	Title	Data Management Plan		
	Author	Paul Wanda, BRME	Version	1.0
	Reference	D1.1	Date	30-08-2021


DATA MANAGEMENT PLAN

Project Number: 965044

Project Acronym: B-CRATOS

Project Title: Wireless Brain-Connect interFace TO machines




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Deliverable Information


Project Title:	Wireless Brain-Connect interFace TO machineS (B-CRATOS)
Project Number:	965044
Deliverable Number:	D1.1 Data Management Plan
Responsible Partner:	Blackrock Microsystems Europe GmbH (BRME)
Work Package Number and Title:	WP1 Management and coordination
Version:	1.0
Revision Date:	30-08-2021

Dissemination Level: Public

Approvals

Name, Org.	Role	Signature	Date
Paul Wanda, BRME	Author		30-08-2021
Robin Augustine, UU	Project Coordinator, WP1 Leader		30-08-2021



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Executive Summary

The initial version of the B-CRATOS Data Management Plan (DMP) outlines policies and processes for organizing, managing, and curating data during the project life cycle. It describes the data types expected to be collected during the project, how such data will be organized, stored, and shared, the platforms for short-term and long-term preservation, and data security and privacy measures. Compliance with the General Data Protection Regulation is addressed through policies regarding the collection and handling of personal data.

The B-CRATOS project formally opted out of participation in the Horizon 2020 Open Research Data Pilot, as a consideration for intellectual property protection and future commercialization of project technologies. However, the B-CRATOS consortium will strive to respect the Horizon 2020 obligation for open access for publications, which may additionally involve the public sharing of selected research data as outlined in this plan, inspired by the FAIR principles for data findability, accessibility, interoperability, and re-usability.

The DMP document is intended for internal consortium use, to establish common standards for the use and organization of project-generated documents and datasets by the B-CRATOS consortium partners.





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1 Overview

1.1 Purpose

The DMP provides an overview of the data and information collected during the B-CRATOS project and establishes the policies and procedures for data handling and processing activities. This document covers data collection, data storage, data protection measures, retention policies, and compliance with applicable national and EU standards. The DMP also sets policies for the sharing of data with external (non-project) parties and the public in the spirit of the open access policy of Horizon 2020, while protecting the trade secrets and intellectual property of the participating partners according to the B-CRATOS Consortium Agreement. The initial version of the DMP is authored under *WP1 Management and coordination* as public deliverable *D1.1 Data Management Plan*.


The DMP is intended for internal use by consortium partners to guide their management of project data through the establishment of organizational principles and common practices. As a living document, future versions are anticipated to accommodate project needs, as appropriate. Such updates may include new data types, information about newly generated data sets, updated templates or storage conventions, changes in related policies regarding intellectual property or dissemination, changes in consortium composition, corrections, and other factors.

The structure of this document was adapted from the Horizon 2020 FAIR DMP template and was written with reference to the Guidelines to FAIR data management in Horizon 2020 (4) and the General Data Protection Regulation (GDPR, Regulation (EU) 2016/679).

1.2 B-CRATOS Partners

Short Name	Full Name
UU	Uppsala Universitet
SINANO	Institut Sinano Association
SSSA	Scuola Superiore di Studi Universitari e di Perfezionamento S'Anna
BRME	Blackrock Microsystems Europe GmbH
LINKS	Fondazione LINKS – Leading Innovation & Knowledge for Society
DPZ	Deutsches Primatenzentrum GmbH
NTNU	Norges Teknisk-Naturvitenskapelige Universitet NTNU



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1.3 Responsibilities

BRME is the project partner responsible for authoring a Data Management Plan (DMP) under Work Package (WP) 1 of the B-CRATOS project. UU is the lead beneficiary responsible for WP1.

Prof. Robin Augustine (UU) is the scientific coordinator assuming overall project, scientific, and technical responsibility of the project. As B-CRATOS coordinator, Prof. Augustine reviews, approves, and submits deliverables and reports.


