technical data collection in FAIRWAY

Fairway will collect and generate technical data (Table 1) and information regarding:

- Characteristics of drinking water stations in the cases (abstractions, land use, capture and protection zone, pollution sources nitrate & pesticides, residence time);
- Quality of raw drinking water and drinking water resources (nitrate, pesticides, trends);
- Environmental characteristics of soils, water and other agri-drinking water quality indicators, especially within capture zones of drinking water resources;
- Farm management practices in the cases: cropping systems, mineral management (fertilizer use), crop protection (pesticides use), soil management;
- Farm advice and other decision support tools (literature and tools operational at FAIRWAY partners);
- Effects and (estimated) costs of measures that reduce pollution of nitrate and pesticides from agriculture; and
- Data on governance approaches.

Most of the data will be collected and generated in the case-studies. In most cases, existing (monitoring) data will be used to describe the environmental situation. In several case-studies, farmers cooperate on a voluntary basis with local governments to improve their mineral or crop protection management that result in less losses to the environment. In such cases, agreements with the farmers sometimes exclude that this information will be made public or must be edited to anonymize. In addition, in some case studies (e.g. in France, the Netherlands, Denmark) information is collected from farmers by stakeholders (e.g. water company) or scientists as part of other (local) projects or agreements, in which they often use consent forms. FAIRWAY will only use the anonymized data for these case studies. The data will be used by the FAIRWAY partners and in principle all stakeholders of the multi-actor platforms that are established for the FAIRWAY cases.

Data management plan

A data management plan with procedures on data collection, data storage, data protection, data retention, and data destruction will be delivered in month 6 of the project.

Data collection

Throughout the process of data collection, we will keep thorough documentation of all steps taken, such as sources, data cleaning, quality checks, aggregation, and vocabulary used. In addition, any statistical methods used will follow existing methodological standards for the data type in question, and any omission of results is reported and justified. By doing so, we follow the principles of the [Netherlands Code of Conduct for Academic Practice](#)). Part of the data will be collected from case studies. In case of confidentiality, contracts will be signed outlining the data collected, the confidentiality of these data, the goals of processing these data, and ownership of these data.

Data storage

All information that will be collected will be stored on facilities offered by Wageningen University & Research. Where sharing of the data across countries is required, we will make use of SURFdrive, a cloud storage offered by the national organisation SURF. SURFdrive is meant especially for research

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and education in the Netherlands and meets all EU privacy legislations. SURFdrive is therefore a trusted storage solution for the data we work with.

Data protection

The project aim will be to make as many outputs as possible freely available and accessible. However, FAIRWAY appreciates that data, knowledge and other intellectual property which come from participants who are in the non-governmental or university sectors cannot be revealed too early in their development without risking original ideas being exploited by outsiders. Disclosure of knowledge can therefore be a sensitive issue. It will be essential to understand current legislation and protocol, and to be able to adapt procedures to safeguard those whose knowledge needs protection, including local actors whose knowledge and experience water quality protection and its management might be tapped during the various research activities.

As mentioned in the previous section, FAIRWAY will not collect sensitive personal data. Where data is collected from case studies, it will be ensured that no details are to be recorded that refer to any individuals of those case studies. However, some of the data are to be treated as confidential and will be accessible only to those involved in this research. We shall therefore protect the data from unauthorised access by taking at least the following steps:

- Files with confidential information will be encrypted so that a key is required for the data files to be accessed. The recovery key shall be shared only among those team members directly involved in the collection and analysis of the relevant files.
- Variables which (when combined) might lead to the identification of case studies, will be masked. Masking is the obscuring of information, e.g. through removing or randomising data in certain fields.
- Access to the data will be restricted through access rights to files and folders (possible in the shared network drive) and through strong passwords.
- Data are circulated between the participants only in so far as this is necessary to fulfil their obligations from the Grant Agreement.
- All files that should not be edited (e.g. raw data files, milestone versions of files) shall be saved as read-only. This way, they cannot be accidentally overwritten or changed

Data retention

Following the [Netherlands Code of Conduct for Academic Practice](#), all research data underlying publications will be retained for ten years. The data that can be made accessible to other researchers (i.e. not marked as not shareable in the contracts) will be made available online through a repository. In the data management plan the choice for the repository will be indicated.

Data destruction

All data and contextual information that is not retained for purposes of verification and reuse will be destroyed. To destroy the data, files will be deleted from the computers they are on. However, as this only removes the reference to the file and not the file itself, specialised software will be used to completely delete the files from the hard drives. Data are not planned to be stored on other media such as thumb drives or CDs unless this is needed for transfer – however, in the event of data being on such media, these devices will be destroyed to ensure destruction of the data.

