RISKADAPT

Modeling of Risks and Adaptation

D1.6 – Gender and Ethics Plan

Project name

Asset Level Modelling of RISKs In the Face of Climate Induced Extreme Events and ADAPTtation (RISKADAPT)

Horizon Innovation Actions | Project No. 101093939

HORIZON-MISS-2021-CLIMA-02-03

Funded by the European Union

D1.6 – Gender Equality and Ethics Plan	
Dissemination level	Public (PU)
Type of deliverable	R – Document, report
Work package	WP1 – project coordination
Status - version, date	Final D1.6 – V1.0, 21/07/2023
Deliverable leader	Madelinde Winnubst (UU)
Contributing partners	Alexis Camarinopoulos (ERRA)
Contractual date of delivery	30/04/2023
Keywords	ethics, gender, equality, plan

Quality Control

	Reviewer Name	Organisation	Date
Peer review 1	Mata Frondistou	RISA	17/07/2023
Peer review 2	Nikoletta Maneta	SCN	20/07/2023

Version History

Version	Date	Organisation	Summary of changes
0.1	31/03/2023	UU	First draft of gender equality plan
0.2	10/04/2023	ERRA	Input from ERRA on ethics plan has been integrated.
0.2	08/07/2023	UU	First draft of ethics plan
0.3	13/07/2023	ERRA, RISA	Draft of ethics plan
0.4	14/07/2023	UU	Final Deliverable (ready for review)
0.5	21/07/2023	UU	Final Deliverable (ready for submission)
1.0	21/07/2023	ERRA	Quality Reviewed version ready for submission

Legal Disclaimer

Funded by the European Union. Views and opinions expressed are however those of the author(s) only and do not necessarily reflect those of the European Union or the European Climate, Infrastructure and Environment Executive Agency (CINEA). Neither the European Union nor the granting authority can be held responsible for them.

Table of Contents

List of Tables

List of Abbreviations and Acronyms

Abbreviation	Meaning
CA	Consortium Agreement
CC	Climate Change
DMP	Data Management Plan
Dx.x	Deliverable x.x
EC	European Commission
EU	European Union
GA	Grant Agreement
GDPR	General Data Protection Regulation
LCA	Life Cycle Assessment
LCC	Life Cycle Cost
Mx	Month x
Tx.x	Task x.x
WP	Work Package

Executive Summary

Deliverable 1.6 “Gender and Ethics Plan” is one of the eight (8) Deliverables of WP1 and is related to T1.7 “GDPR, Gender and Ethical Issues”. In this report, the following information is presented: (a) RISKADAPT’s GDPR and ethical issues management, considering legal instruments and guidelines as well; (b) RISKADAPT’s approach on gender equality concerning aims, actions and measures, resources and expertise that are dedicated for implementation and the method of evaluation for the period 2023-2026. The partners have the general responsibility for ensuring that research is carried out in accordance with these guidelines, and for ensuring that clients and other parties in the research agree to comply with its requirements.

1. Introduction

RISKADAPT will provide, in close cooperation with the end-users/other stakeholders, a novel, integrated, modular, interoperable, public and free, customizable user-friendly platform (PRISKADAPT), to support systemic, risk-informed decisions regarding adaptation to Climate Change (CC) induced compound events at the asset level, focusing on the structural system. PRISKADAPT will explicitly model dependencies between infrastructures, which, inter alia, will provide a better understanding of the nexus between climate hazards and social vulnerabilities and resilience. Moreover, this project will identify gaps in data and propose ways to overcome them and advance the state of the art of asset level modelling through advanced climate science to predict CC forcing on the structure of interest, structural analyses, customized to the specific structure of interest, that consider all major CC induced load effects in tandem with material deterioration, novel probabilistic environmental Life Cycle Assessment (LCA) and Life Cycle Cost (LCC) of structural adaptation measures and a new model to assess climate risk that will combine technical risk assessment with assessment of social risks. PRISKADAPT will provide values to a set of indicators for each asset of interest, quantifying primary parameters and impacts, in the form of a Model Information System (MIS) that will provide all required information for adaptation decisions. PRISKADAPT will be implemented in the case studies in the pilots that involve specific assets, however, it will permit customization with local values of parameters and data, so it can be applicable throughout Europe for CC adaptation decisions involving assets of similar function, exposed to multiple climate hazards.

