

All IODP³ proposals and data are confidential throughout the nurturing, evaluation, and scheduling processes. All individuals within IODP³ implicitly agree that they will not disclose or disseminate proposal contents, including related site characterisation data, or discuss the proposal outside the context of their role with IODP³.



Standard IODP³ Confidentiality Policy



**INTERNATIONAL
OCEAN DRILLING
PROGRAMME**

Standard IODP³ Confidentiality Policy

1. Principles

- This Standard IODP³ Confidentiality Policy applies to all IODP³ proposals (scientific drilling proposals and SPARCs), and their contents, uploaded in the IODP³ Proposal Database (PDB), as well as to all related site characterisation data files, uploaded in the IODP³ Site Characterisation Database (SCDB).
- All IODP³ proposal documents and all site characterisation data files are treated as confidential during the nurturing, evaluation, and scheduling processes of the MSP Facility Board (MSP-FB) and IODP³ Advisory Panels.
- All IODP³ proposal documents, including Site Forms, all site characterisation data files stored in the SCDB in support of the IODP³ review process, with the exception of restricted distribution files noted below, and any other required data or optional supplemental documents, become available for scientific or safety purposes associated with the expedition/SPARC when the MSP-FB schedules a successful proposal as an IODP³ expedition, as part of an IODP³ related expedition, as a series of IODP³ expeditions or as a SPARC.
- Restricted distribution site characterisation data (e.g., confidential industry data or data covered by a Limited Non-Disclosure Agreement) can be uploaded into the SCDB and used to support an IODP³ proposal, with the requirement that at least a predefined subset of “minimum data” be made available in support of the IODP³ review process and to the expedition manager, Co-Chiefs and Expedition Science Team members when the MSP-FB schedules a successful proposal as an IODP³ expedition, as part of an IODP³-related expedition, or as a series of IODP³ expeditions.
- Proponents are responsible for ensuring the removal of all confidential information prior to the submission of a proposal document into the PDB, and for identifying restricted-distribution data files in the SCDB.
- All individuals, who receive, handle, or review IODP³ proposals, acknowledge that all scientific ideas therein belong to the proposal authors (“proponents”) and implicitly agree that they under no circumstance will disclose or disseminate proposal contents and supporting data, and that they will not discuss the proposal outside the context of their roles within the IODP³.
- The IODP³ Science Office (IODP³-SO) is responsible for all matters related to proposal handling in IODP³, including their confidentiality and the release of site characterisation data in support of an IODP³ proposal.
- Limited Non-Disclosure Agreements (LNDA) are defined in a separate policy.

2. Designation of Site Characterisation Data Files as Release, Hold or Restricted

All site characterisation data files supporting primary and secondary drilling/coring sites must be submitted by the proponents to the SCDB in electronic form via the online IODP³ Gateway. During the upload process, all data files are to be flagged by the proponents as either *release*, *hold*, or

restricted. IODP³ encourages *release* as the default file flag unless there is a compelling reason to use *hold* (for example, if the data are under moratorium, or pending publication) or *restricted* (for example, if uploading confidential industry data, or if the use of a Limited Non-Disclosure Agreement – LNDA – is required). The *restricted* flag is intended to be used on an exceptional basis and only can be applied in the SCDB when granted access by the IODP³-SO.

All data files flagged *release* in the SCDB are available for both viewing in and downloading from the SCDB. All data files flagged *hold* will become available to the expedition when the MSP-FB schedules the proposal supported by the data files as an IODP³ expedition, as part of an IODP³-related expedition, or as a series of IODP³ expeditions. All data files flagged *restricted* are never made available, but the “minimum data” required subset (Section 5) derived from those data files are considered files on *hold* and therefore will become available to the expedition when the proposal is scheduled.

Metadata (descriptive information submitted by the proponent, such as file name, file type, size, format, location, data, contributor, and method of collection) of all data files held in the SCDB, whether confidential or not, generally are considered public.

