



CATALISI

Catalysation of institutional transformations
of Higher Education Institutions through
the adoption of acceleration services

D6.1 DATA AND QUALITY MANAGEMENT PLAN 30/06/2023.

HORIZON-WIDERA-2022-ERA-01



Funded by the European Union Views and opinions expressed are however those of the author(s) only and do not necessarily reflect those of the European Union or European Research Executive Agency (REA). Neither the European Union nor the granting authority can be held responsible for them.

Grant Agreement No.: 101094917
Topic: HORIZON-WIDERA-2022-ERA-01-51
Type of action: CSA

D6.1

DATA AND QUALITY MANAGEMENT PLAN

Document information

Task	6.1
Due date	30/06/2023
Submission date	30/06/2023
Deliverable date	APRE
Version	1.0
Reviewed v. and date	1.1 – 09/05/2024
Dissemination level	PU - Public
Authors	Maria Carmela Fierro and Karolina Jurkiewicz (APRE)
Editors	Partners
Reviewers	Laura Mentini (APRE)
Abstract	This deliverable describes the data management life cycle for the data to be collected, processed and/or generated by the CATALISI project. Moreover, it provides information about how to manage personal data according to GDPR Regulation. Finally, it set the internal rule to guarantee a quality management.
Keywords	Open science, Open data, FAIR data management, Quality management, personal data, ethics, GDPR

Document Revision History

Version	Date	Description of change	List of contributor(s)
0.1	01/06/2023	First Version shared with the partners	Maria Carmela Fierro (APRE) Karolina Jurkiewicz (APRE)
0.2	22/06/2023	Comments and reviews version	Partners
0.3	28/06/2023	Reviewed document	Laura Mentini (APRE)
1.0	30/06/2023	Submitted version	APRE
1.1	09/05/2024	Submitted version after review meeting	APRE

DISCLAIMER

Funded by the European Union Views and opinions expressed are however those of the author(s) only and do not necessarily reflect those of the European Union or European Research Executive Agency (REA). Neither the European Union nor the granting authority can be held responsible for them.

© 2023 CATALISI

EXECUTIVE SUMMARY

The current deliverable, entitled 'Data and Quality Management Plan' (DQMP), was developed within the framework of the CATALISI project which is funded by the European Union's Horizon Europe Research and Innovation Programme under Grant Agreement N. 101094917.

This deliverable describes the data management life cycle for the data to be collected, processed and/or generated by the project. As part of making research data findable, accessible, interoperable, and re-usable (FAIR), the Data Management Plan (DMP) provides a summary of the main elements that should be considered in the definition of the data management policy to be used by the project partners throughout the project activities. The DMP provides indications about the management of all the data generated during the project activities, including how data will be collected, managed, stored and made available during the project and how they will be shared after the project end.

In addition, the deliverable describes data processing procedures used by the CATALISI consortium, applicable legislation as well as includes informed consent template that will be used during project implementation. The information contained in this document will represent a key point of reference for all project activities that will involve humans, such as the participants in all project events (workshops, trainings, webinars, meetings, etc.), and/or in interviews/surveys (online and in person) run by the project. The document contains also information about compliance with EU and national data protection rules under GDPR, of each CATALISI Beneficiary.

Finally, the deliverable is a collection of instructions and processes regarding the project management and administration to set up a quality system for the CATALISI project, which is followed by all project partners.

TABLE OF CONTENT

EXECUTIVE SUMMARY	1
LIST OF TABLES	0
1 INTRODUCTION.....	0
1.1 BACKGROUND AND AIM	0
1.2 AIM AND STRUCTURE OF THE DELIVERABLE	0
2 DATA MANAGEMENT PLAN	2
2.1 DATA MANAGEMENT IN CATALISI – OVERVIEW	2
2.1.1 <i>Objectives and structure of the Data Management Plan</i>	2
2.1.2 <i>Data management during CATALISI lifetime</i>	3
2.1.3 <i>Long term data management</i>	3
2.2 DATA COLLECTION	4
2.2.1 <i>Data information</i>	4
2.2.2 <i>Organization of data collected</i>	4
2.3 DATA COLLECTED IN CATALISI TASKS	5
2.4 DATA STORAGE AND BACKUP	7
2.5 DATA FINDABLE	7
2.6 DATA ACCESSIBLE	9
2.7 DATA SHARING AND REUSE	9
2.8 DATA PRESERVATION AND ARCHIVING	10
3 ETHICS AND PERSONAL DATA PROTECTION	11
3.1 APPLICABLE LEGAL FRAMEWORK	11
3.2 PRINCIPLE OF PERSONAL DATA PROCESSING	12
3.2.1 <i>Informed consent procedure</i>	14
3.3 DATA PROCESSING	15
3.4 CATALISI WEBSITE	16
3.5 JOIN CONTROLLER AGREEMENT	17
4 QUALITY MANAGEMENT PLAN	18
4.1 QUALITY MANAGEMENT OBJECTIVES	18
4.2 CATALISI MAIN MANAGEMENT BODIES	18
4.3 CATALISI DELIVERABLES	19
4.3.1 <i>File format</i>	19
4.3.2 <i>File naming</i>	20
4.3.3 <i>Quality assurance procedure</i>	21
4.4 COMMUNICATION	22
4.4.1 <i>Internal communication among partners</i>	22
4.4.2 <i>External communication</i>	24
4.4.1 <i>Complaints and conflict resolution</i>	24
4.5 PROGRESS REPORTING	26
4.5.1 <i>Internal reporting</i>	26
4.5.2 <i>Reporting to EC</i>	26
APPENDIX 1: FORM CATALISI DATASET COLLECTION.....	0
APPENDIX 2 TEMPLATE FOR DECLARATION ON ETHICAL STANDARDS AND DATA PROTECTION (NO DPO)	2
APPENDIX 3 – TEMPLATE FOR DECLARATION ON ETHICAL STANDARDS AND DATA PROTECTION (WITH DPO)	3

LIST OF TABLES

<i>TABLE 1 SUMMARY CATALISI DATASETS</i>	<i>6</i>
<i>TABLE 2 METADATA INCLUDED IN THE README FILE OF CATALISI DATA.....</i>	<i>7</i>
<i>TABLE 3 EXAMPLES OF FILES IDENTIFICATION.....</i>	<i>8</i>
<i>TABLE 4 LIST OF WP LEADER.....</i>	<i>19</i>
<i>TABLE 5 QUALITY ASSUTANCE PROCEDURE STEPS.....</i>	<i>22</i>
<i>TABLE 6 INDICATIVE SCHEDULE FOR INTERNAL REVISION.....</i>	<i>22</i>

TABLE OF ABBREVIATIONS AND ACRONYMS

D	Deliverable
DoA	Description of Action
EU	European Union
T	Task
WP	Work-Package
PC	Project Coordinator
APRE	Agenzia per la Promozione della Ricerca Europea
EY	Ernst & Young
F6S	F6s Network Ireland Limited
ENoLL	European Network Of Living Labs
KTU	Kauno Technologijos Universitetas
UJI	Universitat Jaume I De Castellon
LUISS	Luiss Libera Universita Internazionale Degli Studi Sociali Guido Carli
UG	Uniwersytet Gdanski
UCC	University College Cork - National University Of Ireland, Cork
AUTH	Aristotelio Panepistimio Thessalonikis
VUMC	Stichting Vum
DMP	Data Management Plan
DOI	Digital Object Identification
GDPR	General Data Protection Regulation
DPO	Data Protection Officer
IP	Intellectual Property

1 INTRODUCTION

1.1 BACKGROUND AND AIM

Institutional transformation is a key strategy to address the challenges of Research and Innovation (R&I) and to govern and drive the transformations affecting science and innovation. Institutional changes of Higher Education Institutions (HEIs) enables to better align R&I and its outcomes with the values, needs and expectations of society (European Commission, 2020). Research and Innovation topics have been in fact geared towards establishing institutional changes in education institutes opening them up to closer cooperation with citizens and civil society.