Deliverable 1.6 “Gender and Ethics Plan” is related to T1.7 “GDPR and Ethical Issues (TL: ERRA) and Gender Issues (TL: UU)” and presents the RISKADAPT’s approach on GDPR and ethical issues management, as well as on gender equality. To support this approach, in the respect of the project, a Legal/Gender/Ethics Committee (LGEC) is formed under the leadership of ERRA that overviews all aspects of the project to confirm that they are following the respective legal/ethical/privacy laws and take gender dimensions into account. LGEC will assess the execution of the different ethical requirements within the project in accordance with applicable national and European legislation. Moreover, an external independent Ethics Advisor will be appointed because the research conducted outside the EU is in China, where the capacity to enforce the relevant ethical standards and guidelines should be monitored by an Ethics Advisor (D8.1).

1.1 Purpose of the deliverable

Deliverable 1.6 “Gender and Ethics Plan” is one of the eight (8) Deliverables of WP1 and is related to Tasks T1.7 “GDPR and Ethical Issues (TL: ERRA) and Gender Issues (TL: UU)”. This report aims to present RISKADAPT’s GDPR and ethical issues management, considering legal instruments and guidelines as well as RISKADAPT’s approach on gender equality, at the earliest stage of the project. The Gender Equality Plan of RISKADAPT is in line with EU regulations. RISKADAPT’s gender plan supports Article 141(3)26 of the EC Treaty to protect male/female members exercising the rights inherent in fatherhood/motherhood or the combination of professional and family lives and ensures that women participate equally and actively alongside men, while links are established with the EU platform of women scientists to promote gender equality in research. The work also considers the gendered innovations proposed by EC27. D1.6 also includes as Annex the templates of the consent forms and respective information sheets for all the project participatory activities. Activities raising ethical issues must also comply with the ‘ethics requirements’ set out in several project deliverables of WP1 (D1.2, D1.3, D1.7, D1.8) and WP8 (D8.1, D8.2, D8.3).

This document is to be interpreted with reference to the Grant Agreement and the Consortium Agreement (CA).

1.2 Structure of the deliverable

To meet the aim of the Deliverable, it has been structured as follows:

- Chapter 1: Describes RISKADAPT's aim as well as this document's purpose, intended audience and structure.
- Chapter 2: Presents RISKADAPT's approach on ethical issues.
- Chapter 3: Presents RISKADAPT's approach on gender equality.
- Chapter 4: Concludes the Deliverable by summarising the main outcomes and referring to future work.

Intended audience

D1.6 is a public document according to the project's Description of Action (DoA). Thus, its intended audience is not limited only to project's partners and officer but it extends outside the consortium.

2. RISKADAPT's Ethics Plan

The objective of this plan is to present to RISKADAPT Consortium partners GDPR and ethical issues and support them in working in an ethically acceptable way with respect to involving participants in any of its actions in the project. This plan is in line with WP1 and WP8 deliverables; specifies how the Consortium will conduct ethical research; work with participants, respecting the combined ethical standards of the consortium members, as well as the national regulations and; get informed about RISKADAPT's code of ethics; as well as maintain security, privacy and confidentiality norms.

2.1 RISKADAPT's approach on ethics

The EC perceives 'ethics' as including questions of legal and regulatory compliance as well as a branch of philosophy. It is part of a process of 'governance'. In this vein, ethics is a "key oversight mechanism" to ensure that EU funded research is not misused (Ellea, 2023). Ethics in RISKADAPT is mainly directed at research conducted in the framework of the project. This means that the values, principles, and standards that underpin ethical research must apply to all disciplines and professions that conduct research and to devise and apply distinctive ethical codes and/or guidelines that they perceive as specific to their own, specialized field. As various disciplines, such as social science, meteorology, earth science, climate science, and civil engineering, are conducting research and are contributing to project results the generality of ethical research is defined in more or less abstract terms. RISKADAPT's approach is to comply with the values, principles and standards for ethical research and to apply these to the research conducted in the project.

To ensure that research is conducted ethically, RISKADAPT has **established an ethics committee and appointed an external ethical advisor,** as explained below:

- The ethics committee is defined as a group of ethics experts or an individual ethics expert giving advice to a researcher, research group or project consortium partners in the context of an EC-funded project (EU, 2012). The ethics committee maintains an overview of the work throughout the project and helps to think ahead about possible problems that might arise and how they can be addressed. They will check for compliance with ethical standards within the relevant research field. They will also be responsible for reporting to the partner organizations of the Consortium and to the Commission, on a yearly basis, on ethics concerns as they arise. The ethics committee of RISKADAPT consists of representatives of various partner organizations of the Consortium and an external advisor. They will operate as independently as possible and declare if any conflicts of interest arise. In an annual meeting they review project deliverables focussing on ethical issues, and on ethical concerns that will be brought forward in the project.
- Apart from the ethics advisor role in the ethics committee the ethics advisor can help to deal with ethical issues and putting into place the procedures to handle these appropriately if ethical issues arise during the donut of the research.

