



## **SYNERGIES**

*Innovating Preparedness by Leveraging SYNERGIES and  
Enhancing Results of DRM Projects*

*Grant Agreement No. 101121172*

*Starting date: 1<sup>st</sup> December 2023 – Duration: 36 months*

### **Deliverable D6.1 Ethics Guidelines**

## DOCUMENT INFORMATION

<b>Deliverable number</b>	D6.1
<b>Deliverable title</b>	Ethics Guidelines
<b>Work Package</b>	WP6
<b>Deliverable type<sup>1</sup></b>	Report
<b>Dissemination level<sup>2</sup></b>	Public
<b>Due date</b>	31.05.2024 (Month 6)
<b>Document version<sup>3</sup></b>	V1.0
<b>Lead author(s)</b>	Nathan Clark, Vrije University Amsterdam (VU) Kees Boersma, Vrije University Amsterdam (VU)
<b>Contributors</b>	Sara Bonati, University of Genoa Olga Nardini, University of Florence Stefano Morelli, University of Urbino
<b>Reviewers</b>	Alessia Golfetti, Deep Blue (DBL)  Judith de Visser, Netherlands Red Cross (RCNL)  Kati Orru, University of Tartu (UT)  Salvatore Marchese, IES (now WGS)  Katrina Petersen, Public Safety Communication Europe (PSCE)
<b>Suggested citation</b>	Clark, N., Boersma, K. (2024) D6.1 Ethics Guidelines, SYNERGIES Project: Innovating preparedness by leveraging synergies and enhancing results of DRM projects, funded by the European Union's Horizon Europe Innovation Programme (No. 101121172).

<sup>1</sup> Type: ORDP: Open Research Data Pilot; R: Report; D: Demonstrator

<sup>2</sup> Dissemination level: C: Confidential; P: Public

<sup>3</sup> First digit: 0: draft; 1: peer review; 2: peer review 3: coordinator approval; 4: final version



## DOCUMENT CHANGE HISTORY

Version	Date	Author	Description
0.1	03.05.2024	Nathan Clark, Vrije University Amsterdam (VU)	Creation
0.2	06.05.2024	See above.	Proofreading and peer review
0.3	27.05.2024	Nathan Clark, Vrije University Amsterdam (VU)	Consolidation of input from reviewers
0.4	30.05.2024	Nathan Clark, Vrije University Amsterdam (VU)	Final review and formatting
1.0	31.05.2024	Alessia Golfetti	Final quality check and submission



## LIST OF PARTNERS

N.	Logo	Name	Short Name	Country
1		DEEP BLUE SRL	DBL	Italy
2		INTELLIGENCE FOR ENVIRONMENT AND SECURITY SRL IES SOLUTIONS SRL	IES	Italy
3		SINTEF AS	SINTEF	Norway
4		SAFETY INNOVATION CENTER GGMBH	SIC	Germany
5		RESILIENCE ADVISORS NETWORK	RAN	Ireland
6		STICHTING VU	VU	Netherlands
7		ISTITUTO DI SOCIOLOGIA INTERNAZIONALE DI GORIZIA	ISIG	Italy
8		TARTU ULIKOOL	UTARTU	Estonia
9		UNITED NATIONS EDUCATIONAL SCIENTIFIC AND CULTURAL ORGANIZATION	UNESCO	France
10		OPENBAAR LICHAAM GEZAMENLIJKE BRANDWEER	GB	Netherlands
11		SAVE THE CHILDREN ITALIA ETS	SAVETC	Italy
12		INTERNATIONAL SAFETY TRAINING COLLEGE LIMITED	ISTC	Malta
13		SCIENCES REUNION - CENTRE DE CULTURE SCIENTIFIQUE TECHNIQUE ET INDUSTRIELLE	SRUN	France
14		REGIONAL COUNCIL NORTHERN REGION	RT	Malta



15	 Rode Kruis	HET NEDERLANDSE RODE KRUIS	RCNL	Netherlands
16	 agorah	AGENCE OBSERVAT AMENAGE HABITAT REUNION	AGORAH	France



## PROJECT OVERVIEW

The SYNERGIES project aims to strengthen a culture of disaster preparedness by fostering a cohesive and coordinated engagement of various stakeholders in disaster management such as first and second responders, citizens, communities, research and education systems, authorities and public administrations, and businesses. SYNERGIES concentrates on five preparedness needs:

- involvement of all relevant actors in building preparedness
- strengthening preparedness education and training
- communicating with citizens
- management of spontaneous volunteers
- ensuring the sustainability of solutions for preparedness

The project leverages from the results of past Horizon 2020 projects under the call for Disaster Resilient Societies (DRS01) (e.g., LINKS, RESILOC, BUILDERS, ENGAGE, etc.). These “component projects” will integrate their results into SYNERGIES with the best practices and experiences of practitioners, refining and elevating their maturity.

Three Preparedness Cases will guide the project, allowing for orientation, progress evaluation, and demonstrations of the final results. These cases involve real-life scenarios where stakeholders, such as first responders, authorities, citizen associations, and NGOs, seek to enhance preparedness by better involving and empowering citizens.

## EXECUTIVE SUMMARY

This document provides the Ethics Guidelines for the SYNERGIES project. The overall aim of the document is to provide partners working in the project with Ethics related materials and instructions related to the work and research carried out during the duration of the project. This include:

- An overview of the ethics approach in the project.
- An overview of the research activities and timeline requiring ethics oversight.
- Informed consent procedures and the participant information documents which will be used in the recruitment of research participants, including considerations for diversity awareness.
- Ethics assessment procedures and relevant representatives for the project.



## TABLE OF CONTENTS

<b>1</b>	<b><i>Introduction</i></b>	<b>8</b>
1.1	<b>Deliverable Structure</b>	<b>9</b>
<b>2</b>	<b><i>Research Overview</i></b>	<b>10</b>
1.2	<b>Research Activities and Timeline</b>	<b>10</b>
<b>3</b>	<b><i>Ethics Procedures</i></b>	<b>12</b>
3.1	<b>Research Integrity</b>	<b>12</b>
3.2	<b>Ethics Approvals</b>	<b>13</b>
3.3	<b>Recruitment of Participants</b>	<b>13</b>
3.3.1	<b>Settings for Research</b>	<b>14</b>
3.4	<b>Informed Consent</b>	<b>15</b>
3.5	<b>Privacy and Data Management</b>	<b>16</b>
3.5.1	<b>Anonymisation and pseudonymisation</b>	<b>17</b>
3.6	<b>Diversity Awareness Strategy</b>	<b>18</b>
<b>4</b>	<b><i>Ethics Advisory and Assessments</i></b>	<b>22</b>
4.1	<b>Ethics Advisory Board (EAB)</b>	<b>22</b>
4.2	<b>Independent Ethics Advisor</b>	<b>22</b>
4.3	<b>Data Protection Officers</b>	<b>23</b>
4.4	<b>National Ethics Authorities</b>	<b>23</b>
4.5	<b>Research Ethics Assessments</b>	<b>23</b>
4.6	<b>Partner Ethics Assessments</b>	<b>24</b>
<b>5</b>	<b><i>Conclusion</i></b>	<b>25</b>
	<b><i>Bibliography</i></b>	<b>26</b>
	<b><i>Annex I: Informed Consent Forms (short_English)</i></b>	<b>28</b>
	<b><i>Annex II: Research Information Sheet (short_English)</i></b>	<b>30</b>
	<b><i>Annex III: Research Ethics Assessment Form</i></b>	<b>32</b>
	<b><i>Annex IV: Partner Ethics Assessment Form</i></b>	<b>44</b>



## LIST OF TABLES

**Table 1: Research Ethics Roadmap..... 10**  
**Table 2: Ethics Advisory Board Members..... 22**

## ABBREVIATIONS

Acronym	Description
<b>DMP</b>	Data Management Plan
<b>EAB</b>	Ethics Advisory Board
<b>EU</b>	European Union
<b>GA</b>	Grant Agreement
<b>GDPR</b>	General Data Protection Regulation
<b>PC</b>	Project Coordinator
<b>WP</b>	Work Package



## 1 Introduction

SYNERGIES is a 3-year project aiming to strengthen a culture of disaster preparedness through coordinated engagement with various stakeholders working in disaster risk management. The objectives, activities, and research in the project require international and multi-disciplinary engagement with diverse and different communities, on topic areas which can be sensitive and ethically complex. This document provides guidance and materials on how to navigate the ethical issues which may arise during the project's lifetime. These include issues related to working and collaboration within the project as well as those related to research conducted in the project.