With these premises in mind, the CATALISI project is overall aimed at contributing to the EC objective of spreading and embedding Research & Innovation in the European Research Area through the facilitation and acceleration of institutional transformations of Higher Education Institutions (HEIs) in seven research organisations. The overall objective of the project is to assist HEIs to successfully implement a strategy and individual pathway for institutional transformation benefitting of acceleration services.

For each research organisation, institutional transformations will be incorporated in a strategy and individual pathway that will provide the basis for medium and long terms sustainable institutional change towards R&I. In fact, Institutional transformation is expected to have meaningful impact within the institution concerned and intended to last beyond the lifetime of project funding (European Commission, 2020). In CATALISI, transformational pathways will set the ground and “pave the way” towards long-term changes.

To achieve institutional transformation, HEIs will benefit from seven targeted and innovative acceleration services: Living Labs, Design lab for transformational pathway; Counselling; Reinforce Human Capital; Predictive study on skills anticipation; Marketplace; Community of practice (CoP). Also, HEIs are committed to introduce and implement new reforms in their structures intervening on specific domains and intervention areas. The domains identified in CATALISI are: Human Capital, Research Modus Operandi and Finance, which respectively composed by different intervention areas, that indicate the content of specific institutional transformations that can be deemed necessary by each HEIs.

The project involves 11 partners, of which 7 are the HEIs, who will pursue institutional transformations (so-called “implementers”) while 4 (the so-called “facilitators”) will assist the HEIs to implement a strategy and individual pathway for institutional transformation.

1.2 AIM AND STRUCTURE OF THE DELIVERABLE

The current Deliverable ‘**Data and Quality Management Plan**’ (DQMP), is developed within the framework of the CATALISI project which is funded by the European Union’s Horizon Europe Research and Innovation Programme under Grant Agreement No. 101094917.

The Deliverable describes the processes for an effective coordination of the project and for the data management plan, it is therefore structured around three main themes:

- ✓ DATA MANAGEMENT (chapter 2)
- ✓ ETHICS AND PERSONAL DATA PROTECTION (chapter 3)
- ✓ QUALITY MANAGEMENT (chapter 4)

The Chapter **2** describes the data management life cycle for the data to be collected, processed and/or generated by the CATALISI consortium. It will define the main elements to be used by the project partners during the project to make research data findable, accessible, interoperable and re-usable (FAIR). As part of this, this chapter constitutes the project **Data Management Plan (DMP)** and provides indications about the management of all data generated during the project activities, including how data will be collected, managed, stored and made available during the project and how they will be shared after the project ends.

The Chapter **3** describes the application of the European Union's General Data Protection Regulation (GDPR) to guarantee a coherent approach towards data protection and privacy issues during CATALISI activities implementation, despite the various differences across the EU Member States legal frameworks. To confirm compliance with EU and national data protection rules under GDPR, each CATALISI Beneficiary signed a '**Declaration on Horizon Europe Ethical Standards and Data protection**' (Appendix 1); when a Beneficiary was required to appoint a Data Protection Officers (DPO), his/her contact details are reported in the document (Appendix 2).

The Chapter **4** constitutes the project **Quality Management Plan** and provides an overview of the management structure, describes the responsibilities of the partners, defines the procedures for ensuring the quality of project deliverables. It describes also how to communicate within the consortium as well as presents procedures for monitoring and reporting activities.

The 'Data and Quality Management Plan' (DQMP) is a living document and it will be updated during project implementation according to project's needs and in case significant changes arise (e.g. new datasets, changes in consortium policies about data and quality management, changes in consortium composition, and so on). Evidence of these changes (if any) will be provided in the periodic evaluation/assessment of the project (period reports).

2 DATA MANAGEMENT PLAN

2.1 Data Management in CATALISI – overview

2.1.1 Objectives and structure of the Data Management Plan

Chapter 2 of this deliverable aims to describe the overall data management process within CATALISI, in particular which data are generated and how they will be collected, managed, processed, stored and made available during the life of the project, as well as how they will be preserved and shared beyond. This is an important aspect of any research project and therefore it is essential to plan an effective data management since the early stages.

CATALISI involves the collaboration of 11 beneficiaries and a moderate amount of data will be generated in various activities. All data collected and generated during the project will be managed according to the FAIR principles in order to be findable, accessible, interoperable and reusable.

A good Data Management Plan (DMP) can reduce the risk of data loss or other threats that could make the data unreadable or unusable, and can guarantee their accessibility and preservation in the long term. Good data management also increases the knowledge discovery and innovation, as the data are re-used by the community after their publication process¹.

The management of data generated during the project will aim to ensure open access, as stated in the Article 29.3 of the Grant Agreement, taking into account the principle of "*as open as possible, as closed as necessary*", in order to ensure the adoption of appropriate measures to preserve project results that can be further exploited in the future. Thus, the project will pursue a balance between openness and protection of information, commercialisation and Intellectual Property Rights (IPR), privacy concerns, security, etc. If project partners need to keep certain parts of their data closed, this choice will be explicitly indicated in this DMP.

The CATALISI Data Management Plan (DMP) specifically:

- provides an overview of the data that will be collected and processed in each Task (see § 2.3), where data management is required;
- describes (see § 2.4) where and how the data generated by the project activities will be stored (information about the IT infrastructure used will be also provided);
- details how data will be documented to ensure that new members of the CATALISI team and/or any possible (secondary) users are able to understand and reuse the data (see § 2.5);
- describes the level of data confidentiality and the responsibility of the individual organizations, within CATALISI, involved in the data collection processes (see § 2.6);
- describes how the data will be shared (see § 2.7) and where they will be deposited for preserving all the material produced (see § 2.8);

¹ Wilkinson, M., Dumontier, M., Aalbersberg, I. et al. The FAIR Guiding Principles for scientific data management and stewardship. Sci Data 3, 160018 (2016). <https://doi.org/10.1038/sdata.2016.18>.

2.1.2 Data management during CATALISI lifetime

APRE, as project coordinator, will be responsible for coordinating the data management with the active support of WP Leaders and Task Leaders. The partner responsible for the generation of data in the task in question will also be responsible for the securing of the data for release via open access repositories when these are open.

During the progress of the project implementation and when the final results are achieved, if needed, the content of the DMP will be enriched. Therefore, this deliverable will be updated if new project needs arise affecting data management. Evidence of the updates will be provided in the reporting documents.

2.1.3 Long term data management

Having in mind the data management purposes, and that the data generated will be useful, findable and reusable over the long-term for the end-users, the long-term storage of CATALISI data will be guaranteed through a dedicated [ZENODO CATALISI Community](#), which will also avoid the risk of data loss.

The data stored on ZENODO will automatically have a persistent identifier, namely a DOI, to datasets to allow easy citation and discoverability. ZENODO offers free data archiving up to 50 GB per dataset, which is sufficient, given the expected data volume in the CATALISI project.