In addition, a **Code of ethics** has been designed in the respect of RISKADAPT (see Appendix II) that entails a shared understanding of values that are part of researcher's work practice. The code of ethics is an agreement between the coordinating organization in the project and partner organizations concerning ethical standards, an obligation to adhere to certain standards, principles, and rules that guide the research practice, making them also explicit to outside. The code gives a relatively secure guarantee that if a representative of a partner organization decides to restrict his/her own interest and to follow common interests, others do not profit from his/her ethical conduct but also have to limit their own interest. The code of conduct of RISKADAPT helps create an environment where ethical conduct is the norm.

Further to the aforementioned, ethics is related also to issues such as obtaining consent and subjects/participants are informed of a research purpose to ensure valid participation, privacy, safety and security of subjects and participants, confidentiality, vulnerability and anonymity. **Informed consent** is of the utmost importance in projects that involve the recruitment of human participants as it guarantees that their participation is truly voluntary. As a (legal) concept, it is defined in recital 32 of the General Data Protection Regulation (Regulation (EU) 2016/679 of the European Parliament) [1] which establishes the following: *Consent should be given by a clear affirmative act establishing a freely given, specific, informed and unambiguous indication of the data subject's agreement to the processing of personal data relating to him or her, such as by a written statement, including by electronic means, or an oral statement. This could include ticking a box when visiting an internet website, choosing technical settings for information society services or another statement or conduct which clearly indicates in this context the data subject's acceptance of the proposed processing of his or her personal data. Silence, pre-ticked boxes or inactivity should not therefore constitute consent. Consent should cover all processing activities carried out for the same purpose or purposes. When the processing has multiple purposes, consent should be given for all of them. If the data subject's consent is to be given following a request by electronic means, the request must be clear, concise and not unnecessarily disruptive to the use of the service for which it is provided.*

Article 4(11) defines consent in the following manner: *any freely given, specific, informed and unambiguous indication of the data subject's wishes by which he or she, by a statement or by a clear affirmative action, signifies agreement to the processing of personal data relating to him or her.*

In line with the RISKADAPT's objectives, the relationships between everyone involved within the project's activities and the Consortium will be governed by the National and EU regulations regarding privacy and data protection. When voluntarily joining the project's activities, stakeholders will be informed of their rights to privacy and confidentiality, and of the approaches, and the related national and/or international regulations, that will be followed in order to guarantee the consortium's compliance. These approaches will be adopted for each phase within the data processing, namely collection, storage, retention, destruction and confirmation. This information will be provided within the informed consent process.

The relevance of informed consent in RISKADAPT stems from the fact that it is the basis upon which the processing of personal data is justified, as per article 6 of GDPR. During the Communities of Practice and stakeholders' meetings in WP2, the demonstrations (WP6) and tests (WP3-5), informed consent will be gathered in written form by means of the information sheet and the consent form included as Annex to this deliverable. This will be facilitated to participants by internal members of the consortium, and all their answers will be addressed by the researchers involved in the exercises.

In the respect of RISKADAPT, a template for human participants information sheet and consent has been provided in Annex I. The template is four pages long and has highlighted sections which will be completed by the researcher conducting the study. The template will be translated into the languages expected to be required for the locations in which the activities are taking place (shown in Table 1 below). The template will be translated into additional local languages as necessary to ensure that all participants can read, understand, and provide their consent to participate.

