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## ***SEA-EU's Ethics and Privacy Protection Manual***

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## 1. Introduction

This Ethics and Privacy Protection Manual (hereinafter referred to as Manual) provides a first version of the Data Management Plan for the *European University of the Seas* project, as well as features the ethics requirements and procedures regarding project partners and stakeholders.

The Manual:

- presents guiding principles and describes the main procedures regarding privacy, data protection, security, legal issues and ethical challenges,
- is based on legal and ethical issues identified by each partner and related to each partners' institution included in the project activities,
- is consolidated in consultation with external members and considers both European and national ethical and legal requirements,
- is intended as a living document in which information can be updated as the implementation of the project progresses and when significant changes occur.

The Ethics Manual is a part of Task 1.4. (WP 1). The Quality and Ethic Subcommittee is responsible for developing SEA-EU's Ethics and Privacy Protection Manual. The University of Split is the leader of the Quality and Ethics Subcommittee.





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## 2. About SEA-EU

The *European University of the Seas* (SEA-EU) is an alliance established to improve quality, inclusiveness and competitiveness of European Higher Education. SEA-EU is an alliance set up within the parameters of the European Universities alliance, an initiative of the European Commission, and co-funded for three years under the Erasmus Plus programme, seeking to establish and promote internationalisation of education by removing borders between institutions, disciplines and sectors. The universities included in the alliance aim at automatic recognition of foreign qualifications and learning periods, modification of existing programs and establishment of new ones with the emphasis on the joint study programs and modules.

The idea for SEA-EU stems from the shared objectives and ambitions of the six higher education institutions that comprise the alliance. These are:

- University of Cádiz (UCA, Spain),
- University of Western Brittany (UBO, France),
- Christian-Albrecht University of Kiel (CAU, Germany),
- University of Gdańsk (UG, Poland),
- University of Split (UNIST, Croatia),
- University of Malta (UM, Malta).

### 2.1. Vision, mission and goals of the SEA-EU

The marine and maritime sectors are strategic for the economies in the regions where the six universities are located and constitute core targets of their education and research. Programmes of study specific to marine/maritime disciplines are taught in these universities, and many research groups are working on such and similar topics. The marine/maritime dynamic will have a leverage effect for all other disciplines and will serve as a driving force for transforming multidisciplinary universities in an alliance deeply committed for the sustainability of the sea and its marine communities.

The SEA-EU alliance commits to put into place mechanisms to:





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- (1) generate common management structures that facilitate the governance of the alliance;
- (2) increase the level of knowledge and integration between the partner universities, by analysing in depth our educational offerings, research strategies, services, databases and infrastructures and sharing resources and good practices;
- (3) prepare internal models for quality assured, automatic academic recognition of foreign qualifications and periods of learning;
- (4) improve the internationalisation of curricula, students and staff;
- (5) craft joint programmes of study to facilitate the mobility of students – at undergraduate, masters and doctoral level – across the campuses of at least two other universities in the consortium;
- (6) adopt creative and efficient measures to eliminate the barriers for mobility identified by means of joint surveys performed in our alliance just before the onset of the project;
- (7) improve the linguistic competences of our students and staff and achieve the goal that those going on mobility experiences are able to communicate in a third language from the alliance;
- (8) accompany the mobility of study and training afforded by the flagship Erasmus programme with cultural and social events, including volunteering, to reinforce the social interaction and European identity within the alliance;
- (9) increase the number of joint research projects and boost scientific productivity and academic output within the alliance;
- (10) reinforce Erasmus-funded training internships in companies of the countries, regions or cities involved in the consortium;
- (11) promote synergies between SEA-EU and socio-economic sectors of its six territories to better mobilise and transfer knowledge to and from communities and economies.
- (12) reach out and link our societies through joint outreach, dissemination activities and other forms of public engagement.

## 2.2. SEA-EU Project Management

After the Project approval, all management and operational structures have been established and are intended to run during the project's lifespan, and possibly beyond.





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These management structures include:

- **Governing Board (GB):** The GB embodies the vision of the alliance and will keep watch over deviations for the mission statement. The GB will review general project progress and take decisions on actions in case of major deviations from the plan, will discuss and decide on changes in the management structure of the Consortium, will approve planned contract amendments and changes to the Grant Agreement, and will adopt required internal and external actions for the sustainability of the project.
- **Executive Committee (EC):** The EC acts as the main consensus-building body on overall project coordination. The EC will identify problems and delays early, will proactively prevent conflict situations and anticipate deviations from the project plan. This Executive Committee will monitor the progress in the project WPs, discuss and decide on issues that affect multiple WPs or the project as a whole, and act as intermediary in cases of conflicts that cannot be resolved on WP level. EC will make recommendations for amendments and ratification of the Grant Agreement.
- **Six Subcommittees will operate, each dealing with one the key transversal issues of the alliance.** Six subcommittees for each of the alliances' crucial transversal issue manage key thematic areas that are transversal to different work packages (WPs) and work in coordination with different WP leaders. These are:
  - ✚ **Education Subcommittee (ES):** The ES will be assisted by a team of deans and directors of doctoral schools of SEA-EU universities. The ES will ensure consistency and quality of the education and training analyses, methods, policies and activities across the SEA-EU alliance. ES will be checking the proposed analysis, methodology and work progress in the different educational programme levels (Bachelor, Master, Doctorate) and will be responsible for a suitable compatibility and consistency across SEA-EU work packages and tasks containing education and training activities.
  - ✚ **Research, Development & Innovation Subcommittee (RDIS):** The RDIS will coordinate activities related to research and transfer in collaboration with leaders of WPs containing research/transfer tasks, and with the advice of a consulting group composed of Directors of Research Institutes, researchers and doctoral students of SEA-EU universities. It will

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define the qualitative and quantitative aims of research and transfer activity, checking the proposed methodology and work progress, respecting the freedom of researchers and the research foci of academics.

-  **Mobility Subcommittee (MS):** The MS will coordinate mobility actions between SEA-EU partners, at all target levels (students, academic, administrative technical and industrial staff) and educational (foundation, bachelor, master, doctorate) levels.
-  **Quality & Ethics Subcommittee (QES):** The QES will ensure that project execution takes place in accordance with this plan, and signal important deviations in terms of results, quality, timing and resources spent. The QES will also work towards implementing and managing the ethical and legal issues of all procedures in the project, ensuring that the guiding principles and the main procedures regarding privacy, data protection, security, legal issues and ethical challenges will be followed. The QES will also have a major role in overseeing and guiding processes related to Quality and Ethics in research and education.
-  **Identity Subcommittee (IS):** The IS will be assisted by representatives of local administrations from the six SEA-EU partner institutions. SEA-EU is the alliance of six partner universities belonging to six countries with six different native languages and a long historical and cultural wealth. IS will be engaged in strengthening the European identity across the SEA-EU alliance, promoting the learning of languages and expanding the knowledge on the cultural heritage of cities, territories and countries where the SEA-EU universities are located.
-  **Outreach & Sustainability Subcommittee (OSS):** OSS will assist the leader of WP6 to ensure the dissemination of SEA-EU activities and values regarding the alliance's mission statement: *Living sustainably by, from and with the sea*. OSS will guarantee that the shared sustainability vision of SEA-EU as described in the mission statement is well disseminated.

Various other committees will support the work of the Executive Committee. These are:





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- **Technical Working Group (TWG):** The TWG will support the different subcommittees and Executive Committee in administrative, technical and financial matters. It will also assist the EC in the preparation of the Consortium's meetings.
- **Advisory Board (AB):** The AB is composed of 8-12 external independent experts, with world-wide recognition and proven expertise in internationalisation of education and research. The AB will actively follow and monitor the project throughout its duration.
- **Stakeholders Group (SG):** The SG is composed of some 30 members hailing from international higher education institutions, research organisations, companies and other stakeholders, of which at least 50% represent the marine/maritime sector, and at least 30% represent the private sector (see Task 1.7 for details).
- All activities are arranged through the **work packages**. There are six work packages. The responsibility for the collection of data envisages that every University in the alliance is in charge of its own work package, as follows:
  - ✚ the leader of WP 1: Management of the SEA-EU project is the University of Cádiz
  - ✚ the leader of WP 2: Increasing the level of mutual knowledge and integration between the SEA-EU universities is the University of Gdansk
  - ✚ the leader of WP 3: Strengthening the European Identity across the SEA-EU alliance is the University of Bretagne Occidentale
  - ✚ the leader of WP 4: Supporting European Values based on student and staff creativity and engagement is the University of Kiel
  - ✚ the leader of WP 5: Making the quintuple helix a reality is the University of Split
  - ✚ the leader of WP 6: Sustainability and dissemination is the University of Malta.

Tasks of the different WPs seek to strengthen the cooperation of the consortium and to increase the engagement of its partners.

Two SEA-EU observatories – for Migrations & Human Rights and for Sustainable Blue Growth – will be created and run jointly. The observatories aspire to become international reference hubs for other universities and public agencies, across Europe and beyond, to guide and advise on the





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construction of effective and efficient policy-making and sustainable management models in required fields. The availability and access to research vessels in the six universities will encourage the development of scientific trips and summer schools which will foster collaborative research and dissemination actions on high impact topics (such as climate change, micro-plastics) investigated by renowned scientists from the SEA-EU alliance. Such actions will promote integration among partners, especially around relevant social, scientific and socio-economic topics.

### 2.3. Description of work packages and observatories

#### WP 1. MANAGEMENT OF THE SEA-EU PROJECT

To effectively support the SEA-EU partners during the project, in administrative, technical and financial terms and oversee management within the project and beyond. The activities are following: to generate the new management and operational structures required for the functioning of SEA-EU; to oversee all SEA-EU training/education activities and guarantee their quality and alignment between partners; to monitor all SEA-EU research/innovation/transfer activities, and guarantee their quality, coherence and feed back into educational practice; to ensure the timely completion of planned project outputs and outcomes, in line with guidelines from the EACEA Agency, the Project Contract and the Consortium Agreement; to provide up-to-date reporting of the project main outcomes for EACEA Agency and external actors; to warrant efficient interactions between partners and committees both virtually and physically; to conduct the internal and external analyses and evaluations needed to assure the optimal quality of the project implementation through all of its phases; to monitor the conformity to ethical, gender and inclusion requirements of the project, including the implementation of the Human Resources Strategy for Researchers (HRS4R); and to set up a group of experts and key stakeholders providing advice and guiding the project progression and implementation.

The University of Cádiz is the leader of WP 1.

#### WP 2. INCREASING THE LEVEL OF MUTUAL KNOWLEDGE AND INTEGRATION BETWEEN THE SEA-EU UNIVERSITIES

This work package deals with the exploration of resources and capacities of all the institutions engaged in the project implementation. The preliminary analyses have been carried out at the





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proposal's preparation stage. The educational offerings, range of courses and curricula as well as research areas of all the participating institutions have been examined. The obtained findings and concluded results pave the way for assuring that what all the partners have in common are the study concepts, courses, scientific research fields and local/regional socio-economic sectors related to marine and maritime issues. These common competences, interests and strategies give meaning to SEA-EU and will represent the driving force for our long-term strategy involving our institutions as a whole. However, in order to establish the *European University of the Seas*, there are other key aspects, such as partners' educational, organizational, research and infrastructural capacities that still need to be assessed further.