2.2 Data Collection

2.2.1 Data information

During the CATALISI project, various types of data will be collected and documented.

This section describes the data that will be collected in each Task (if applicable), as indicated by the Task Leaders.

Type of Data

In research projects, usually different types of data (observational, experimental, simulation, derived or compiled, reference or canonical and event related) may be collected and documented. Since CATALISI is a Coordination and Support Action, no experimental data will be collected. However, the following categories of data will be collected:

- ✓ **Technical Data:** recorded information related to technical activities (e.g. analysis of existing practices, development of new solutions, mapping of relevant initiatives/projects, etc.). The collection may require surveys, interviews, instruments to record, transformation of existing datasets to create new data, etc.
- ✓ **Stakeholders Data:** such as Contact Details or any other (personal) data of CATALISI stakeholders. The collection may involve registration forms to events, newsletter subscription, website, etc. The handling of those data will take into account GDPR.

It is worth to point out that administrative/financial data (data strictly related to the management of the project, e.g. meeting minutes, collection of information about partners' expenditures, etc.) is not included in the technical data definition, and in CATALISI project it will be considered 'other data'. Moreover, the identified categories can occasionally overlap, and data can belong to more than one category depending on the specificities of the data itself.

Format of the data and estimated size

Collected data come in various formats: electronic text, spreadsheets, multimedia, models, software languages, etc. For the concerned Task, it will be described the format of the data produced, with the ultimate goal to facilitate the accessibility and interoperability of the data, giving preferences to open and standard formats. In this deliverable, a first estimation of the size of the data collected in each Task will also be provided. This information will be updated (if needed) in the final version of CATALISI DMP according to the actual size of data collected.

2.2.2 Organization of data collected

The data collected within CATALISI will be organized taking into consideration the following aspects, as far as applicable.

Version Control

To overcome the challenge of managing and tracking research materials during the course of a project, especially in collaborative projects, data will be organized to keep track of different versions of the datasets, through the application of a version control system. A version control system (or revision control system) is a system that tracks incremental versions (or revisions) of files and, in some cases, directories over time (such as v0.1, v0.2 etc.). Improving the ability to consistently track and retrieve each version of a file can lead to more

efficient collaboration and increased accuracy of research results. Through the version control system, the risk of losing information after modifications is minimized.

Versioning is important for long term-research data management where metadata and/or files are updated over time.

Naming conventions used

With the overall aim to make the data accessible (and ultimately foster reproducible research), CATALISI datasets will be carefully named by choosing file names that are informative and useful for both humans and machines. Name should be meaningful to allow others to better understand what the file contains and how it should be used. Following, there are some suggestions about the naming conventions within CATALISI:

Choose machine readable names

Use deliberate delimits. Common approach is using "_" and "-" to delimit units of metadata in the file names. A general rule could be to use "-" to separate words you want to glob together and "_" to separate different information within a file name. Don't use spaces, punctuation, capital letters or special characters (Using \$, @, %, #, &, (,), !, etc. may have meanings in programming languages).

Choose human readable names

Choose names that explain the content. The more meaningful the name, the more useful it is for human users. The more metadata you store in the name, the less you need to explain elsewhere. Choose short names.

An example can be: university_survey_10022024

2.3 Data collected in CATALISI Tasks

The first version of the CATALISI DMP mapped 10 datasets whose key details are summarized in the Table 1.

This section's first development and future updates mainly rely on the collection of information about datasets filled out by each project partner responsible for producing such data as Task Leader. The Coordinator draft a form to collect this information (word form, see Appendix 1) and shared it in the Project SharePoint. For each Task in which the consortium foresees data management, the Task leader have to tracks this primary information on the data that will be collected: data summary, standards/formats used, data accessibility and findability, data archiving and presentation and data interoperability.

The form will be updated when needed and in case new dataset will be defined.

TABLE 1 SUMMARY CATALISI DATASETS

DATASET NAME	PARTNER	SOURCE	SIZE	TASK	ACCESSIBILITY
Stakeholder_DB	ENoLL	Existing & Generated	<100KB	T1.1	Restricted to consortium
LearningHUB_DB	EY/F6S	Existing.	<100KB	T2.1	Restricted to consortium
MML_Workshops_DB	APRE	Existing & Generated	5GB	T2.3	Restricted to consortium
Predictive_study_DB	EY	Existing & Generated	<100KB	T3.3	Restricted to consortium
Evaluation_Impact_Assessment Framework_DB	UCC	Generated	<100KB	T4.1	Restricted to consortium
Monitoring_DB	UCC	Generated	<100KB	T4.2	Restricted to consortium
Capacity_Impact_Assessment	UCC	Generated	<100KB	T4.3	Restricted to consortium members.
Dissemination_DB	F6S/APRE	Existing & Generated	<2GB	T5.2	Restricted to consortium members.
Management_DB	APRE	Existing & Generated	<100KB	T6.1	Restricted to consortium members.
CoP_Database	APRE	Existing & Generated	2GB	T6.3	Restricted to consortium members.

2.4 Data storage and backup

With the aim to follow the FAIR principles and to stimulate the collaboration among partners, a few data storage tools have been selected. The selection was made having in mind the purposes and the end-users of the data stored, divided in tools appropriate for internal use and daily project activities, and tools for guaranteeing the long-term storage of CATALISI data.

CATALISI storage tools used to carry out daily project activities (NOT appropriate for long-term storing of data):

- ✓ **Microsoft SharePoint:** is a file hosting service and synchronization service operated by Microsoft as part of its web version of Office. It is a private space, created for the project activities, used by all beneficiaries to share working files and store temporary master copy of raw data that should be available for use by other beneficiaries for data processing.
- ✓ **Local drives, company cloud storage and external portable storage devices:** these are storage facilities that do not fall under surveillance of this data management plan. These are very common and convenient for individual short-term storage of data.

CATALISI storage tool used for long-term storing of data and to guarantee the findability, accessibility, interoperability, and reusability of data generated by project, is **the CATALISI community in ZENODO**: where CATALISI datasets will be stored.

Link: <https://zenodo.org/communities/catalisiprject/?page=1&size=20%C3%B9>

Data files are versioned. The uploaded data is archived as a Submission Information Package. Derivatives of data files are generated, but original content is never modified. All data files are stored in CERN Data Centres, primarily Geneva, with replicas in Budapest. Data files are kept in multiple replicas in a distributed file system, which is backed up to tape on a nightly basis. All data files are stored along with a MD5 checksum of the file content. Files are regularly checked against their checksums to assure that file content remains constant. Each beneficiary has the possibility to upload the data produced by their project activities in the community and a moderator will validate it. Each data-set will have a readme file. ZENODO is compliant with the Open Archives Initiative Protocol for Metadata Harvesting (OAI-PMH), a widely used protocol for harvesting metadata.

2.5 Data Findable

All data are documented to help interested users to clearly find them and reuse them. For this reason, descriptive and substantive (i.e. how the data should be read or interpreted) metadata will be elaborated and described in a "readme.txt" file complementing each dataset (see Table 2).

TABLE 2 METADATA INCLUDED IN THE README FILE OF CATALISI DATA

Creator*	Main partner name involved in producing the data.
Title*	Name or title by which the dataset is known.
Contributor	Institution where the data was created or collected. A person or organization responsible for making contributions to the dataset.

