

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

Standard IODP Confidentiality Policy

International Ocean Discovery
Program (IODP)



The JOIDES Resolution Facility Board approved these guidelines on May 15, 2018

Standard IODP Confidentiality Policy

Approved by *JOIDES Resolution* Facility Board: **15 May, 2018**

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(1) Principles

1. This Standard IODP Confidentiality Policy applies to all IODP proposals, and their contents, uploaded in the IODP Proposal Database (PDB), as well as to all related site characterization data files, uploaded in the IODP Site Survey Data Bank (SSDB).
2. All IODP proposal documents and all site characterization data files are treated as confidential during the nurturing, evaluation, and scheduling processes of the *JOIDES Resolution* Facility Board (JRFB) and JRFB Advisory Panels, and any other Facility Board that utilizes the JRFB Advisory Panels.
3. All IODP proposal documents, including Site Forms, all site characterization data files stored in the SSDB in support of the IODP review process, with the exception of restricted-distribution files noted below, and any other required data or optional supplemental documents, become publicly available when the JRFB, or other Facility Board, schedules a successful proposal as an IODP expedition, as part of an IODP-related expedition, or as a series of IODP expeditions.
4. Restricted-distribution site characterization data (e.g., confidential industry data or data covered by an Limited Non-Disclosure Agreement) can be uploaded into the SSDB, and used to support an IODP proposal, with the requirement that at least a predefined subset of “minimum data” be made available in support of the IODP review process and be made publicly available when the JRFB, or other Facility Board, schedules a successful proposal as an IODP expedition, as part of an IODP-related expedition, or as a series of IODP expeditions.
5. 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 SSDB.
6. All individuals, who receive, handle, or review IODP 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 IODP.
7. The SSO is responsible for all matters related to proposal handling in the IODP, including their confidentiality and the public release of site characterization data in support of an IODP proposal.
8. Limited Non-Disclosure Agreements (LNDA) are defined in a separate policy.

For the most up-to-date versions of the **Standard IODP Confidentiality Policy** and the **Use of Limited Non-Disclosure Agreements in IODP** please visit <http://iodp.org/policies-and-guidelines> and <http://iodp.org/proposals/submitting-proposals>.

(2) Designation of Site Characterization Data Files as Release, Hold or Restricted

All site characterization data files supporting primary and secondary drilling sites must be submitted by the proponents to the SSDB in electronic form. During the upload process, all data files are to be flagged by the proponents as either *release*, *hold*, or *restricted*. IODP 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 is required). The *restricted* flag is intended to be used on an exceptional basis and only can be applied in the SSDB when granted access by the SSO.

All data files flagged *release* in the SSDB are publicly available for both viewing in and downloading from the SSDB. All data files flagged *hold* will become publicly available when the JRFB, or other Facility Board, schedules the proposal supported by the data files as an IODP expedition, as part of an IODP-related expedition, or as a series of IODP 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 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 SSDB, whether confidential or not, are considered public.

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

(3) Program and Individual Responsibilities

All IODP proposal contents and all site characterization data files are treated as confidential documents throughout the nurturing, evaluation, and scheduling processes of the JRFB and its Advisory Panels, and of any other Facility Board utilizing the JRFB Advisory Panels.

The distribution of proposals and supporting data is limited to the JRFB or other Facility Boards, the JRFB Advisory Panels, detailed planning groups formed by the JRFB Advisory Panels, IODP Science Operators, IODP Funding Agencies, IODP project scoping and management groups, and the external reviewers designated by the SSO.

By receiving IODP proposals and supporting SSDB data files from the SSO, 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 IODP. Once given access by the SSO, all individuals become responsible for complying with these restrictions regarding the confidential use, disclosure, and dissemination of the proposal contents and supporting data. Proposals may be released to the public, 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 characterization files in the SSDB, whether those are flagged as *release*, *hold* or *restricted*, all IODP parties 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 SSO, these individuals become responsible for complying with the stated restrictions regarding data use, disclosure, dissemination, and modification.

Once a proposal is scheduled for drilling as an IODP expedition, as part of an IODP-related expedition, or as a series of IODP expeditions, the IODP acquires the right to publish the entire proposal document and supporting data (with the exception of the *restricted* site characterization data files) and conduct the science therein under the auspices of the IODP and in accordance with the IODP Principles of Scientific Investigation (<http://iodp.org/about-iodp/principles-of-scientific-investigation>).