Since all IODP³ proposal documents in the PDB, including the IODP³ Site Forms, the data files stored in the SCDB in support of the IODP³ review process, and any other required data or optional supplemental document, will be made available to the expedition once it is scheduled, proponents need to ensure that the proposal documents do not contain graphical derivatives of any *restricted* site characterisation data file in the SCDB, except if these graphics are derived from the “minimum data” subset (Section 5).

3. Programme and Individual Responsibilities

All IODP³ proposal contents and all site characterisation data files are treated as confidential documents throughout the nurturing, evaluation, and scheduling processes of the MSP-FB and IODP³ Advisory Panels.

The distribution of proposals and supporting data is limited to the MSP-FB, the MSP-FB Advisory Panels, detailed planning groups formed by the IODP³ Advisory Panels, IODP³ Science Operators, IODP³ Executive Board, and IODP³ project scoping and management groups. By receiving IODP³ proposals and supporting SCDB data files from the IODP³-SO, all individuals acknowledge that scientific ideas contained in these proposals belong to the proposal authors (“proponents”) and implicitly agree that they will not disclose or disseminate proposal contents and supporting data and that they will not discuss the proposal outside the context of their roles with the IODP³. Once given access by the IODP³-SO, all individuals are required to comply with these restrictions regarding the confidential use, disclosure, and dissemination of the proposal contents and supporting data. Proposals may be released for open viewing, or any designated subset thereof, with the consent of the proposal lead proponent at any time during the nurturing, evaluation, and scheduling processes.

By accessing site characterisation files in the SCDB, whether those are flagged as *release*, *hold* or *restricted*, all IODP³ entities and individuals agree that they will not disclose, disseminate, or modify the data, and that they will discuss and use these data only for the scientific evaluation of the proposal, the safety review of the proposed expeditions, or the planning of the expedition(s). Once given access by the IODP³-SO, these individuals are required to comply with the stated restrictions regarding data use, disclosure, dissemination, and modification.

Once a proposal is scheduled for drilling/coring as an IODP³ expedition, as part of an IODP³ related expedition, as a series of IODP³ expeditions, or as a SPARC, the IODP³ acquires the right to publish the entire proposal document and supporting data (with the exception of the *restricted* site characterisation data files, although the minimum data package described from these data will be published) and conduct the science therein under the auspices of the IODP³ and in accordance with the IODP³ Principles of Scientific Investigation (<http://iodp.org/about-iodp/principles-of-scientific-investigation>).

A submitted proposal that is not chosen for implementation by IODP³ will be retained by the IODP³-SO for the lifetime of the IODP³ and will be treated as a confidential document.

4. Proponent Responsibilities

At all times, the proponents of an IODP³ proposal are responsible for properly identifying (using labels, captions, and annotations) any specific confidential information contained in the proposal documents and for ensuring the removal of all confidential information prior to uploading of the proposal documents in the PDB in accordance with this Standard IODP³ Confidentiality Policy or any applicable LNDA.

In addition, proponents are responsible for including any labels, captions, and annotations (e.g., “Confidential Information, property of XXX”) if required by the data owner in all site characterisation data files prior to uploading those into the SCDB.

Proponents are responsible for using the correct data flag *release*, *hold*, or *restricted* for all site characterisation files submitted to the SCDB. Proponents are encouraged to use *release* as the default flag, so site characterisation files are available for other IODP³ researchers and expedition science parties. If available (strongly encouraged), proponents should provide a doi for their data to enable proper citation of the data when used by other IODP³ researchers. Proponents are responsible for describing a legitimate reason for using the *hold* or *restricted* flag and should contact IODP³-SO to request permission to upload *restricted* data files.

Proponents are responsible for understanding that all site characterisation files uploaded as *hold* will be made available to the expedition when the MSP-FB schedules a successful proposal as an IODP³ expedition, as part of an IODP³-related expedition, or as a series of IODP³ expeditions. **This includes use in the *Proceedings of the International Ocean Drilling Programme*.** The proponents are responsible for conveying this to any third party (for example, an industrial data owner). In addition, when using the *restricted* flag, proponents are responsible for providing the “minimum data” subset (Section 5).