Thus, the main objective of WP2 is to evaluate and further elaborate on common areas, which, in turn, will focus on the interactions and correlations between the SEA-EU partners. Besides, WP2 includes activities meant to map all shared aspects, to determine barriers and ways of removing them, as well as to develop our long-term model of European University. Some of the model elements will be tested during the final year of the project duration, while the work on the implementation of the model will be carried out within next 10 years. The outputs of WP2 will serve as a background for the implementation of WP4, WP5 & WP6.

The University of Gdańsk is the leader of WP2.

### **WP 3. STRENGTHENING THE EUROPEAN IDENTITY ACROSS THE SEA-EU ALLIANCE**

This WP3 aims to reinforce all the processes that contribute to develop a European identity across all the people belonging to SEA-EU universities. Key aspects such as inclusive mobility, social and cultural Erasmus will be explored.

The University of Bretagne Occidentale is the leader of WP3.

### **WP 4. SUPPORTING EUROPEAN VALUES BASED ON STUDENT AND STAFF CREATIVITY AND ENGAGEMENT**

Our target is to build a European human resource of skilled workers and competent professionals that can meet the future challenges of excellence, able to assist individuals to find jobs across the continent. We support young people to receive the best education and training, beyond national barriers and favouring learning mobility. We support a flexible, multidisciplinary and integrated educational experience, combining resources and competence across different universities in a seamless manner to students. This WP4 aims to develop all the contents that support the European Education Area by promoting values through the engagement and creativity of

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different people. We envision a supportive environment to foster personalised career advice and development for both students and staff. Through the joint efforts of the partner universities in the SEA-EU alliance, we aim to qualify a new generation of internationally competitive young scientists. Therefore, we will try to engage both international students and faculty staff to bring the European University concept forward by:

- developing profound disciplinary knowledge and fostering interdisciplinary thinking;
- building in a strong personal career profile by defining professional goals and securing a broad range of work-related transferable skills for our students;
- providing access to unique research infrastructure;
- developing and supporting Europe-wide networking in education.

The integrated approach to career development will enable students to take up careers in science as well as in industry at all professional levels. It will also enable staff to play a key role in the SEA-EU network.

The University of Kiel is the leader of WP4.

#### **WP 5. MAKING THE QUINTUPLE HELIX A REALITY**

This WP will serve to test the socio-ecological transition of knowledge economy building on triple helix (knowledge triangle innovation core) model with added context of societal and environmental responsibility, a so-called 'quintuple helix' model. To answer the future challenges and overarching mission of SEA-EU alliance this WP will serve as glue that binds education, research, business, society and environment. This WP will also provide birds eye big-picture view of alliance including all stakeholders and target groups as reflection of the sea as ultimate paradigm of sustainable hyper-connectedness. Three-year goal is establishment of quintuple helix pilot actions and case studies on which reports and recommendations will be developed to support a 10-year goal. 10-year goal will build upon most viable outcomes to secure fully functional pan-European institution with European statute.

The University of Split is the leader of WP5.

#### **WP 6. SUSTAINABILITY AND DISSEMINATION**

We propose different tasks meant to harmonise internal consortium actions in relation to budget, dissemination and engagement towards a sustainable 'European University'. We identify internal and external measures for searching funding opportunities (public and private) that could multiply the impact of SEA-EU. Activities directed to build and manage a common visual



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identify for SEA-EU and to widely disseminate the project to different publics and stakeholders are also presented. This WP also addresses actions directed to ensure that all publications related to the project follow the principles of open science, open access and open data and how we will disseminate our project beyond the alliance, acting as a role model.

The University of Malta is the leader of WP6.

During the project, **two Observatories** will be established:

**1) SEA-EU Observatory for Migrations and Human Rights (WP 3; OP3.5.)**

Co-led by University of Bretagne Occidentale, France, and the University of Cadix, Spain, it addresses the following areas of work:

- implementation of collaborative research projects and studies,
- promotion and dissemination of existing research projects related to port and sea borders, immigration and human rights,
- implementation of training schemes for professionals (e.g. lawyers, psychologists, social workers, teachers) working with immigrants and vulnerable people on the borders of cities whose universities are partners,
- construction and evolution of a network of experts at European level,
- the organisation of conferences, seminars and training courses in this thematic at the level of all SEA-EU partners,
- advisory service to public administration and decision-making bodies on this topic.

All SEA-EU partner institutions are taking part in the activities of WP3, precisely in developing mobilities within the alliance and promoting inclusiveness. Even do all partner institutions are a part of this activity, University of Bretagne Occidentale will determine what kind of data and ethics requirements there will be needed.

**2) SEA-EU Observatory for Sustainable Blue Growth (WP 5; OC5.7.)**

Lead by UNIST, Croatia (supported by CAU), this will serve to facilitate regional dialogue and foster an active network of marine and maritime stakeholders across the regions. The observatory work includes raising awareness of marine and maritime professions and their appeal to young people, promoting circular migration and forming strategies for matching supply and demand for jobs. One of its primary missions is capacity building for knowledge and technology transfer from higher education institutions (HEIs) and other actors in the marine and maritime sector.



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Multiplication and later sustainability of the observatory will be ensured through its opening to the interested stakeholders. Observatory management pillar will be built upon results of Task 5.1. *Aligning education and research with RIS3 priorities towards strategic partnerships for innovation*, as associate partners, research institutes and research performing large entities will participate in consultations about the establishment process and all the Observatory activities. All partners, together with associates support, will take part in the WP5 implementation, with the role as indicated in each task.





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### 3. Legal and policy framework

The aim of the Manual is to provide the legal and ethical framework that is relevant for the SEA-EU project. The main frameworks that are analysed are:

1. Human rights
2. Privacy and data protection

The relevance of human rights within SEA-EU is determined by the fact that one of the fundamental principles of ethical research is that the participant's human rights have to be ensured at all times.

The human rights to privacy, protection of personal data, non-discrimination and integrity have been identified as the most relevant ones within the project.

Three different pieces of legislation have been consulted in order to construct this framework:

- Charter of Fundamental Rights of the European Union
- European Convention on Human Rights
- Universal Declaration of Human Rights

The role of this section is to provide a general outlook of the principles that should inspire the activities involving human participants carried out within the project.

The second framework that is analysed within this deliverable is privacy and data protection. The basic framework within the European Union in terms of privacy and data protection is the General Data Protection Regulation (GDPR).

Personal data will be gathered and processed within the project in order to carry out the activities of the project. We do not expect to collect sensitive personal data.

#### 3.1. Human rights

We here address the two human rights that are relevant considering the activities of the SEA-EU project.

##### 3.1.1. Right to integrity

The right to integrity, defined in the following manner, is relevant when considering participants involved in SEA-EU activities will be exposed to, albeit small, risk to physical and mental integrity.

The Charter of Fundamental Rights of the European Union<sup>1</sup> defines this in Article 3:

1. Everyone has the right to respect for his or her physical and mental integrity.
2. In the fields of medicine and biology, the following must be respected in particular:
  - (a) the free and informed consent of the person concerned, according to the procedures laid down by law;
  - (b) the prohibition of eugenic practices, in particular those aiming at the selection of persons;
  - (c) the prohibition on making the human body and its parts as such a source of financial gain;
  - (d) the prohibition of the reproductive cloning of human beings.

While the basic ethical principles to protect human participants from harm come from medical research on human participants, SEA-EU project will involve work with human participants for social and humanities research/educational activities. SEA-EU project will respect the integrity of participants who will contribute time, effort, opinions and personal data for the use by the project.

### 3.1.1. Right to privacy

The right to privacy is addressed by several international instruments.

*Charter of the Fundamental Rights of the European Union*<sup>2</sup> states in Article 7:

Everyone has the right to respect for his or her private and family life, home and communications.

*European Convention on Human Rights*<sup>3</sup> states in Article 8:

1. Everyone has the right to respect for his private and family life, his home and his correspondence.
2. There shall be no interference by a public authority with the exercise of this right except such as is in accordance with the law and is necessary in a democratic society in the interests of national security, public safety or the economic well-being of the country, for the prevention of disorder or crime, for the protection of health or morals, or for the protection of the rights and freedoms of others.

*Universal Declaration of Human Rights*<sup>4</sup> states in Article 12:

<sup>1</sup> Charter of Fundamental Rights of the European Union. [https://www.europarl.europa.eu/charter/pdf/text\\_en.pdf](https://www.europarl.europa.eu/charter/pdf/text_en.pdf)

<sup>2</sup> Charter of Fundamental Rights of the European Union. [https://www.europarl.europa.eu/charter/pdf/text\\_en.pdf](https://www.europarl.europa.eu/charter/pdf/text_en.pdf)

<sup>3</sup> The European Convention on Human Rights. <https://www.coe.int/en/web/human-rights-convention>

<sup>4</sup> Universal Declaration of Human Rights. <https://www.un.org/en/universal-declaration-human-rights/index.html>



No one shall be subjected to arbitrary interference with his privacy, family, home or correspondence, nor to attacks upon his honour and reputation. Everyone has the right to the protection of the law against such interference or attacks

The right to the protection of personal data is also defined in the *Charter of the Fundamental Rights of the European Union* in Article 8:

1. Everyone has the right to the protection of personal data concerning him or her.
2. Such data must be processed fairly for specified purposes and on the basis of the consent of the person concerned or some other legitimate basis laid down by law. Everyone has the right of access to data which has been collected concerning him or her, and the right to have it rectified.
3. Compliance with these rules shall be subject to control by an independent authority.

### 3.2. Data protection

We describe here relevant data protection regulations in order to frame its implications for SEA-EU activities. The examination is focused on the GDPR since this text reflects the newest standard for data protection and includes the main requirements for SEA-EU to lawfully process personal data.

#### 3.2.1. The General Data Protection Regulation (GDPR)<sup>5</sup>

Article 2 the GDPR establishes the material scope of the regulation:

1. This Regulation applies to the processing of personal data wholly or partly by automated means and to the processing other than by automated means of personal data which form part of a filing system or are intended to form part of a filing system.
2. This Regulation does not apply to the processing of personal data:
  - a. in the course of an activity which falls outside the scope of Union law;
  - b. by the Member States when carrying out activities which fall within the scope of Chapter 2 of Title V of the TEU;
  - c. by a natural person in the course of a purely personal or household activity;

<sup>5</sup> Regulation (EU) 2016/679 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 and on the free movement of such data. <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A32016R0679>



- d. by competent authorities for the purposes of the prevention, investigation, detection or prosecution of criminal offences or the execution of criminal penalties, including the safeguarding against and the prevention of threats to public security.
3. For the processing of personal data by the Union institutions, bodies, offices and agencies, Regulation (EC) No 45/2001 applies. Regulation (EC) No 45/2001 and other Union legal acts applicable to such processing of personal data shall be adapted to the principles and rules of this Regulation in accordance with Article 98.
4. This Regulation shall be without prejudice to the application of Directive 2000/31/EC, in particular of the liability rules of intermediary service providers in Articles 12 to 15 of that Directive.

