

# RESISTO:

## D1.3\_ETHICAL, SOCIETAL AND GENDER EQUALITY PROTOCOL - FIRST



# RESISTO

## D1.3 – ETHICAL, SOCIETAL AND GENDER EQUALITY PROTOCOL - FIRST

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## RESISTO PROJECT – PUBLISHABLE EXTENDED ABSTRACT

Communications play a fundamental role in the economic and social well-being of the citizens and on operations of most of the CIs. Thus they are a primary target for criminals having a multiplier effect on the power of attacks and providing enormous resonance and gains. Also extreme weather events and natural disasters represents a challenge due to their increase in frequency and intensity requiring smarter resilience of the Communication CIs, which are extremely vulnerable due to the ever-increasing complexity of the architecture also in light of the evolution towards 5G, the extensive use of programmable platforms and exponential growth of connected devices. The fact that most enterprises still manage physical and cyber security independently represents a further challenge. RESISTO platform is an innovative solution for Communication CIs holistic situation awareness and enhanced resilience (aligned with ECSO objectives). Based on an Integrated Risk and Resilience analysis management and improvement process availing all resilience cycle phases (prepare, prevent, detect, absorb, etc.) and technical resilience capabilities (sense, model, infer, act, adopt), RESISTO implements an innovative Decision Support System to protect communication infrastructures from combined cyber-physical threats exploiting the Software Defined Security model on a suite of state of the art cyber/physical security components (Blockchain, Machine Learning, IoT security, Airborne threat detection, holistic audio-video analytics) and services (Responsible Disclosure Framework) for detection and reaction in presence of attacks or natural disasters. Through RESISTO Communications Operators, will be able to implement a set of mitigation actions and countermeasures that significantly reduce the impact of negative events in terms of performance losses, social consequences, and cascading effects in particular by bouncing efficiently back to original and forward to operational states of operation.

## EXECUTIVE SUMMARY

To address potential ethical, data privacy and related issues at the earliest state and throughout the whole project it is necessary to provide the project participants with guidelines to ensure the same standard of knowledge for everyone. These guidelines shall ensure that matters of privacy, legality, authorization, protection, ethics and general conduct regarding personal information and research results are considered and implemented properly in the research process. They have to be followed by each partner.

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.

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## ABBREVIATIONS

(C)CI	(Communication) critical infrastructure
EU	European Union
GDPR	General Data Protection Regulation
IC(F)	Informed Consent (Form)
PC	Personal Computer
SSHERC	Social Sciences, Humanities and Ethics Review Committee
WP	Work Package



## 1. INTRODUCTION

Throughout the RESISTO project, (personal) data will be collected for various tasks:

- T2.1 and T2.2 – interviews
- T4.1 – audio-visual techniques
- T5.5 – alerts/instant messages to users
- T7.2, 8.2, 9.2 – users' involvement and training
- T7.3, 8.3, 9.3 – pilot implementation/test first run
- T7.5, 8.5, 9.5 – pilot implementation/test second run

The interviews (T2.1 and T2.2) will provide valuable information about operators' expectations and requirements for more resilient communication critical infrastructures (CCI) and thereby account for an important input to the RESISTO platform. To include acceptability issues and societal impact in these requirements, not only (cyber) security experts and operational end users will be interviewed but also citizens.

One of the innovative approaches of RESISTO is the combination of cyber and physical threats to communication CIs. To be able to detect and monitor anomalous conditions, threats and intrusions, also audio-visual techniques (T4.1) have to be applied.

During the operational validation scenarios in WP 7, 8 and 9, use cases lead by telecommunication infrastructure operators (project partners) will be planned, carried out and independently evaluated to gain information about the usability, reliability and sustainability (in terms of future technologies such as 5G) of the RESISTO platform. The involved and trained partners' personnel (technical and management) will test the handling and effectiveness of the platform and its features to ensure its practicability.

RESISTO primarily focuses on publicly available data, to respect privacy and data protection expectations.

Both information obtained in the formulation of the RESISTO platform and the potential outcomes of the project may give rise to ethical and legal implications across different jurisdictions. Therefore, because of the nature of the source material, it is crucial to consider the ethical and legal implications of the project activities. This includes matters of privacy, legality, authorization, protection, ethics and general conduct regarding personal information and research results.

All activities of the project will be carried out according to the ethical standards and guidelines of Horizon2020, which will be applied without exception, regardless of the country in which the research is carried out. Specific national ethical and data privacy requirements will be checked and followed by the partners where appropriate (i.e. stricter than EU legislation, see also D11.3(1)).

The project will work in full accordance with the General Data Protection Regulation (GDPR, EU 2016/679), the EU Directive 2002/58/EC on privacy and electronic communications (Directive concerning the processing of personal data and the protection of privacy in the electronic communications sector) and their national legal implementations.

