

INTERMODEL EU

**Simulation using Building Information Modelling Methodology of
Multimodal, Multipurpose and Multiproduct Freight Railway Terminal
Infrastructures**

Grant agreement: 690658

D10.2 – POPD – Requirement No. 2
Protection of Personal Data Requirements

Authors	Mikel Borràs (IDP)
Status	Final version
Dissemination	Confidential



This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No. 690658.

Revision history:

Revision	Date	Author	Organization	Description
0.1	06/02/17	Mikel Borràs	IDP	All document
0.2	09/02/17	Mikel Borràs Gisela Soley	IDP	First draft
1.0	24/02/17	Mikel Borràs	IDP	Final version

Statement of originality:

This deliverable contains original unpublished work except where clearly indicated otherwise. Acknowledgement of previously published material and of the work of others has been made through appropriate citation, quotation or both.

The information set out in this publication are those of the author(s) and do not necessary reflect the official opinion of neither INEA nor the Commission. Neither INEA nor the Commission is responsible for the use that may be made of the information contained therein.

Executive Summary

This deliverable provides information on the H - Requirement No. 1, concerning humans in research activities as identified and established according to EU and national directives. It should be focused on the procedures adopted by the Consortium to carry out the action in compliance with ethical principles and applicable international, EU and national law.

However, in accordance to the nature of the research carried out under the INTERMODEL EU project, human participants are not required.

Table of contents

Executive Summary	3
1. Introduction	5
1.1 Scope	5
1.2 Audience	5
1.3 Definitions / Glossary	5
1.4 Abbreviations	5
1.5 Structure	6
2. Project Information	7
2.1 POPD – Requirements	8
2.1.1 POPD – Requirements n.1	8
2.1.2 POPD – Requirements n.2	8
2.1.3 POPD – Requirements n.3	9
2.1.4 POPD – Requirements n.4	9
2.1.5 POPD – Requirements n.5	9
2.1.6 POPD – Requirements n.6	10
3. Conclusions	10
References	11

1. Introduction

1.1 Scope

The scope of this document is to present the informed consent procedures that must be implemented before the start of relevant research.

It is important to point out that the research carried out under INTERMODEL EU project does not imply the process of personal data. Therefore, there is no need for defining the foreseen contents of the Participants' Information Sheet that should be provided to all individuals who will participate in the case of studies before giving their consent.

Data collected for the project excludes personal sensitive data and is basically related to intermodal terminals (e.g. handled volume, number of cranes, number of trucks per day, etc.).

1.2 Audience

The intended audience of this document is the INTERMODEL Consortium.

1.3 Definitions / Glossary

The main terms used in this deliverable are described as follows:

POPD – Requirement: Details on the procedures and criteria that will be used for the protection of personal data must be provided.

1.4 Abbreviations

The abbreviations used in the present document are:

GA: Grant Agreement

POPD: Protection Of Personal Data

REA: Research Executive Agency

1.5 Structure

- **Introduction:** contains an overview of this document, providing its Scope, Audience, and Structure.
- **Project information:** contains a description of the ethics requirements that the project should comply with and the type of information to be managed.
- **Conclusions:** gathers the main issues concerning POPD requirements.

2. Project Information

In accordance with the information related to the ethics requirements of the INTERMODEL EU project, regarding the ethical report to be submitted in the sixth month, it is appropriate to set up a framework, if necessary, regarding the scope and the subject of this specific activity. First, it is necessary to bear in mind that the general relevant principles are, on one hand, those of ethics nature and, on the other hand, those following the application of international, European and National laws. Second, the Project Grant Agreement, which regulates and defines the project activities, contains a list of ethics requirements that represent relevant operative criteria.

However, it should be pointed out that INTERMODEL EU project does not involve research including human participation. And the type of data that will be collected for the research carried out throughout the project is related to terminals such as volumes, modal splits, equipment, etc.

The issues related to ethics within the project were categorized according to a scheme – based on different characteristics identified – which is referred as ‘Ethics requirements’.