Article 3 established the territorial scope of the regulation:

1. This Regulation applies to the processing of personal data in the context of the activities of an establishment of a controller or a processor in the Union, regardless of whether the processing takes place in the Union or not.
2. This Regulation applies to the processing of personal data of data subjects who are in the Union by a controller or processor not established in the Union, where the processing activities are related to:
  - a. the offering of goods or services, irrespective of whether a payment of the data subject is required, to such data subjects in the Union; or
  - b. the monitoring of their behaviour as far as their behaviour takes place within the Union.
3. This Regulation applies to the processing of personal data by a controller not established in the Union, but in a place where Member State law applies by virtue of public international law.

The SEA-EU consortium is composed of organisations that are based in countries belonging to the European Union, and will process personal data belonging to data subjects also based within those areas for project purposes. In light of the above, the GDPR and its national developments in the different member states constitute the main applicable legislation in terms of personal data.

### *Personal data*

The protection of personal data is considered a fundamental right in the European Union, and its main legal framework consists of the GDPR. Given that SEA-EU does process personal data, a framing of this right is required. First of all, personal data is defined in Article 4 (1) of the GDPR in the following way:

‘personal data’ means any information relating to an identified or identifiable natural person (‘data subject’); an identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person;

The subjects of the data protection rights granted by the GDPR are defined as data subjects, who are natural persons to whom data can be linked. Correctly identifying what data are personal data for data subjects is important for the legal analysis of SEA-EU outcomes and research process. Personal data can be any information that either identifies or allows for the identification of natural persons. The GDPR gives a number of examples but does not provide a comprehensive list. This is due to the fact that even data that seems to not be problematic from a data protection standpoint has proven to allow for the identification of individuals<sup>6</sup>.

The SEA-EU project partners will be processing mainly data coming from:

- Representatives and contact points from members of the Advisory Board.
- Participants involved in the activities carried out within the project.

This Manual includes a Data summary in which an overview of the data processed within the project is provided. Such Data summary includes both personal data and non-personal data. It identifies a number of data points concerning the types of data processed within SEA-EU, such as the following:

- Workpackage within which data will be collected.
- Partner mainly responsible for the collection of the data.

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<sup>6</sup> Arvind Narayanan, Vitaly Shmatikov. How To Break Anonymity of the Netflix Prize Dataset. arXiv:cs/0610105 [cs.CR]. <https://arxiv.org/abs/cs/0610105>

In order to minimize the risks of handling the above data, they can be protected in several ways. One of these is to pseudonymise data, which GDPR defines in Article 4(5):

‘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;

**Pseudonymization** guarantees a lower level of knowledge about an individual to re-identify this person in a database. Depending on the criticality of the database, this technical method of protecting data might be sufficient. It must be emphasized, however, that pseudonymized data remains personal data, and still falls within the scope of the GDPR.

Anonymized data, on the other hand, is not considered personal data by the GDPR. It is defined in Recital 26 of the GDPR:

[...] The principles of data protection should therefore not apply to anonymous information, namely information which does not relate to an identified or identifiable natural person or to personal data rendered anonymous in such a manner that the data subject is not or no longer identifiable. This Regulation does not therefore concern the processing of such anonymous information, including for statistical or research purposes.

**Anonymization** consists of altering the dataset containing personal data in a manner that makes it theoretically impossible to re-identify individuals. There are various ways to alter a dataset, which can consist of grouping individuals according to certain common attributes, deleting certain fields, replacing fields with false data that are similar, making the data less precise, etc. Anonymisation has to be distinguished from pseudonymisation, which makes it more difficult for data to be used for the re-identification of individuals, but not impossible.

The anonymization points and the methods of anonymisation will be discussed among the SEA-EU project partners and implemented to safeguard the rights and freedoms of the data subjects/research participants. Exceptions for the disclosure of information to third parties, beyond the use of informed consent, involve that the personal information is properly



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anonymized in advance. The SEA-EU consortium has decided not to adopt a unified approach to anonymisation and pseudonymisation. Instead, each member of the consortium that has been tasked with implementing such measures will share information on their own procedures.

### *Special categories of data*

SEA-EU may collect sensitive personal data, i.e. those belonging to the categories described in Article 9(1) of the GDPR:

Processing of personal data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs, or trade union membership, and the processing of genetic data, biometric data for the purpose of uniquely identifying a natural person, data concerning health or data concerning a natural person's sex life or sexual orientation shall be prohibited.

If the collection of sensitive personal data becomes important for SEA-EU activities, they will be processed only if the conditions established in Article 9(2) of the GDP apply.

Paragraph 1 shall not apply if one of the following applies:

- a. the data subject has given explicit consent to the processing of those personal data for one or more specified purposes, except where Union or Member State law provide that the prohibition referred to in paragraph 1 may not be lifted by the data subject;
- b. processing is necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law in so far as it is authorised by Union or Member State law or a collective agreement pursuant to Member State law providing for appropriate safeguards for the fundamental rights and the interests of the data subject;
- c. processing is necessary to protect the vital interests of the data subject or of another natural person where the data subject is physically or legally incapable of giving consent;
- d. processing is carried out in the course of its legitimate activities with appropriate safeguards by a foundation, association or any other not-for-

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profit body with a political, philosophical, religious or trade union aim and on condition that the processing relates solely to the members or to former members of the body or to persons who have regular contact with it in connection with its purposes and that the personal data are not disclosed outside that body without the consent of the data subjects;

- e. processing relates to personal data which are manifestly made public by the data subject;
- f. processing is necessary for the establishment, exercise or defence of legal claims or whenever courts are acting in their judicial capacity;
- g. processing is necessary for reasons of substantial public interest, on the basis of Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject;
- h. processing is necessary for the purposes of preventive or occupational medicine, for the assessment of the working capacity of the employee, medical diagnosis, the provision of health or social care or treatment or the management of health or social care systems and services on the basis of Union or Member State law or pursuant to contract with a health professional and subject to the conditions and safeguards referred to in paragraph 3;
- i. processing is necessary for reasons of public interest in the area of public health, such as protecting against serious cross-border threats to health or ensuring high standards of quality and safety of health care and of medicinal products or medical devices, on the basis of Union or Member State law which provides for suitable and specific measures to safeguard the rights and freedoms of the data subject, in particular professional secrecy;
- j. processing is necessary for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes in accordance with Article 89(1) based on Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject.

Taking the above into consideration, the processing of sensitive personal data is not prohibited but subjected to further safeguards. The sensitive data used for research purposes will be processed on the basis of informed consent in all cases. Furthermore, as established in Article 9(2) g) of the GDPR, this type of processing shall be “proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject”. In brief, the management of any special categories of data by the SEA-EU project will be based on one of the requirements stated above and their controllers/processors must establish special security measures for their treatment, which may include anonymization, encryption, strong user authentication, and backup solutions or data erasure.

A summary of the types of sensitive data that are going to be collected within the SEA-EU project can be found in the Data summary section of the Manual. The following information regarding the different types of personal data, including sensitive personal data, collected within the project is provided:

- Type of personal data.
- Partner responsible for data collection.
- Partners or entities with which data are shared with
- Purpose for data processing.
- Basis for processing.
- Workpackage concerned.

The questionnaires that were circulated during the process of elaboration of the Data summary section were intended to raise awareness on the importance of adopting appropriate security measures when processing sensitive personal data. Especially relevant is the purpose for which these data are collected, mainly in terms of complying with the principle of data minimisation, which obliges controllers to only collect the amount of personal data that is strictly necessary for achieving their purposes.

### *Roles*

We describe here roles and corresponding responsibilities of the different actors according to the GDPR and in relation to SEA-EU.

The **data controller** is the key role in data processes involving personal data, as it is the entity that bears most of the responsibility for what happens to personal data. The controller is defined in Article 4(7):



‘controller’ means the natural or legal person, public authority, agency or other body which, alone or jointly with others, determines the purposes and means of the processing of personal data; where the purposes and means of such processing are determined by Union or Member State law, the controller or the specific criteria for its nomination may be provided for by Union or Member State law;

The responsibilities of the controller are defined in Article 24:

1. Taking into account the nature, scope, context and purposes of processing as well as the risks of varying likelihood and severity for the rights and freedoms of natural persons, the controller shall implement appropriate technical and organisational measures to ensure and to be able to demonstrate that processing is performed in accordance with this Regulation. Those measures shall be reviewed and updated where necessary.
2. Where proportionate in relation to processing activities, the measures referred to in paragraph 1 shall include the implementation of appropriate data protection policies by the controller.
3. Adherence to approved codes of conduct as referred to in Article 40 or approved certification mechanisms as referred to in Article 42 may be used as an element by which to demonstrate compliance with the obligations of the controller.

The obligations of the controller include but are not limited to the following:

- Transparent information, communication, and modalities for the exercise of the rights of the data subject (GDPR Article 12).
- Data protection by design and by default (GDPR Article 25).
- Obligation to only use processors providing sufficient guarantees to implement appropriate technical and organisational measures in such a manner that processing will meet the requirements of this Regulation and ensure the protection of the rights of the data subject (GDPR Article 28).
- Records of processing activities (GDPR Article 30).
- Security of processing (GDPR Article 32).
- Notification of a personal data breach to the supervisory authority (GDPR Article 33).
- Communication of a personal data breach to the data subject (GDPR Article 34).
- Data protection impact assessment (GDPR Article 35).

- Prior consultation (GDPR Article 36).
- Designation of the data protection officer (GDPR Article 37).
- Transfers subject to appropriate safeguards (GDPR Article 46).

Article 5 GDPR establishes the situations in which the obligation of keeping records will apply in the following manner:

The obligations referred to in paragraphs 1 and 2 shall not apply to an enterprise or an organisation employing fewer than 250 persons unless the processing it carries out is likely to result in a risk to the rights and freedoms of data subjects, the processing is not occasional, or the processing includes special categories of data as referred to in Article 9(1) or personal data relating to criminal convictions and offences referred to in Article 10.

This means that the SEA-EU partners that will process personal data belonging to special categories will need to keep records of the processing activities that involve data belonging to special categories.

The consequences of not complying with the regulations for controllers are established in Articles from 82 to 84. Data subjects who have their data protection rights harmed as a result of a lack of compliance of the controller have the right to be compensated. Furthermore, violations of the regulation can result in administrative fines and penalties.

The controller is not necessarily the only entity processing personal data. Other entities can also process personal data on behalf of the controller. These are called processors and are defined as such in several GDPR articles. :

Article 4(8): ‘processor’ means a natural or legal person, public authority, agency or other body which processes personal data on behalf of the controller;

The processor does not decide on the purposes or the means to process data themselves, as it is established in Article 28.2, which also asks the processor to not engage other processors without having an authorisation from the controller:

Article 28.2: The processor shall not engage another processor without prior specific or general written authorisation of the controller. In the case of general written authorisation, the processor shall inform the controller of any intended changes concerning the addition or





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replacement of other processors, thereby giving the controller the opportunity to object to such changes.