To ensure an ethics monitoring process, the RESISTO project installed a Social Sciences, Humanities and Ethics Review Committee (SSHRC) (see chapter 2.2.).

## 2. ETHICAL AND SOCIETAL CONCERNS

### 2.1. Code of Conduct

The participants of the RESISTO project shall act in accordance to all relevant national and international laws. In addition, the partners shall ensure safety, health and privacy of the public as topmost priority. The rights of respondents as private individuals shall be respected and they shall not be harmed or adversely affected as the direct result of cooperating in the research project.

All partners shall ensure that the activities in the project are designed, carried out, reported and documented accurately, transparently and objectively. They are bound to the best possible standards in research, doctrine and other professional practice. When researchers or other experts give professional judgements, they should state their (professional) knowledge, their methods and experiences in an appropriate and clear way.

Research shall be legal, honest, truthful and objective and be carried out in accordance with appropriate scientific principles.

The partners have the responsibility for ensuring that the activities are carried out in accordance with this code, and for ensuring that third parties agree to comply with its requirements.

Subsequent correction and/or appropriate redress for a contravention of the code by the party responsible is desirable but does not excuse the contravention.

The code and the principles enshrined in it, should be adopted and implemented by all organisations, companies and individuals involved and at all stages in the project.

The RESISTO project partners are committed to:

- the use of proper scientific methodology,
- protection of confidentiality (no access other than as statistical aggregates),
- the integrity of the consortium data (ethical responsibility to resist threats to integrity such as political instructions to manipulate concepts etc.),
- the adoption of copying and prevention strategies to mitigate any potential ethical concerns,
- achieving an appropriate benefit/burden balance (the advance in the resilience of communication CIs envisaged through RESISTO will be significant; however, social, human and cultural impacts have also been considered for all project phases),
- personal data protection - the collection and processing of personal data such as identity, health information, criminal justice, financial information, genetic information and location-based information will not be of interest in the delivery of the project, and appropriate precautionary mechanisms will be followed to safeguard any instance of data processing (see also the informed consent & information sheets in chapter 2.3.1.),
- avoid scientific misconduct including (intentional or unintentional) fabrication (making up data or results), falsification (changing or misreporting research data or improper manipulation of experiments) and plagiarism (using ideas or words without accurate reference),
- the principle of voluntariness: the choice for participation shall be made of the participant's free will,
- principle of selflessness: every participant in the research shall enjoy access rights to the results of another participant in the same action if those results are needed by the former to exploit its own results,
- principle of due diligence: every participant shall take proper measures to carry out all tasks in a due manner as usual in scientific community and business life and to take every measure in their capacity to avoid causing any misconduct, damage, loss or harm,

- principle of trust: results of current research shall not be abused or transferred to criminal groups or used to support any kind of unlawful activity, its solely purpose shall be to enhance the security of the citizens,
- principle of open resource: results of current research shall be disseminated publicly in the European Union, excluding results which are not allowed for dissemination by data protection laws,
- principle of detachment: research activities, results and publication may only be based on unbiased, clear facts and logical conclusions without any form of preconceptions or any other approach that may result in discrimination,
- principle of neutrality: any form of discrimination is strongly prohibited during the whole project.

## 2.2. Social Sciences, Humanities & Ethics Review Committee

Consisting of a chair (Federico Frosali, LDO), the Ethics Manager and Gender Issues Warder (Sylvia Bach, BUW), the Technical Coordinator of the project (Alessandro Neri, RM3), a Data Controller (Marco Mancini, TIM) and two external experts (Nikolaos Uzunoglu, ICCS and tba), the SSHERC has to ensure the efficacy of the code of conduct (chapter 2.1) and support the participants to reach the highest ethical standards during the project.

It will do so by:

- Monitoring all aspects of the RESISTO project to ensure all the research activities carried out are in compliance with the four principles of European research ethics:
  - o the principle of respect for human dignity
  - o the principle of utility
  - o the principle of precaution and
  - o the principle of justice.
- Providing guidelines (such as the ethics protocol), best practices and other support (forms, case-by-case evaluations etc.) to the participants to ensure the fulfilling of the obligations set in the ethics protocol.
- Reviewing the deliverables that include potential ethical issues to ensure compliance with ethics, privacy and data protection standards ("ethical monitoring process").
- Assuring:
  - o the safety of the researchers and future users and
  - o the societal acceptance of the research and future use.
- Identifying unforeseen ethical issues and handle them according to the ethics protocol.

The Chairman summons the Committee and chairs the sessions. All activity will be embedded in project quality management. The Ethics Committee shall resolve every case with a written decision within 30 days.

## 2.3. Research with Humans

The participants' cooperation is entirely voluntary at all stages and must be based on adequate, and not misleading, information about the general purpose and nature of the project when their agreement to participate is being obtained and all such statements shall be honoured.