Legislation

The consortium's and its partners' data protection policies are fully compliant with EU regulations and partner countries' national rules, including the Regulation (EC) N° 45/2001 of 18 December 2000 on the protection of individuals with regard to the processing of personal data and on the free movement of such data.

Moreover partners comply with the individual national law towards data protection. The partner outside EC Member States (Norway) is particularly advised to comply with the Regulation (EC) No. 45/2001.

Wageningen Research is particularly stressing article 39 - Processing of Personal Data - of the grant agreement in the communication with the consortia partners.

Throughout the entire research process, FAIRWAY will follow national and EU legislation. Such legislation includes the European Convention on Human Rights, the Charter of Fundamental Rights of the European Union, and the Horizon 2020 rules for participation and dissemination. In addition, we will follow the Netherlands Code of Conduct for Academic Practice, ensuring that our research data is authentic, verifiable and durable.

Consent procedures

Detailed information on the informed consent procedures that will be implemented in regard to the collection, storage and protection of personal data must be obtained on request. Annex 1 includes the form of consent for information to be posted on the website and Annex 2 includes the form of consent for publication of a video or film.

Templates of the informed consent forms and information sheet must be obtained (Annex 1). The data protection policy of the consortium (section 2.) and this detailed statement will be presented to the public on the project website for free download. Each of the contacted stakeholders will be provided with an electronic copy (email) or a printout of this data protection policy upon his or her request. Each of the experts and stakeholders will be informed and asked for her or his prior written consent (e.g. by mail) before any data are stored in any of the partners' data bases. Without any prior written consent, these data will not be stored. Stored data will be only used for the purpose of this project and exchanged only between the partners as far as this is necessary for the implementation of this project.

Final Statement

All partners have been involved in the compilation and review of this detailed information and are committed to thoroughly implement the data management policy presented in this report. All partners confirm that they comply with national and EU legislation and the procedures for data collection, storage, protection, retention and destruction of personal data. This is also indicated in the Grant Agreement and Consortium Agreement.

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Table 1.

Data	Work package	Origin
Harmonized dataset Water quality Indicators for nitrate	WP3; deliverable D3.3	Existing sources: <ul style="list-style-type: none"> • 13 case studies • Literature • EU-wide data-bases
Harmonized dataset Water quality Indicators for pesticides	WP3; deliverable D3.3	Existing sources: <ul style="list-style-type: none"> • 13 case studies • Literature • EU-wide data-bases
Measures aimed at decreasing nitrate pollution	WP4	Existing sources: <ul style="list-style-type: none"> • 13 case studies • Literature
Measures aimed at decreasing pesticide pollution	WP4	Existing sources: <ul style="list-style-type: none"> • 13 case studies • Literature
Existing Decision Support Tools for farm management	WP5	Literature, internet, FAIRWAY partners

Annex 1. Consent to post information and a photo on the FAIRWAY website.

I am involved in FAIRWAY

Name:

Home organization:

Email address:

Phone nr:

Role in FAIRWAY:

Core expertise: -
 -
 -
 -
 -

Please let us know that you agree that this information will be posted on the FAIRWAY website.
If you do not agree we will not publish your email address and telephone number on the website.

I agree

I don't agree

Please return this form, together with a **sharp, recognizable photo in passport format**, preferably before November 1st, to:

FAIRWAY@wur.nl

Annex 2. Consent to be filmed during interview and for the film to be released on the FAIRWAY project websites and various social media platforms



Consent to be filmed during interview and for the film to be released on the FAIRWAY project websites and various social media platforms

Title of research: FAIRWAY
Project Coordinator: Gerard Velthof, Wageningen Research
Name of Interviewer:

FAIRWAY is an international EU-funded research project investigating drinking water quality in the EU. We aim to show how farm management practices and novel governance approaches can be used to improve the water quality for drinking water supplies. Collaboration between the scientific teams and the various land users in our 13 case study sites is particularly important to the research. We want to be able to share the expertise and experience of land users and stakeholders involved in the case study with other study sites and with the wider public.

By signing this form you give your consent to be filmed during interview and for the film to be released on the project websites, YouTube, Facebook, Twitter and other social media platforms.

You can find further information about FAIRWAY on the project website <https://www.fairway-project.eu/>

Thank you for taking part in the research and for sharing your expertise.

The objectives of this research and purposes of filming my interview have been explained to me.

- I agree to be interviewed and filmed for the FAIRWAY project and give my consent for the film to be released on the project websites, YouTube, Facebook, Twitter and other social media platforms.
- I understand that my name will be used in the video, unless I expressly state otherwise.
- I understand that the FAIRWAY Consortium will have attempted, as far as possible, to avoid any health and safety risks in me being interviewed.

Under these circumstances, I agree to participate in the research.

Name:.....

Signature:..... Date:.....

One copy to be retained by the interviewer, the other by the interviewee.