The document utilises and builds on-top of a wealth of materials, expertise, and knowledge generated from past component projects within Horizon 2020 and Horizon Europe including LINKS<sup>4</sup>, ENGAGE<sup>5</sup>, BuildERS<sup>6</sup>, and RESILOCC<sup>7</sup>. In particular, the project has adapted for its purposes the openly available ethics materials (Bonati and Morelli, 2020; Bonati and Graziani, 2020; Bonati and van der Lee, 2022) from the LINKS project, which are strongly aligned to the objectives and approaches in the SYNERGIES project. The document further takes reference to the grant agreement (GA) and relevant EU and International legal and policy frameworks. The most notable of these include the EU Charter of Fundamental Rights (2010) and the European Convention for the Protection of Human Rights (1953) and Fundamental Freedoms and its Supplementary Protocols, European Code of Conduct for Research Integrity (2023), and the General Data Protection Regulation (GDPR) (2016). Partners are required to carry out the actions in the project in compliance with ethical principles within these frameworks. This means maintaining the highest standards of research integrity, while respecting the principle of proportionality, the right to privacy, the right to the protection of personal data, the right to the physical and mental integrity of persons, and the right to non-discrimination (GA, annex 5). Overall, partners conducting research in SYNERGIES must carry out good research practices and comply with the following principles:

- reliability in ensuring the quality of research reflected in the design, the methodology, the analysis and the use of resources;
- honesty in developing, undertaking, reviewing, reporting and communicating research in a transparent, fair and unbiased way;
- respect for colleagues, research participants, society, ecosystems, cultural heritage and the environment;
- accountability for the research from idea to publication, for its management and organisation, for training, supervision and mentoring, and for its wider impacts;
- ensuring openness, reproducibility and traceability of research.

Partners must also take measures to ensure diversity mainstreaming in the project, promoting equal opportunities in the implementation of actions in line with the diversity awareness strategy (see section 3.6).

The guidelines and all related materials in this document are available for free and open reuses.

---

<sup>4</sup> <https://links-project.eu>

<sup>5</sup> <https://www.project-engage.eu>

<sup>6</sup> <https://buildersproject.eu>

<sup>7</sup> <https://www.resilocproject.eu>



### *1.1 Deliverable Structure*

The document proceeds as follows. Section 2 provides an overview of the planned and anticipated research activities that will take place in the project, and a working timeline for the activities. Section 3 includes the criteria and materials needed for conducting research with participants, including informed consent procedures, recommendation about privacy data management, and the diversity awareness strategy for the project. Section 4 provides details on the ethics advisory bodies and instructions for the ethics assessment procedures in the project. Finally, the Annexes contain copies of relevant ethics materials to be used in the project including the informed consent and ethics assessment forms.



## 2 Research Overview

In this section we briefly describe the research activities taking place in SYNERGIES. This includes the location for data collection, the partners and participants involved, the methods used, and the overall timeline for the activities.

### 1.2 Research Activities and Timeline

The research activities taking place in SYNERGIES which involve external research participants are focused on three “Preparedness Cases” taking place in Malta, Reunion Island (France), and the Netherlands. The three Cases represent concrete situations and exposures to hazards or risks of disaster creating scenarios in which: (1) local conditions and needs for preparedness can be investigated in detail (steering phase), (2) innovative solutions inspired by successes in other areas or in the face of other hazards can be proposed, implemented and tested (evaluation phases), and (3) results can be adapted (new innovations), achieve higher maturity, and generate lessons useful beyond the locations of the Cases (validation phases).

SYNERGIES partners will employ “action research” to engage with local stakeholders (namely emergency management practitioners, social workers, and community leaders) in the Cases in an iterative process during the project to gather information about real needs, best practices, solutions, and tools used by the stakeholders, and then to evaluate and validate the usefulness of the outputs produced by the project (e.g. a Preparedness Assessment Tool). To do this, data collection in the Cases takes place across Work Packages (WP) 1-4 in a participatory manner and includes different scientific methods such as semi-structured interviews, surveys, and participatory action research approaches in meetings, focus groups, workshops, and exercises. The activities are guided by the leaders from WP1-4 and organised together with the local Case teams. A preliminary roadmap of the research activities including when and where they take place, who is overall responsible (and others involved), and which ethics materials should be applied is provided in Table 1.

**Table 1: Research Ethics Roadmap**

Activity	WP/LEAD	Period	Location	Ethics Material
Survey Advisory Board	WP5 : DBL Others: ISIG	M4	Online	- Informed consent forms (section 3.4)
Workshop on Preparedness Tool	WP2: UT Others: IES, VU	M7	Netherlands	- Data management plan (D7.3)
Evaluation Workshop Preparedness Case 1	WP1-4: SRUN Others: SINTEF, DBL, ISIG, AGORAH	M15	Reunion Island	- Diversity Awareness Strategy (section 3.6)
Evaluation Workshop Preparedness Case 2	WP1-4: ISTC Others: DBL, ISIG, SAVETC, REJGTR	M17	Malta	- Research Ethics Assessment (section 4.6)



Evaluation Workshop Preparedness Case 3	WP1-4: GB Others: DBL, ISIG, VU, RCNL	M19	Netherlands	- Ethics practices of agencies already conducting the activities in cases.
Interviews (for steering phase)	WP1-4: UT, SIC, SINTEF Others: TBD	M6-M12	Online/in presence	
Interviews (for dissemination purpose)	WP5: DBL Others: All	M12 - M36	Online/in presence	
Validation activities	WP1-4: DBL, UT, SIC, SINTEF Other: GB, RCNL, SRUN, AGORAH, ISTC, REJGTR	M26-M31	Netherlands, Reunion Island, Malta	

DBL will request updates by WPL to the roadmap at every bi-monthly technical meeting. Other foreseen activities in the project which may be added to the roadmap include:

- Additional workshops with experts, Advisory Board, Local Support Team and citizens using measurable parameters and indicators developed to facilitate an objective evaluation of results;
- Assessment of the level of preparedness before and after the implementation of the preparedness actions, done using the platform delivered by the project;
- Small scale simulations integrated with table top exercises;

Selected samples of citizens may also be involved in the small-scale simulations and experiments for instance through Webinars, smart tools that channel interaction, questionnaires, and polls to elicit their opinion, and allow them to contribute grassroots perspectives in the Cases.



### 3 Ethics Procedures

In this section we explain the procedures for recruiting and involving participants in the research activities in the project. This includes an overview of informed consent procedures, privacy and data management aspects, and the project approach to diversity awareness in the project and research.

First, we briefly describe the foundations underlying research integrity in the project.

#### 3.1 Research Integrity

Research activities performed in SYNERGIES must comply with the European Code of Conduct for Research Integrity, as well with the other international, EU and national regulations. In particular the researchers will conform to the following principles:

- Ensure the reliability and quality of research, reflected in the design, the methodology, the analysis and the use of resources.
- Ensure honesty in developing, undertaking, reviewing, reporting and communicating research in a transparent, fair, full and unbiased way.
- Respect colleagues, research participants, society, ecosystems, cultural heritage and the environment.
- Be accountable for the research, from idea to publication, for its management and organisation, for training, supervision and mentoring, and for its wider impacts.

Additional good research practices relevant to the activities of SYNERGIES around research procedures, safeguarding, data practices, and publication and dissemination include (Bonati and Morelli, 2020):

- Researchers should take into account the state-of-the-art in developing research ideas;
- Researchers should make proper and conscientious use of research funds;
- Researchers should publish results and interpretations of research in an open, honest, transparent and accurate manner, and respect confidentiality of data or findings when legitimately required to do so;
- Researchers should handle research subjects with respect and care, and in accordance with relevant legal and ethical provisions;
- Researchers should have due regard for the health, safety and welfare of the community, of collaborators and others connected with their research;
- Researchers should ensure access to data is as open as possible, as closed as necessary, and where appropriate in line with the FAIR Principles (Findable, Accessible, Interoperable and Reusable) for data management (further details are reported in D7.3 Data Management Plan (Delprato, et al., 2024));
- All partners in research collaborations should take responsibility for the integrity of the research;
- All partners in research collaborations must be properly informed and consulted about submissions for publication of the research results;
- All authors are fully responsible for the content of a publication, unless otherwise specified;
- All authors agree on the sequence of authorship, acknowledging that authorship itself is based on a significant contribution to the design of the research, relevant data collection, or the analysis or interpretation of the results;



- All authors acknowledge important work and intellectual contributions of others, including collaborators, assistants, and funding entities;

Researchers must also refrain from research misconduct such as plagiarism, falsification, fabrication, and from other unacceptable practices such as manipulating authorship, re-publishing substantive parts of one's own earlier publications without duly acknowledging or citing the original ('self-plagiarism'), citing selectively to enhance own findings, misrepresenting research achievements, exaggerating the importance and practical applicability of finding, hampering the work of other researchers, misusing seniority to encourage violations of research integrity, ignoring putative violations of research integrity, or supporting journals that undermine the quality control of research ('predatory journals').