1.4 Definitions

Term	Description
B-CRATOS	the Wireless Brain-Connect inteRfAce TO machineS project
DMP	Data Management Plan
FAIR	Findability, Accessibility, Interoperability, Reusability (data principles)
GDPR	General Data Protection Regulation
NHP	Non-human primate
WP	Work Package

1.5 References

1. Grant Agreement number 965044, B-CRATOS, H2020-FETOPEN-2018-2020 / H2020-FETOPEN-2018-2019-2020-01, Annex 1 (part A), Research and Innovation action, *unpublished*
2. B-CRATOS Consortium Agreement, version V5, 2021-02-26. *unpublished*
3. Proton Technologies AG. (2021). *Complete guide to GDPR compliance*. GDPR.EU. <https://gdpr.eu/>
4. Wilkinson, M., Dumontier, M., Aalbersberg, I. et al. (2016) The FAIR Guiding Principles for scientific data management and stewardship. *Scientific Data* 3:160018: doi:10.1038/sdata.2016.18
5. Garcia S., Guarino D., Jaillet F., Jennings T.R., Pröpper R., Rautenberg P.L., Rodgers C., Sobolev A., Wachtler T., Yger P., and Davison A.P. (2014) Neo: an object model for handling electrophysiology data in multiple formats. *Frontiers in Neuroinformatics* 8:10: doi:10.3389/fninf.2014.00010



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2 B-CRATOS Data Summary

Following EU guidelines, for each data set collected, processed, and generated by the project, the DMP documents and establishes the following: a dataset description, reference/naming standards, standard data types, metadata, a data sharing policy, and archiving/preservation process. An estimate of the scale of the size of data is given based on expected data generated, though this estimate will be adjusted in future versions of this plan as system development and test plans are detailed.

The following data descriptions, standards and organizational strategies are provided such that the B-CRATOS consortium partners possess a common knowledge and reference of the dataset and can more effectively share and utilize data generated by the project.

2.1 Project overview and Data description

The Wireless Brain-Connect interRfACE TO machineS (B-CRATOS) project aims to merge novel wireless communication, neuroscience, bionics, AI, and sensing technologies to create a battery-free high-speed wireless in-body communication platform for Brain-Machine-Body connectivity, enabling two-way neural motor control and touch sensing of a prosthetic limb. Individual sub-system components will be designed and implemented by project partners, then integrated for end-to-end bench and *in vivo* testing.

Key project data is expected to take two primary forms:

1) Technical documentation and test results from system and sub-system development and integration, which may include elements such as:


- Design and technical documentation, including schematics and drawings
- Custom code used in simulations and analyses
- Custom software and documentation
- Raw data collected during hardware and software sub-system testing
- System configuration files
- Technical and test reports

The purpose of data sets in (1) is to support the technological design, implementation, testing, and integration under Work Packages (WPs) 2, 3, 4, and 5.

2) Data collected during *in vivo* testing of the system in a non-human primate (NHP), which may include elements such as:

- Experiment task design documentation and software
- Raw behavioural/kinematic, task, neural data collected during testing on research hardware
- Raw data and other validation outputs collected during hardware and software sub-system testing



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- System configuration files
- Technical and test reports

The purpose of datasets in (2) is to support the *in vivo* proof-of-concept testing of the B-CRATOS system in non-human-primates under WP6. Additionally, data generated through *in vivo* testing will be used within the project to support algorithm development under WP4.

The above datasets will critically verify system design and performance meets the system requirements and project objectives. Analyses of these data will be incorporated into public and protected technical and test reports as upcoming project deliverables.

The data sets will also be useful to support dissemination and exploitation efforts, as will be detailed in the upcoming B-CRATOS Dissemination and Exploitation Plan. Broadly, these data will be useful for outreach to the scientific community (neuroscientists, engineers, physicists, AI researchers, materials scientists), industry (commercial partners, companies), patent development, and funding opportunities.

2.2 Data set organization and naming conventions


To promote the findability and organization of project data, each critical project file will be assigned a unique name. The **naming convention** is as follows, with elements in *italics* updated with specific descriptors for the given document or data set:

BCRATOS_WORKPACKAGE_TITLE_AUTHOR_VERSION_DATE.EXT

All document names begin with the prefix “BCRATOS”. The following elements, separated using underscores “_”, are constructed as follows:

- *WORKPACKAGE*: the code for the most appropriate work package. Example: “WP1”
- *TITLE*: the (short) title of the document, including the reference code for a deliverable or other relevant identifier. Distinguish words here using hyphens “-“. Example: “D1.1-Data-Management-Plan”
- *AUTHOR*: the partner short name of the lead author. Example: “BRME”
- *VERSION*: documents falling under version control should include the current document version. Example: “V1.1”
- *DATE*: the “last modified” date for the document in DDMMYYYY format. Example: “10062021” (for 10 June 2021)
- *EXT*: the file type extension. Example: “pdf”



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The following is an example filename incorporating all the elements listed above:

“BCRATOS_WP1_D1.1-Data-Management-Plan_BRME_V1.1_30022022.pdf”.

Templates for project technical documentation and reports are included in Project Storage, to provide a common structure ensuring appropriate metadata are included with project critical documents and datasets.

