



The HuT

Ethical requirements Plan

Deliverable D7.4

DEVELOPED WITHIN

WP7 Coordination and Management, T7.4 Legal, ethics and gender issues

AUTHORS

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1. Technical references

| | |
|------------------------------|---|
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- * PU = Public
PP = Restricted to other programme participants (including the Commission Services)
RE = Restricted to a group specified by the consortium (including the Commission Services)
CO = Confidential, only for members of the consortium (including the Commission Services)



1.1. Document history

| Version | Date | Lead contributor | Description |
|---------|------------|--------------------------|---------------|
| 0.1 | 18.01.2023 | Michele Calvello (UNISA) | First draft |
| 0.2 | 31.01.2023 | Guido Rianna (CMCC) | Revision |
| 1.0 | 10.02.2023 | Michele Calvello (UNISA) | Final version |
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none

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none



3. Introduction

The human (stakeholders, community) involvement will represent a pillar of the HuT Project. It is expected to occur in all the Work Packages". It will take the form of participatory workshops, focus groups, interviews, and surveys in WPs "Demonstrators' arena", "Human behaviors" and "Governance and Policy". In WP "Science and Technology", the human involvement will be the basis for an activity of participated monitoring termed "Human sentinels" where the participants will be asked to support the management of sensors in situ or the (active or crowdsourcing) documentation of the impacts in the affected areas. In WPs "Transferability and scalability" and "Communication, dissemination and exploitation", it will primarily include in-vivo and remote webinars, trainings, discussion events and conferences.

For that purpose, the following deliverable will depict how data including participation of humans will be managed, according to the project activities. More in details, within The HuT project, two actions concern data protection:

- Potential personal data analyses
- Data collected during human participation to workshops/interviews/surveys

In all such initiatives, the processing of personal data, according to the definition of Art. 4(1) of the EU-GDPR is required and the compliance with ethical, privacy- and data protection-related standards will be carefully checked by the Consortium with the strong support of the Legal and Ethics Advisory Panel (LEAP).

The LEAP is formed by:

- Emilia Garda (Politecnico di Torino, Italy)
- Jonathan Pratschke (University of Napoli Federico II, Italy)
- Cees van Westen (University of Twente, Netherlands)

For the activities mentioned above, the following ethical requirements should be considered, and will be addressed in different sections of this report:

- Compliance with general ethical principles of the European Union
- General data protection
- Informed consent procedures for participation of external stakeholders in interviews, meetings, surveys and dissemination activities
- Participation of non-EU countries



4. Compliance with general ethical principles of the European Union

All The HuT project activities will be conducted according to national legal and ethical requirements of the involved countries: Italy, Germany, Austria Spain, Norway, Slovakia, Finland, Iceland, Lithuania, Hungary, Switzerland and UK.

The HuT will comply with Horizon Europe ethical standards and guidelines and with regulation 2016/679 of the European Parliament and the Council, General Data Protection Regulation, on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, and any of its amendments and related acts to be approved during the life time of the project.

The HuT Consortium also commits to abide by the provisions of the General Data Protection Regulation 2016/679 for the collection and processing of personal data in meetings, surveys and dissemination activities.

During the implementation of the The HuT project the following general ethical guidelines will be considered:

- no human research subjects will be used and studied during the The HuT project;
- the activities of the The HuT project do not involve any research that may cause harm to the environment, to animals or plants;
- participation of external stakeholders in the activities will be voluntary;
- in the frame of the The HuT project, the barest amount of personal data will be collected for the Project's goals, and this will be done following stakeholders' consent;
- vulnerable or high-risk groups (e.g., children, adults unable to consent) will be involved during the development and progress of The HuT project (e.g., information and training activities) accounting for peculiarities and criticalities associated with their participation;
- the data and reports produced during the project will be publicly available.