### 3.2 Ethics Approvals

Before starting research activities which involve human participants, partners conducting the activities should obtain all ethics approvals or other mandatory documents needed for implementing the actions from the national (or local) ethics committee or other relevant bodies (e.g. University ethics boards) in the countries where the activities will take place. All data collection must be carried out in full compliance with national privacy and data protection laws.

Moreover, partners conducting research activities will be asked to complete an internal ethics research assessment to ensure they have taken into consideration aspects such as the rights and privacy of participants as well as appropriate data management measures. The assessment will be conducted in M7 and will be evaluated by the Ethics Advisory Board (EAB). More information on the assessment can be found in Section 4.

### 3.3 Recruitment of Participants

Selection and recruitment of participants in the research activities must be coordinated by the research lead of each activity (see Table 1). Recruiting activities must be conducted in accordance with the ethical principles underlying the project and the Diversity Awareness Strategy in Section 3.6. This includes the rights to non-discrimination and privacy, the rights to fair access, and considerations for human dignity meaning that all persons should be respected and treated equally when participating, regardless of their age, gender, socio-economic status, ethnicity, sexual orientation and religion, or other characteristics.

In particular, research activities including the recruitment of participants must respect the principle of 'accessibility', interpreted as:

- Physical accessibility (see also Section 3.3.1).
- Economic accessibility, meaning participation in research will be without costs to participants.
- Information accessibility, meaning participants be provided with full information, in line with the principle of transparency about the research and use of data (see Section 3.4 on information sheets).
- Cultural/language/intellectual accessibility considerations.

Research participants must always be allowed to refuse participation or to remove themselves from the study. According to the principle of transparency, participants should be informed with clear and



plain language that their participation is voluntary. Furthermore participants should be informed of the following:

- Provide information to participants about the research purposes, the use of the data, the level of anonymity and any potential risks and benefits associated with research and how these will be mitigated.
- Give time between recruitment, the consent process, and the research. In this way, participants will have the time to think about and make thoughtful decisions.
- Get informed consent before the start of the research activities. Only if written informed consent is absolutely not possible, researchers may obtain oral consent, in accordance with national laws. However, the EAB should be notified.
- Take measures to protect privacy, confidentiality, and any information obtained during recruitment.
- Invite participants to ask questions about the procedures at any moment of the activities.
- Inform participants that they can ask to delete their statements and remove their participation at any moment.
- Provide an accurate representation of the study. Avoid making the research seem overly attractive as a means of convincing participants to be involved, and do not use incentives such as gifts or fees.

### 3.3.1 *Settings for Research*

Considerations for the settings of research should be taken into account before activities begin. The research lead should be responsible for taking necessary measures to ensure the privacy and safety of the participants. Ensure the venues where research activities will take place are accessible for all ages and consider accessibility requirements for participants with difficulties and disabilities. During data collection (especially for interviews, focus groups and workshops), researchers have the responsibility to:

- Prevent possible situations of power imbalances, selecting carefully the setting for research activities (e.g. avoid conducting interviews/activities in one's own office, selecting interviewers according to the characteristics of the interviewee, giving interviewee the chance to choose the place or platform (e.g. if online) for the interview, etc.).
- Be prepared for activities which could produce traumatization of participants (e.g. reliving disaster experiences), by informing the participants of the scope of the research and ensuring before the research begins that they are comfortable with the topics and aware of their rights to stop or withdraw from the activity at any time. Check in with participants well-being throughout the activity. If an incident occurs (e.g. you sense that the participant is becoming upset, or the express that they are) be ready to pause or end the research activity in a calm and reassuring manner.
- Evaluate, and where possible prevent, risks (e.g. safety, privacy) related to the venue in which research will take place.
- Establish a comfortable location and atmosphere, where participants feel relaxed.
- Never pressure participants.

An additional resource to the guidelines above, which can be useful in the planning and conducting of research (namely interviews and focus groups) is the Pocket Guidelines for Ethics produced by the LINKS project and available at: <https://links-project.eu/wp-content/uploads/2023/12/POCKET-GUIDELINES-1.pdf>.



### 3.4 Informed Consent

Before any research activity begins, participants must provide consent to participate in the research. The responsible researcher(s) must ensure that the participants have been accurately informed about the scope of the research, the use and management of their data, and their rights. To assist with this process, templates have been provided under the WP6 folder on the project Google Drive which include Information Sheets and Informed Consent Forms in the main languages where research will be carried out including English, French, Dutch, and Maltese. The documents have been produced in both long and short versions.<sup>8</sup> It is up to the responsible partners for the research activities to use the version of the documents best suited to their activities and in line with their national ethics rules. For reference, the short versions of the two documents are included in English in Annex I and Annex II of this document.

The informed consent forms and information sheets include highlights/italics text in brackets [ ] where the lead research must fill in details about the research activity before sharing with the potential participants. These include aspects such as details on the purpose for the activity, how the data will be managed, and who are the key contacts for the participants in case of questions or issues.

The overall considerations for informed consent include:

- Make the information about the research accessible. This entails providing a clear and accurate Information Sheet and answering all of the participants questions about taking part in the research.
- Make the content in the Informed Consent Forms and Information Sheet comprehensible for all participants, using an accessible language and adapting it when needed.
- Ask if participants have understood the research purposes and the information provided.
- Make clear how the participants' data will be managed, and their rights to the data.
- Make clear the voluntary nature of their participation in the research and make clear that there is no cash payment to be paid to participants.
- Make clear how they and society will benefit from participating in the research, for instance by contributing to more inclusive disaster preparedness processes.
- Make clear who from SYNERGIES will be involved and who the participants can contact for issues or questions on different matters.

Both written and oral consent must involve an informed consent process. Procedures for informed consent are:

- Written informed consent is the preferred method of consent in SYNERGIES. The lead research(s) must supply a copy of the Information Sheet and the Informed Consent form to potential participants before the research begins. When/if the participant decides to participate in the research, two copies of the informed consent form should be signed by the participant and by the researcher (one for the participant and the second one for the

---

<sup>8</sup> The different between the two versions is that the long versions include additional resources such as more details on data management, privacy, and consent procedures for those participating who may be unable to read the form without aid.



researcher). The researcher's copy must be securely stored in accordance with the project Data Management Plan (DMP) (D7.3).

- Only in cases where written consent is not possible to attain, and where national rules allow, consent can be given orally.<sup>9</sup> These circumstances include when a person is unable to give written consent without aid (e.g. if they are unable to read or write). In this case, the researcher must explain (read) the Information Sheet and Informed Consent Form out loud to a participant and give them time to ask questions and consider their participation. Thereafter, the researcher should ask the participant their name and oral consent, and a copy of the written Information Sheet should also be provided to the participant. A witness must be present to confirm the consent and sign on behalf of the participant. A witness is an independent and qualified person who is not part of the SYNERGIES project, such as a social worker.
- Owing to the “hybrid” nature of some activities, such as online surveys, interviews or workshops, informed consent may be provided electronically and collected by asking potential participants to confirm their consent using an online form with check boxes. In these instances, it is the responsibility of the lead researcher to adapt the project informed consent procedures to an electronic format for their purposes.

### 3.5 Privacy and Data Management

In line with relevant international privacy standards including the UN Declaration of Human Rights and GDPR, the project will respect the right to privacy of any individual engaged in the project research. This means ensuring the confidentiality and anonymity of the participants involved in the research activities and of the information/data they may share. Strict procedures will be taken to guarantee the protection of data, avoiding making the information traceable to the identity of participants. If for some reason the anonymity is not possible, the decision to include personal information must be agreed with the participants before the research takes place.