2.3 Standards and metadata

To promote interoperability, project data and documentation is strongly encouraged to make use of accepted, widespread standards and open file formats. For conversion sharing and long-term storage, open file formats will be selected whenever possible.


The following file formats and standards are chosen for project documents:

- For text documents and spreadsheets, Microsoft Office-compatible formats will be used, such as .doc*, .ppt*, .xls*, or common light-weight formats such as .csv, .rtf, and .txt. Approved (signed) documents will be converted to .pdf format documents.
- For illustrations and graphic design, vector graphics formats are encouraged when at all possible, such as .svg. Inkscape (inkscape.org) is a suggested open-source editor. Image files are encouraged to use .png or .tif, which supports lossless compression, or similar open, lossless formats.
- Video recordings will use the MPEG formats (often .mp4). The QuickTime (.MOV) format is not an open format and discouraged.

The greatest volume of data is expected to be generated from the *in vivo* NHP testing: a single experiment session may generate as much as 50 GB of data per 1 hour testing. These data are expected to take the following forms:

- Neural data will be recorded in the .nev, .nsX formats for digitized intracellular electrode spike and continuously sampled data, for which there are open-source and free interpreters and software. For additional detail: https://www.blackrockmicro.com/wp-content/ifu/LB-0023-7.00_NEV_File_Format.pdf
- Task events are packaged in a binary file, developed by the researcher partners. Software tools and/or file format specifications will be included to interpret these data. Information recorded from other experimental devices (such as a prosthetic hand) will be included in this binary file.
- Kinematic data recorded from hand movements are packaged into MATLAB data structures (<https://www.mathworks.com/products/matlab.html>), a common and widely used tool for data analysis. MATLAB data structures may also be interpreted in Python



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using the SciPy library or other tools.

Additional data type descriptions will be included here as test plans are developed during the system design and implementation phases.

Text documents, as appropriate, will include up-to-date descriptive metadata information such as deliverable information, dissemination level, approvals, and a change log. Non-plaintext data sets and documents, or those that lack an available viewer or interpreter, will be accompanied by a descriptive plaintext README file that will include this descriptive meta-information.

To improve future data reusability, project leadership will consider adopting, either in part or full, one of emerging relevant standards for organizing and sharing electrophysiological data and accompanying metadata, such as Neurodata Without Borders: Neurophysiology (NWB:N) (<https://www.nwb.org/best-practices/>), the Brain Imaging Data Structure (BIDS) (<https://bids-specification.readthedocs.io/en/stable/>), the NFDI-Neuro common infrastructure (COIN) (<https://nfdi-neuro.de>), and the Neo data format (5).

2.4 Data storage

Project data will be made accessible to consortium partners on several different platforms to facilitate collaboration and work. Initially, public data, deliverables, and additional project information will be made available solely through the B-CRATOS website.


The mechanism of data storage will depend upon project phase. During the performance period of the B-CRATOS grant agreement, data storage will be categorized as *active data*. Active Data will be accessed frequently, and updates are expected to file content and access rules to facilitate ongoing work and collaboration. Given the need for frequent access and modification of data during this phase, data backup, security, and rapid transfer are prioritised. Following the grant performance period, data storage will be categorized as *passive data*. Passive data, in contrast to active data, is a historic archive for data preservation that will not be accessed frequently and will not be modifiable.

2.4.1 Active data storage

Box: Box cloud storage (<https://www.box.com/>) will facilitate versioning and collaborative work on documents during the active project phase, such as WP deliverables, technical documents, and publications. Project data and documents will be stored on a dedicated Box cloud file storage account, organized in a curated hierarchical structure. These data will include project presentations, meeting minutes, video recordings, and technical documentation such as design documents.

Access to cloud file storage will be limited to project staff requiring password authentication, with accounts managed by the Project Coordination team (WP1 leaders). The account begins



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at up to 100 GB of storage and is expandable to suit project needs.

Argos. The Argos system (hosted by UU) is a highly secure archive for critical project data during the active project phase. The information security level is the highest level “Gold” KRT 3-3-2, where KRT stands for Confidentiality (K), Correctness (R), and Availability (T) according to the SS-ISO/IEC 27001, with 3 being the highest value. It will store signed copies of project deliverables, critical technical documents, and large project data sets for which Box is not an appropriate mechanism. It has expandable Terabyte storage, mirrored and off-line backup storage.

Access to Argos will be limited to WP leaders, managed by the Project Coordination team (WP1 leaders), and requires authorization through the Uppsala University secure VPN.