5. GENERAL DATA PROTECTION REGULATIONS (GDPR)

5.1. Procedures for personal data collection and processing

For collection and processing of personal data, the following ethical issues and requirements will be considered:

- collection of personal data from potential stakeholders will be based on a voluntary basis;
- invitations to the potential stakeholders to participate in the consultation process will be given by individual consortium partners, linked third parties and the Advisory Board members through their own network of contacts, i.e., no contact data will be shared without consent;
- when participating in the consultation process, the stakeholders can indicate whether their personal data (i.e., name, surname, name of organization) may be published in project's reports or on project's communication materials;
- personal contact data (i.e., email) will be kept internally within the The HuT consortium and will not be published or accessible to external organizations or individuals;
- personal data collected in EU will not be transferred to entities in non-EU countries;
- no secondary use of personal data will be performed.
- when possible, information (in English and local language) about the data collection and processing policies will be anticipated to the interested persons in the days before the event (e.g., registered in The Hut events)

For dissemination reasons, name and organization of the The HuT Advisory Boards members may be published in project reports, communication materials and website. No contact data of the Board members will be shared without their consent.

Only data that are necessary and proportionate to achieve the tasks of this project will be collected and processed.

5.2. Procedures and criteria that will be used to identify and recruit research participants

Inclusion and exclusion criteria

Considering the scope and objectives of the research, researchers should be inclusive in selecting participants. Researchers shall not exclude individuals from the opportunity to participate in research based on attributes such as culture, language, religion, race, disability, sexual orientation, ethnicity, linguistic proficiency, gender or age, unless there is a valid reason for the exclusion.

The consortium will access these groups through institutions and organisations, and we will not collect sensitive data. We will only collect information from them as representatives of a group.



Informed consent procedures

A consent form (ANNEX A) will be provided to inform potential volunteers that the participation is voluntary; that they have the right to ask questions and receive understandable answers before participating. Informing sheets (ANNEX B) and translations will be given out about the purpose of the study.

Participants will receive a copy of the consent form and the information sheet. If the identified participant chooses to participate, she/he/they will be asked to return a filled consent form to the research team before moving on with the research process.

Understandable language, with information presented in language and terms understandable to participants, will be used in any activity.

Members of the study teams will provide any necessary clarification and answers any questions potential participants may have. The informed consent document is designed to be clear and straightforward, aimed at ensuring the participants understand and agree to participate. The form requires no sensitive data to be collected (such as health, sexual orientation, ethnicity, political opinion, religious or philosophical conviction).

Interviews and surveys

All interviewees will be informed about the goals and design of the evaluation of The HuT when contacted to arrange an interview. The informed consent document will be signed before the interview starts and the interviewee will receive a copy (in the case of face-to-face interviews) or the interviewee explicitly agrees to the informed consent sheet via email (in the case of teleconference or telephone interviews). The informed consent sheet will comprise the following elements:

- a summary of the purpose of the study;
- an agreement to record the interview and information about the subsequent analytical steps (transcription, consent of interviewee on transcript or protocol);
- statement that all information will be treated confidentially, and that no information will be shared that could identify the respondent;
- information that participation is voluntary, and that the interviewee may decline to answer any questions.

Invitations to participate in online surveys will be sent out by email or by general advertisement. Participants in the online survey will be informed about the following upon receipt of the invitation:

- the purpose of the survey and its role within the The HuT project;
- information about the voluntary nature of the participation in the activity.

Workshops and focus groups

Workshops and focus groups will be held in local languages.

Participants in workshops/focus groups will be informed about the purpose of the initiative within The HuT and their role as participants when they receive the invitation. Participants will sign an informed consent sheet before the workshop starts. The informed consent sheet will contain the following elements:

- a summary of the purpose of the workshop/focus group;



- an agreement that minutes for the workshop/focus group will be taken;
- information about the procedure to agree on the minutes;
- statement that all information will be treated as confidential and no personal information will be shared;
- information that participation is voluntary.