Partners must also comply with guidelines for data management and security in SYNERGIES as defined in D7.3. This includes special attention to the requirements for processing and protection of personal data as defined in the EU GDPR directive. In particular, partners should apply the following principles defined under art. 5 of the GDPR:

- Lawfulness, fairness and transparency
- Purpose limitation
- Data minimisation
- Accuracy
- Storage limitation
- Integrity and confidentiality
- Accountability

---

<sup>9</sup> Different countries have different rules for collection of informed consent. It is the responsibility of the lead researcher carrying out the activities to evaluate if oral consent is allowed under national rules. This should only be done if written consent is not possible.



Personal data must be processed in a manner that ensures appropriate security and confidentiality and stored to prevent abuse, misuse or unlawful access or transfer. Data must be handled confidentially at the institutional level of relevant partners and stored on a secure repository with backed up services with suitable access controls to allow for the access and recovery of data. After data is collected, it will be coded at the local level, electronically encrypted, and securely shared with partners for research purposes.

As part of the Information Sheets provided to participants, they must be informed that under certain conditions they can access their personal data that is processed in the project, to correct their personal data if it contains factual inaccuracies and delete their personal data. The participant Information Sheet will contain the contact information of the lead researcher as well as the local Data Protection Officer (DPO), the SYNERGIES Project DPO, the Ethics Advisory Board, and the Project Coordinator if they wish to exercise any of their privacy rights or have any other questions or concerns about the management of their data. Further information on data management is provided in D7.3.

### 3.5.1 Anonymisation and pseudonymisation

The need to apply anonymisation or pseudonymisation should be defined before research takes place in order to obtain appropriate informed consent. The researcher(s) collecting data in the project are responsible for the anonymisation/pseudonymisation of data in order to prevent the identification of participants.

Anonymisation of data requires deleting all of the identifying information provided by research participants. This includes both direct (e.g. name, birthdate, pictures) and indirect (e.g. workplace, location) identifiers. The recommended strategy for anonymisation is k-anonymity, which calls for the generalisation and suppression of the data, meaning the removal and replacement of sensitive information in data with a common value. This can be done in tables by aggregating and clustering the data into broad categories based on non-sensitive attributes (e.g. age ranges of participants). For further information on the k-anonymization approach see:

*Armengol, E., & Torra, V. (2015). Generalisation-Based k-Anonymization. Modelling Decisions for Artificial Intelligence.*

In instances where anonymisation is not possible or may jeopardise the relevance of certain data (e.g. the loss of needed contextual information), pseudonymisation procedures should be used to ensure data less identifiable. This process involves replacing “identifiers” from the data with a pseudonym, and keeping the link between the data subject's identity and the pseudonym in a separate file (a keyfile) (Ghent University, 2024). Key files should be stored on encrypted storage systems. There are a number of techniques for creating pseudonyms, and the approach recommended in this project is *Counter*, where the identifiers are replaced by a number chosen by a counter (e.g. ID1, ID2). The recommend resources available for further guidance on pseudonymisation techniques include:

*Ghent University (2024), Research integrity & ethics: GDPR: Pseudonymisation of personal data.* retrieved from <https://bozi.ugent.be/en/tips/00002103/#Howtcreateapseudonym>



European Union Agency for Cybersecurity (ENISA) (2019), *Pseudonymisation techniques and best practices*, retrieved from

<https://www.enisa.europa.eu/publications/pseudonymisation-techniques-and-best-practices>

### 3.6 Diversity Awareness Strategy

The work in SYNERGIES crosses over geographical and cultural differences in various countries and hazard contexts. This involves engagement with diverse groups of individuals and professionals, both within and outside the consortium, including some which face specific vulnerabilities owing to physical, social, economic, and environmental factors which make them more exposed and susceptible to the impacts of hazards.

Lessons learned from past research projects have demonstrated that these aspects of diversity can be harnessed through a *diversity by design* approach to the project actions. The knowledge, skills, and resources that all partners and stakeholders bring to the project can offer unique aspects and insights into the project research and outcomes. In this regard, diversity can be seen as a resource for strengthening disaster resilience, with two key aspects (Bonati & van der Lee, 2022, LINKS Glossary):

- 1) diversity as a characteristic, consisting of demographic differences between individuals (e.g., gender, age, cultural identity), diversity awareness, and vulnerabilities;
- 2) diversity as a resource, including a range of capabilities, skills, knowledge, and information access.

The following recommendations cut across three key areas. They should be implemented by partners to harness the potentials of the diversity by design approach in the project:

#### *Recommendations for Considering Diversity in SYNERGIES Consortium, Meetings, Workshops and Events:*

- When composing internal working groups, ensure fair representation of demographic diversity among the members in terms of e.g., gender, cultural background.
- When appointing leadership roles, consider and short-list members of underrepresented groups including for instance less-mainstream/majority groups, socio-economic backgrounds, age, etc.
- When recruiting new staff it should be in accordance with the ethical standards of the project, carried out with transparency and neutrality and without discrimination of any kind.<sup>10</sup>
  - In particular, gender equality must be respected, gender balance and equal opportunity should be ensured in the management structures and leading roles, in order to address the gaps in the participation.
- When organising events or workshops, ensure that all stakeholders have the possibility to participate in terms of travel, accommodation, finances.

---

<sup>10</sup> In case new staff members are recruited the selection procedures should take place according to the national regulations concerning workers recruitment of the country where the new personnel will be hired.



- When it was not possible to warrant diversity in a working group or event, reflect and report to the EAB and in the research ethics self-assessment survey on the reasons why this was the case and how to overcome this in the future.
- Discuss the Partner Ethics assessment questionnaire with your team and identify potential challenges for diversity awareness.
- For any questions or concerns about diversity with regard to engagement within the consortium, contact the EAB.

#### *Recommendations for Considering Diversity in the Research*

- Participant recruitment and data collection
  - Design research activities considering different kinds of activities needed to ensure the diversity of voices are heard when collecting data.
  - When selecting recruitment areas, consider different areas (i.e., locations) to represent the diversity of cultures and provide opportunities for all relevant groups to participate. For instance, consider if there is a fair gender representation among the participants.
  - When organising external workshops and other research activities, facilitate diversity by fostering proportional representation of different communities and groups (e.g., cultures, gender, age). Stress the importance of fostering diversity and proportional representation of different communities to the stakeholders. And consider the timing and locations of workshops, to accommodate for aspects like work schedules, family needs, transportation etc.
- Data analyses and presenting results
  - Consider if diversity aspects such as gender and age which contribute to vulnerabilities and equally resilience capacities of communities should be adopted as variables in the research and analyses, in order to better understand the role of diversity in crisis response and resilience.
- Communication in research and accessibility
  - Communicate in an appropriate way with potential participants, by e.g., adapting the language to the relevant participants. For example, country specific translations, gender-neutral and inclusive pronouns.
  - Consider if the means for participation and communication is accessible for all relevant groups and communities.
  - When it was not possible to include diversity in the research, reflect and report in the research ethics self-assessment survey on the reasons why this was the case to overcome this in the future.
  - For any questions or concerns about diversity with regard to research, contact the EAB.

#### *Recommendations for Considering Diversity in the Dissemination of Results*

- Target results to relevant groups, as not all results are relevant to all groups. Select those results that are relevant for the context and needs of specific groups.
- Communicate clearly and adapt the language to the needs of the groups that receive the selected results.
- Preferably use data visualisations.
- Include clear and explicit points for action/areas of attention that will foster community resilience and disaster risk management.



- Consider the means by which data are disseminated: are the means accessible to all relevant groups?
- For any questions or concerns about diversity with regard to the dissemination of results, contact the dissemination leader DBL and the Ethics Advisory Board.

An important part of diversity awareness is also recognizing and minimize risks for excluding or stigmatizing diverse groups including the most vulnerable. In general, all SYNERGIES partners should observe the principle of human dignity, which underscores that all individuals and groups should be respected, regardless of their age, gender, socio-economic condition, ethnicity, sexual orientation, religion, or other characteristics. This means that the project places no restrictions on the type of participants which can engage in the research. However, this approach also requires considerations for potential risks and harm that can come to different types of participants, owing to different aspects such as previous (potentially traumatizing) experience in disasters, cultural or political sensitivities around research topics, or vulnerabilities such as disabilities. To mitigate these risks in the research activities, partners responsible for the activities should use the research ethics assessment survey to conduct risk assessments, and also consult with the EAB as needed. To this end, some specific recommendations which emphasize and expand on previously noted guidelines in this document are provided below.