For all activities in the project, it is planned to use mentally competent adults, which means that they will be in a position to understand their role in the project.

For D11.1, each partner of the RESISTO project needs to submit a copy of opinion/approval by their ethics committee (or another designated competent authority) for the research with humans. A guideline with helpful questions is provided by the Ethical Manager to all partners, available in the document manager of the EMDESK platform.

<https://emdesk.eu/cms/?dest=0b461427c98c9ead7f859f700e7b9fc2>

### Rights of the participant

Appropriate measures (see subchapters 2.3.1. to 2.3.3.) shall be taken to ensure that participants understand and can exercise their rights:

- not to participate in the research project,
- to withdraw from the research project at any time,
- to require that their personal data is not made available to others, and
- to delete or to rectify incorrect personal data.

All aspects of the methods used (including informed consent forms etc.) are developed in order to ensure that the participants have knowledge about:

- that the participation is voluntary,
- that they can ask questions and receive understandable answers before making a decision,
- the degree of risk and burden involved in participation,
- who will benefit from the participation,
- assurances that appropriate insurance cover is in place,
- that they can withdraw themselves and their data from the project at any time and
- any potential commercial exploitation of the research

### 2.3.1. Informed Consent & Information Sheet

Informed consent is mandatory. Participants in interviews or other activities have to be asked to sign an 'informed consent form'. This form describes what the collected information will be used for and how the participant can review this information – and, if necessary, ask for correction or deletion.

Participants have to be informed in detail and correctly about the objectives and methods of the research and that they participate on a voluntary basis. It is the participants' right to change their mind and to withdraw themselves and their data from the research, also after giving informed consent, at any time of the research process.

Measures to protect the privacy of participants in terms of data collection will be described to participants by means of the informed consent form (ICF) and by an accompanying project information sheet that explains the objectives of the project, and the motivation for the interaction. Therefore, different templates for ICFs will be available, depending on the use in the project (see chapter 1, expert interviews, interviews with citizens and participants of the use cases). All templates for the informed consent & information sheets are part of D11.1 and will be available for all project partners in the document manager of the EMDESK platform. Before any interaction can commence,

the participants will need to have given their confirmation of their understanding of these measures and consent for use of data stemming from the interaction by signing the ICF.

For some specific research activities, it may be required that research participants do not receive detailed information about the aim and the set-up of the specific research activity, because that would distort the results. The fact that some information is withheld from the participants requires explicit approval from the SSHERC. In the IC procedure, participants are explicitly informed about the possibility that some information may be withheld for the sake of the activity. Information about potential safety, health, or privacy issues will not be withheld.

In case of an interview with multiple participants (e.g. a workshop or a discussion forum), all participants are required to sign an Informed Consent Form.

Each participant should be given a copy of his or her signed ICF.

Each consortium partner conducting an interview is responsible for securing the signed ICF and for storing it in a secure location for possible future verification and use.

<https://emdesk.eu/cms/?dest=0b461427c98c9ead7f859f700e7b9fc2>

### *2.3.2. Informed Consent for members of the project consortium*

During the project, most interviews and other human involving activities will be conducted with staff of the project partner organisations. For this participation, no personal data of the participants is necessary, such as name, age, gender etc. Only the professional position inside the company/organisation will be of interest. And solely questions concerning that position and the company's activities related to the RESISTO project will be asked.

For those research activities, no informed consent is necessary.

However, if personal data becomes of interest or any potential risks (employment-wise or concerning the health of the participant) might occur, the informed consent will immediately become mandatory.

In case of uncertainty, the SSHERC will decide on the question if an ICF is necessary or not.

### *2.3.3. Informed Consent for the Use of Pre-existing Data*

During the course of the research, it is possible that the RESISTO team will gain access to data that was collected before the start of the project, by an organisation who is not a member of the consortium. In this event, the RESISTO partner who receives this data must ensure that there is no information contained in the data that could be used to identify individual citizens. Further, the RESISTO partner must be mindful of the risks of linking this data, or conclusions resulting from this data with data or conclusions from other data sources.

In a similar way as when interacting with human participants, informed consent must be obtained when acquiring pre-existing data from external sources.

This procedure is not necessary when data has been explicitly released to the public domain, or released under clearly stated conditions that include the intended usage within the RESISTO project.

## **2.4. Privacy**

The identity of participants has to be protected and will not be revealed to the user of the information without explicit consent.

Participants shall be informed before observation techniques or recording equipment are used for research purposes, except where these are openly used in a public place and no personal data are collected. If respondents do wish so, the record or relevant section(s) of it shall be destroyed or deleted. In the absence of explicit consent, respondents' personal identity shall be protected.