For this specific topic, please refer to the template provided in the ANNEX C (English version to be translated into national languages)



6. Annex A: Template of consent form for participation in research

Project title: The HuT. The Human-Tech Nexus - Building a Safe Haven to cope with Climate Extremes (Horizon Europe grant agreement n° 101073957)

Responsible researcher:

Research Center:

Address:

Email:

Type you initials in each box

I confirm that I have received the participant information for the above study, as well as this consent form; I have had the opportunity to ask questions about the project in general and about this study involving my participation.

I understand that I do not have to participate in the study, and that a decision not to participate will not have any consequences for me.

I understand that I can enter and choose not to participate in the study at any time.

I understand that any interview, with my consent, can be recorded and that the recording will be transcribed to be analyzed for, and only for, the purpose of the study.

I understand that the information I provide will be placed in a temporary database for analysis and will be processed confidentially and anonymously in confidence by the researchers. No other personal data processing will be done within the research project.

I understand that I will not be identified in the written deposit of the study.

I understand that should the research team find any incidental findings (e.g., indications of criminal activity), I will be informed of this and that the research team may take actions for the disclosure of such information outside the research group.

I confirm that I have understood the information I have received, and I agree to participate in the study.

Participants name

Participant's signature

Researcher's name

Researcher's signature

Date



7. Annex B: Template of Information Sheet

Project title: The HuT. The Human-Tech Nexus - Building a Safe Haven to cope with Climate Extremes (Horizon Europe grant agreement n° 101073957)

Responsible researcher:

Research Center:

Address:

Email:

Introduction

This research is funded by the European Commission. This study is being conducted by The HuT consortium partners XXX and XXX (TO BE COMPLETED).

You have been invited to take part in this research study because of XXX (TO BE COMPLETED).

Purpose

The HuT will employ innovative disaster risk reduction solutions, accounting for the potential variations induced by climate change. This will involve integrating and leveraging best practices and successful multi-disciplinary experiences that have been recently developed within various territorial contexts by leading European research groups, institutions, and stakeholders, to deal with extreme climate events. The project's main ambition beyond the state of the art is to promote the "best set" of trans-disciplinary risk management tools and approaches that could be adopted and used extensively across Europe, in as many situations as possible.

Study Procedures

If you take part in the study, you will be asked to (SELECT AS APPROPRIATE):

- Participate in an interview where researcher will ask you questions based on...
- Participate in an online survey...
- Be part of a group participating in a workshop...

Questions will be asked on the topics of XXX (TO BE COMPLETED) and you have the option to not answer any questions or withdraws from the study at any time.

Benefits

As a participant in this research study, you will contribute to the research within this field of study and may benefit other people now or in the future.

Costs

There will be no costs to you for participation in this research study.



Risks

We will do our utmost to protect the information we collect from you during this study. We will not collect any information that will identify you to further protect your confidentiality and avoid any potential risk for an accidental breach of confidentiality.

Confidentiality

All information collected about you during this research will be stored without any identifiers (anonymous). No one will be able to match you to your answers.

In workshops and study groups, questions are directed to the group, not to individuals. You have the right to not answer a question or withdraw from the study at any time in the process.

Voluntary Participation/Withdrawal

Taking part in this study is voluntary. You are free to not answer any questions or withdraw at any time. You may choose not to take part in this study, or if you decide to take part, you can change your mind later and withdraw from the study.

For questions regarding this study please contact the responsible researcher identified at the beginning of this information sheet.



8. Annex C: Template for workshops or focus groups

This Template should be translated in local language and adjusted according to national and/or institutional requirements