- Prevent possible situations of power imbalances, select the settings for research activities carefully, and adopt a subjective approach to the research.
- Evaluate, and where possible prevent, any risks coming from the venue at which the research activities will take place.
- Create a comfortable space and atmosphere, where participants feel at ease, e.g. if necessary, organizing enjoyable moments.
- Never pressure participants into participating in research activities.
- At different stages of the activities, participants should be reminded of the voluntariness to participate in the activities which includes the possibility to withdraw at any time if necessary.
- During workshops and focus groups, prevent situations of stigmatization, organizing a warm-up moment, and asking setting clear expectations for the group activities.
- A key lead staff member should oversee procedures for emergencies in case any participant is distressed or unwell.

Furthermore, in activities where vulnerable groups are involved, specific procedures have been established for collecting informed consent (see above) and in particular when:

- Participants are unable to read and complete informed consent without aid.
- The interviews, due to the topics addressed or the vulnerability of the subjects, involve a risk for the participants.
- There is a risk of stigmatization.

Moreover, if participants have cognitive impairments, specific approaches can be adopted in the communication with them such as the use of a simple language, the choice of conducive days and time for the participation, and the support from their parents or caregivers.



All matters of uncertainty relating to the recruitment and involvement of participants, and in particular vulnerable groups, should be raised to the SYNERGIES EAB, who will advise on the appropriate steps to be taken, and if needed, consult with the independent Ethics Advisor (EA).



## 4 Ethics Advisory and Assessments

To ensure the project follows an ethical approach, a number of mechanisms and procedures are available to the consortium. This includes ethics advisory capacity and different levels of ethics assessments throughout the project duration. In the following sections we briefly describe the advisory entities which include:

- Ethics Advisory Board (EAB)
- Independent Ethics Advisor
- Data Protection Officers
- National Ethics Authorities

Thereafter we describe the two levels of Ethics Self-Assessment in the project, including:

- A research level ethics assessment involving the partners responsible for conducting research activities in the project.
- An overall ethical assessment of the consortium involving all partners.

### 4.1 Ethics Advisory Board (EAB)

The ethics work in SYNERGIES will be guided by the Ethics Advisory Board (EAB). The EAB meets on an ad hoc basis to discuss ethics related matters during the project lifetime. The EAB is chaired by the leaders of WP6 and members have been recruited from the consortium owing to their expertise in ethics and/or responsibilities for specific research activities in the project. An overview of the members and their contact information is provided in Table 2.

**Table 2: Ethics Advisory Board Members**

Name	Organization	Contact
Nathan Clark (Chair)	VU	<a href="mailto:n.e.clark@vu.nl">n.e.clark@vu.nl</a>
Kees Boersma (Chair)	VU	<a href="mailto:f.k.boersma@vu.nl">f.k.boersma@vu.nl</a>
Sonia Matera	DBL	<a href="mailto:sonia.matera@dblue.it">sonia.matera@dblue.it</a>
Olivia Ferrari	ISIG	<a href="mailto:ferrari@isig.it">ferrari@isig.it</a>
Kati Orru	UT	<a href="mailto:kati Orru@ut.ee">kati Orru@ut.ee</a>
Cristina Casareale	SAVETC	<a href="mailto:cristina.casareale@savethechildren.org">cristina.casareale@savethechildren.org</a>
Katrina Petersen	PSCE	<a href="mailto:k.petersen@psc-europe.eu">k.petersen@psc-europe.eu</a>

Maintaining an ethical approach to the work and research in the project is the responsibilities of all partners. However, the EAB is available to the consortium to provide oversight and advice on ethical questions and issues that may arise in the project. The EAB can be contacted at [synergies-eab@dblue.it](mailto:synergies-eab@dblue.it).

### 4.2 Independent Ethics Advisor

This project has invited Dr. Katrina Petersen to act as the independent ethics advisor for the project. Dr. Petersen is a Senior Scientist at Public Safety Communication Europe (PSCE) with a background in the fields of research ethics and specifically in areas of social, cultural, and ethical impacts of the



design and use of emerging information technologies for disasters and climate challenges. Her expertise was also invaluable to the LINKS project where she previously functioned as the independent ethics advisor.

Dr. Petersen has been recruited to carry out several ethics related actions for the project owing to her expertise in the topics areas of the project and previous experience in ethics advisory roles. These include:

- Reviewing and providing feedback on ethics deliverables 6.1 (due for submission 31 May 2024) as well as other deliverables that may arise ethics, data protection and security concerns.
- Reviewing ethics materials generated/adopted in the project and providing feedback on the materials (e.g. consent forms and anonymization procedures).
- Attending Ethics Advisory Board meetings with the project.
- Attending project Advisory Board meetings.
- Participating in ad hoc meetings whenever ethics issues are raised.

Contact information: Katrina Petersen

Email: [k.petersen@psc-europe.eu](mailto:k.petersen@psc-europe.eu)

#### **4.3 Data Protection Officers**

As described in the project data management plan (DMP) (D7.3) each partner conducting research and storing data is responsible for assigning local data protection officers (DPO) within their organisations. These details should be included in the Information Sheets provided to participants before research begins. In addition, the project has one overall DPO which oversees the project DMP and who is contacted by partners and research participants at any time relating to data management issues.

Contact information: Valentina Pagnanelli

Email: [valentina.pagnanelli@dblue.it](mailto:valentina.pagnanelli@dblue.it)

#### **4.4 National Ethics Authorities**

As noted above, before research begins, the partners responsible for leading the research and data collection activities should obtain the approval from the national ethics committee or other relevant bodies (e.g. University ethics boards) in the countries where the activities will take place. All data collection must be carried out in full compliance with national privacy and data protection laws.

#### **4.5 Research Ethics Assessments**

An internal ethics assessment is required before research activities take place in SYNERGIES. In month 8 a research ethics assessment will be conducted by partners responsible for carrying out research in the project, with the aim of identifying potential ethical impacts of the activities and to consider mitigation strategies for issues which may arise. It aims to gather an overview of the scope of the research including which activities, when they take place, and which partners will be involved. It then requires partners to define considerations for the following ethical aspects:

- Responsibility/ accountability for the research
- Research procedures (e.g. informed consent)



- Participation aspects
- Freedom of choice/autonomy
- Trust/ transparency
- Environment (research settings)
- Data collection and processing

The template should be completed by all WPLs/TLs who lead a research activity and should be delivered to the EAB at the following email address: [synergies-eab@dblue.it](mailto:synergies-eab@dblue.it). In the case of several partners participating in a common research activity, only one document has to be delivered by the lead researcher/partner responsible for the research (usually a WPL or TL).

Overall, the assessment is aimed to support and ensure ethically appropriate research, in line with the Ethical guidelines in this document. It should be used to help the lead researcher to prepare the research activities, and should not be seen as an authorization process. Feedback on the evaluations will only be given by the EAB when deemed necessary. Nothing confidential or any personal information provided within these evaluations will be shared outside of the EAB. The template for the assessment can be found under the WP6 > Ethics Materials folder on Google Drive and is also attached as Annex III in this deliverable.

#### **4.6 Partner Ethics Assessments**

At the halfway point in the project (M18) a partner ethics assessment will take place. The purpose of the assessment is to analyse the ethical awareness of partners in relation to other consortium partners and external aspects to the project. The assessment aims to strengthen the partners abilities to manage their work in the project from an ethical point of view, and to think about their own ethics-related role and actions in the project. Overall ethics assessment is a way to measure the overall ethical considerations by partners in the project and make improvements if needed.

The assessment is completely anonymous, and the results of the assessment will be collected and processed by VU with support from the Ethics Assessment Board (EAB). The copy of the assessment template can be found under the WP6 > Ethics Materials folder on Google Drive and is also attached as Annex IV in this deliverable. More information about the purpose and process for the assessment will be given at the project plenary meetings.



## 5 Conclusion

This document provides the ethics guidelines for the SYNERGIES project. It should be used as a reference document for all partners in the project, to guide and reflect on their actions and research activities throughout the project lifetime. The ethics work in the project is guided by VU alongside support from the Ethics Advisor Board. If partners at any point have questions regarding the content in this document or any other ethics related matters, they are very welcome to contact VU and the EAB using the emails provided in Section 4.

SYNERGIES supports and promotes the adoption of robust ethics approaches in research. There for the guidelines and all related materials in this document are available for free and open reuses by others.