Publisher	A holder of the data (including archives appropriate) or institution which submitted the work. Any others may be listed as contributors.
Publication year*	The year when the data was or will be made publicly available.
Date created*	Date the resource itself was put together; this could be a date range or a single date.
Description*	Concise description of the contents of the dataset. Describe the research objective, type of research, method of data collection and type of data.
Subject	Subject, keyword, or key phrase describing the resource.
Temporal coverage	Indicate the dates to which the data refer. Enter the year or beginning and ending dates.
Spatial coverage	Describe the geographic area to which the data refer (e.g. municipality, town/city, region, country). The geographic coordinates of the area may be included, if desired.
Identifier	Zenodo automatically assigns a DOI to a dataset once the entire deposit procedure has been completed. In some cases, a dataset may be known by one or more other (persistent) identifiers.
Language*	The primary language of the resource.
Link to publication	Include the web addresses or DOIs for any publication, important internal reports or other datasets that are related to your dataset.

File naming & Identifiers

In CATALISI project, an identifier is used as a reference number or name for a data object. The identifier is a key part of our documentation and metadata. Table 3 shows the codes that can be used for making identifiers.

TABLE 3 EXAMPLES OF FILES IDENTIFICATION

Description	Deliverables	Meetings	Conferences/Events
First Letters	CATALISI	CATALISI	CATALISI
Underscore	—	—	—
Next letters	Deliverable number (Dx.y) [x=WP number, y=deliverable number]	Type of document (i.e. Agenda, Minutes, Presentation). In case of presentations, mention WP number as well.	Event title
Underscore	—	—	—
Next letters	Short explanatory title for the document (or acronym)	Location and date of the meeting separated by underscore	Location and date of the meeting separated by underscore
Underscore	—	—	—
Next letters	Short name of organisation leading the deliverable	Short name of organisation and initials of presenter	Short name of organisation and initials of presenter
Underscore	—	—	—
Last letters	"v" and number of revision of this specific report [v0.1=draft version, v1.0=final version]	"v" and number of revision of this specific report [v0.1=draft version, v1.0=final version]	"v" and number of revision of this specific report [v0.1=draft version, v1.0=final version]

2.6 Data Accessible

The main part of raw and processed data generated by the project will be accessible to all consortium partners. It will be stored in CATALISI SharePoint dedicated space. Only members of the consortium, after validation from the group administrator (i.e. APRE), can access this space. The public data will be accessible by ZENODO Community.

The data containing personal data and the data gathered through questionnaires, interviews, focus groups, workshops and through other data gathering methods used during the project will be anonymised by default; for the purposes of the project's activities (specifically stakeholders engagement related activities, as a crucial element of the project), with prior expressed consent to share personal data, they will be used and will not be made accessible for any third party.

Raw data like interview and audio files will be shared within the consortium partners and with external open repositories only upon agreement of the participants (agreement via informed consent) and in an anonymised form. In the case of sharing the data in an open repository, the following formats would be shared: audio files, transcripts, aggregated files, interview guidelines.

Confidential data and data collected for internal purposes will be stored in the secure facilities of the organization responsible for collecting the data and will be retained for two years after the end of project. If requested and agreed by the participants, data can be shared with other consortium members through the online repository.

In the case of data that cannot be accessible to public, it will be stored in ZENODO (to preserve it) but only the metadata will be public (in CC 0).

Details concerning the ownership, transfer and dissemination of projects results are defined in section 8 of the CATALISI Consortium Agreement and shall be followed accordingly. The relevant rules of the Grant Agreement, in specific Article 13, Article 15, Article 16 and Annex 5, are also relevant and apply accordingly.

2.7 Data sharing and reuse

CATALISI beneficiaries will be the main users of data produced in the project. In CATALISI all data may be classified into open, sensitive and closed. Access depends on the classification of the data.

- ✓ **Open data** is applied when data have no IP restrictions and will be openly available and re-usable, acknowledged by citing the data set. This is the case of the data in the Public deliverables.
- ✓ **Sensitive** (or confidential/restricted) **data** may be made available after any identifying information has been removed.
- ✓ **Closed data** are not available for sharing.

In any case, the open CATALISI data will have the CC-BY license.

Details concerning the ownership, transfer and dissemination of projects results are defined in section 8 of the CATALISI Consortium Agreement and shall be followed accordingly. The relevant rules of the Grant Agreement, in specific Article 13, Article 15, Article 16 and Annex 5, are also relevant and apply accordingly.

2.8 Data preservation and archiving

All relevant obtained data will be preserved and archived in ZENODO for long term archiving. All data and items on ZENODO will be retained for the lifetime of the repository. This is currently the lifetime of the host laboratory CERN, which currently has an experimental programme defined for the next 20 years at least.

3 ETHICS AND PERSONAL DATA PROTECTION

3.1 Applicable legal framework

The European Union has developed the EU Data Protection and Privacy legal framework² which aims at ensuring that personal data enjoy a high standard of protection everywhere in the EU and that persons or organizations collecting and managing personal information must protect it from misuse. One of the main pillars of this legal framework is Regulation (EU) 2016/679 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data - GDPR. The Regulation applies to all entities established in the EU (or branches established in the EU) that process personal data as part of their activities, regardless of where the data is processed; and entities established outside the EU offering goods/services to individuals in the EU or monitoring the behaviour in the EU of these individuals.

In addition to GDPR, there are other sectorial legal acts that must be considered when implementing EU research projects:

- Directive (EU) 2016/680 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons regarding the processing of personal data by competent authorities for the purpose of prevention, investigation, detection or prosecution of criminal offences,
- Directive 2000/31/EC of the European Parliament and of the Council of 8 June 2000 on certain legal aspects of information society services, in particular electronic commerce in the Internal Market,
- Directive 2002/58/EC of the European Parliament and of the Council of 12 July 2002 concerning the processing of personal data and the protection of privacy in the electronic communications sector.

In this framework, with regards to personal data in the context of project implementation, the CATALISI consortium (as whole as well as each single Beneficiary) guarantees that privacy data will be treated in compliance with ethical and legal requirements, with the data protection principles of lawfulness, fairness and transparency in data processing, as well as purpose limitation, data minimization, accuracy, storage limitation, integrity and confidentiality, and fully agrees that the protection of personal data is a priority.

At this purpose, the project consortium defined data protection roles and responsibilities and provides information and informed consent for data processing. In particular, Beneficiary will request informed consent to disseminate such data for scientific and training purposes. At the same time, informed consent can never legitimize the use of data in an open access environment considering that the purposes for further use of data are unknown. In such cases hence data will be kept confidential. Last but not least, no transfer of personal data outside the EU is foreseen as part of the project's implementation.

² https://ec.europa.eu/info/law/law-topic/data-protection_en

3.2 Principle of personal data processing

According to Art. 4(1) of GDPR, **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, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person'. Personal data protection typically covers: names and surnames, home and email address, an identification card number, location data and IP address or a cookie ID. **Processing of personal data** is defined in Art. 4(2) of the Regulation and means 'any operation or set of operations which is performed on personal data or on sets of personal data, whether or not by automated means, such as collection, recording, organization, structuring, storage, adaptation or alteration, retrieval, consultation, use, disclosure by transmission, dissemination or otherwise making available, alignment or combination, restriction, erasure or destruction'.