[1] 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)

Table 1. Table of official languages for informed consent templates

Country	Official Languages
Belgium	Dutch, German, French
Germany	German
Greece	Greek
Finland	Finnish
Hong Kong	Chinese, English
Italy	Italian
Netherlands	Dutch
Slovenia	Slovenian
United Kingdom	English

Personal data are any information which are related to an identified or identifiable natural person, for example: name, email, address, phone number, ID, picture, etc. As regards the **personal data management** in the RISKADAPT project, the consortium might collect common personal data related to name, surname, address, professional telephone number and email address of involved project partners and external stakeholders such as researchers and innovators. Moreover, it has to be mentioned that in compliance with EU GDPR, Article 9, no sensitive data (such as gender, health data, sexual lifestyle, ethnicity, religious beliefs or political opinion) will be generated, shared, processed or stored. Under any circumstances this will be supervised in WP1 and WP8. It is expected that contacts information with external stakeholders will be made through contact databases of the project, as well as stakeholders that register themselves on the project website for receiving only news and updates on the project. In these cases, informed consent for the usage of the contact details will be gained as follows:

- Written informed consent given to the coordinator. The coordinator will take care to explicitly mention the purpose of the project and that contact details will be used to keep stakeholders informed or to invite them to project related events or activities.
- A text included in the project website explicitly explaining about the purpose of the project and the intended usage of the data for disseminating project related news and invitations to events and activities.
- Contacts will be inserted in the communication database only after receiving informed consent as explained above.

These data will be secured adopting all state-of-the-art security mechanisms, including access control: only the researchers responsible for the activity will access these data. The partner collecting and processing the data during its own project activity will thus remain responsible for these data. Any report produced by the consortium will respect the privacy of the participants, and therefore only anonymised or aggregated data (completely disjoined from person identification and profiles) will be used. Privacy is espoused by the European Union as a human right under Article 8 of the European

Convention on Human Rights (ECHR) [2]. Data of subjects and participants are collected for achieving the project aim, solely used for the research project and must be deleted after RISKADAPT ends at 31 December 2025. In case of conflicts in the field of jurisdiction, the national jurisdiction of the lead researcher should guide. All the personal data collected in the project will be processed under the EU's Data Protection laws, where the main legislation is the 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, also known as the 'General Data Protection Regulation' (GDPR), which entered into force on 25 May 2018.

Article 5 of the GDPR defines the main principles relating to processing of personal data as follows: (a) lawfulness, fairness, and transparency; (b) purpose limitation; (c) data minimisation; (d) accuracy; (e) storage limitation; (f) integrity and confidentiality and; (g) accountability. In compliance with the above GDPR principles, personal data will be collected only for specified, explicit and legitimate purposes, i.e. research and statistical, and will not be processed further in a way incompatible with those purposes. In accordance with the 'data minimisation' principle, collected personal data will be adequate, relevant, and limited only to what is necessary in relation to the purposes for which they are processed. Moreover, personal data are processed in a lawful, fair and transparent manner in relation to the involved subjects. Data subjects will receive detailed information in an easy-to-understand way regarding their personal data that will be processed, the purposes of this processing, and the envisaged period for which they will be stored.

In accordance with Article 6 of the GDPR regarding the lawfulness of processing, data subjects will be asked to give consent to the processing of their personal data for the purposes that will be clearly explained to them.

Article 7 of the GDPR defines the conditions for consent and states that the data subject has the right to withdraw his/her consent at any time, and that this should be as easy as to give consent. Participants will be informed before giving their consent about their right to opt out at any time and information about how they can revoke their consent will also be written in the consent form.

In compliance with Article 12 of the GDPR, participants will be provided with all necessary information relating to their personal data that will be processed in a concise, transparent, intelligible, and easily accessible form, using clear and plain language. The information will be provided in writing, or by other means, including, where appropriate, by electronic means. When requested by the participant, the information may be provided orally, provided that the identity of the data subject is proven by other means.

Article 15 of the GDPR defines the right of access by the data subject. Participants will be informed about their right to access their personal data that are processed.

In compliance with Article 17 of the GDPR regarding the "right to be forgotten", participants will be informed about their right to obtain the erasure of their personal data without undue delay, and upon any participant's request, the respective content will be erased from the system within up to five working days.

Article 32 of the GDPR defines the requirements regarding security of processing of personal data, including among others pseudonymisation and encryption of personal data, confidentiality, integrity, availability, and resilience of the system.

All the above are further analysed in the D1.3 Data Management Plan (DMP) that is a document being kept updated during the whole lifetime of the project.

[2] Council of Europe (2013). European Convention on Human Rights (ECHR), European Convention on Human Rights (coe.int).