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|--|
| <p><u>Informed Consent</u></p> <p>Project title: The HuT. The Human-Tech Nexus - Building a Safe Haven to cope with Climate Extremes</p> <p>The project is funded by the European Commission's Horizon Europe work programme (Horizon Europe grant agreement n° 101073957) and is carried out by a Consortium of 26 partners.</p> |
| <p><u>Introduction</u></p> <p>You have been invited to take part at the TheHuT workshop specified below.</p> <p>Title: "INSERT TITLE OF THE WORKSHOP" Held in: INSERT FULL ADDRESS OF THE WORKSHOP</p> <p>Date: From INSERT START TIME till INSERT END TIME for a total duration of INSERT NUMBER hours. PURPOSE OF THE TheHuT PROJECT</p> <p>The HuT project aims at (TO BE FILLED IN ACCORDING TO WORKSHOP PURPOSES)</p> <p>This will be achieved through (TO BE FILLED IN ACCORDING TO WORKSHOP PURPOSES)</p> <ol style="list-style-type: none">1.2. |
| <p><u>Duration of project activities</u></p> <p>The The HuT Project activities will last 48 months from 01.10.2022 to 30.09.2026.</p> <p>The Workshop will be organized from XXXX TO XXXX.</p> <p>The aggregated results will be available for the whole duration of the project and for a period of at least 5 years after the project ends.</p> |
| <p><u>Risks or inconveniences</u></p> <p>No risk is foreseen. You are only requested to be available to participate in the workshop.</p> |



Benefits

You will not receive any personal benefit, besides improving personal and professional knowledge on the above topic and participating in the workshop and on the platform. Your participation will provide a substantial contribution to:

- a common understanding of XXX (to be completed according to the workshop aims)
- sharing knowledge with other users

Privacy and confidentiality

The authorization for the use and access to this information is valid unless you decide not to sign this consent form. You may withdraw from the workshop at any time without any consequences.

The data and images provided before, during and after the workshops, and in any other participatory event in the framework of The HuT project, will be recorded and stored. Stored data will include personal data: first name, family name, e-mail, organization, type of stakeholder, gender.

None of the provided personal data will be handed out to third parties

When using on-line services that requires a registration on a third party's website, the data collected by this third party will be directly managed by them according to the privacy and informed consent that each use and the involved third party will agree upon. The user can refuse her or his registration with this third party, and consequently she or he cannot use those services.

A photographer and/or a film crew will be present in the workshop/conference room to film the event for illustration and information non-commercial purposes related to the activities of The HuT project and/or of the workshop organizing institution. The event will be also web streamed and recorded. Recordings will be visible to the public.

The video and audio recordings made before, during and after the workshops will be uploaded on YouTube and Google Drive.

The authorization to use and access your information will be valid unless you decide to cancel it.

Should you decide to withdraw from the The HuT workshop or the platform, you will contact The HuT workshop organizer or the coordination (UNISA) to destroy your personal data.

Your decision about whether or not to authorize the use and dissemination of your personal data is completely voluntary.

Contact persons

Participants who do not agree to photographing, filming and use of their image, voice and data must inform us, before they complete their registration, at the following email addresses:
INSERT E-MAIL ADDRESSES of CONTACT PERSONS



Consent

By signing this form, I consent that:

- I am 18 years or older and I am competent to provide consent;
- I have been fully informed about the aims and purposes of The HuT Project and the above cited workshop;
- I understand that there is no obligation to participate in The HuT Project and in the above cited workshop and, if I choose to participate, I may at any stage withdraw my participation without penalty;
- I agree that my personal data will be used doing the workshops. The procedures regarding confidentiality have been clearly explained to me.

Select one of the following:

- I agree that my name may be used, I understand that whatever I have said or written as part of this Workshop may be used in deposits and other research outputs so that anything I have contributed to this project can be recognized.
- I do not want my name used in this project.

I freely and voluntarily agree to be part of this workshop, though without prejudice to my legal and ethical rights.

I have received a copy of this agreement.

This consent form is made pursuant to the relevant national, European and international data protection laws and regulations and personal data treatment obligations.

Specifically, this consent document complies with the following laws and regulations:

- EC Data Protection Directive 95/46/EC of the European Parliament and of the Council of 24 October 1995 on the protection of individuals regarding the processing of personal data and on the free movement of such data.

By ticking this box, you confirm that you have read the conditions of participating in The HuT event, the privacy statement and copyright information and you agree that The HuT project and/or organizers use your data, image and voice collected within the context of the event, as described.

- YES, I agree

Name and family name of participant

Place, date and signature of participant

