



SPARTA

D10.1

Pre-existing components identification documentation

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|----------------------------------|-------------------------------------------------------------------|
| Project number | 830892 |
| Project acronym | SPARTA |
| Project title | Strategic programs for advanced research and technology in Europe |
| Start date of the project | 1 st February, 2019 |
| Duration | 36 months |
| Programme | H2020-SU-ICT-2018-2020 |

| | |
|-----------------------------------------------------|---------------------------------|
| Deliverable type | Report |
| Deliverable reference number | SU-ICT-03-830892 / D10.1 / V1.0 |
| Work package contributing to the deliverable | WP10 |
| Due date | July 2019 – M06 |
| Actual submission date | 9 th August, 2019 |

| | |
|---------------------------------|------------------|
| Responsible organisation | SMILE |
| Editor | Bertrand Lathoud |
| Dissemination level | PU |
| Revision | V1.0 |

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| Abstract | This deliverable is a set of templates and assisting documentations ensuring an adequate common tracking of pre-existing resources used within the project for the benefit of all project partners. |
| Keywords | resources management |



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Executive Summary

The deliverable 10.1 is a set of templates and assisting documentations ensuring an adequate common tracking of pre-existing resources used within the project. To reach this purpose, the following activities have been carried out:

- WP10 Leader organised a Kick-Off and coordinated the work of the different participants of the Work Package and other involved WP's;
- WP10 Leader identified needs and requirements for Assessment of Pre-Existing Resources (APER);
- Finally, WP10 Leader delivered APER templates to SPARTA Programs (WP 4 to 7).

Data intensive projects, and in particular cybersecurity related projects, necessitate to deal with a large quantity of resources, be these resources digital or physical. The key lesson from this first phase of the project is that multi-years research projects in this field cannot provide a comprehensive and finalized list of pre-existing resources in the early months of the research. Indeed, at this stage, they generally haven't fully defined the use cases they are going to work on and therefore don't know yet which resources are required.

As a consequence, the matter of Resources Management will be considered in SPARTA Governance Activity (WP1) in order to assess the extent to which a set of official guidelines would be useful at the level of a Cybersecurity Competence Network. These could be designed in following the same approach as the one proposed by the European Commission for the Horizon 2020 FAIR Data Management Plan (DMP) Template. This would ensure APER would follow consistent approaches, whatever the size and duration of projects.

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Chapter 1 Introduction

The aim of the SPARTA project is to establish and operate a pilot for an EU Cybersecurity Competence Network. Strongly guided by strategic opportunities, impactful challenges, and measurable progress metrics, it will set up unique collaboration means, leading the way in developing and implementing a common cybersecurity research and innovation roadmap, building transformative capabilities and forming world-leading expertise centres.

The SPARTA network will implement research and innovation programs, with a mission to support the development of transformative capacities in the field of cybersecurity and to supply technical means to the European industry to ensure its cyber-protection.

The objective is to prepare for a sustainable research effort maximizing its impact on the EU Cybersecurity ecosystem, beyond research itself. In particular, any opportunity to support the development of the security industry will be a favoured outcome.

In order to achieve these results, SPARTA Partners will engage in the definition of a sustainable exploitation model for each of the SPARTA Project outcomes. This will involve a careful management of the resources used to conduct the project activities and in particular of the data sets that are needed.

To do so, SPARTA Partners will conduct their activities operations following these principles:

- Ensure a strong legal security for all assets needed for exploitation of SPARTA's project results or promoted solutions (platforms, software and/or methodologies);
- Set up a common exploitation strategy by providing necessary documents and resources in order to harmonize results exploitation based on FRAND (Fair, Reasonable and Non Discriminatory) licensing principles;
- Ensure the sustainability of all software developments within the SPARTA project by providing legal support and information on exploitation of results both for internal and external consortium needs.

This activity will be conducted at SPARTA Programs and Activities (WP) level in order to ensure the ability of the Sustainable Exploitation Activity (WP10) to provide the right support documents as needed when the following stage of "Exploitation Planning" is going to take place. Given the size of SPARTA, which contains four Programs, themselves being technically close to what traditional Research and Innovation Action embody, this granularity has been considered as the most efficient and relevant one to perform such assessments. It should allow in the same time to learn valuable lessons that should be of utmost importance to the design and setup of a future network of Cybersecurity Competence Centres in the EU, as some of the challenges it represents will have been handled through this activity. This point will be assessed during the course of the Governance Activity (WP1) with the other SPARTA Leaders.