3. RISKADAPT's Gender Equality Plan

Gender equality is a fundamental value of the European Union and is one of the United Nations sustainable development goals. The Gender Equality Plan of RISKADAPT is in line with EU regulations.[3] This document includes RISKADAPT's approach on gender equality concerning aims, actions and measures, resources and expertise that are dedicated for implementation and the method of evaluation for the period 2023-2026. RISKADAPT's gender plan supports Article 141(3) of the EC Treaty to protect male/female members exercising the rights inherent in fatherhood/motherhood or the combination of professional and family lives and ensure that women participate equally and actively alongside men, while links are established with the EU platform of women scientists to promote gender equality in research. The work also considers the gendered innovations proposed by EC.[4]

RISKADAPT aims at addressing scientific and linguistic bias in text and material (that should include he/she), and gender sensitive indicators to ensure that gender balance underpins all participatory processes, particularly in WP2 / Task 2.1 and WP5.

More specifically, in the development of Communities of Practice (CoPs) and data collection methods, e.g., interviews, questionnaires, focus groups, and also training, both men and women are included. With regard to dissemination, results are addressed to all genders equally and are adjusted according to their profile and needs, while precisely annotating source data for sex and gender will be ensured. In the platform that will be developed – PRISKADAPT – a model to assess climate risk that will combine technical risk assessment with assessment of social risks providing information for adaptation decisions, customisable user interfaces differ as a function of gender, age, social and economic status. In particular, the language used is fine-tuned to the user's conversational characteristics and familiarity with ICT tools as a function of age in order to increase trust.

RISKADAPT strives to be an inclusive project, a place where partners feel welcome, safe, respected, supported and valued. The consortium recognizes that the universal right guarantees fair and equitable treatment, access, opportunity and advancement.

3.1 RISKADAPT's approach on gender equality

3.1.1 Resources

As stated, RISKADAPT focuses on gender equality in the consortium as well as in specific project activities. Both of these pillars are monitored by a gender expert and a legal, gender and ethics committee (see below). Both pillars are secured in the steering committee. The Gender Equality Plan will be communicated in the consortium and partner meetings, and implemented in the Work Packages – particularly WP2 - Task 2.1 and WP5 – for which Work Package leaders are responsible.

3.1.2 Data collection and monitoring

Gender equality will be considered in the data collection, e.g. gathering data from stakeholders in WP2 / T2.1 and in the development of PRISKADAPT in WP5. Concerning stakeholder engagement through Communities of Practice (CoPs) the aim is to strive at a balanced involvement of men and women, and include men and women needs as input for the development of PRISKADAPT. In the dissemination of the project results it is ensured that all genders are addressed equally and the information are adjusted according to their profile and needs based on source data, and partners' knowledge and experience.

As a partner in the consortium a gender expert is dedicated to gender equality. She monitors the aims, actions and implementation concerning gender equality. A legal, gender and ethics committee takes the gender dimension into account. The committee reviews the implementation of gender actions of

[3] COM (2020). A Union of Equality: Gender Equality Strategy 2020-2025. Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions.
[4] EU (2020). Horizon Europe. Guidance on Gender Equality Plans (GEPs). Directorate-General for Research and Innovation.

which the results are reported periodically. The steering committee secures the progress made with regard to the Gender Equality Plan.

3.1.3 Integrating the gender dimension in the context of the consortium

To facilitate gender equality in RISKADAPT and make all partners aware of it, it is important that all partners are informed about the Gender Equality Plan. By devoting attention to implicit bias and how to recognise this, partners become more aware of pre-assumptions as far as gender equality is concerned.

3.1.4 Gender equality in decision making

RISKADAPT places a strong emphasis on gender equality in committees, including a legal, gender and ethics committee and the steering committee. It is important to examine the decision-making process in the consortium to ensure gender balance and fairness to women's position, knowledge and experience.

3.1.5 Measures against gender-related violence, including sexual intimidation

RISKADAPT also wants to create an open and safe environment for its partners. Increasing social or personal safety and security is seen as a foundational requirement for RISKADAPT to become an inclusive project. Social safety, ranging from an ethical culture where people can hold others accountable, to transparent and accessible complaints procedures to the establishment of clear boundaries for conduct. Strengthening social safety is a constant concern and focuses on information and awareness, help and support and the system of reports and complaints. The legal, gender and ethics committee is the first point of call when it comes to complaints of undesirable behaviour. The committee will develop a procedure to address gender-related violence, including sexual intimidation. RISKADAPT is considering ways in which it can further ensure a safe project environment.

3.1.6 Evaluation

In order to evaluate the progress of this plan and its effect on gender equality within RISKADAPT and its activities, the gender equality expert reports the outcomes of the monitoring to the legal, gender and ethics committee on a yearly basis. Based on these reports, the Gender Equality Plan is evaluated every year and refined or modified where necessary.