In its Art. 5, the GDPR provides for the **principles of personal data processing**, stating that personal data must be:

- 'processed lawfully, fairly and in a transparent manner in relation to the data subject ('lawfulness, fairness and transparency');
- collected for specified, explicit and legitimate purposes and not further processed in a manner that is incompatible with those purposes (...) ('purpose limitation');
- adequate, relevant and limited to what is necessary in relation to the purposes for which they are processed ('data minimisation');
- 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');
- 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 (...) ('storage limitation');
- 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').

In order to fulfill the GDPR requirements, there is a set of indications that each CATALISI Beneficiary dealing with data processing will respect during the project implementation:

1) Consent

The consent should be given by an individual (data subject) in a free, specific, informed and unambiguous manner, by way of a request presented in clear and plain language. Moreover, the consent should be given by an affirmative act, such as checking a box online or signing a form.

2) Providing transparent information

Individuals must be clearly informed on who is processing their personal data as well as what data will be processed, why and how. In addition to the above information, individuals should be also informed about who will receive the data, how long the data will be stored, the individual's data protection rights (i.e. right to access, correct, erase, restrict, object, portability, etc.), whether there is a statutory or contractual obligation to provide the data and how consent can be withdrawn.

3) Ensuring the right to access and the right to data portability

Individuals must have the right to request access to their personal data, free of charge and in an accessible format. In addition, when the processing is based on consent or a contract, the individual can ask for their personal data to be returned or transmitted to another company (right to portability).

4) Ensuring the right to erasure (right to be forgotten)

An individual has the right to request the data controller to erase their personal data, such as when the data is no longer needed to fulfil the processing purpose. The data controller is not obliged to comply with such request if: the processing is necessary to respect one's freedom of expression and information, they must keep the personal data to comply with a legal obligation; there are other reasons of public interest to keep the personal data, such as public health or scientific and historical research purposes; they need to keep the personal data to establish a legal claim.

5) Ensuring the right to correct and right to object

If an individual thinks that their personal data is incorrect, incomplete or inaccurate, they have the right to have it rectified or completed without undue delay

6) Obligation to appoint a Data Protection Officer

An entity must appoint a DPO when: it regularly or systematically monitors individuals or process special categories of data; this processing is a core business activity; and it does it on a large scale. In the case of CATALISI, Beneficiaries provided to the Coordinator declarations on the basis of the letter template in Appendix 2 (if they do not have a DPO) or on the basis of the template in Appendix 3 (if they appointed a DPO).

7) Obligation of data protection by design and by default

In order to minimize privacy risks and increase trust, a data controller³ must take all necessary steps (e.g. pseudonymization) to implement the data protection principles and protect the rights of individuals (data protection by design). In accordance with the obligation of data protection by default, the entity processing personal data should ensure that the most privacy friendly setting is the default setting.

8) Obligation to provide proper notification in the case of a data breach

In case a data breach occurs and the breach poses a risk to individual rights and freedoms, the entity processing personal data should notify the relevant Data Protection Authority within 72 hours after becoming aware of the breach. If the data breach poses a high risk to those affected, the entity may also be required to inform all individuals affected by the data breach.

Details on specific measures that will be taken by each CATALISI Beneficiary to safeguard the rights and freedoms of CATALISI data subjects/research participants and the security measures that will be implemented to prevent unauthorised access to their personal data are provided in Appendix 1 in the '**Declaration on Horizon Europe Ethical Standards and Data protection**' of each Beneficiary, in the part related to the privacy policy of the Beneficiary.

3.2.1 Informed consent procedure

Participation of third parties in the CATALISI project is voluntary and individual participants agree to participate in project activities (both online and physical) based on the invitation issued. Along with an invitation, participants receive an informed consent and agree to participate, before the commencement of any project activity requiring their involvement, in compliance with GDPR.

The documentation related to informed consent will be provided in the language and terms intelligible to the participants. To this end, before each event involving participants, they will be asked to sign an informed consent and will be fully briefed, in the informed consent, as to their data protection rights, including:

- who is responsible for the treatment of data;
- who is the data protection officer to whom the participant can claim their rights;
- specification of which data are collecting (personal data or other);
- how the consortium will deal with the data (collection, storage, etc.);
- for which purpose data (research and no other purpose; explicitly excluding commercial purpose) are collecting,

³ According to Art. 4(7) GDPR, '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.

- what are the consequences of the denial of the use of data;
- the possibility to withdraw from the use of data and the consequences;
- to whom data will be transmitted;
- the time of storage of data;
- the place of storage and the tools available to guarantee security;
- the rights of the data owner (to access, modify, rectify, cancel data, right to object, and to ask restriction of processing);
- risks or benefits of participation.

Participants will not be placed in any situation in which there is a likelihood of physical, mental, or emotional harm. No sensitive data⁴ will be collected, processed, or stored.

Below an example of the sentence that the partner organizing the event and responsible for collecting the personal data, will insert in the informed consent in the proper Language:

*"Your personal information, including your name and email address, will not be used by CATALISI to identify you and will not be made available publicly. Your personal information, including your name and email address, will be used to communicate with you about [insert the aim]. CATALISI will not sell, rent or exchange any personal information supplied by you to any third party. Your personal information will only be used for CATALISI purposes and only until the end of the project (31 December 2025), and stored on [insert where]. By filling in this form, you agree to the use of your image (video and photos) for CATALISI reporting and promotional purposes, in the context of European Commission obligations regarding reports and Dissemination activities (Grant Agreement, art.29 "Dissemination of results" and art.20 "Reporting"). *Your name displayed during online meetings may be showcased in promotional materials and reporting. If you wish for this data to remain anonymous, please change the displayed name. In addition, you may turn off your camera if you do not wish your image to be displayed. CATALISI privacy policy available [indicate where is available] For any inquiries reach out to us via email: [insert where]."*

3.3 Data processing

The data processed in CATALISI is divided into two categories:

- ✓ Personal data (typically name, surname, date of birth, gender, level of education, professional affiliation and contact information);

⁴ Data relating to racial or ethnic origin, religious or philosophical beliefs, political opinion, health including biometric and genetic data, sexual preferences, data relating to criminal convictions and offences or related security measures.

- ✓ Professional views on the themes related to the project and discussed during project activities, excluding sensitive data.

Personal data is necessary for ensuring a person's participation in the project and to comply with mandatory legal obligations under European Union legislation, as well as for processing under consent and for the purposes of legitimate interests as follows:

- ✓ To process any application a person makes to participate in any of the CATALISI events or activities;
- ✓ To process any request for information supplied by the project and to ensure effective communication;
- ✓ To organize and promote project events and activities;
- ✓ To send health and safety and other relevant event information for any CATALISI events and activities that persons are participating in;
- ✓ To notify persons of events, activities, publications, and services that may be of interest to them.

Information about professional views on the themes related to the project will be collected solely for research purposes necessary to carry out project activities.

The above data collected from participants will be stored on computer media of the consortium partner collecting this data (typically, a partner organizing a given activity) and protected against unauthorized access and use according to the internal rules of the respective partner, which must be in line with applicable EU and national legislation. Personal data of participants to CATALISI events will be shared with other consortium partners by the partner collecting this data only under explicit consent of each participant.

Where possible, any identifiable information will be encrypted or minimized. That means that only strictly necessary data will be collected, processed, and stored.

The consortium will retain the collected data for as long as it is necessary:

- To carry out CATALISI events and activities;
- For establishment or defense of legal claims that could be made against the consortium;
- To comply with legal obligations under EU law.

Any data collected within the project will be kept for a maximum of five years after the end of the project and will then be destroyed by each project partner in relation to the data they processed during the project duration. More information about data management is included in these deliverable Chapter 2 'Data Management Plan'.