## Bibliography

All European Academies (ALLEA). (2023). The European Code of Conduct for Research Integrity – Revised Edition 2023. Berlin. DOI 10.26356/ECOC Retrieved from [https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/european-code-of-conduct-for-research-integrity\\_horizon\\_en.pdf](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/european-code-of-conduct-for-research-integrity_horizon_en.pdf)

Armengol, E., & Torra, V. (2015). Generalisation-Based k-Anonymization. Modelling Decisions for Artificial Intelligence.

Bonati, S., & Graziani, F. (2020). Informed Consent Procedures, Deliverable 10.1 H – Requirement No. 1: Ethics Requirement of LINKS: Strengthening links between technologies and society for European disaster resilience, funded by the European Union’s Horizon 2020 Research and Innovation Programme (No. 883490).

Bonati, S., & Morelli, S. (2020). LINKS Ethics and Societal Impact Strategy. Deliverable 1.5 of LINKS: Strengthening links between technologies and society for European disaster resilience, funded by the European Union’s Horizon 2020 Research and Innovation Programme (No. 883490). Retrieved from: <http://links-project.eu/deliverables/>

BuildERS. (2019). Informed Consent form and Information Sheet. Building European Communities’ Resilience and Social Capital funded by the European Union’s Horizon 2020 Research and Innovation Programme (No 833496).

Charter of Fundamental Rights of the European Union. (2010). Official Journal of the European Union C83, vol. 53, European Union, 2010, p. 380.

Council of Europe. (1953). European Convention for the Protection of Human Rights and Fundamental Freedoms and its supplementary protocols. Retrieved from [https://www.echr.coe.int/documents/d/echr/Convention\\_ENG](https://www.echr.coe.int/documents/d/echr/Convention_ENG)

Delprato, U., Marchese, S., Vita, F. (2024). D7.3 Data Management Plan, SYNERGIES Project: Innovating preparedness by leveraging synergies and enhancing results of DRM projects, funded by the European Union’s Horizon Europe Innovation Programme (No. 101121172).

Ghent University (2024), Research integrity & ethics: GDPR: Pseudonymisation of personal data. retrieved from <https://bozi.ugent.be/en/tips/00002103/#Howtocreateapseudonym>

European Parliament, Council of the European Union (GDPR) (2016). Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, and repealing Directive 95/46/EC (General Data Protection Regulation). Retrieved from <https://eur-lex.europa.eu/eli/reg/2016/679/oj>

European Union Agency for Cybersecurity (ENISA) (2019), Pseudonymisation techniques and best practices, Retrieved from



<https://www.enisa.europa.eu/publications/pseudonymisation-techniques-and-best-practices>

K. Uhing, N. Muecklich, H. Marruecos, L. Trost (2020) D9.3 H- Requirement No.3 Research activities involving human participants (Informed Consent form and Information Sheet), RESILOC Project: Resilient Europe and Societies by Innovating Local Communities, funded by the European Union's Horizon Europe Innovation Programme (No. 833671).

Van der Lee, R., & Bonati, S. (2022). LINKS Diversity Awareness Strategy, of LINKS: Strengthening links between technologies and society for European disaster resilience, funded by the European Union's Horizon 2020 Research and Innovation Programme (No. 883490). Retrieved from: <https://links-project.eu/ethics-outputs/>



## Annex I: Informed Consent Forms (short\_English)

### Consent for Participation in [insert activity: Interviews, Survey, Focus Group, Workshop, etc.]

I volunteer to participate in the research project SYNERGIES, funded by the European Commission (Grant no. 101121172). This research is part of Task X.Y is led by [Name of the lead researcher], from [Affiliation]. I have been informed about the project aims and my role in the research in the accompanying information sheet. I understand that objectives of the research activity I am participating in and how it contributes to the overall aims of SYNERGIES.

- My participation in this [insert activity type: interview/focus group/survey/workshop/etc.] is voluntary. I understand that I will not be paid for my participation. I may withdraw and discontinue participation at any time or refuse participation without any negative consequence.
- I understand that my participation involves being [insert activity: interviewed/discussions/etc.] by researchers of the [Affiliation]. The [insert activity type] will last approximately [xxx] minutes. [Remove if not relevant: An audio tape of the [activity type] and subsequently a transcript, will be made].
- I understand that I will not be identified by name in any reports using information obtained from this interview, and that my confidentiality as a participant in this study will remain secure.
- I understand that all personal data will be processed according to EU's general data protection regulation (GDPR). By signing this consent form I agree that my personal data can be used in this research.
- I understand that that any obtained information from the research activity will be used exclusively in a research context. In an anonymised version the data provided can be used for scientific publications.
- [Remove if not relevant]: I understand that only researchers participating to Task X.Y will have access to the audio file. The audio file will be stored in an encrypted container and it will be deleted after the end of the project duration.
- An anonymised summary of the [insert activity type], may be shared with the project consortium.
- I understand that I can withdraw the whole or parts of the information I have provided at any point in time without any adverse consequences, even after the [insert activity type] has ended.
- I have read and understood the explanation provided to me. I have had all my questions answered to my satisfaction, and I voluntarily agree to participate in this study.
- I have been given a copy of this consent form.



For workshops only. If not relevant remove:

- I understand that audio, pictures, and videos may be taken during the workshop and I give my consent to using/sharing them for the purposes of the project.

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name of lead Researcher

\_\_\_\_\_  
Name of participant

\_\_\_\_\_  
Signature of lead Researcher

\_\_\_\_\_  
Signature (participant)

**For further information or questions, please contact:**

Contact details of the lead researcher: [Add the contact details of the lead researcher who will conduct the research]

Name:

Email:

Tel:

Contact details of the SYNERGIES Project Data Protection Officer (DPO):

Name: Valentina Pagnanelli

Email: [valentina.pagnanelli@dblue.it](mailto:valentina.pagnanelli@dblue.it)

Contact details of the SYNERGIES Project Coordinator:

Name: Alessia Golfetti

Email: [alessia.golfetti@dblue.it](mailto:alessia.golfetti@dblue.it)



## Annex II: Research Information Sheet (short\_English)

### INFORMATION ABOUT THE SYNERGIES RESEARCH

This document is to inform you about your participation in the European Union funded research project SYNERGIES - Innovating Preparedness by Leveraging SYNERGIES and Enhancing Results of DRM Projects (Grant Agreement No. 101121172)

#### Aim of SYNERGIES:

The SYNERGIES (<https://synergiesproject.eu/>) project aims to strengthen a culture of disaster preparedness by fostering a cohesive and coordinated engagement of various stakeholders in disaster management such as first and second responders, citizens, communities, research and education systems, authorities and public administrations, and businesses. SYNERGIES concentrates on five preparedness needs:

- Involvement of all relevant actors in building preparedness
- Strengthening preparedness education and training
- Communicating with citizens
- Management of spontaneous volunteers
- Ensuring the sustainability of solutions for preparedness

#### About the research and your involvement:

This [survey, interview, workshop, online co-creation, colloquium, exercise etc.] is related task X.Y. This task aims at [explain ...] and is related to the overall objects of SYNERGIES by [explain...].

The research activity therefore aims to [briefly explain the objectives and expected outcomes of the research, and any benefits and risks to their participation].

Your participation is at all times voluntary and without monetary rewards. You can pause, stop, and withdraw your participation at any time.

#### Privacy and Data Management:

[Elaborate on how the data is collected (e.g. survey, notes, recordings) and managed below].

Privacy and data management have been carefully considered in the SYNERGIES project to ensure compliance with national and international legal requirements and ethical standards. All of your personal data collected in the research will be [choose one or both as relevant: anonymised/pseudonymised] and processed only by project research members, and in particular: [specify who will do the procedure and any limitations]. Only authorised administrators assigned through internal project processes will have access to the data. Moreover, SYNERGIES follows the data minimization principle (Article 5 GDPR). Only data that is necessary for the development of the projects research and outcomes will be collected. Therefore, data that is no longer required to develop project activities will be deleted. [adapt as needed: For this research activity, we collect the following personal data: name, organisation and community name, email and phone number



(optional), in order to have better understanding of your opinion and perspective. We would also like to make a video recording of the workshop (optional), which will only be used to aid us to improve the analysis of the answers you provide]. The data collected will be stored on the XXXX server, protected by data security protocols, for a maximum of [enter duration of storage, e.g. up to one year after the end of the project].