Dataset size. As described above, *in vivo* testing will account for the greatest volume of data generated by the project, as much as 50 GB of data per experiment session. It is estimated that as much as 10 TB of data may be generated during the project, though not all generated data will be of long-term value to the team. For example, data collected during post-implantation training may be used in the short-term to evaluate performance and gauge training. However, the raw data may not have long-term value for project partners, unless it is used directly for deliverable reports or publications. In such cases, processed data with greatly reduced storage size requirements may be preserved instead of raw data.

B-CRATOS Website: The project website (<https://b-cratos.eu/>) provides an open area for public dissemination of goals and results, such as Open Access publications, press releases, public data, educational materials plus a secure area for project members only to provide updates, monitor progress, raw data, test results and all official documents.

Data and documentation will be made available across two different sections:


- Public: public deliverables, open access publications, public presentations
- Consortium area (secured): meetings (AB, Consortium and Review) presentations and minutes, timeline of the project, all released deliverables, B-CRATOS official documents (contractual and financial), WP documents, publications, data for future exploitation. Access will be managed by project partner SINANO and made available to all project staff members.

2.4.2 Passive (long-term) data storage

Following project closure, data is planned to be maintained for a minimum of 4 years and up to 10 years. The period of up to 4 years follows Article 28 of the Grant Agreement (1), with the aim of ensuring exploitation of results.

The passive data archive is not anticipated to require Gold-level protection, and as such, critical project data is expected to be migrated from the Argos platform for long-term



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preservation. Alternatively, the Argos storage protection level can be downgraded, as is appropriate, for cost-savings and used for passive data storage. Project partners will be granted read access to the long-term archive to support future research and commercial activities.

The project website is planned to be maintained for the same duration, to host public deliverables and to provide links to any public datasets.


Data belonging to published research articles will be stored by authors to meet requirements as imposed by the publisher and applicable legal authorities (typically 10 years).

2.5 Data sharing

The B-CRATOS project opted-out of the Open Research Data (ORD) pilot as indicated by Article 29, Section 3 of the B-CRATOS Grant Agreement (1).

Research data may later be shared publicly to support dissemination efforts such as publication of works and findings in open-access research journals either through a project-designated platform or common platforms such as GitHub (<https://www.github.com>) or Zenodo (<https://zenodo.org/>). Selection of a project-designated data portal for public data sharing will be determined at a future time when such datasets are identified. Such public data will be available for re-use and to eliminate any potential doubts, the consortium will include a specific license to any deposited data to define all conditions under which the data are provided, including giving the authors and project sponsors appropriate credit, with selection of the license dependent on the chosen platform.



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3 Allocation of resources

Data management will be performed as part of WP1 and project coordinator UU with support of BRME, the Partner-author of the DMP, will be responsible for data management and security. UU has allocated a portion of the WP1 budget to cover data hosting and management costs and person-months to these manage activities. BRME additionally has allocated person-months to WP1 tasks, including responsibility for drafting the first DMP version release and subsequent revisions.


Registration, quality control, and upload of datasets is the responsibility of the Partner generating the data for each WP and should respect the policies set out in the DMP. The project coordinator team under WP1 will provide guidance and oversight of this process as needed.

Given the high potential for exploitation and commercialization of B-CRATOS technologies, long-term data preservation will be crucial for IP protection, subsequent development work, and partners pursuing future partnerships. A plan for resource allocation (costs) for long-term preservation extending from project end will and for potential open data access will be discussed by the Partner Leaders during General Assembly (GA) meetings. Any costs relating to open access to research data during the performance period are eligible as part of the Horizon 2020 grant, if compliant with the Grant Agreement conditions. Long-term storage strategies following the performance period may necessarily rely upon other funding sources.

Current estimated costs:

- **Box.com:** Free for first 100 GB. Expandable at an additional 123.50 EUR/TB/year.
- **Argos:** 489.66 EUR per year for 1 TB storage. Expandable at an additional 489.66 EUR/TB/year.



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4 Data security

4.1 Storage security and transfer

Both primary data storage services selected for the B-CRATOS project ensure storage security, backup, and secure transfer.

Box utilizes FIPS 140-2 certified, AES 256-bit encryption for data at rest and high-strength TLS1.2 in transit. Additionally, content is further protected by an encryption key-wrapping strategy that also utilizes 256-bit AES encryption. Additionally, data is stored on secure enterprise-grade data centres that undergo regular audits and 24/7 monitoring, with redundant backup. Box also features automatic file versioning for simple restore and automatic file collision management, to preserve data when multiple users access a document.