In order for the terms by which the relationship between the controller and the processor must abide to be as clear as possible, the GDPR has established that the purposes and means of the processing have to be established in a document or other legal act that is binding on the processor.

Article 28.3: Processing by a processor shall be governed by a contract or other legal act under Union or Member State law, that is binding on the processor with regard to the controller and that sets out the subject-matter and duration of the processing, the nature and purpose of the processing, the type of personal data and categories of data subjects and the obligations and rights of the controller.

The terms of such agreement must not be breached by the processor unless Union or Member state law asks them to do so.

Article 29: The processor and any person acting under the authority of the controller or of the processor, who has access to personal data, shall not process those data except on instructions from the controller, unless required to do so by Union or Member State law. As well, controllers must keep records of the processing activities it has carried out on behalf of the controller. Such records need to include a certain number of categories, including information on the data controllers on behalf of which a given processor is processing data, the categories of data being processed, the policy on data transfer and information on technical and organisational security measures.

Article 30.2: Each processor and, where applicable, the processor's representative shall maintain a record of all categories of processing activities carried out on behalf of a controller, containing:

- a. the name and contact details of the processor or processors and of each controller on behalf of which the processor is acting, and, where applicable, of the controller's or the processor's representative, and the data protection officer;
- b. the categories of processing carried out on behalf of each controller;
- c. where applicable, transfers of personal data to a third country or an international organisation, including the identification of that third country or international organisation and, in the case of transfers referred to in the second subparagraph of Article 49(1), the documentation of suitable safeguards;



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- d. where possible, a general description of the technical and organisational security measures referred to in Article 32(1)

The above articles establish the main obligations of data processors. In general, data processors are responsible for supporting the controller in order to comply with the GDPR, not processing data for different purposes or by different means than those established by the controller, keeping records of their processing activities and, in general, abiding by the terms agreed with the controller.

In certain cases involving the processing of a certain amount of personal data, or when the processing is a special kind of entity, the appointment of a Data Protection Officer (DPO) by said entity is required, as per article 37 (1) of the GDPR:

Article 37.1:

The controller and the processor shall designate a data protection officer in any case where:

- a. the processing is carried out by a public authority or body, except for courts acting in their judicial capacity;
- b. the core activities of the controller or the processor consist of processing operations which, by virtue of their nature, their scope and/or their purposes, require regular and systematic monitoring of data subjects on a large scale; or
- c. the core activities of the controller or the processor consist of processing on a large scale of special categories of data pursuant to Article 9 and personal data relating to criminal convictions and offences referred to in Article 10.

The tasks the DPO must ensure are detailed in Article 39 of the GDPR:

1. The data protection officer shall have at least the following tasks:
  - a. to inform and advise the controller or the processor and the employees who carry out processing of their obligations pursuant to this Regulation and to other Union or Member State data protection provisions;
  - b. to monitor compliance with this Regulation, with other Union or Member State data protection provisions and with the policies of the controller or processor in relation to the protection of personal data, including the assignment of responsibilities, awareness-raising and training of staff involved in processing operations, and the related audits;

- c. to provide advice where requested as regards the data protection impact assessment and monitor its performance pursuant to Article 35;
  - d. to cooperate with the supervisory authority;
  - e. to act as the contact point for the supervisory authority on issues relating to processing, including the prior consultation referred to in Article 36, and to consult, where appropriate, with regard to any other matter.
2. The data protection officer shall in the performance of his or her tasks have due regard to the risk associated with processing operations, taking into account the nature, scope, context and purposes of processing.

As part of the SEA-EU data governance, the consortium recognizes that established data protection officers exist at member institutions. The list of appointed DPOs, their respective DPO statements, and their contact details will be included in this manual. The DPOs are tasked with ensuring compliance with the GDPR within their organisations and helping data subjects when they exercise their data protection rights.

#### *Legal basis of processing*

Processing personal data can only be lawful if it is carried out on the basis of one of the following grounds, as defined in the GDPR:

#### Article 6:

Processing shall be lawful only if and to the extent that at least one of the following applies:

- a. the data subject has given consent to the processing of his or her personal data for one or more specific purposes;
- b. processing is necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract;
- c. processing is necessary for compliance with a legal obligation to which the controller is subject;
- d. processing is necessary in order to protect the vital interests of the data subject or of another natural person;
- e. processing is necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller;
- f. processing is necessary for the purposes of the legitimate interests pursued by the controller or by a third party, except where such interests are overridden by the

interests or fundamental rights and freedoms of the data subject which require protection of personal data, in particular where the data subject is a child.

Point (f) of the first subparagraph shall not apply to processing carried out by public authorities in the performance of their tasks.

Consent is a key element in the GDPR. Indeed, in many cases, the processing of personal data is not allowed unless consent is provided; consent thus represents the main key to processing of personal data. People's consent has been taken advantage of during the past, which is why the GDPR strengthened the concept to make sure consent is informed and explicit.

Consent is defined as follows in Article 4(11) of the GDPR:

‘consent’ of the data subject means any freely given, specific, informed and unambiguous indication of the data subject's wishes by which he or she, by a statement or by a clear affirmative action, signifies agreement to the processing of personal data relating to him or her;

The conditions for consent to be valid are defined in Article 7 of the GDPR:

1. Where processing is based on consent, the controller shall be able to demonstrate that the data subject has consented to processing of his or her personal data.
2. If the data subject's consent is given in the context of a written declaration which also concerns other matters, the request for consent shall be presented in a manner which is clearly distinguishable from the other matters, in an intelligible and easily accessible form, using clear and plain language. Any part of such a declaration which constitutes an infringement of this Regulation shall not be binding.
3. The data subject shall have the right to withdraw his or her consent at any time. The withdrawal of consent shall not affect the lawfulness of processing based on consent before its withdrawal. Prior to giving consent, the data subject shall be informed thereof. It shall be as easy to withdraw as to give consent.
4. When assessing whether consent is freely given, utmost account shall be taken of whether, inter alia, the performance of a contract, including the provision of a service, is conditional on consent to the processing of personal data that is not necessary for the performance of that contract.



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**Within SEA-EU, the processing of personal data will be justified exclusively on the grounds of informed consent, which will be given by participants of project activities.** Also, the contact details of members of the AB's are processed on the basis of consent, expressed through the signing of Non-disclosure agreements.

Given that all personal data processed within SEA-EU will be justified on the basis of informed consent, we will ensure that it is given in a manner that is GDPR compliant and in alignment with the principles of the GDPR. **Informed consent sheets and forms will be designed in such a way that consent is effectively given in a free and informed manner.** For them to be able to do so, they will need to contain all that is included in Article 13 of the GDPR:

1. Where personal data relating to a data subject are collected from the data subject, the controller shall, at the time when personal data are obtained, provide the data subject with all of the following information:
  - a. the identity and the contact details of the controller and, where applicable, of the controller's representative;
  - b. the contact details of the data protection officer, where applicable;
  - c. the purposes of the processing for which the personal data are intended as well as the legal basis for the processing;
  - d. where the processing is based on point (f) of Article 6(1), the legitimate interests pursued by the controller or by a third party;
  - e. the recipients or categories of recipients of the personal data, if any;
  - f. where applicable, the fact that the controller intends to transfer personal data to a third country or international organisation and the existence or absence of an adequacy decision by the Commission, or in the case of transfers referred to in Article 46 or 47, or the second subparagraph of Article 49(1), reference to the appropriate or suitable safeguards and the means by which to obtain a copy of them or where they have been made available.
2. In addition to the information referred to in paragraph 1, the controller shall, at the time when personal data are obtained, provide the data subject with the following further information necessary to ensure fair and transparent processing:
  - a. the period for which the personal data will be stored, or if that is not possible, the criteria used to determine that period;

- b. the existence of the right to request from the controller access to and rectification or erasure of personal data or restriction of processing concerning the data subject or to object to processing as well as the right to data portability;
  - c. where the processing is based on point (a) of Article 6(1) or point (a) of Article 9(2), the existence of the right to withdraw consent at any time, without affecting the lawfulness of processing based on consent before its withdrawal;
  - d. the right to lodge a complaint with a supervisory authority;
  - e. whether the provision of personal data is a statutory or contractual requirement, or a requirement necessary to enter into a contract, as well as whether the data subject is obliged to provide the personal data and of the possible consequences of failure to provide such data;
  - f. the existence of automated decision-making, including profiling, referred to in Article 22(1) and (4) and, at least in those cases, meaningful information about the logic involved, as well as the significance and the envisaged consequences of such processing for the data subject.
3. Where the controller intends to further process the personal data for a purpose other than that for which the personal data were collected, the controller shall provide the data subject prior to that further processing with information on that other purpose and with any relevant further information as referred to in paragraph 2.
4. Paragraphs 1, 2 and 3 shall not apply where and insofar as the data subject already has the information.

The aspects underlined in the above article will need to be included within the information sheet and consent/assent form as they are relevant for the project activities.

### *Principles*

Processing personal data in a fair manner that is respectful of the fundamental rights of the data subjects represent the incentives behind the data protection legislation. The first ethical



principles to follow were set out in 1980 by the Organisation for Economic Co-operation and Development<sup>7</sup>, and have served as a baseline for subsequent legislations.

The GDPR has also drawn from these principles, and includes the following, defined in its Article 5 (1) a):

processed lawfully, fairly and in a transparent manner in relation to the data subject (**'lawfulness, fairness and transparency'**);

Lawful processing is that which is carried out on some of the basis for processing established in Article 6.1 of the GDPR.

As for the principles of fairness and transparency, they require that the data subject be informed of the existence of the processing operation and its purposes. Therefore, they have to do with informed consent, as explained in Article 5(1) b) of the GDPR:

collected for specified, explicit and legitimate purposes and not further processed in a manner that is incompatible with those purposes; further processing for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes shall, in accordance with Article 89(1), not be considered to be incompatible with the initial purposes ('purpose limitation');

The principle of purpose limitation implies that data must be collected in order to fulfil certain goals. This is also related to informed consent since data subjects must be informed of the purposes for which their data are going to be processed in order for consent to be considered truly informed and lawful. This is addressed in Article 5(1) c):

adequate, relevant and limited to what is necessary in relation to the purposes for which they are processed ('data minimisation');

The principle of data minimisation establishes that the data collected from data subjects must be kept to a minimum. In other words, no more data should be collected than what is strictly necessary in order to achieve the purpose of the processing, as defined in Article 5(1) d):

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<sup>7</sup> OECD Guidelines on the Protection of Privacy and Transborder Flows of Personal Data.