3.4 CATALISI website

For the purposes of the GDPR, CATALISI website dedicates a specific area to the 'Privacy Policy'. The privacy policy comprises the following sections:

1. Policy scope
2. Why and how is ensure compliance with

3. Who must comply
4. What are the data protection principles and rules
5. Personal data collected and how are used them
6. Cookies and third parties
7. How personal data is stored
8. How long personal data are kept
9. Data Breaches
10. Rights as data subjects with respect to per personal data
11. Time limit
12. Data controller and contact details
13. How to complain
14. Changes to privacy policy information

3.5 Join controller Agreement

Where necessary, the Beneficiaries agreed (art. 4. Point 4 of the Consortium Agreement) to cooperate in order to enable one another to fulfil legal obligations arising under applicable data protection laws (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 on the free movement of such data and relevant national data protection law applicable to said Party) within the scope of the performance and administration of the Project.

In particular, the Beneficiaries shall, where necessary, conclude a separate data processing, data sharing and/or joint controller agreement before any data processing or data sharing takes place.

4 QUALITY MANAGEMENT PLAN

4.1 Quality Management Objectives

The **Quality Plan** (QP) in CATALISI has these two main objectives:

- ✓ ensure smooth implementation and timely completion of the project activities; and
- ✓ guarantee the quality of the activities and deliverables of the project in line with the contractual obligations enclosed in the Grant Agreement and in compliance with the Consortium Agreement signed by all CATALISI beneficiaries.

The Plan provides the description of the management structure, describes the responsibilities of the partners, defines the procedures for ensuring the quality of project deliverables and for communication within and outside the consortium as well as presents procedures for progress monitoring and reporting.

All project partners commit to be in compliance with the requirements described in the QP, having in mind that this Plan does not replace the Grant Agreement signed with the EC, its Annexes, and the Consortium Agreement of the project, which remain the main source of reference for the project.

4.2 CATALISI Main management bodies

The CATALISI management structure is composed of following main management bodies:

- **The Project coordinator (APRE)** is in charge for the financial, administrative and operative management and coordination of the consortium and project activities. The Project Coordinator is responsible for: 1) the overall technical, administrative and financial co-ordination of the project; 2) the control of the project scheduling and achievements; 3) the generation of corrective actions, if needed, with the support of the Steering Committee and with the agreement of the General Assembly; 4) the submission to the Commission of the deliverables and regular reports of progress and resource expenditure; 5) the verification of the milestones achieved; 6) the internal smooth communication among all partners; 7) the organization and chairing of the General Assembly, the Steering Committee and the Advisory Board meetings .
- **The Steering Committee (SC)** is composed by the WP leaders and is chaired by the Project Coordinator (PC). Its main task is to monitor project progress in relation to each Work Package, using milestones, deliverables and key performance indicators as instruments to better understand project advancements and which further steps are to be accomplished in order to ensure an effective progress of the whole project. Decisions shall be taken by a majority of two-thirds (2/3) of the votes cast, with the exception of decisions listed in Section 6.3.1.2 of the Consortium Agreement, which shall require a unanimous vote by the General Assembly. The WP leaders are responsible for supervising their WPs and ensuring that milestones and deliverables are reached on time. The SC will report to the General Assembly.

- **The General Assembly (GA)** is the ultimate decision-making body of the consortium. The GA is composed of at least one representative of each partner institution and is chaired by the Project Coordinator. Each partner is responsible to carry out the activities described in the work plan and to answer to the Project Coordinator requests on time. The Project Coordinator organises the meetings with the GA, chairs the meetings, prepares the agenda and the minutes. Each partner's representative has one vote. The decisions are taken by consensus or by majority of two-thirds (2/3) of the votes cast, with the exception of decisions listed in Section 6.3.1.2 of the Consortium Agreement which shall be taken always by unanimous.

TABLE 4 LIST OF WP LEADER.

Work Package	WP Leader
WP1 - Acting-LL co-creation	ENoLL
WP2 - Knowledge sharing and mutual learning programme	APRE
WP3 - Design, Coaching and Sustainability	EY
WP4 - Evaluation and Impact Assessment	UCC
WP5 - Communication, Dissemination and Exploitation	F6S
WP6 - Project Management	APRE

The roles and responsibilities of each partner are described in detail within Annex 1 to the Grant Agreement, namely the Description of the Action (DoA) and the role and responsibility of these management body are described in Section 6 of the Consortium Agreement. All partners should take the necessary measures and provide all necessary resources for the on-time and smooth elaboration of their tasks and responsibilities.

4.3 CATALISI Deliverables

According to the DoA, every deliverable is under the responsibility of a specific Lead Beneficiary and is the outcome of a specific task, linked to a work package. The Lead Beneficiary responsible for the deliverable guarantees the quality, completeness, and timely submission of the document to the Coordinator who must submit it via the Portal to the granting authority. All beneficiaries must give the contribution to the drafting of the deliverable when required.

4.3.1 File format

All deliverables must follow the established CATALISI deliverable template, which has been draft by WP6 Leader (F6S) and shared with all partners in the project Teams Group, in dedicated folder **"5. Templates & basic documents"**.

4.3.2 File naming

In respect to electronic files, the following guidelines in terms of deliverable name will be followed:

- File name should preferably not exceed 40 characters. The deliverable number and official name as stated in the Grant Agreement should be part of the file name.
- The author of the file puts the name of his/her organisation in the file name.
- The file name contains the date of the last modification.
- In the case of a deliverable revision by another partner, the revising partner adds, as the end of the file name, an abbreviation '_rev' and the name of his/her organisation. This rule does not apply in case a document is revised simultaneously by partners.
- The file name contains at the end of file name, an abbreviation 'Vox' indicating the number of the version in case a deliverable needs to be modified during the project duration.

An example on applying the above naming rule of electronic files is shown below:

Del. N.	Short name	official	Author name	organization	Date last modification
------------	---------------	----------	----------------	--------------	------------------------

D3.1_CoachingAndMentoring_EY_04.04.2023

Del. N.	Short name	official	Author name	organization	Date last modification	Rev author
------------	---------------	----------	----------------	--------------	------------------------	------------

D3.1_CoachingAndMentoring_EY_04.04.2023_revAPRE

Del. N.	Short name	official	Author name	organization	Date last modification	Version
------------	---------------	----------	----------------	--------------	------------------------	---------

D3.1_CoachingAndMentoring_EY_04.04.2023_V01

D3.1_CoachingAndMentoring_EY_04.04.2024_V02

4.3.3 Quality assurance procedure

The standard quality process is assurance through the following four steps:

Steps	What	Who	When
1	A draft deliverable is shared for revision in the form of an online document, saved in the concerned WP folder in the Team Group in order to enable access of multiple persons simultaneously.	By Lead Beneficiary responsible for the deliverable, to the other supporters and the relevant WP leaders contributors.	At latest 15 working days before the submission deadline.
2	Comments and feedback are provided (they shall be always provided in the track-changes mode).	By Task Supporters, the WP leaders, and, if relevant, other internal reviewers.	Whitin maximum of 5 working days
3	The comments, including, if necessary, further consultations with the Task Supporters and the WP leader, are addressed	By Lead Beneficiary responsible for the deliverable	Maximum of 5 working days
4	The revised deliverable is sent to a reviewer chosen among partners, different from the person who has written, edited and contributed to the document.	By Coordinator	At least 4/5 days before the submission deadline
5	The consolidated documents will be sent to the coordinator	By the reviewer	One-two days before the submission.
5	The final deliverable in the Funding & Tenders Portal is submitted.	By the Coordinator, who is the only one responsible for submitting deliverables in the Portal.	On submission date defined in the DoA.