### Contacts for questions or further information:

Contact details of the lead researcher: [Add the contact details of the lead researcher who will conduct the research]

Name:

Email:

Tel:

Contact details of the SYNERGIES Project Data Protection Officer (DPO):

Name: Valentina Pagnanelli

Email: [valentina.pagnanelli@dblue.it](mailto:valentina.pagnanelli@dblue.it)

Contact details of the SYNERGIES Project Coordinator:

Name: Alessia Golfetti

Email: [alessia.golfetti@dblue.it](mailto:alessia.golfetti@dblue.it)



## Annex III: Research Ethics Assessment Form

### INTRODUCTION AND GENERAL INSTRUCTIONS

This document provides an evaluation form for the ethics self-assessment of the research activities conducted by partners. A self-assessment of the research activities should be conducted by partners with the aim of identifying potential ethical impacts of the activities and evaluate the planned mitigation strategies. The form should be completed by all WPLs/TLs who lead a research activity and delivered to the EAB at the following email addresses: [synergies-eab@dblue.it](mailto:synergies-eab@dblue.it). In the case of several partners participating in a common research activity, only one document has to be delivered by the lead researcher/partner responsible for the research (usually the WPL or TL).

The self-assessment is aimed to support and address ethically appropriate research in line with the Ethics Guidelines (D6.1) adopted by the project. It should be used to help the lead researcher to prepare the research activity. This process is not aimed at authorising or blocking research, and therefore feedback on the evaluations will only be given by the EAB when deemed necessary. The planned research should have already obtained approval according to the rules of the country in which the research takes place. Nothing confidential or any personal information you provide within these evaluations will be shared outside of the EAB.

NB: It is not necessary to fill in all fields if they are out of context in some specific cases (but please briefly justify the lack of insertion). However, in addressing the various ethical issues, it is mandatory to highlight the potential ethical problem that requires mitigation or prevention measures.

The form has been adapted from the H2020 LINKS project (Bonati and Morelli, 2021).





## EVALUATION FORM

<b>Period of the research</b>	Expected start date:	.....
	Expected finish date:	.....

ETHICS ISSUES	QUESTIONS	ANSWERS
<b>1. Responsibility/ accountability</b>	Who is the lead researcher responsible for overseeing the research, for monitoring this ethics evaluation, and for updating the evaluation as needed should the research plans change (name, surname, and organization):	..... ..... .....
	Which personnel are involved in the research and will have access to data (name, surname, organization, role):  <i>(Specify when possible the role of the different employed personnel, e.g., who will collect surveys, anonymize data, etc.)</i>	..... ..... ..... .....
	Other partners involved and their role:	..... ..... .....

	<p>Management of external authorization for the research:</p> <p><i>(Does the research require legal authorization? Which kind of authorization is necessary? Do you need authorization from an entity, institution or guardians? Do you have the requirements to obtain it? Have you requested/obtained the authorization?)</i></p>	<p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p>
<p><b>2. Research procedures</b></p>	<p>What are the objectives of the research (brief description):</p>	<p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p>
	<p>Methodology (for all working practice ex. survey, interview, focus group):</p>	<p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p>





<p>(For vulnerable participants, see the definition provided in D6.1)</p> <p>Do vulnerable participants have special needs:</p> <p>How you plan to address them:</p> <p><i>(How do you plan to deal with/prevent or mitigate stress for participants caused by previous personal traumatic experiences?)</i></p>		<p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p>
<p>Procedure to recruit participants:</p> <p><i>How have participants been selected and has the diversity principle (see D6.1) been followed, and if not why etc.)?</i></p>		<p>.....</p> <p>.....</p> <p>.....</p>
<p>Strategy for diversity awareness management:</p> <p><i>How/Why is it possible to consider a representative and appropriate diversity of participants for the objectives and outputs? Does it make sense for the planned research activity? Have you planned specific action for promoting diversity in research?</i></p>		<p>.....</p> <p>.....</p> <p>.....</p>



	<p>Strategy to overcome a poor representativeness in participation (necessary remedial actions):</p> <p><i>What conditions could prevent participation?</i></p>	<p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p>
	<p>Expected benefits for participants taking part in the research activity:</p>	<p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p>
<p><b>4. Freedom of choice/autonomy</b></p>	<p>Can you think of potential situations of coercion, deception and manipulation that could occur and how you could solve conflicts of interests among participants and the researchers or collaborators:</p> <p><i>(Will participants have full freedom of choice or could they be subject to compromise? meaning, e.g., freedom of expression, right to private life and privacy, etc.)</i></p>	<p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p>



	<p>Procedure in case a person decides to leave the research:</p>	<p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p>
<p><b>5. Trust/transparency</b></p>	<p>What procedures will you follow to provide the information sheet to participants and to collect informed consent:</p> <p>In case you adopt participant observation, explain how you will guarantee transparency with participants:</p> <p><i>(Which kinds of information will be provided to participants?)</i></p>	<p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p>



		<p>.....</p> <p>.....</p>
<p><b>6. Environment</b></p>	<p>Have you identified potential accessibility issues in the place of research:</p> <p><i>Are there any risks linked to the place (digital or physical environment) where the research will take place?</i></p>	<p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p>
	<p>Mitigation strategies for potential accessibility issues:</p>	<p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p>
<p><b>7. Data collection and processing</b></p>	<p>What kinds of personal data collection will take place:</p> <p><i>What is the level of the requested information? (are sensitive data required? Why? Is this necessary? With which purposes and for which use?)</i></p>	<p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p>



		<p>.....</p>
	<p>Data management</p> <p><i>How will data be processed and stored?</i></p>	<p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p>
	<p>Processes of pseudonymisation or anonymisation:</p> <p><i>How will the process of anonymisation/pseudonymisation take place?</i></p>	<p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p>
	<p>Sharing of data with other partners/countries:</p> <p><i>Who will data be shared with?</i></p>	<p>.....</p> <p>.....</p> <p>.....</p>



		..... .....
--	--	----------------

### ADDITIONAL INFORMATION

*Please include any additional information or remarks which should be highlighted in relation the ethical considerations for the research activity, which were not captured in the above form.*





Co-funded by  
the European Union

## Annex IV: Partner Ethics Assessment Form

### Partner Ethics-Assessment Introduction

#### *Intended audience:*

All partners of the consortium

The assessment is organised in 3 mandatory sections. Every section refers to a specific audience.

Section A is mandatory for all the partners.

Section B is for Partner Team Leaders which are invited to answer on behalf of their team.

Section C is for Work Package Leaders and Task Leaders.

#### *Reference period under evaluation:*

Month 18 in the project

#### *Purpose of the evaluation:*

To analyse the ethical awareness of partners in relationship with other consortium partners and the outside world, as well as the ability to manage activities in the project from the ethical point of view. The ethics assessment is also a way to measure the overall ethical considerations in the project and how to improve it. Overall, this process assists partners in thinking about their own ethics-related role and actions in the project. It wants to help partners to understand the state of their actions in ethics and to strengthen their ethical considerations for future activities.

#### *Return of information:*

The assessment is anonymous, no personal information is required and there is no possibility to identify the participants. The results of the assessment will be collected by the Ethics Assessment Board (EAB) and used to monitor and identify potential issues to address in the project. The given answers will not be used to single out ethically inappropriate behaviours of individuals in the project. The main results of the self-assessment will be used to inform the work carried out in the project and the period reports. After the assessment a follow up meeting/workshop will be had with the consortium to discuss the overall results.

#### *Sources:*

The form is the result of an adaptation of assessments carried out by the [LINKS project](#) which examined similar research topics related to disaster resilience. It was co-developed with the consortium on the basis of the aims of the project and on insights from other ethics evaluation forms, which were thematically replicable and available online. To see an example of the results from this assessment see LINKS deliverable [D1.6 Report on societal impact and consistency with Ethics and Societal Impact Strategy](#).

#### *Kind of questions:*

This assessment consists of a certain number of basic statements that need to be evaluated in the table through pre-established answers (choosing only one and ticking among *Rarely*, *Occasionally*, *Usually*, *Always*, *N/A*). Some of these statements may have a positive or negative meaning, depending on the case. You may find that in some cases an answer of "occasionally" is satisfactory, but in other cases an answer of "occasionally" may raise an ethical issue. If necessary, there is the possibility to leave comments in the space provided under each question.

#### *Time:*

The whole questionnaire should take not more than 10 minutes.