<http://www.oecd.org/internet/ieconomy/oecdguidelinesontheprivacyandtransborderflowsofpersonaldata.htm>



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accurate and, where necessary, kept up to date; every reasonable step must be taken to ensure that personal data that are inaccurate, having regard to the purposes for which they are processed, are erased or rectified without delay ('accuracy');

Data must be accurate and reflect reality, which needs to be judged in relation to the purposes of the processing. The main way in which this principle is enforced in the GDPR is the rights of the data subject, who can ask the controller to erase or rectify the data that it has regarding the data subject, as defined in Article 5(1) e):

kept in a form which permits identification of data subjects for no longer than is necessary for the purposes for which the personal data are processed; personal data may be stored for longer periods insofar as the personal data will be processed solely for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes in accordance with Article 89(1) subject to implementation of the appropriate technical and organisational measures required by this Regulation in order to safeguard the rights and freedoms of the data subject ('storage limitation');

**The principle of storage limitation establishes that personal data should not be kept for any longer than is reasonable for achieving the purposes for which they were collected in the first place.** The period can be longer if the data are being processed for one of the purposes in Article 89 GDPR (public interest, scientific or historical research purposes, and statistical purposes), which could be the case for SEA-EU as raw data sets may be collected and shared with other researchers for research purposes. However, that does not exempt the controller from putting in place technical and organisational measures aimed at safeguarding the rights and freedoms of the data subject. That is especially true for the **sensitive data collected during the project that will be subject to further security measures.**

**In the case of SEA-EU, the data retention period will depend on the policy in of each member organisation on how long to keep personal data, which will be reflected in the consent forms.** General agreement of SEA-EU project partners is to keep to data for 5 years after the end of the project, as specified in Section 6. (Data security) of the manual. The general advice is to delete data as soon as they do not need it so risks for the research participants' data protection rights can be kept to a minimum.



The principle of storage limitation obliges controllers to justify their data retention period on the grounds of utility, as defined in the GDPR:

Article 5(1) f) : processed in a manner that ensures appropriate security of the personal data, including protection against unauthorised or unlawful processing and against accidental loss, destruction or damage, using appropriate technical or organisational measures ('integrity and confidentiality').

Article 5.2: The controller shall be responsible for, and be able to demonstrate compliance with, paragraph 1 ('accountability').

The GDPR asks the data controller to consider data protection by design and by default when developing a technology or service which requires the use of personal data, as defined in

Article 25:

Taking into account the state of the art, the cost of implementation and the nature, scope, context and purposes of processing as well as the risks of varying likelihood and severity for rights and freedoms of natural persons posed by the processing, the controller shall, both at the time of the determination of the means for processing and at the time of the processing itself, implement appropriate technical and organisational measures, such as pseudonymisation, which are designed to implement data-protection principles, such as data minimisation, in an effective manner and to integrate the necessary safeguards into the processing in order to meet the requirements of this Regulation and protect the rights of data subjects.

We are of the opinion that this Manual aims to comply with the principles of data protection by design and by default since it aims to raise awareness of the potential issues that the project can create. This Manual is also aimed at addressing the issues of personal data protection at an early stage in order to improve the level of legal compliance and ethical awareness in observance of the principle of "data protection by design and by default".

### *Other relevant requirements in the GDPR*

#### *Security*

Ensuring the security of personal data from misuse or abuse is an essential aspect of data protection legislation. The GDPR addresses security in Article 32(1):



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Taking into account the state of the art, the costs of implementation and the nature, scope, context and purposes of processing as well as the risk of varying likelihood and severity for the rights and freedoms of natural persons, the controller and the processor shall implement appropriate technical and organisational measures to ensure a level of security appropriate to the risk [...].

All SEA-EU project members are higher education institutions who have well established security measures related to personal data collected in relation to educational activities and research.

### Breaches

The GDPR establishes the obligation for controllers to notify the competent supervisory authority in the event of a data breach, as defined in Article 33(1):

In the case of a personal data breach, the controller shall without undue delay and, where feasible, not later than 72 hours after having become aware of it, notify the personal data breach to the supervisory authority competent in accordance with Article 55, unless the personal data breach is unlikely to result in a risk to the rights and freedoms of natural persons. Where the notification to the supervisory authority is not made within 72 hours, it shall be accompanied by reasons for the delay.

The GDPR defines personal data breaches in Article 4(12):

1. 'personal data breach' means a breach of security leading to the accidental or unlawful destruction, loss, alteration, unauthorised disclosure of, or access to, personal data transmitted, stored or otherwise processed;

The GDPR does not establish a very specific requirement for achieving compliance. Instead, it gives a considerable degree of autonomy in the implementation process, which makes the regulation able to still be useful after technological change has taken place. However, that also creates a certain degree of legal uncertainty. The SEA-EU project member institutions have in place all the necessary measures to avoid data breaches from happening (data security) and follow the requirements established by the GDPR in the event of data breach, as outlined in section 6 (Data security) of this Manual.



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### Transfer to third countries or international organization

The SEA-EU project may involve personal data transfers to third countries or international organizations, such as collaboration with countries in north Africa through other projects that promote cooperation with non-European countries (Subtask 6.7.4).

The transfer of personal data to third countries is addressed in the Article 44 of GDPR:

Any transfer of personal data which are undergoing processing or are intended for processing after transfer to a third country or to an international organisation shall take place only if, subject to the other provisions of this Regulation, the conditions laid down in this Chapter are complied with by the controller and processor, including for onward transfers of personal data from the third country or an international organisation to another third country or to another international organisation. All provisions in this Chapter shall be applied in order to ensure that the level of protection of natural persons guaranteed by this Regulation is not undermined.

Therefore, the GDPR obliges controllers and processors to put in place safeguards when personal data is to be transferred outside of the European Union and the EEA (European Economic Area). At this stage of the project activities, the SEA-EU consortium cannot provide the definitive list of countries with which data may be transferred. In case such transfer occur, the project partners will explore the different options that are compliant with the GDPR:

1. Option: Standard data protection clauses
  - a. Approval of supervisory authority needed: No – GDPR Article 46(1)
  - b. Further requirements: None
2. Option: Contractual clauses
  - a. Approval of supervisory authority needed: Yes – GDPR Article 46(3)
  - b. Further requirements: None
3. Option: Binding corporate rules
  - a. Approval of supervisory authority needed: Yes – GDPR Article 47(1) and Article 47(2)
  - b. Further requirements: 1) All the information established in Article 47.2 GDPR must be included within the binding corporate rules; 2) A member of the consortium based in the EU would have to accept liability for data breaches caused by the one based outside of the Union.



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4. Option: Explicit consent

- a. Approval of supervisory authority needed: No – GDPR Article 49(1) a)
- b. Further requirements: Research participants must be informed of the risks involved given the absence of adequacy decision and adequate safeguards.

5. Option: Special cases (legitimate interest)

- a. Approval of supervisory authority needed: No – GDPR Article 49(1)
- b. Further requirements: 1) The data controller must inform the supervisory authority; 2) Aside from the information that needs to be given to data subjects according to Articles 13 and 14, the controller will also need to inform the data subject about the transfer and the compelling interest pursued.

The SEA-EU consortium will adopt an approach that suits the circumstances of the project and that provides an adequate level of data protection as well.



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## 4. Data summary

This section provides information about the character of the data collected and/or generated by the project partners. As the data generation takes place in WPs led by different partners, data descriptions are specific to the WPs responsible for data collection and/or generation.

### 4.1. Purpose of data collection/generation

The overall aim of data collection within the project is to contribute to the project objectives, including promotion of 'education without borders' between institutions, disciplines and sectors, the internationalisation of curricula, students and staff, automatic academic recognition of foreign qualifications and learning periods, design of joint programmes of study, and openness to all levels of learning, including lifelong learning. For this purpose, each WP is dedicated to the following types of data collection/generation:

#### WP 1 – Management of the SEA-EU project

The data collected will serve to effectively support the SEA-EU partners during the project, in administrative, technical and financial terms and oversee management within the project and beyond for the following purposes:

- To generate the new management and operational structures required for the functioning of SEA-EU
- To oversee all SEA-EU training/education activities and guarantee their quality and alignment between partners
- To monitor all SEA-EU research/innovation/transfer activities, and guarantee their quality, coherence and feed back into educational practice
- To ensure the timely completion of planned project outputs and outcomes, in line with guidelines from the EACEA Agency, the Project Contract and the Consortium Agreement
- To provide up-to-date reporting of the project main outcomes for EACEA Agency and external actors
- To warrant efficient interactions between partners and committees both virtually and physically
- To conduct the internal and external analyses and evaluations needed to assure the optimal quality of the project implementation through all of its phases



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- To monitor the conformity to ethical, gender and inclusion requirements of the project, including the implementation of the Human Resources Strategy for Researchers (HRS4R)
- To set up a group of experts and key stakeholders providing advice and guiding the project progression and implementation.

## **WP 2 – Working for development of joint educational policies and procedures: recognition of qualifications**

Personal data will be collected for the purpose of:

Development of joint educational policies and procedures

- Registering participants for workshops, seminars and desk research
- Selecting and managing the Project Expert Group
- Meeting with the Ministry in charge of Higher Education

Creating a cluster of researchers

- Collecting data about research areas linked to research groups
- Mapping of research fields
- Preparing SEA-EU research agenda
- Managing intellectual property rights

Preparation and implementation of the SEA-EU European University card

- Registering participants for workshops, experts meetings, stakeholders meetings, and recording attendance,
- Undertaking surveys, interviews and focus groups required to implement the card,
- Processing personal data for testing and piloting the operation of the card,

Mapping of services, databases and infrastructure

- Collecting data concerning services and researchers
- Registering participants for research meetings, records attendance
- Managing intellectual property rights

Mapping the social-economic sectors

- Registering participants of meeting with students and employers, expert meetings, stakeholders meetings
- Performing surveys, interviews and focus groups required to implement the job seeking platform



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### WP 3 – Strengthening the European identity across the SEA-EU alliance

Personal data will be collected for the purpose of:

Promotion:

- Identify the SEA-EU ambassadors

Analyse:

- Identify the indicators of real mobility. Personal data will be collected when people will participate in mobility, *i.e.* for staff when registering to the 'Staff weeks' through SEA-EU website online form, or, for student when participating to short-term mobilities. Similarly, the action done around Family mobility will necessitate to collect personal data. Compilation of student and staff data will be collected among partners to set up a survey of realised mobility (OP3.4, OC3.2, OC3.3). Each partner will send mobility data (anonymised Mobility Tool extraction) regarding student and staff mobility to WP3 leader for overall analysis.
- Identify the indicators of virtual mobility

Keep on record:

- Collection the information on each event
- Testing the feedback mechanism
- To register participants
- To record all the events, meetings etc.
- To register the attitude of participants through surveys, interviews etc.

Linking to society:

- Recognition of the ECTS for student engagement
- The SEA-EU Observatory for Migrations and Human Rights will necessitate the collection of law and humanities data, that may include some personal data. The Observatory might also have to conduct survey and interview for research purpose.

Connection:

- To create the network of SEA-EU people involved in specific topics (real mobility, virtual mobility etc.)