TABLE 5 QUALITY ASSUTANCE PROCEDURE STEPS

The table below presents all project deliverables, the respective deliverable's leaders and dates relevant for the quality assurance process and for the deliverable submission. It should be noted that these are the suggested latest dates. However, Lead Beneficiaries are encouraged to speed up the quality assurance process and submit first versions of their respective deliverables before the indicated dates, if possible and feasible.

TABLE 6 INDICATIVE SCHEDULE FOR INTERNAL REVISION

Del. N.	Deliverable Name	Lead Beneficiary	Step 1 (15 days at latest)	Step 2 (within 5 days)	Step 3 (by 5 days)	Step 4 (4-5 days at ealier)	Step 5 (submission date)
D3.1	Coaching and mentoring framework	EY	06/04/2023	14/04/2023	21/04/2023	28/04/2023	30/04/2023
D2.1	Knowledge sharing and Mutual Learning Plan	APRE	12/06/2023	19/06/2023	23/06/2023	26/06/2023	30/06/2023
D5.1	First Dissemination, Communication, Exploitation and Sustainability plans	F6S	12/06/2023	19/06/2023	23/06/2023	26/06/2023	30/06/2023
D6.1	Data and Quality Management Plan	APRE	12/06/2023	19/06/2023	23/06/2023	26/06/2023	30/06/2023
D1.1	Acting-LLs needs assessment and 4-helix ecosystem	ENoLL	10/08/2023	17/08/2023	24/08/2023	28/08/2023	31/08/2023
D1.2	Acting-LLs action plans	ENoLL	11/12/2023	14/12/2023	20/12/2023	26/12/2023	31/12/2023
D3.3	Predictive Study	EY	11/12/2023	14/12/2023	20/12/2023	26/12/2023	31/12/2023
D6.2	First Policy brief	APRE	11/12/2023	14/12/2023	20/12/2023	26/12/2023	31/12/2023
D4.1	Evaluation and impact assessment plan	UCC	09/04/2024	16/04/2024	23/04/2023	24/04/2024	30/04/2024
D2.2	Mobilisation and Mutual Learning Report	APRE	09/06/2025	16/06/2025	20/06/2025	24/06/2025	30/06/2025
D1.3	Acting-LLs evaluation report	ENoLL	05/12/2025	12/12/2025	19/12/2025	21/12/2025	31/12/2025
D2.3	Twinning schemes report	APRE	05/12/2025	12/12/2025	19/12/2025	21/12/2025	31/12/2025
D3.2	Collection of transformational pathways	EY	05/12/2025	12/12/2025	19/12/2025	21/12/2025	31/12/2025
D4.2	Monitoring and implementation report (including impact assessment toolkit)	UCC	05/12/2025	12/12/2025	19/12/2025	21/12/2025	31/12/2025
D5.2	Final Dissemination, Communication, Exploitation and Sustainability plans	F6S	05/12/2025	12/12/2025	19/12/2025	21/12/2025	31/12/2025
D6.3	Final Policy brief	APRE	05/12/2025	12/12/2025	19/12/2025	21/12/2025	31/12/2025

4.4 Communication

4.4.1 Internal communication among partners

The Coordinator has the main responsibility of ensuring smooth and effective internal communication. Communication among Beneficiaries will primarily take place through online communication means, namely emails and online calls and meetings.

A mailing list, featuring the relevant contact details for each Beneficiary has been created at M1, is available in the Teams Group (dedicated file "**Contacts.xlsx**"). It will be regularly

updated to ensure that possible staff rotations are timely addressed and do not affect the project implementation. To that end, in the event of any change in the contact details or in the project team, partners should notify the Coordinator, who will update the mailing list accordingly and without due delay.

From the mailing list, two project emails have been created:

- catalisi@apre.it used for: General Events notice, Reporting activities, Amendments information, Annual meeting invitation, Notice social media updates; It is linked to the SharePoint space.
- catalisi_workteam@apre.it (underscore), constitutes the main email to communicate among task leader and team members about project activities, used (not exhaustive list) for day-to-day communication, consortium Monthly meetings, deliverable checks and feedback.

Whatever email is used, Beneficiaries always:

- use a narrative subject beginning with 'CATALISI'
- inform and update the partners on time about the work you are doing
- explain what is expected: is it feedback (from whom and by when), or is it just information,
- avoid attachments (if possible), save them in the concerned shared space (e.g., WP folder),
- Inform me and Laura if you want to add (or to remove) someone from your organization contacts, mentioning the role, the email and in which mailing list to be added.

As general rule, it seeks to circulate emails from CATALISI to all members no more than once per day, for not lose track of what's important and might overlook the emails that ask for timely contribution.

In relation to **internal meetings**, according to the Consortium Agreement and the Description of Action, the main meetings will be:

- ✓ WPLs meetings (only on line): these are operative meetings, once a month, to keep regularly updated team members working on the project about the ongoing activities.
- ✓ CATALISI General Assembly will convey at the kick-off meeting (M1) and once a year (preferable on-site) for ordinary meetings (at M12, M24 and M36). At any time upon request, any member of the Steering Committee or 1/3 of the Members of the General Assembly can convene for extraordinary meetings.
- ✓ CATALISI Steering Committee ordinary meetings are foreseen once a year at the conjunction with the General Assembly (if possible). Extraordinary meetings can be called at any time upon request of any Member of the Steering Committee.

APRE, as coordinator, is responsible for convening the meeting, for meetings' organisation, logistics and minute drafting. The Kick-off meeting was held in Rome on January 2023. The other General Assembly and Steering Committee meetings will be held in a place to be decided.

Communication concerning important issues and strategic decision-making (e.g. sending deliverables, planning meetings, reporting risks or deviations from the DOA, etc.), as well as any formal communication (e.g. project meetings), should be documented in writing (e.g. by preparing the meeting minutes, maintaining an electronic (e.g. emails) or paper copy records). **Informal communication** taking place between Beneficiaries and concerning less significant issues of every-day project implementation (through telephone, informal emails, etc.) may not be documented.

The Coordinator and the WP Leaders are expected to communicate regularly with the project partners so as to follow closely the project and work packages progress, and identify in time potential deviations. Close collaboration and communication between project partners is essential and will be encouraged by the Coordinator especially in cases where they have to cooperate in order to perform specific tasks.

4.4.2 External communication

Communication with the EC

The Coordinator (APRE) is the sole responsible for the communication with the Project Officer (PO) with respect to the project. Project partners should not contact the PO without previous discussion with APRE. Only in exceptional cases, and if the PO requires so, may a project partner directly contact the PO. In such a case the Coordinator shall be kept fully informed (in writing) about the content of the communication.

The Coordinator has the responsibility of submitting to the EC all reports and deliverables of the project. They also provide the EC with any additional information and/or clarification that have been requested by the EC services. Finally, the Coordinator will keep all Beneficiaries informed about any important communication with the EC.

Communication with third parties

Project partners may and should communicate with third parties (e.g. national authorities, local stakeholders, other EU-funded projects) within the context of the project. In all external communications, a reference to the project should be made (e.g. project acronym, EU programme, GA No, funded by European Union). More about external communication will be defined in the Communication Plan.