**A) Individual level:**

Answer these questions, referring to your own actions in the last 18 project months

<b>A01. I consulted the “D6.1: Ethics Guidelines” for ensuring that my work within SYNERGIES was consistent with the ethical standards of the project.</b>				
<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A
Comments:				

<b>A02. When ethical behaviour (for example, respect towards diversity, the partners, or the research participants) was in question in the SYNERGIES consortium, I encountered a safe environment for debates and open dialogue about how to improve this</b>				
<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A

<b>A03. I behaved respectfully and kept control of myself when I received provocative or unrespectful behaviour from other partners in the SYNERGIES consortium.</b>				
<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A

<b>A04. In case I encountered ethical problems while carrying out my tasks, did I refer to the Ethics Advisory Board to find a solution? Why not? Did you find a solution?</b>				
<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A

<b>A05. I applied transparency in the decision-making processes of which I am part of, meaning that I communicate and argue explicitly and with honesty.</b>				
<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A



<b>A06. I strived to have an open working environment in the consortium, meaning that I am open to critique and believe that we all should express our opinions freely.</b>				
<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A

<b>A07. In my work, I was concerned with understanding and being respectful of individuals who differ from me in ethnicity, religion, gender, age, education, societal status, professional discipline, language, generation, sexual orientation, or physical or mental disability, skill sets and in any other aspects of diversity considered in SYNERGIES.</b>				
<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A

**A08-A10 questions refer to the Diversity Awareness Strategy with the aim to understand the concepts of diversity, awareness and inclusion both in the consortium and in the research and in the dissemination of the results**

<b>A08. I am familiar with the SYNERGIES Diversity Awareness Strategy</b>				
<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A

<b>A09. Within SYNERGIES, I personally feel included</b>				
<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A

<b>A10. Within SYNERGIES, diversity and inclusion are valued</b>				
<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A



**B) Partner team level (only for partner team leaders)**

<b>B01. My team members and I have consulted the “D6.1: Ethics Guidelines” for ensuring that their work within SYNERGIES was consistent with the project's ethical standards.</b>				
<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A

<b>B02. Have my team members and I applied the ethical approach described in D6.1 in the management of our activities (e.g., respecting working hours, providing a safe working environment)? Why not?</b>				
<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A

<b>B03. I have promoted the ethics documentation and information to my team members and followed the process outlined in the D6.1.</b>				
<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A

<b>B04. My team members and I fostered discussions in the team about ethical concerns when they arose (both in the administrative management and operational phases).</b>				
<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A

<b>B05. In our work, we were concerned with understanding and being respectful of individuals who differ from us in ethnicity, religion, gender, age, education, societal status, professional discipline, language, generation, sexual orientation, or physical or mental disability, skill sets and in any other aspects of diversity considered in SYNERGIES.</b>				
<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A

<b>B06. When we made ethical errors or omissions in the project work, our team members took ownership and made corrections promptly.</b>				
--	--	--	--	--



<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A

**B07. We have thoughtfully considered decisions and their ethical implications when we have made a commitment with the project coordinator and/or other consortium members.**

<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A

**B08. I have promoted diversity and inclusion\* in my team**  
 \*diversity refers to demographic differences and vulnerabilities, as well as a range of different capabilities, skills, knowledge and information access

<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A

**B09-B11 questions refer to the attitude of your team towards the project partners with which there has been a close working relationship and frequent contact in producing deliverables, research, or other actions within the project:**

**B09. Was our team involved in discussions on the ethical aspects of the research/work with these partners?**

<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A

**B10. Our team opened discussions on the ethical aspects of the research/work with these partners**

<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A

**B11. We strived to have clear communication with partners, as we were aware that they potentially came from other disciplines and backgrounds than us.**

<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A
---------------------------------	---------------------------------------	----------------------------------	---------------------------------	------------------------------



--

**B12-B17 questions refer to the attitude of your team towards the SYNERGIES target groups and external society, including research participants in the cases.**

<b>B12. We took the necessary time to consider possible negative repercussions of our decisions concerning the work involving some members of the SYNERGIES target groups such as for external participants and local case communities.</b>				
<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A

<b>B13. We took into account the practical needs and conditions of the SYNERGIES target groups and external society in planning the project activities.</b>				
<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A

<b>B14. We ensured community engagement for the design and implementation of the SYNERGIES activities.</b>				
<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A

<b>B15. We promptly informed the consortium/EAB of risks, ethical, and safety issues potentially encountered during the activities (for example, research, workshops, events, ...) we planned in local cases.</b>				
<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A

<b>B16. We created actions for public understanding of project activities as a way of better informing the involved community and creating awareness of their role in participating.</b>				
<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A



<b>B17. We were always transparent in our communication towards local communities, about our role, the purposes of our work, risks, and potential negative and positive outputs of the research/work.</b>				
<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A

<b>B18. Our team considers diversity in our project activities*</b> *Diversity can be considered in the consortium, research and dissemination of results				
<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A

<b>B19. I am aware of the Ethics Guidelines, and I have consulted them</b>				
<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A

<b>B20. I follow the ethics recommendations in planning meetings, deliverables and communication in the project</b>				
<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A

**C) Work Package Leaders and Task Leaders Level (only for WPL and TL):**

<b>C01. We took into consideration any opinions and views different from ours, even when deadlines forced us to make quick decisions.</b>				
<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A

<b>C02. We took successful actions to prevent situations of disrespect towards individuals who differ from us in ethnicity, religion, gender, age, education, societal status, professional discipline, language, generation, sexual orientation or physical or mental disability, skill sets, and in any other aspects of diversity considered in SYNERGIES</b>				
--	--	--	--	--



<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A

**C03. We adopted mitigation strategies to avoid obstacles and to address potential risks that could impact our work (for example, COVID-19 pandemic, hazard seasons, etc.).**

<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A

**C04. Have ethical issues arisen during our work?**

<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A

**C05. In case you answered yes to C04, were they effectively overcome?**

<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A

**C06. We gave attention to the schedules and needs of the other SYNERGIES partners while developing project activities.**

<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A

**C07. We have acted quickly and decisively when partners have not been treated respectfully in their interactions with other partners.**

<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A



**C08. We considered the fairness of our requests for the other SYNERGIES partners, although this could have consequences for our deadlines.**

<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A

**C09. We encouraged our partners to comply with the “D6.1 Ethics Guidelines” during collaborative interactions with the consortium.**

<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A

**C10. We put pressure on our WP/task partners to work overtime in order to meet workload expectations and timelines outlined for a specific WP/task.**

<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A

**C11. We have always tried our best to be supportive in assisting partners with their work.**

<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A

**C12-C13 questions refer to the Diversity Awareness Strategy with the aim to understand the concepts of diversity, awareness and inclusion both in the consortium and in the research and in the dissemination of the results**

**C12. SYNERGIES is sincere about its commitment to diversity and inclusion**

<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A



C13. SYNERGIES is not considering diversity as much as can be expected based on the Diversity Awareness Strategy				
<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A

C14. I am aware of the Ethics Guidelines, and I have consulted them				
<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A

C15. I follow the Ethics Guidelines for planning meetings, deliverables and communication in the project				
<input type="checkbox"/> Rarely	<input type="checkbox"/> Occasionally	<input type="checkbox"/> Usually	<input type="checkbox"/> Always	<input type="checkbox"/> N/A

**Thank you for your answers.**

You can see here the summary of all your answers that you can download and save together with the personal and team ethics development plans.

If you want to report on or discuss specific situations you had within your team or the consortium with regards to ethical matters, please contact EAB.

**Personal and Team Ethics Development Plan (Optional):** This assessment is created to help you in identifying what are the ethical issues you have identified and you could work on in the remaining period of the project.

**Guide on how to compile your plan (Optional):** according to the answers you provided, identify the most critical results for you which you may realistically work on in the next months. Thus, fill out the table in the following way:

1. Transfer the statements you want to work on in the first column of the table
2. Report the current frequency you have declared answering the self-assessment (rarely, occasionally, usually, always, N/A)
3. In column 3, make a plan on how to reach your goal
4. Identify the timeframe to reach it
5. Follow up actions

See example below:



Personal and Team Ethics Development Plan			
Ethical behaviour I want to work on	Current frequency	Action Steps	Timeframe
I.e. A06 I strived to have an open working environment in the consortium.	Occasionally	<i>Discuss with the coordinator to have a strategy to ensure an open working environment; have regular discussions with my colleagues and partners with which I work most, on how to improve this</i>	<i>Next 6 months</i>