4. Conclusions

In RISKADAPT project ethics, data and gender management are of high importance for quality assurance, therefore this document aims to describe fundamental ethical and gender issues relevant to the project and present all procedures to be considered by Consortium partners working in the project. The Consortium carries out the project actions in compliance with ethical principles and applicable international, EU and national laws, and also develops its own guidelines, procedures and measures aiming to support the protection of ethical and gender aspects of research.

References

COM (2020). *A Union of Equality: Gender Equality Strategy 2020-2025*. Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions.

Council of Europe (2013). *European Convention on Human Rights (ECHR)*, European Convention on Human Rights (coe.int).

ELLEA (2023). *The European Code of Conduct for Research Integrity*. Revised edition 2023.

European Commission (2021). *Horizon Europe Guidance on Gender Equality Plans.* Directorate-General for Research and Innovation; People Directorate – Gender sector.

European Commission (2012). *Roles and Functions of Ethics Advisors/Ethics Advisory Boards in EC funded projects.*

Iphofen, R. (ed.) (2020). *Handbook of Research Ethics and Scientific Integrity*. Springer Nature.

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)

Annex I: Participants Information Sheet and Consent Form

RISKADAPT workshop/meeting

Participants' information sheet and consent form

Project name

Asset Level Modelling of RISKs In the Face of Climate Induced Extreme Events and ADAPTtation (RISKADAPT)

Horizon Innovation Actions | Project No. 101093939

HORIZON-MISS-2021-CLIMA-02-03

Funded by the European Union

PARTICIPANTS INFORMATION SHEET

This meeting is part of the project "RISKADAPT – Asset Level Modelling of RISKs In the Face of Climate Induced Extreme Events and ADAPTation". This project has received funding from the European Union´s Horizon Research and Innovation Actions under grant agreement No 101093939. The project started on the 1st January 2023 and will last for three years. The goal of the project is to provide, in close cooperation with the end-users/other stakeholders, a novel, integrated, modular, interoperable, public and free, customizable user-friendly platform (PRISKADAPT). You can find out more about the project objectives, participants and progress at the project website here https://riskadapt.eu/

You have been invited to take part in the RISKADAPT research study. The purpose of the workshop/meeting is to receive feedback that will be used _____. Please read this document carefully before deciding whether or not you would like to participate. Please ask the contact researcher to explain any terms in this document that you do not understand and ask all questions you may have so you can be completely sure that you understand what will be involved in the study including any risks and benefits. You can withdraw from the study at any time and request that your information is deleted without providing a reason.

Participation:

*The **workshop/meeting** will be held physically and will last approximately _____ hours. Your participation is totally voluntary and might involve interviews, workshops, webinars, surveys and/or written responses to questionnaires, where you will be invited to offer your views about RISKADAPT related topics. You have the right to entirely or partially refuse to participate and your refusal will not disadvantage you in any way. You are free to withdraw your consent to your participation from any part of the present activity at any time, without consequences.*

The information on the Consent Form will be kept securely by the researcher for as long as it is necessary to fulfil the purposes for which it was collected, and in any case no more than the lifecycle of the project. After this period, the information will be permanently deleted.

In case you have any questions and concerns or if adverse effects occur after this research activity you can contact RISA Sicherheitsanalysen GmbH, Xantener Straße 11, 10707, Berlin-Wilmersdorf, +49 30 315760, s.camarinopoulos@risa.de.

Personal Data:

*During the **workshop/meeting** your name will be processed and your image and voice may be processed. The processing is based on your consent. The purposes of the processing of your personal data are i) the preparation and finalization of Deliverable x.x……. and ii) the communication of the RISKADAPT Project to the public via its official website and social media accounts.*

Your personal data will be retained for as long as it is necessary to fulfil the purposes for which it has been collected and, in any case, no longer than the lifecycle of the RISKADAPT Project. Afterwards, the information will be permanently deleted. If you agree with the use of your email address for contacting you with respect to future events, the aforementioned storage period does not apply. With respect to your personal data (image) uploaded on the website and the social media accounts, it will be retained so long as the site and the accounts exist.