Specifically, the criteria on the basis of which the ethical verification must be carried out and formulated is focused on:

- a) Evaluation of the detailed information provided about the procedures used for data collection, for data storage, for data protection, for the eventual elimination of data collected, always checking that the data processing complies to the national legislation of the individual countries in which the data is collected and processed, together with the European Union legislation;
- b) Evaluation of detailed information to be provided in relation to the informed consent procedures;
- c) Adoption of informed consent procedures and their actual implementation;
- d) Verification of the communication of the details on types of treatment of sensitive data;
- e) Presence of specific authorization given through the informed consent procedures to collect and process personal data;

- f) Anticipation of the submission to the REA of the authorizations of the approval of the competent authorities, which concern individual ethical issues different from the collection of personal data;
- g) Designation, if required, of an external independent Ethics Advisor, appointed to oversee the potential ethical concerns involved in the research;
- h) Adoption of models for the collection of informed consent as well as information sheets that should have a language and terms that are easily understood by the participants in the research.

2.1 POPD – Requirements

2.1.1 POPD – Requirements n.1

Ethics requirement description

Detailed information must be provided 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.

Verification of the activities carried out by partners

Data management is described in deliverable D14.1 ‘Data management plan’, which includes standards and methodology for data collection, storage and preservation.

2.1.2 POPD – Requirements n.2

Ethics requirement description

Detailed information must be provided on the informed consent procedures that will be implemented.

Verification of the activities carried out by partners

No questionnaires or surveys on sensitive personal data will be carried out. Thus, as the data handled will be related to design and operation of intermodal terminals/hinterland mobility/railway connection between different terminals, it is concluded that the project does not require the definition of consent procedures.

In the case where the consortium could consider to gather the opinion of human experts, the information will be collected in a completely anonymous way, as

established in the Data Management Plan and those experts will be part of the consortium members / stakeholders which already have their own procedures for data protection.

If the opinion of external experts or potential users is needed in the future, the information will be also collected in an anonymous way and the Data Management Plan will be updated with all the necessary to comply with EC directives and national regulations regarding POPD.

2.1.3 POPD – Requirements n.3

Ethics requirement description

Justification must be given in case of collection and/or processing of personal sensitive data.

Verification of the activities carried out by partners

As explained in deliverables D10.1 ‘H – Requirements’ and D14.1 ‘Data management plan’, no personal sensitive data is collected.

2.1.4 POPD – Requirements n.4

Ethics requirement description

Copies of ethical approvals for the collection of personal data by the competent National Data Protection Authority must be submitted to the REA.

Verification of the activities carried out by partners

No personal data is collected throughout the project.

2.1.5 POPD – Requirements n.5

Ethics requirement description

Templates of the informed consent forms and information sheet must be submitted.

Verification of the activities carried out by partners

As already abovementioned, no personal sensitive data is collected, therefore it is not required to define a template of the informed consent forms and information sheet.

2.1.6 POPD – Requirements n.6

Ethics requirement description

An external independent Ethics Advisor must be appointed to oversee the ethical concerns involved in this research. A report by an Ethics Advisor must be submitted to the REA with the financial reports.

Verification of the activities carried out by partners

There is no need for an external independent Ethics Advisor appointed to oversee the potential ethical concerns involved in the research, as the data collected will not include any sensitive personal data.

3. Conclusions

Data collected throughout the project does not include any type of sensitive personal data, and will be provided by some of the partners within the Consortium according to the GA.

In the case where the consortium could consider to gather the opinion of human experts, the information will be collected in a completely anonymous way, as established in the Data Management Plan and those experts will be part of the consortium members / stakeholders which already have their own procedures for data protection.

If the opinion of external experts or potential users is needed in the future, the information will be also collected in an anonymous way and the Data Management Plan will be updated with all the necessary to comply with EC directives and national regulations regarding POPD.

References

D(EU) 2016/680 of the European Parliament and of the council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data by competent authorities for the purposes of the prevention, investigation, detection or prosecution of criminal offences or the execution of criminal penalties, and on the free movement of such data, and repealing Council Framework Decision 2008/977/JHA.

D 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.