4.4.1 Complaints and conflict resolution

Each WP leader will immediately notify the Coordinator about any event or circumstance that may significantly affect the performance of the work executed in the frame of their work package (e.g. suggestions for considerable improvements and modifications/changes in the methodology, timetable, and task allocation, potential delays, disputes between partners, etc.). The Coordinator will be responsible for and will take the necessary steps to resolve the abovementioned issues by consulting with the relevant WP leaders, the Steering Committee, and any partner directly involved in the respective Work Package.

In the case of a dispute, the following Conflict Resolution Procedure will apply: i) the disputing parties will inform the respective WP leader, ii) if the WP leader is not able to resolve the problem, they will inform the Coordinator, iii) The Coordinator will discuss the issue with the SC and, after reaching an internal agreement, will get in contact with the disputing parties

aiming at implementing the agreed decision, iv) if the issue is still not solved, the matter will be taken for a virtual vote at an extraordinary GA virtual meeting.

Further details with respect to decision-making, conflict resolution as well as the management of internal administrative and financial issues are incorporated in the project's Consortium Agreement. When necessary, the Coordinator will inform the EC requesting feedback.

4.5 Progress reporting

4.5.1 Internal reporting

In the Consortium Agreement, the Beneficiaries agreed not to envisage intermediate internal reports during the first year, too close to the EC formal periodic report required at M12.

However one additional **internal interim report** will be carry out by 31 December 2024 (M24). This report will consist of a brief report on activities carried out and costs incurred. It will be submitted to the coordinator and shared internally 40 days after the end of that period. The aim of this intermediate reporting is to monitor the work performed by each partner, at guaranteeing a coordinated management of both project activities and resources, with the view to timely detection of risks to project implementation and effective resolution of identified problems.

For the purpose of collecting all necessary information in a uniform and coordinated manner, the Coordinator will prepare a dedicated internal reporting tools both for financial and technical information. The tools will be shared with each Beneficiary well in advance before the end of the concerned period. Each reporting tool provided by each Beneficiary will need to be reviewed and approved by the Coordinator. The financial data must reflect the activities described by each partner, meaning that, for example, if there are no activities reported in a specific task, there cannot be financial efforts declared in that task.

The Coordinator will store the collected reporting tools in a separate dedicated and secure file Coordinator's server and will share the final analyses with all consortium.

4.5.2 Reporting to EC

The Coordinator is responsible for the periodic reports that will be prepared with the contribution of all Beneficiaries and then officially submitted in the Funding and Tenders Portal.

Within CATALISI, two official reports are foreseen, namely on 31 December 2023 (M12) and at the end of the project, on 31 December 2025 (M36). The abovementioned reports will enclose information about how the project is progressing both from a technical and a financial point of view. All partners have part of the responsibility to deliver the reports, meaning that they have to send their inputs for the report to the Coordinator in due time when requested and, with reference to the technical report, each Work Package Leader is directly responsible for the elaboration of the chapters related to their respective WPs, also gathering contributions from the task leaders. All the steps and the relative deadlines will be summarized within precise and detailed communications from the Coordinator preceding each reporting period. The reports will be submitted by the Coordinator online on the official EC templates and they will include:

- an overview of the activities carried out in the concerned period,
- a description of the progress achieved towards the objectives and the milestones planned,
- the deliverables produced,
- the identification of possible problems faced and the corrective actions taken or planned,

- information and justification about the resources used/deployed by each beneficiary. Furthermore, according to the official Horizon Europe legal and financial rules.

The consortium will submit the periodic report to the EC and the final report within 60 days following the end of the reporting period.

APPENDIX 1: FORM CATALISI DATASET COLLECTION

Task Name	
Data summary	
Dataset description	<i>What is the content of the dataset processed in the task?</i>
Source	<i>Where the data is/will be derived from?</i>
Name	
Data exploitation	<i>For what purpose is the data collected? What is the use of data collection/processing?</i>
Data Type	
Partners responsibilities	
Partner in charge of the data collection	
Partner in charge of the data analysis	
Partner in charge of the data storage	
Partner that owns the data	
Partner that has the administrative responsibility of the data	
Standards	
Data format	
Does the format change from the original to the processed/final data?	
Size of data	
Software tools used for creating/processing/visualizing data	

Data accessibility and findability	
Open availability of produced data	<i>What is the data access policy / dissemination level:</i>
How will data be made accessible	
Methods or software tools needed to access the data	
Data archiving and preservation	
Data preservation time	<i>For how long will the data be preserved?</i> CATALISI duration, 5 years beyond the CATALISI duration
Storage and backup strategy	<i>What are the tools/software/platforms/methods used to store the data? Where the data will be stored?</i>
Data interoperability	
Interoperability of data produced	<i>Will you make use of established software and hardware? If not, how does the software and hardware you use relate to other research?</i>
Will established vocabularies for datasets will be used or Standard ones	

APPENDIX 2 TEMPLATE FOR DECLARATION ON ETHICAL STANDARDS AND DATA PROTECTION (NO DPO)

Place and date

DECLARATION on Horizon Europe Ethical Standards and Data protection

I, the undersigned, representing **Name of your organization**, with seat in **Address of your organization**, hereby certify that **Name of your organization**:

applies **ethical principles and guidelines** of Horizon Europe programme according to Article 19 of the Regulation (EU) 2021/695 of the European Parliament and of the Council of 28 April 2021 establishing Horizon Europe – the Framework Programme for Research and Innovation, laying down its rules for participation and dissemination, and repealing Regulations (EU) No 1290/2013 and (EU) No 1291/2013,

applies **data protection rules** according to 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 on the free movement of such data, and repealing Directive 95/46/EC (General Data Protection Regulation - GDPR),

hereby confirm that **Name of your organisation** **does not designate a Data Protection Officer** because none of the criteria in Art. 37 sub. 1 of the General Data Protection Regulation (GDPR) are met in the case of **Name of your organisation**. Nevertheless, **Name of your organisation** has in place an internal regulation for personal data management and protection and related data privacy policy (see below) to safeguard the rights and freedoms of CATALISI data subjects/research participants, and included a privacy working group in its organization chart coordinated by XXX (name, surname and email address of the relevant person)

Title and signature of the person signing the document

APPENDIX 3 – TEMPLATE FOR DECLARATION ON ETHICAL STANDARDS AND DATA PROTECTION (WITH DPO)

Place and date

DECLARATION on Horizon Europe Ethical Standards and Data protection

I, the undersigned, representing **Name of your organization**, with seat in **Address of your organization**, hereby certify that **Name of your organization**:

- applies **ethical principles and guidelines** of Horizon Europe programme according to Article 19 of the Regulation (EU) 2021/695 of the European Parliament and of the Council of 28 April 2021 establishing Horizon Europe – the Framework Programme for Research and Innovation, laying down its rules for participation and dissemination, and repealing Regulations (EU) No 1290/2013 and (EU) No 1291/2013,
- applies data protection rules according to 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 on the free movement of such data, and repealing Directive 95/46/EC (General Data Protection Regulation).
- hereby confirm that **Name of your organisation** designated a Data Protection Officer: **Name and Surname of the DPO and his/her email address**
- hereby confirm that **Name of your organization** has in place an internal regulation for personal data management and protection and related data privacy policy (see below) to safeguard the rights and freedoms of CATALISI data subjects/research participants.

.....
Title and signature of the person signing the document