All the WP3 data will be collected in agreement with GDPR.

### WP 4 – Supporting European values based on students and staff creativity and engagement

Personal data that will be collected will serve to, among others:







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- analyse the educational offers across the SEA-EU alliance to scope for opportunities to flexibly integrate study programs at all levels (Bachelor, Master, Doctoral)
- promote interdisciplinarity throughout the SEA-EU alliance
- establish a Service Learning Observatory
- identify interest in participating in workshops, conferences, sabbaticals, trainings, MOOCs/SOOCs etc.

These personal data include, for example, registration information on mobile students and staff members participating in exchanges (courses, summer schools, staff weeks, etc). Intellectual property pertaining to online resources and lectures (videos, photos, pre-published materials, etc) will be properly accredited. The information will support the implementation of the tasks outlined in the Quality Manual.

## WP 5 – Making the quintuple helix a reality

Personal data will be collected for the purpose of:

### Education

- To register participants (students, staff) for trainings and to record attendance
- To select and manage student's participation in summer practice in companies and international msc, in hackatons and living labs
- To measure and improve the quality of training
- To record results of informal and informal learning and award the corresponding certificates

### Research

- To perform surveys, interviews and focus groups required for producing the reports, establishing the Observatory for Sustainable Blue Growth
- To register participants for workshops and record attendance
- To manage intellectual property rights

### Networking

- To create and foster networks and study groups involving stakeholders from universities, research institutes, companies, civil society and NGO's
- To register and record attendance of meetings

### Dissemination

- To inform the public and promote SEA-EU

### Sustainability







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- To create joint mission-based funding for collaborative research and innovation and start pilot activities

## **WP6 – Sustainability and Dissemination**

Personal data will be collected for the purpose of:

- Allocation and recruitment of staff to work on the SEA-EU project.
- /) - MSCA IF, ITN, ERC Synergy Grants, EMFF, ESIF.
- Creation of marine & maritime clusters and platforms.
- Town twinning agreements (local events ex maritime festivals etc.). Organisation of SEA-EU events.
- Associated partners - internships and work placements - suggesting areas for research.
- Formation of Innovation Dissemination Units in each partner country.
- Staging events and activities that connect with the public.
- Staging events and activities that connect with stakeholders.
- Science communicators and academics from one university will travel to other universities to co-organise training workshops.
- Staging STEAM activities, school visits, science cafes, science and film nights and citizen science projects, seminars, summer schools, European Researcher's Night.
- Organising scientific cruises and summer schools (including science communication training) on board of the research vessels within SEA-EU - for more collaborative research and dissemination activities.

### **Anonymous aggregated research data**

- SEA-EU surveys to identify and remove bottlenecks that prevent or discourage such mobilities.

### **Research data: outreach indicators**

- Throughput data on SEA-EU activities from newspapers, magazines, TV, radio stations for indicators of dissemination activity.

### **Open access resources : potential secondary use of research data**

- Open access and open data in education and research.
- Universities to deposit pre-publication material in our Libraries.
- Consolidated repository of scholarship and data plus other resources for students of each of the six universities.

### **Potential sharing of secondary data with non-EU partners**



- North Africa: PRIMA, INTERREG and H2020 (Vision2020 event) that promotes cooperation with non-European countries.

#### 4.2. Types of collected or generated data

To meet the objectives of the project, it is necessary for the project partners, i.e. members of the alliance to generate the data presented in the list below. The list presents the types of data collected by each project partner.

The sub-committee responsible for quality and ethics, i.e. the Quality and Ethics Subcommittee manager, manages data generated by the respective WPs and makes data available to all partners using a secure internal platform hosted and managed by UNIST.

The list of data generated by each project partner:

#### **UNIVERSITY OF CADIZ**

Type of data	Processed or produced?	Personal data?	Sensitive data?*	WP/Task concerned	Purpose	Ethics approval needed
Non-disclosure agreements	Yes	Yes	No	1.1 1.3 1.5 6.3	Recruit and identify members of the Advisory Board/ Staff	No
Consent forms	Yes	Yes	No	1.1.2; 1.2.4 2.2.12; 2.4 2.6; 3.1 3.2;3.4 5.4;6.3; 6.5	Staff Recruitment procedures Participating in cultural events	No
Questionnaires	Yes	Yes	Maybe (concerning disability, allergies, food/halal/kosher)	1.4 2.2; 2.4 3.1;3.2 5.4; 6.3; 6.5	Enrolment and mobilities Participating in cultural events	Maybe

Images	Yes	Yes	No	1.3 3.1,3.2;3.4 4.3 5.2; 5.4; 6.5	Dissemination and various events	No
Audio files	Yes	YES	YES	1.3 4.3	Recording of meetings	No
Video files	No			3.1; 3.2 4.3 5.4; 6.5		No
Documents (Deliverables, reports).	Yes	Yes	Maybe (concerning health status)	All		No
Software	No					No
Contact details	Yes	Yes	No	1.1 1.3 3.1;3.2 5.4; 6.3; 6.5	Communication	No

### UNIVERSITY OF GDANSK

Type of data	Processed or produced?	Personal data?	Sensitive data?*	WP/Task concerned	Purpose	Ethics approval needed
Non-disclosure agreements	Yes	Yes	No	1.1, 2.3, 2.5, 5.3, 6.3,	Data protection	No
Consent forms	Yes	Yes	No	1.1, 2.4, 2.6, 3.1, 3.2. 4.1, 5.3, 6.2, 6.5, 6.6,	Data Protection	No
List of Attendances	Yes	Yes	No	1.1, 1.3, 1.4, 2.2, 2.4, 2.5, 2.6, 3.1, 3.1, 4.4, 4.5, 4.6, 5.4, 5.5, 5.6, 6.2, 6.5	For record purpose	No
Questionnaires	Yes	Yes	No	1.1, 2.2, 2.3, 2.5, 2.6, 3.1, 4.1, 6.1,	Collecting the information	No



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Images	Yes	Yes	No	1.1, 1.3, 2.2, 2.4, 2.6, 3.1, 3.2, 4.1, 4.2, 4.3, 4.4, 4.5, 4.6, 5.4, 6.1, 6.2, 6.3, 6.4, 6.5, 6.7,	To record the meetings etc.	No
Audio files	Yes	Yes	No	2.2, 2.4, 2.6, 4.3, 6.4,	To record the meetings etc.	No
Video files	Yes	Yes	No	1.1, 1.3, 1.4, 1.5, 2.2, 2.4, 2.6, 3.1, 3.2, 4.1, 4.2, 4.3, 4.4, 4.5, 4.6, 5.4, 6.1, 6.2, 6.3, 6.4, 6.5, 6.7,	To record the meetings etc.	No
Documents (Deliverables, reports, Manual, power point, white paper, policy paper).	Yes	Yes	No	1.1, 1.2, 1.3, 1.4, 1.5, 2.2, 2.3, 2.4, 2.5, 2.6, 3.1, 3.2, 4.1, 4.2, 4.3, 4.4, 4.5, 4.6, 5.1, 5.2, 5.3, 5.4, 5.5, 5.6, 5.7, 6.1, 6.2, 6.3, 6.4, 6.5, 6.6, 6.7,	Keep on record	No
Software	No	No	No	No	No	No
Portal/Platform	Yes	Yes	No	2.3, 2.5, 2.6, 3.1, 6.6,	Dissemination, create the data base	
Contact details	Yes	Yes	No	1.1, 1.3, 1.4, 1.5, 2.3, 2.4, 2.5, 2.6, 3.1, 3.2, 3.4, 4.1, 4.2, 4.3, 4.4, 4.5, 5.1, 5.2, 5.3, 5.4, 5.5,	Network/Com munication	No

5.6, 5.7, 6.1,  
6.2, 6.3, 6.4,  
6.5, 6.6, 6.7

### UNIVERSITY OF BRETAGNE OCCIDENTALE

Type of data	Processed or produced?	Personal data?	Sensitive data?*	WP/Task concerned	Purpose	Ethics approval needed
Non-disclosure agreements	Yes	Yes	No	WP 1	Information protection	No
Consent forms	Yes	Yes	No	WP 3.1., 3.3., WP 3.4.	Open access to virtual resources, Establishment of the Observatory, Recognition ECTS, volunteer program	No
Questionnaires	Yes	Yes	No	WP 3.1., WP 3.3., WP 3.4., All other WP's	Record different perspective from SEA-EU partners	No
Images	Yes	Yes	No	WP 3.2., All other WP's	Promotion	No
Audio files	Yes	Yes	No	WP 3.3., All other WP's	Promotion, Radio program	No
Video files	Yes	Yes	No	WP 3.1., All other WP's	Virtual mobility	No
Documents (Deliverables, reports).	Yes	Yes	No	WP 3.1., WP 3.2., WP 3.3., All other WP's	Keep on record, Promotion	No
Software	Yes	Yes	No	/	/	No



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Contact details	Yes	Yes	No	WP 3.3., 3.4	Network for Obsrvatory, for Volunteer program	No
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## UNIVERSITY OF KIEL

Type of data	Processed or produced?	Personal data?	Sensitive data?*	WP/Task concerned	Purpose	Ethics approval needed
Non-disclosure agreements	No					
Consent forms	Yes	Yes	No	WP 4.1., WP 4.2, WP 4.3., WP 3.5.	Joint SEA-EU programmes, joint online seminars	No
Questionnaires	Yes	Yes	Yes	WP 4.1., WP 4.2., WP 4.3., WP 4.4., WP 4.5., WP 4.6	Joint SEA-EU programmes	Yes, if data are not collected anonymously
Images	Yes	Yes	No	WP 4.3.	Online publication	No, consent forms will be signed
Audio files	Yes	Yes	No	WP 4.3.	Online publication	No, consent forms will be signed
Video files	Yes	Yes	No	WP 4.3.	Online publication	No, consent forms will be signed
Documents (Deliverables, reports).	Yes	Yes	No	WP 4.1., WP 4.2., WP 4.3., WP 4.4., WP 4.5., WP 4.6.	Joint SEA-EU programmes	No
Software	No					
Contact details	Yes	Yes	No	WP 4.1., WP 4.2., WP 4.3.,	Joint SEA-EU programmes	No

WP 4.4., WP  
4.5., WP 4.6

### UNIVERSITY OF SPLIT

Type of data	Processed or produced?	Personal data?	Sensitive data?*	WP/Task concerned	Purpose	Ethics approval needed
Non-disclosure agreements	Yes	Yes	No	1.1. 5.7.	Recruit and identify members of the organization structures	No
Consent forms	Yes	Yes	No	1.1., 2.3, 4.1,4.6 5.2.,5.3..5.6.	Research purposes	No
List of Attendances	Yes	Yes	No	1.1., 2.2.,2.4., 3.1,3.2., 4.4.,4.5.,4.6, 5.1,5.2.,5.4.,5.6	Yes	No
Questionnaires	Yes	Yes	No	1.1.,2.1.,2.3., 2.5.,2.6., 3.1.3.3.4.1, 5.1.,5.2.,5.3.,5.5 .5.6.,6.1.	Research purposes	No
Images	Yes	Yes	No	1.1,-1.5; 2.1,2.6., 3.1.- 3.3., 4.1.- 4.6.,5.1.-5.7., 6.1.-6.6.	Research and dissemination purposes.	No
Audio files	Yes	Yes	No	5.1.-5.7.		No
Video files	Yes	Yes	No	1.1,-1.5; 2.1,2.6., 3.1.- 3.3., 4.1.- 4.6.,5.1.-5.7., 6.1.-6.6.		
Documents (Deliverables, reports, Manual, power point, white	Yes	Yes	No	1.1,-1.5; 2.1,2.6., 3.1.- 3.3., 4.1.- 4.6.,5.1.-5.7., 6.1.-6.6.	Monitoring of project activities	No