Chapter 2 Assessment of Pre-Existing Resources

Process

2.1 Positioning in Sustainable Exploitation Process

As highlighted in the introduction, the APER is a key stage of the overall sustainable exploitation process. With the DMP (D10,2), it will constitute a foundational activity in the SPARTA Exploitation Planning. Both D10.1 and D10.2 will be built and updated from the Project Programs and Activities Preparation and execution, to prepare the Projects' Outcomes Exploitation as shown in Figure 1.

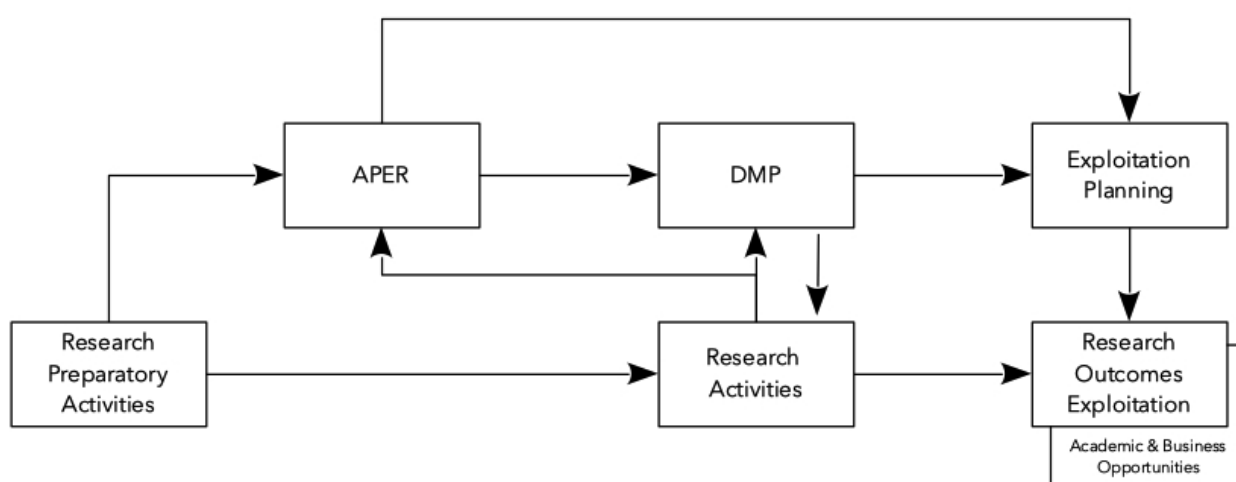


Figure 1 - SPARTA Sustainable Exploitation Process

If executed properly, the APER will facilitate:

1. A sustainable management of the resources exploited by the project activity;
2. The reliance on legally non-ambiguous resources, for which ownership and legal status are clear enough to prevent any negative impact on communication, dissemination and exploitation efforts;
3. The preparation for further re-use of these assets, in particular through complementary Project efforts conducted by the same or other teams, and relying at least partially on these resources;
4. The creation and the maintenance of the Data Management Plan (DMP), since the APER will document all the existing datasets that are planned to be used as part of the effort.

2.2 Identified resources

To allow such outcomes, the APER should provide information on the following elements, and this for each of the identified resource:

- Type of Resources
 - Infrastructure

- Document
- Data

This will allow to clarify a key aspect of the nature of the resource.

- Intended usage

This will in particular help to identify if the resource is going to be used in a regulated domain.

- Legal Status
 - Including License type if relevant
 - Enforcement mechanism if relevant

This information is necessary for the exploitation of the outcomes, as it directly impacts the exploitation model through possible legal restrictions, or authorizations, induced by the Legal Status.

- Location (physical or/and logical)

This information is necessary in order to know which legal framework is applicable to the existing resource

- Identification

It's important, in order to avoid confusion, to be able to identify the resource as unambiguously as possible. Reporting and possibly analyzing its identification scheme (plain language name, Unique ID, etc.) is also required to assess the status of the resource.

- Owner (if any)

Identifying a possible owner, if any, is also necessary depending on the limitations s/he/it has put on the resource usage, which may require to ask for authorization for further exploitation.

- Relevant documentation

There may be some elements of documentation related to the resource, which will facilitate its usage both for the project itself, and for further exploitation.