You have the right to:

- *Request information about whether we hold personal information about you, and, if so, what that information is and why we are holding it.*
- *Request access to your personal information. This enables you to receive a copy of the personal information we hold about you and to check that we are lawfully processing it.*
- *Request rectification of the personal information that we hold about you. This enables you to have any incomplete or inaccurate information we hold about you corrected.*
- *Request erasure of your personal information. This enables you to ask us to delete or remove personal information where there is no good reason for us continuing to process it.*
- *Request the restriction of processing of your personal information. This enables you to ask us to suspend the processing of personal information about you.*
- *Request transfer of your personal information in an electronic and structured form to you or to another party (right to "data portability"). This enables you to take your data from us in an electronically usable format and to be able to transfer your data to another party in an electronically usable format.*
- *Lodge a complaint with a supervisory authority. The responsible supervisory authority for data protection issues is the respective National Authority of each partner country, which you can contact at the following link: ..... (please fill in for the email from https://edpb.europa.eu/about-edpb/about-edpb/members_en#member-gr).*
- *Withdraw your consent at any time. Please note that the withdrawal does not affect the processing of your data which is based on the consent you have given before the withdrawal. Once we have received notification that you have withdrawn your consent, we will no longer process your personal information for the purpose/purposes you originally agreed to.*

Contact:

For more information visit the RISKADAPT website (http://riskadapt.eu/).

If you have any questions, you can always contact the project coordinator, represented by RISA Sicherheitsanalysen GmbH: Stephanos Camarinopoulos, Xantener Straße 11, 10707, Berlin-Wilmersdorf, Phone: +49 30 315760, E-Mail: s.camarinopoulos@risa.de.

Participant Consent Form

Please place an "X in the boxes" to affirmatively consent to the following statements.

	The purpose of this activity has been explained to me in writing and I am fully informed about the way in which my personal data is going to be processed.
	My questions about the research activity have been answered to my satisfaction and I understand that I may ask further questions at any point.
	I am participating voluntarily and I understand that I can withdraw from the activities at any time without any penalty or prejudice.
	I agree to participate in the event.
	I consent to the processing of my personal data and I am fully aware of my rights.
	RISKADAPT may take research notes or audio/video recordings of my activities.
	I consent to having photos or videos taken of me for communication/dissemination purposes.
	I would like to receive updates on the progress and findings of the project.

Please confirm your agreement by signing this form

Print name (participant) …….

Signature (participant): ……

Email (participant): ……

Date: …….

Appendix II: Code of ethics

A code of ethics is a guide of principles designed to help researchers conduct research honestly and with integrity. A code of ethics document outlines what is acceptable for the project in terms of integrity and how it operates. A code of conduct is more focused in nature and instructs how researchers are supposed to work, the ethical principles based on the project's core values, and the standards to which the researcher is held. This code of ethics encompasses also a code of conduct.

Basic principles

Responsibility

Researchers must recognise their professional and scientific responsibility in relation to the persons involved, their environment and society. Researchers are responsible for their professional conduct. As far as they are able, they must ensure that their services and the results of their activities are not abused.

Integrity

Researchers must aim for integrity in the practice of their science, education and the application of their discipline. In practising their profession researchers must demonstrate honesty, equal treatment and openness towards the persons involved. They must provide clarity for all the persons involved regarding the roles that they play and must act accordingly.

Respect

Researchers must respect the fundamental rights and dignity of the persons involved. They must respect the right to privacy and confidentiality of the persons involved. They must respect and promote their self-determination and autonomy, insofar as that is in keeping with the researchers' other professional duties and with the law.

Expertise

Researchers must aim to acquire and maintain a high level of expertise in the practice of their profession. They must take into account the limits of their expertise as well as the limitations of their experience. They may only provide services for which they are qualified by their education, training and experience. The same applies to the methods and techniques that they use.

Code of conduct

The principles described above are further elaborated into more specific standards for good research practices. These set out what researchers must take into consideration in their work, individually and as a team. They are for the most part presented separately for each individual phase of the research process: design, conduct, reporting, assessment and peer review, communication, and standards that are applicable to all stages of research.

Design

1. Consider the interests of science and scholarship and/or society when determining the subject and structure of your research in the project.

2. Conduct research that is scientific, scholarly and/or societal relevance.

3. Do not make unsubstantiated claims about potential results.

4. Take into account the latest scientific and scholarly insights.

5. Make sure that your research design can answer the research question.

6. Ensure that the methods you employ are well justified.

7. If the research is funded by the EU, always specify who the funding body is.

8. Be open about the role of external stakeholders and possible conflicts of interest.

9. In research with external partners, make a clear written agreement about research integrity. For transfer of results, see 8.3 Consortium Agreement (04 – 22/03/2023).