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paper, policy paper).						
Software	No					
Portal	Yes	Yes	No	2.3, 2.5., 5.6	Dissemination	No
Contact details	Yes	Yes	No	1.1,-1.5; 2.1,2.6., 3.1.- 3.3., 4.1.- 4.6.,5.1.-5.7., 6.1.-6.6.	Communication	No

### UNIVERSITY OF MALTA

Type of data	Processed or produced?	Personal data?	Sensitive data?*	WP/Task concerned	Purpose	Ethics approval needed
Non-disclosure agreements	Yes	Yes	No	6.3	To protect confidential information from being made available to external parties	No
Consent forms	Yes	Yes	No	6.1; 6.2; 6.4; 6.5	Legal, Ethical and Data Protection	No
List of Attendances	Yes	Yes	No	6.2; 6.3; 6.5	For record purpose	No
Questionnaires	Yes	No	No	6.1	To collect data	No
Images	Yes	Yes	No	6.1 - 6.7	Dissemination	No
Audio files	No	No	No	no	no	no
Video files	Yes	Yes	No	6.1 - 6.7	Dissemination	No
Documents (Deliverables, reports, Manual, power point, white paper, policy paper).	Yes	Yes	No	6.1 - 6.7	Keep on record and evaluation	No
Software	No	No	No	No	No	No
Portal	Yes	Yes	No	6.6	Dissemination	No
Contact details	Yes	Yes	No	6.1 - 6.7	Communication	No



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### *Types and formats of data collected*

Here is the list of the data collected: Non-disclosure agreements, Consent forms, List of Attendances, Questionnaires, Images, Audio files, Video files, Documents (Deliverables, reports, Manual, White Paper, Policy Papers), Contact details, Timesheets, Portal... Personal and professional data will be collected by means of application forms, agreements, mobilities, work contracts, access card, evaluation reports, exams, videoconferences, etc.

### *Origin of the data*

The project will generate new data. The possible origin of the project data will be: records of the focus groups, records of the workshops, collected survey data, records of stakeholder meetings. The data will be collected directly from the users or from the database of the SEA-EU partners

### *Size of the data*

The size of the data is unknown at this stage of the project. The total size is dependent on the formats in which data is stored, which is decided by each partner institution. It will include a transcript, survey data.

Although the size of the data is still unknown (we don't know how big the sampling will be), the type of data that we will be collecting states as follows:

- Identifying data (full name, ID card)
- Professional Data (position, time of service, telephone number, email, title)
- Images
- Audio
- Academic Data (marks, evaluations, exams, diplomas)
- Bank details for registration fee and payroll purposes
- Contact detail (address, personal email and telephone)

### *Data utility*

Collected data will be relevant for universities and other institutions in which programs specific to marine and maritime disciplines are being developed and implemented. The data generated by this project will be useful also for other disciplines and developments at the universities, as well as for different stakeholders engaged in the sustainability of the sea and of coastal and maritime communities.





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*For whom will collected data be relevant?*

The data collected will be mainly interesting for the universities of the SEA-eu alliance. Regional and National Public Administration related will also be informed.

*How will data be presented?*

Data will be presented according to the specification in the grant agreement. As much as possible, data will be presented in open access, unless this access is restricted according to the rules of personal data protection. in pdf or jpg formats but rarely in open. Some listings, photographs or videos may be published on our website when appropriate and when full consent for the particular purpose is obtained.

*What will be done in each WP/partner that needs ethical consideration?*

Data regarding health status is considered to be sensitive, especially concerning disability. For these cases, prior consent from the subscribed person will be required. Data processing for the main purpose of identifying ideology, trade union membership, religion, sexual orientation, beliefs or racial or ethnic origin of the subject will not be admissible.

Data will be kept only for as long as it is necessary for the purposes for which it was collected and processed and for determining the potential liabilities that may arise from them and for the data processing itself. Besides the periods laid down by the current legislation on Archives and Documentation will also be respected, that is, for as long as legal effects may derive from them.





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## 5. FAIR data

The project will be guided by FAIR data principles for public data, where possible.

### ***Findable data***

Public data generated by the project will be made available, and measures will be taken to facilitate the findability of data by outside users. The respective project partners and WPs are responsible for marking data and making available necessary documentation.

- Discoverability of data

All public data will be available through the project website ([www.sea-eu.org](http://www.sea-eu.org)). Data and documentation can be discovered through conventional search engines, the project homepage. Consistent naming conventions will be followed to aid the discoverability of data packages and related documentation.

- Identifiability of data

Data will be sorted by project partners (WPs) and labelled for easy identification.

- Naming conventions (Name and number of the deliverable)

All data and documentation files will be named in line with the following template: Name of the WP, name of the task, type of the documentation, name and number). The type of documents re: R – Report, D - Demonstrator/Prototype, P- Policy paper, E – Event, O - Other (e.g. methods, experiences)

- Search keywords

Each document file will have a set of keywords.

- Version labelling

Versions of documents will be clearly identified.

- Metadata creation

Metadata for each document will include the version of the document, data, modification and persons who modified the document.



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### ***Accessible data***

- Ethical concerns related to data accessibility

All non-sensitive data generated by the project will be publicly available at the project web site and partners' websites. Additionally, internal data protection guidelines and further ethical consideration are presented and elaborated further in the Manual.

- Software requirements for access

Internal platform of the communication (that will be defined by the project coordinator under the WP 1, Task 1.3. Consortium meetings and information flow)

### ***Making data interoperable and reusable***

The reusability of the data will be secured by clearly marking data, and supplying documentation on methods used in the collection and preparation of data. The relevant WP leaders are responsible for ensuring adequate and precise documentation. All documentation created in data collection will be stored and made available to the extent that this does not breach data regulations outlined in this Manual.

- Increasing data re-use

Non-restricted data will be made publicly available upon quality assurance.

- Quality assurance

Data quality is the responsibility of the respective WP leaders/project partners. The overall quality assurance mechanisms are described in the SEA-EU Quality Manual.

### ***Allocation of resources***

No additional costs will be associated with making the collected/generated data FAIR.



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## 6. Data security

Each SEA-EU partner is responsible for complying with the Regulation (EU) 2016/679 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 and the free movement of such data (GDPR) when collecting and processing data within WPs. This includes the obligation of each partner to pertain to the following rules related to the protection of data subjects:

- to provide, on request of the data subject, details of personal data that are processed, the purpose for which it is processed, the recipients of processed data, the existence of any automated decision making involving and existing safeguards regarding data transfer,
- to rectify, on request of the data subject, collected personal data,
- to delete, on request of the data subject, personal data if further processing is not justified,
- to transfer the personal data on the request of the data subject.

Additionally, data subjects have a right to object to automated decision-making and profiling based on legitimate interest or the performance of a task in the public interest, object to direct marketing from, and object to processing for purposes of scientific, historical research and statistics.

All project partners commit to following the general guidelines:

- collected data will be stored for a maximum period of 5 years after the project finishes or for as long as it is necessary to fulfil with the purposes and the legal obligations of each participant in compliance with the Archives and Documents regulation.
- security and timely deletion of locally stored sensitive data is the responsibility of the relevant project partner, i.e. WP leader.

In the case of data breach, affected parties will be contacted, and data will be temporarily removed from the compromised storage. All measures to mitigate the risk of data breach will be taken for the purpose of protecting the personal data. Standard measures such as data backup and sound computer security practices will be used to ensure data security.

Long term data preservation will comply with GDPR. It is the responsibility of the WP leaders to ensure that sensitive data is secured, and is deleted following the general guidelines.

All partner organisations confirm that they meet GDPR requirements and have taken required data protection measures. This Manual provides statements of compliance from the Data



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Protection Officers or relevant organisational representatives at each partner-organisation involved in data collection, processing and storage.

### *Protection of personal data*

During the project, the partner-organisations will collect and share data with the other project partners. All data, including personal data will be shared and stored on a secured platform. The specifics of data sharing will be defined in Data Sharing Agreement.

The partner-organisation that collects personal data for the project warrants that it has obtained the personal data with due observance of the rights of the registered persons and in compliance with all applicable laws and regulations.

The partner-organisation that contribute with personal data to the other partners' warrants that it has the authority to disclose the personal data to the other partners. As each of the partner-organisation receives the personal data for self-standing purposes, they will all be individually Data Controller. When disclosing personal data, the disclosing partner-organisation must follow the rules and procedures for disclosure of personal data at partners' own institution.

During the project, the partners process personal data. As each partner is Data Controller for their own data processing, they are responsible for ensuring that their data processing is in accordance with the GDPR and internal rules. As all partner-organisations involved in data collection are data controllers, no specific Data Protection Agreement between data processors and data controllers will be needed. The statements of the partner-organisation DPOs, provided in this Manual, replace the envisaged Data Protection Agreement. In all other cases in which the data processor is included, DPA will be signed.







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## 7. Ethics considerations

The SEA-Eu project's partners have pledged to respect the highest standards of research integrity as set out in the European Code of Conduct for Research<sup>8</sup>. Notably, this implies compliance with the following essential principles:

- Honesty;
- Reliability;
- Objectivity;
- Impartiality;
- Open communication;
- Duty of care;
- Fairness; and
- Responsibility for future science generations.

This means that SEA-EU partners must ensure that persons carrying out research tasks:

- Present their research goals and intentions in an honest and transparent manner;
- Design their research carefully and conduct it in a reliable fashion, taking its impact on society into account;
- Use techniques and methodologies (including for data collection and management) that are appropriate for the field(s) concerned;
- Exercise due care for the subjects of research — be they human beings, animals, the environment or cultural objects;
- Ensure objectivity, accuracy and impartiality when disseminating the results;
- Allow — as much as possible and taking into account the legitimate interest of the beneficiaries — access to research data, in order to enable research to be reproduced;
- Consider the potentially sensitive nature of the research and refrain from publishing or disseminating research results, datasets or protocols that might be misused, infringe on the rights of others or cause harm to the persons involved;
- Make the necessary references to their work and that of other researchers;
- Refrain from practicing any form of plagiarism, data falsification or fabrication;

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<sup>8</sup> All European Academies. The European Code of Conduct for Research Integrity. <https://www.allea.org/wp-content/uploads/2017/03/ALLEA-European-Code-of-Conduct-for-Research-Integrity-2017-1.pdf>



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- Avoid double funding, conflicts of interest and misrepresentation of credentials or other research misconduct.