Argos stores data across several disks located in two physically separated protected server halls with replication to a secondary site and offline backup system. Data is preserved through time-based snapshots saved on the primary site up to 29 days and on the secondary site up to 188 days, with offline backup using TSM where inactive files (deleted or changed) are saved for a default 300 days. The servers are administered by and located at UU.

4.2 Access control

Access control to project document and data storage systems is managed by the project management and coordination team (WP1 leaders) at UU and SINANO for the B-CRATOS website. User accounts are granted when requested by project partners, with controlled permissions to specific directories as needed. Access to project data storage at Argos is additionally managed in coordination with the Uppsala University IT department, through the granting of UU external user accounts and VPN access.


The right of consortium partners to access data will respect the obligations and conditions described in Article 31 of the Grant Agreement. Critically, within the consortium, broad access will be granted among the consortium partners to data to implement their own project tasks and, under fair conditions, for exploitation.

4.3 Confidentiality

The B-CRATOS project aims to commercially or industrially exploit the ideas and technologies generated through the WPs to which the partners have committed (Grant Agreement, Article 27). As such, specific identified deliverables, documents, and data sets generated by the project are designated as either **Public** or **Confidential**.

Documents and data sets marked **Confidential** must follow guidelines for protection and dissemination as outlined in the Grant and Consortium Agreements. These documents will




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not be shared outside the consortium without proper process, including written assent by the document or dataset author/owner. For further details, see Articles 27 and 36 of the Grant Agreement (1) and Article 10 of the Consortium Agreement (2).

Any beneficiary that intends to disseminate its results must give notice to other beneficiaries of at least 45 days, according to Article 29 of the Grant Agreement (1).



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5 Ethical aspects

The project will comply with ethics requirements included as deliverables in WP8 under obligations described in Article 34 of the Grant Agreement (1). Under WP8, a three-member independent external Ethics Board has been established in Month 3, including relevant and independent expertise to monitor ethics issues for the project, relating to security, privacy, and safety and the handling of any such issues. The expert board constituents are organisationally independent, not employed by a partner organization nor from a country already represented in the scientific advisory board, geographically diverse across the EU and associated countries, and gender balanced.

The Ethics Board will produce reports as deliverables in Month 12, 30, and 48, as outlined in the Grant Agreement (1).

Animal research performed under the B-CRATOS project is governed by an approved Ethics Application and monitored regularly by the Ethics Committee at the Institution at which the research is conducted. Documentation associated with the approvals and monitoring for this research is included as Ethics Deliverables to the European Commission for their review.

5.1 Management of personal data


There are no plans to collect human research participant data to support B-CRATOS project objectives.

Any personal data collected during the project will be protected according to the obligations in Article 39 of the Grant Agreement (1) and the EU GDPR (3). A project privacy policy will provide unambiguous information about data protection issues and comply fully with national and EU laws, such as the GDPR. The privacy policy is planned to be developed during Year 1 as the Dissemination and Exploitation strategy is developed and released to the project website in Year 2. Any requests for data access, modification, or deletion will be promptly respected and addressed. No personal data will be provided to third parties outside the project without explicit informed consent.

Personal data that may be collected during the project will take two primary forms:


1. *Contact information of project staff and researchers, vendors, etc.* Collection of this data is justified as under the legitimate interest as strictly necessary for performing the project work promised under the Grant Agreement. This includes names and professional contact information, provided on a voluntary basis to facilitate work on the project. This information will not be provided to any third parties outside of those scenarios justified by project work activities.
2. *Contact information of interested individuals external to the project.* This information may be collected on a voluntary basis through the website or through direct professional



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contact, from individuals who are interested in learning more about the project, in future collaborations, or participating in exploitation activities such as commercialization or partnerships (see WP7 Dissemination and Exploitation Plan for additional details). In a typical scenario, interested parties may provide their contact information through a form page on the website. Entries to this form will transmit this information via secure email to a dedicated, password-protected mailbox. This information will not be used for direct marketing, sales, or similar activities.




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6 Data Set Listing

This section will list the data sets produced by the project. For each data set, a short technical description is provided by the responsible partner, here. A more detailed description and user guide will accompany the dataset in digital storage as supporting textual metadata.

Date uploaded:		Responsible Partner Name:	
Location in Storage:		Dissemination Level:	
Title:			
Description:			



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7 Revision history

REVISIONS			
Version #	Date	Type of Change	Lead Author
0.1	10-08-2021	Draft version of DMP	Paul Wanda, BRME
0.2	17-08-2021	Draft with some edits	Paul Wanda, BRME
1.0	30-08-2021	Finalized first draft sent to Project Coordinator for approval and release	Paul Wanda, BRME