10. As necessary, describe how the collected research data are organized and classified so that they can be verified and reused.

11. As far as possible, make research findings and research data public subsequent to completion of the research. If this is not possible, establish valid reasons.

12. If permissions are required, ensure that these are obtained and that, where necessary, an ethical review is conducted.

Conduct

13. Conduct your research accurately and with precision.

14. Employ research methods that are scientific and/or scholarly.

15. Make sure that the choice of research methods, data analysis, assessment of results and consideration of possible explanations is not determined by non-scientific or non-scholarly (e.g. commercial or political) interests, arguments or preferences.

16. Do not fabricate data or research results and do not report fabricated material as if it were fact.

17. Do justice to all research results obtained.

18. Do not remove or change results without explicit and proper justification. Do not add fabricated data during the data analysis.

19. Ensure that sources are verifiable.

20. Describe the data collected for and/or used in your research honestly, accurately and as transparently as possible.

21. Manage the collected data carefully and store both the raw and processed versions for a period appropriate for the project.

22. Contribute, where appropriate, towards making data findable, accessible, interoperable and reusable in accordance with the FAIR principles for data management and stewardship.[5]

23. Take into consideration the interests of any humans and animals involved, including test subjects, as well as any risks to the researchers and the environment, while always observing the relevant statutory regulations and codes of conduct.

24. Keep your own level of expertise up to date.

25. Take on only those tasks that fall within your area of expertise.

Reporting results

26. Do justice to everyone who contributed to the research and to obtaining and/or processing the data.

[5] FAIR Principles - GO FAIR (go-fair.org)

27. Ensure a fair allocation and ordering of authorship, in line with the standards applicable within the discipline(s) concerned.

28. All authors must have made a genuine intellectual contribution to at least one of the following elements: the design of the research, the acquisition of data, its analysis or the interpretation of findings.

29. All authors must have approved the final version of the research product.

30. All authors are fully responsible for the content of the research product, unless otherwise stated.

31. Present sources, data and arguments in a scrupulous way.

32. Be transparent about the method and working procedure followed and record them where relevant in research protocols, logs, lab journals or reports. The line of reasoning must be clear and the steps in the research process must be verifiable. This usually means that the research must be described in sufficient detail for it to be possible to replicate the data collection and its analysis.

33. Be explicit about any relevant unreported data that has been collected in accordance with the research design and could support conclusions different from those reported.

34. Be clear about results and conclusions, as well as their scope.

35. Be explicit about uncertainties and contraindications, and do not draw unsubstantiated conclusions.

36. Be explicit about serious alternative insights that could be relevant to the interpretation of the data and the research results.

37. When making use of other people's ideas, procedures, results and text, do justice to the research involved and cite the source accurately.

38. Avoid unnecessary reuse of previously published texts of which you were the author or co-author:

a. Be transparent about reuse by citing the original publication.

b. Such self-citation is not necessary for reuse on a small scale or of introductory passages and descriptions of the method applied.

39. Always provide references when reusing research material that can be used for meta-analysis or the analysis of pooled data.

40. Avoid unnecessary references and do not make the bibliography unnecessarily long.

41. Be open and complete about the role of possible conflicts of interest and relevant ancillary activities.

42. Make research findings and research data public subsequent to completion of the research.

Assessment and peer review

43. Be honest and accurate as a peer reviewer, and explain your assessment.

44. Do not use information acquired in the context of an assessment without explicit consent.

45. Refrain from making an assessment outside your area of expertise, or do so only in general terms.

46. Be generous in cooperating with internal and external reviews of your own research.

47. Do not establish a journal that does not apply the required standards of quality to its publications, and do not cooperate with any such journal.

Communication

48. Be honest in public communication and clear about the limitations of the research and your own expertise. Only communicate to the general public about the research results if there is sufficient certainty about them.

49. Be open and honest about your role in the public debate and about the nature and status of your participation in it.

50. Be open and honest about potential conflicts of interest.

Standards that are applicable to all phases of research

51. As a researcher provide for an open and inclusive culture in all phases of research.

52. As a researcher, refrain from any action which might encourage a researcher to disregard any of the standards in this code.

53. Do not delay or hinder the work of other researchers in an inappropriate manner.

54. Call attention to other researchers' non-compliance with the standards as well as inadequate institutional responses to non-compliance, if there is sufficient reason for doing so.

55. In addressing research misconduct, make no accusation that you know or should have known to be incorrect.