Considering the fact that the project will collect data involving human participants in higher educational setting, SEA-EU will follow the ethical principles outlined for social sciences and humanities in the EU<sup>9</sup>:

- respecting human dignity and integrity
- ensuring honesty and transparency towards research subjects
- respecting individual autonomy and obtaining free and informed consent (as well as assent whenever relevant)
- protecting vulnerable individuals
- ensuring privacy and confidentiality
- promoting justice and inclusiveness
- minimising harm and maximising benefit
- sharing the benefits with disadvantaged populations, especially if the research is being carried out in developing countries
- respecting and protecting the environment and future generations.

While all EU members states have established structures for medical research involving humans, as well as for research on animals, in some countries formal ethics approval is not required for research in social sciences and humanities involving humans. Social science and humanities research often involves working with human participants and particular methodological tools (e.g. surveys, questionnaires, interviews, standardised tests, direct observation, ethnography, recordings, experiments with volunteers, and sometimes physical interventions).

During the consultations, the SEA-EU partners identified activities for which they would need ethics approval from their institution, as presented in the tables related to individual partners in the Section 4. Data summary of this Manual:

- University of Cadiz: for questionnaires related to enrolment and mobilities (ethics approval may be required for some of these activities)

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<sup>9</sup> Ethics in Social Science and Humanities. EU, October 2018.

[https://ec.europa.eu/research/participants/data/ref/h2020/other/hi/h2020\\_ethics-soc-science-humanities\\_en.pdf](https://ec.europa.eu/research/participants/data/ref/h2020/other/hi/h2020_ethics-soc-science-humanities_en.pdf)



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Given the need for a significant number of authorisations/approvals to be obtained prior to the start of the research activities raising ethics issues, a centralised monitoring table will be set up at the coordinator level. Its content will be updated by the coordinator for all the partners on the regular basis, monitored by the Quality and Ethics Subcommittee.

The table will contain the following information per partner concerned:

- Planned start of the activity raising ethics issues,
- Type of the approval needed,
- Submission date to the relevant ethics committee/body,
- Receipt date of the approval and expiration date,
- Actual start date of the research activity,
- Brief explanation if any delay occurred and confirmation that concerned beneficiary has not started relevant research activity until the approvals/authorisations are in place.

Template of the table is in **Appendix 1**.

The research coordinator at the project partner must then undertake the research in strict accordance with the ethical approval received. The Quality and Ethics Subcommittee will advise the research coordinator of the correct procedures.

A copy of the Research Ethics Protocol with the task number (Cover Sheet, Questionnaire/ Interview Guide, Consent Form, Information Sheet, Dataset Description Form, and any other documents) shall be submitted to the Quality and Ethics Subcommittee.

The following templates for the research ethics protocol will be developed before the onset of activities that require ethics approval at the partner institutions.

- Research Ethics Protocol Cover Sheet;
- Informed Consent Form;
- Information Sheet;





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*Statements of compliance with GDPR from the Data Protection Officers or other relevant representatives of the partner organisations*

As stated in the Manual, the partner-organisation that collects personal data for the project warrants that it has obtained the personal data with due observance of the rights of the registered persons and in compliance with all applicable laws and regulations. The partner-organisation that contributes with collected personal data to the other partner warrants that it has the authority to disclose the personal data to the other partners. When disclosing personal data, the disclosing partner-organisation must follow the rules and procedures for disclosure of personal data at the partners' own institution.

All partners must register the research activities that involve personal data according to the rules and procedures at their individual institution. All partner institutions have to obtain the Data Protection Officers' or other relevant representatives' statement regarding the implementation and compliance with the GDPR (template in **Appendix 2**)





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## Appendix 1.

Partner/Activity	Planned start of the activity raising ethics issues	Type of the approval needed	Submission date to the relevant ethics committee/body	Receipt date of the approval and expiration date	Actual start date of the research activity	Brief explanation if any delay occurred and confirmation that concerned beneficiary has not started relevant research activity until the approvals/ authorisations are in place.



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## Appendix 2

### *Statements of compliance - example*

Number of the document:

Date and place

#### **STATEMENT OF COMPLIANCE**

##### **Standard Operating Procedures for Research Integrity**

I hereby confirm that the [\[insert name of the University\]](#) has implemented and complies with the Regulation (EU) 2016/679, commonly referred to as the General Data Protection Regulation or GDPR, on the protection of individuals with regard to the processing of personal data and on the free movement of such data.

Checks on ethical and privacy topics will be performed by an independent Ethics Review Committee.

---

Responsible person



## Appendix 3: Participant's Consent Form

**SAMPLE: To be customized as necessary**

[Insert Title of Research]

I, the undersigned, give my consent to take part in the study conducted by [insert name of researcher]. This consent form specifies the terms of my participation in this research study.

1. I have been given written and/or verbal information about the purpose of the study; I have had the opportunity to ask questions and any questions that I had were answered fully and to my satisfaction.
2. I also understand that I am free to accept to participate, or to refuse or stop participation at any time without giving any reason and without any penalty. Should I choose to participate, I may choose to decline to answer any questions asked. In the event that I choose to withdraw from the study, any data collected from me will be *erased/stored anonymously* [select appropriate option].
3. I understand that I have been invited to participate in [insert method of data collection] in which the researcher will [explain what participants do or what is done to them] to *explore/investigate/analyse* [select appropriate verb and state the aim of the research study]. I am aware that the [insert method of data collection] will take approximately [state the duration/frequency of data collection]. I understand that the [insert method of data collection] is to be conducted in a place and at a time that is convenient for me.
4. I understand that my participation *does not entail any known or anticipated risks/entails the following risks:* [select appropriate option, and specify risks, if applicable].
5. I understand that *there are no direct benefits to me from participating in this study/there are the following direct benefits to me:* [select appropriate option, and specify benefits, if applicable]. I also understand that this research may benefit others by: [explain benefits of the research].





6. I understand that, under the General Data Protection Regulation (GDPR) and national legislation, I have the right to access, rectify, and where applicable, ask for the data concerning me to be erased.
7. I understand that all data collected will be *erased/stored in an anonymised form* [select appropriate option] on completion of the study and following publication of results/within XX [insert number] months/years of completion of the study [select appropriate option].
8. I have been provided with a copy of the information letter and understand that I will also be given a copy of this consent form.

I have read and understood the above statements and agree to participate in this study.

Name of participant: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

\_\_\_\_\_  
[Student name]

\_\_\_\_\_  
[Student email address]

\_\_\_\_\_  
[Supervisor's title and name]

\_\_\_\_\_  
[Supervisor's email address]

\_\_\_\_\_  
[Supervisor's office number]

**Additional clauses to be included only if applicable:**

*If applicable (video/audio recording):*

9. I am aware that, if I give my consent, this [method of data collection] will be [audio recorded/video recorded] and converted to text as it has been recorded (transcribed).

*If applicable (interviews only):*

10. I am aware that, if I give my consent, extracts from my interview may be reproduced in these outputs, either in anonymous form, or using a pseudonym [a made-up name or code – e.g. respondent A].

11. *If applicable (focus groups only):*

I am aware that focus group discussions should be considered confidential and that I should not disclose details of those participating and/or of the nature of discussions to others.



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*If there is a need to ensure confidentiality  
(e.g. when collecting special categories of personal data):*

12. I am aware that my data will be pseudonymised; i.e., my identity will not be noted on transcripts or notes from my interview, but instead, a code will be assigned. The codes that link my data to my identity will be stored securely and separately from the data, in an encrypted file on the researcher's password-protected computer, and only the researcher [if applicable, add academic supervisor/s and examiners] will have access to this information. Any hard-copy materials will be placed in a locked cupboard. Any material that identifies me as a participant in this study will be stored securely *for the duration of the study/for xx months/years/destroyed (indicate when)*[select appropriate option].
13. I am aware that my identity and personal information will not be revealed in any publications, reports or presentations arising from this research.

*If attributing responses to individuals/representatives of organisations:*

14. I am aware that, if I give my consent, *my identity/the identity of the organisation I represent* [select appropriate option] may be revealed in publications, reports or presentations arising from this research, and responses I provide may be quoted directly or indirectly.
15. **If applicable (interviews only):** I am aware that I may ask to be given the opportunity to review relevant extracts of the transcript of my interview, before the results of the study are published. I am also aware that I may ask for changes be made, if I consider this to be necessary.

*If there is a risk of participant distress:*

16. If I feel that the [method of data collection] has distressed me in any way, a [insert title of professional e.g., counsellor, psychologist, etc.] will be available to assist me at no financial cost on my part.



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## Appendix 4: Information letter

**SAMPLE: To be customized as necessary**

[Date]

### Information letter

Dear Sir/Madam,

My name is [insert name] and I am a student at the [insert name of the University], presently reading for a [insert title of degree] in [insert subject area]. I am presently conducting a research study for my [dissertation/thesis] titled [insert title of project]; this is being supervised by [insert supervisor title and name]. This letter is an invitation to participate in this study. Below you will find information about the study and about what your involvement would entail, should you decide to take part.

The aim of my study is to [insert 1-2 sentences explaining aim of the study]. Your participation in this study would help contribute to a better understanding of [state the benefits of respondent's participation]. Any data collected from this research will be used solely for purposes of this study.

Should you choose to participate, you will be asked to [explain what participation will involve; provide as much information as is necessary for readers to be able to make an informed choice].

Data collected will be [provide details of how data will be handled - e.g. treated confidentially/coded/anonymized – and specify who will have access to it].

Participation in this study is entirely voluntary; in other words, you are free to accept or refuse to participate, without needing to give a reason. You are also free to withdraw from the study at any time, without needing to provide any explanation and without any negative repercussions for you. Should you choose to withdraw, any data collected from your interview will be [deleted/stored anonymously].





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If you choose to participate, please note that there are no direct benefits to you/there are the following direct benefits to you: [select appropriate option, and specify benefits, if applicable]. Your participation does not entail any known or anticipated risks/entails the following risks: [select appropriate option, and specify risks, if applicable; also explain any measures to be taken to minimize/mitigate risks].

Please note also that, as a participant, you have the right under the General Data Protection Regulation (GDPR) and national legislation to access, rectify and where applicable ask for the data concerning you to be erased. All data collected will be [specify what will be done with data collected after completion of the study – e.g. erased/stored in an anonymised form on completion of the study/within XX months/years of completion of the study].

A copy of this information sheet is being provided for you to keep and for future reference.

Thank you for your time and consideration. Should you have any questions or concerns, please do not hesitate to contact me by e-mail [insert student's University of \_\_\_\_\_ email address]; you can also contact my supervisor over the phone: [insert supervisor's office phone number] or via email: [insert supervisor's University of \_\_\_\_\_ email address].

Sincerely,

[Student name]  
[Student email address]

[Supervisor's title and name]  
[Supervisor's email address]  
[Supervisor's office number]