2.3 Process and roles

From a practical standpoint, this will translate into a simple process:

| Stage of the APER process | In charge of the stage | Status as of YYYY-MM-DD |
|-------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------|----------------------------------------------------------------------------------|
| Design of the APER template This stage consists in generating a suitable template, that can be easily exploited by the Programs (WP4 to 7). | WP10 "Sustainable Exploitation" | Complete or Ongoing or Stalled or Not Started, as of YYYY-MM-DD – (Prior to M06) |

| Stage of the APER process | In charge of the stage | Status as of YYYY-MM-DD |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|-----------------------------------------------------------------------------|
| Circulation of the APER Template among Programs (WP4 to 7) The Template is circulated among the groups in order to gather the initial list of resources. | WP10 “Sustainable Exploitation” | Idem |
| Filling of APER Template with available information | Contributors of Programs (WP4 to 7) | Idem |
| Review of filled APER Template and processing / resolution of open issues | WP10 “Sustainable Exploitation” | Idem |
| Consolidation of APER Report for the whole SPARTA | WP10 “Sustainable Exploitation” | Idem |
| Update of the individual APER reports and forward to the global SPARTA APER reports as Programs (WP4-7) progress and new pre-existing resources are pulled in. | Contributors of Programs (WP4 to 7) | Complete of Ongoing or Stalled or Not Started as of YYYY-MM-DD - (post M06) |
| Consolidation of APER Report for the whole SPARTA | WP10 “Sustainable Exploitation” | Idem |

Table 1: Stages of the APER Process

In order to ensure that the Contributor of Programs stay aware of the need to maintain their APER, WP10 Leaders are going to formally ask them for update prior to every Periodic Review.

Beyond the initial circulation of the APER Template, the WP10 Leaders are also going to extend it beyond SPARTA Programs (WP 4 to 7), in order to ensure that all participants that may have a benefit in using it have access to it.

Chapter 3 Summary and Conclusion

The building of this report led to a few key lessons, which we believe are worth listing as a conclusion of the work.

First of all, it is difficult to have a definitive APER before finalizing the definition of the research, development and innovation plans. The next stage will be an active interaction with the project teams in SPARTA in order to fill and complete the APER once the projects plans have been finalized.

Secondly, it would certainly help if this effort were not perceived as a simple compliance exercise, but also as a first step towards the design of a sustainable business for the outcome of the SPARTA projects. In the next stage of the exploitation activities, Sustainable Exploitation plan and documents are going to be developed (D10.4 and D10.5) and sent to SPARTA Program Leaders and Partners. Having a more concrete view of how the APER information is used should help to demonstrate the importance of having a properly documented APER and its relevance.

Finally, another key aspect of sustainability is legal safety, which requires first analysis of the pre-existing resources that will be used for research and innovation purposes. Among them, the datasets are of critical importance, given the complexity of some licensing schemes when intertwined. As the analysis of the datasets is going to be done as part of the Data Management Plan, and in order to avoid duplicates, when the need arises, the APER will refer to the DMP (D10.2) in a properly documented and non-ambiguous way, so that the result of the legal analysis can be easily reached by the APER user when required.

In the perspective of the future creation of the Cybersecurity Competence Network and Coordination Centers in Europe, it may be very useful to start creating standardized templates. This will be explored through SPARTA Governance Activity (WP1) to assess the extent to which a harmonized approach could help sustain and foster cybersecurity innovation in Europe.

List of Abbreviations

| Abbreviation | Translation |
|--------------|--------------------------------------|
| WP | Work Package |
| APER | Assessment of Pre-Existing Resources |
| DMP | Data Management Plan |



Appendix A: APER TEMPLATE

This part aims at providing the initial template of the APER as it was sent to SPARTA Programs (WP 4 to 7) after having been designed with sustainable exploitation planning as an objective.



ASSESSMENT OF PRE-EXISTING RESOURCES

Template

Project Acronym

Project Number

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|--|--|
| | |
|--|--|

Template for the Sparta assessment of pre-existing resources.

Each of the following issues should be addressed with a level of detail appropriate to the project.

The template has to be fulfilled for every resource.

=====

RESOURCE *i* :

- a. **Type** (*documentation; infrastructure; data; data types and formats, if relevant*):

b. Intended Usage:

c. Legal status (*including License type, if relevant; enforcement mechanism, if relevant*):

d. Location (*physical or/and logical*):

e. Identification:

f. Owner (if any):

g. Allocation Of Resources:

h. Relevant Documentation:



Appendix B: WP4 – Assessment of Pre-Existing Resources

CONFIDENTIAL – Resources internal to SPARTA



Appendix C: WP5 – Assessment of Pre-Existing Resources

CONFIDENTIAL – Resources internal to SPARTA



Appendix D: WP6 – Assessment of Pre-Existing Resources

CONFIDENTIAL – Resources internal to SPARTA



Appendix E: WP7 – Assessment of Pre-Existing Resources

CONFIDENTIAL – Resources internal to SPARTA