It is the responsibility of the proponents, and not the IODP³-SO, if any confidential information remains in the proposal documents after submission into the PDB, or if any confidential or restricted files in the SCDB have been uploaded without assigning the appropriate labels, captions, annotations, and SCDB data types.

All site characterisation files associated with a proposal residing in the SCDB can be viewed and downloaded by proponents of that proposal unless the files are *restricted*. Once given access to data files by the IODP³-SO, proponents become responsible for complying with all limitations regarding the data use, disclosure, dissemination, and modification.

5. Minimum Site Characterisation Data Requirement

The use of restricted site characterisation data is only accepted by the IODP³ if subsets of these data are made available to those involved in the IODP³ review process, to IODP³ Expedition Science Teams at sea, and to IODP³ researchers when the expeditions have been completed. These subsets will satisfy the following “minimum data” requirements for each of the proposed primary and alternate drill sites, and are necessary to provide context to the scientific results of the research expeditions:

- For the depth view in seismic reflection profiles, the minimum seismic reflection or sediment echosounder data requirement is defined as at least the upper 1 second two-way-travel time, measured from the seafloor and into the targeted subsurface, or twice the termination depth of the deepest proposed drilling/coring site or hole, whichever is larger.
- The along-profile dimensions of the data view for (along-strike and crossing) seismic reflection profiles should be at least 10 km to each side of the proposed drilling/coring site or hole, or at least five times the maximum proposed termination depth, whichever is larger.
- For bathymetric maps, the areal extent should cover at least the above defined along-profile dimensions, plus an extra 5 km, in all directions.

The providers of *restricted* data thus implicitly always agree that these minimum data derived from the *restricted* data, at their *highest resolution*, will be available to all IODP³ entities, both during the proposal review process and after, when the proposal is implemented by one or more IODP³ Science Operators. The minimum data package should allow approval of alternate sites while the expedition is underway and will be available on the drilling platform. Failure to include these data for use by the shipboard party could result in the early termination of the expedition if alternate sites are required but cannot be adequately defined.

Proponents may seek exemption to the above minimum data requirement, which in special circumstances may be granted in writing by the MSP-FB Co-Chairs after discussion with the Chair of the SEA Group. However, if the minimum data are not available to the expedition during implementation and drilling/coring sites need to be adjusted, the expedition could terminate early.

Data files containing minimum data will be treated as confidential throughout the nurturing, evaluation, and scheduling processes of the MSP-FB and its Advisory Panels. It is the responsibility of the proponents to create the minimum data subsets, to ensure they satisfy the requirements, and to upload them using the *hold* flag. It is the responsibility of the proponents to ensure that data owners understand that the minimum data will become available to the expedition if the proposal is eventually scheduled. Failure to comply with this requirement would result in the delay of scheduling of the expedition for drilling/coring.

Once a proposal is scheduled for drilling/coring as part of an IODP³ expedition, as part of an IODP³-related expedition, as a series of IODP³ expeditions, the programme acquires the right to make the minimum data derived from the *restricted* data available to the expedition and conduct the science under the auspices of the IODP³. The minimum data will also be included in the *Proceedings of the International Ocean Drilling Programme*.

6. Use of Limited Non-Disclosure Agreements

This **Standard IODP³ Confidentiality Policy** applies to all IODP³ proposal documents.

However, for cases, in which confidential site characterisation data are available and may need the application of an LNDA, proponents are referred to a separate policy concerning the **Use of Limited Non-Disclosure Agreements in IODP³**.

7. In Case of Platform Emergencies

In the event of a platform emergency during an IODP³ drilling expedition, *all* site characterisation data, at their *highest resolution*, that have been used during the IODP³ science and safety review processes, will be made available immediately to those addressing the emergency, regardless of whether the data are designated as *restricted* or covered by an LNDA.