A proposal that does not result in the drilling by the *JOIDES Resolution* Science Operator (JRSO) or by any other IODP Science Operator utilizing the JRFB Advisory Panels, will be retained by the SSO for the lifetime of the IODP and will be treated as a confidential document.

(4) Proponent Responsibilities

At all times, the proponents of an IODP 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 IODP 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 characterization data files prior to uploading those into the SSDB.

Proponents are responsible for using the correct data flag *release*, *hold*, or *restricted* for all site characterization files submitted to the SSDB. Proponents are encouraged to use *release* as the default flag so site characterization files are available for other IODP researchers and expedition science parties. Proponents are responsible for having a legitimate reason for using the *hold* or *restricted* flag and should contact SSO to request permission to upload *restricted* data files.

Proponents are responsible for understanding that all site characterization files uploaded as *hold* will be automatically released when the JRFB, or other Facility Board, schedules a successful proposal as an IODP expedition, as part of an IODP-related expedition, or as a series of IODP expeditions. 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 SSO, if any confidential information remains in the proposal documents after submission into the PDB, or if any confidential or restricted files in the SSDB have been uploaded without assigning the appropriate labels, captions, annotations, and SSDB data types.

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

(5) Minimum Site Characterization Data Requirement

The use of *restricted* site characterization data is only accepted by the IODP if subsets of these data are made available to those involved in IODP review process, to IODP science parties at sea, and to IODP 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:

1. For the depth view in seismic reflection profiles, the minimum 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 site or hole, whichever is larger.
2. The along-profile dimensions of the data view for (along-strike and crossing) seismic reflection profiles should be at least 5 km to each side of the proposed

- drilling site or hole, or at least five times the maximum proposed termination depth, whichever is larger.
3. 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 agree that at all times these minimum data derived from the *restricted* data, at their *highest resolution*, will be available to all IODP entities, both during the proposal process and after, when the proposal is implemented by one or more IODP Science Operators.

Proponents may seek exemption to the above minimum data requirement, which in special circumstances may be granted in writing by the JRFB Chair.

Data files containing minimum data will be treated confidential throughout the nurturing, evaluation, and scheduling processes of the JRFB and its Advisory Panels, and of any other Facility Board utilizing the JRFB 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 eventually be released if the proposal is scheduled. Failure to comply with this requirement would result in the delay of scheduling of the expedition for drilling.

Once a proposal is scheduled for drilling as part of an IODP expedition, as part of an IODP-related expedition, or as a series of IODP expeditions, the program acquires the right to make the minimum data derived from the *restricted* data public and conduct the science under the auspices of the IODP. The minimum data will also be included in the IODP Scientific Report and Publication series (publications.iodp.org).

(6) Use of Limited Non-Disclosure Agreements

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

However, for cases, in which confidential site characterization 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 IODP**.

(7) Data Inheritance

Data inherited from the prior Ocean Drilling Program (ODP) were submitted under a policy whereby data files were flagged as *hold* unless they were freely available from other data repositories and could only be changed to release with the written approval of a proponent or other responsible party deemed by the SSO to have the authority to do so. If a proposal using these data files is scheduled, a good-faith effort will be made to contact the proponent who originally submitted the data, as well as any other responsible party identified in the

metadata, to request release of the data. However, if the SSO is unable to reach any of the responsible parties for the legacy data, they will be automatically released, made available to the expedition, and included in the IODP Scientific Report and Publication series.

(8) In Case of Platform Emergencies

In the event of a platform emergency during a drilling expedition, *all* site characterization data, at their *highest resolution*, that have been used during the IODP 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.

(9) Implementation of Minimum Data Requirement

This IODP Standard Confidentiality Policy and the minimum data requirement (**Section 5**) for *restricted* data files will come into effect immediately for new pre-proposals submitted at the **1 October 2018** IODP proposal submission deadline.

The JRFB encourages the IODP Science Evaluation Panel (SEP), the IODP Environmental Protection and Safety Panel (EPSP) and all proponent teams of proposals submitted before the **1 October 2018** deadline to work toward all the new guidelines in this policy as much as possible.