## 2.5. Data protection

To comply with the relatively new General Data Protection Regulation (GDPR) of the EU and its member countries, this chapter will focus on the specific aspects concerning data protection that might occur during the project.

### 2.5.1. Use of Data

Personal data collected and held in accordance with these guidelines shall be:

- collected for specified research purposes and not used in any manner incompatible with these purposes,
- adequate, relevant and not excessive in relation to the purpose of the research for which they are collected and/or further processed and
- preserved no longer than is required for the purpose for which the information was collected or further processed.

Researchers shall ensure that the participants' personal identity is withheld. The researcher shall not communicate the participants' identifiable personal information to third parties, unless the following conditions take effect:

- the respondent has explicitly expressed this wish and/or
- the respondent has given their explicit consent and
- on the understanding that no commercial activity will be directed at them as a direct result of their having provided information.

As a deliverable, a data protection impact assessment has to be carried out for the collecting and processing of personal data within the RESISTO project. This will be available from month 12 of the project (D11.3).

### 2.5.2. Misuse and Security of Data

All activities in the RESISTO project will be carried out in compliance to the rules of the General Data Protection Regulation (GDPR) of the EU. In particular, this means:

- It is essential to prevent unauthorised access and also to control issues such as ability to edit material by common access control mechanisms.
- Researchers shall never allow that the collected personal data in a research project can be used for any other purpose.
- Protection of confidentiality has to be guaranteed: no access other than as statistical aggregates. If there is a need for exceptions, these will not take place without the explicit consent of the participant.
- Researchers shall ensure that adequate security measures are employed in order to prevent unauthorised access, manipulation or disclosure of the personal data (see above: common access control mechanisms are mandatory).
- Particular care shall be taken to maintain the data protection rights of individuals when personal data is transferred from the country in which they are collected to another country. The transfer to a country outside the European Union requires consultation with the SSHERC.
- When data processing is conducted in another country, all reasonable steps shall be taken to ensure that adequate security measures are observed and that the data protection principles of this protocol are respected.
- Researchers shall inform participants prior to commencing their work, if any part of the work is to be subcontracted outside the researchers' own organisation (including the use of any outside consultants). On request, participants shall be told the identity of any such subcontractor.

- A differentiation between unprocessed, processed and public data shall be established. Unprocessed data is data that is captured by individual consortium partners, and that might contain personal information. Processed data is data that is shared among the consortium, and that does not contain any personal information. Public data is data based upon processed (consortium-shared) data, but presented to the public at an aggregated level.

No automatic data collection or data collection without project-related intent can be used as a strategy to ensure security of data processing. Data collection activities in the project should be limited on the research scope/objectives, not done in an automatic fashion, and only done with a justifiable project-related cause. Automated data collection and/or processing may be used for scientific reasons with clear project-related intent; the respective partner has to inform their data protection officer, who has to ensure the compliance with the GDPR (in means of anonymization, storage security, prevention of misuse etc.). The SSHERC has to be informed about that by receiving and if necessary evaluating the 1st survey from the ethical monitoring process. In case of uncertainties, the committee will consult with the partner and provide help.

As a deliverable (D11.3(4)), a data protection impact assessment has to be carried out by month 12 of the project. The issues potentially arising from that assessment will be addressed also in the subsequent deliverable of this protocol (D1.4).

D11.4 defines the strategy of the project consortium to prevent any misuse of the collected data for maleficent purposes.

## 2.6. Professional Responsibility

Researchers shall take all reasonable precautions to ensure that respondents are in no way harmed or adversely affected as a direct result of their participation in the research project (interview, experiment, observation, data analysis etc.) especially in the scenarios/case studies.

Participants have to be informed about all risks which exceed the ordinary risks in daily life. The anonymity of the participants has to be maintained.

Persons that are physically or mentally not able to give consent to their participation in the research project have to be excluded of the recruiting process.

### 2.6.1. Transparency

Researchers shall:

- promptly identify themselves and unambiguously state the purpose of the research,
- let the participants check the identity and bona fides of the researcher without difficulty,
- on request allow the participant to arrange for checks on the quality of data collection and processing,
- provide their clients with appropriate technical details of any research project carried out for the clients,
- ensure that research activities are designed, carried out, reported and documented accurately, transparently and objectively.

### 2.6.2. Honesty

Research shall:

- not abuse the trust of participants or exploit their lack of experience or knowledge and
- not make false statements about their skills, experience or activities, or about those of their organisation.

### *2.6.3. Consideration of Gender Aspects*

The RESISTO project will not create any particular gender or equal opportunity issues. Principle equal rights will be respected in, during, and following the project for all legal entities and physical persons irrespective of sex, age, race, gender, handicap and nationality. The procedures ensuring that are described in chapter 3.

## **2.7. Publishing Findings**

Where any of the findings of the research project are published, the SSHERC shall be asked to consult the researcher in form and content of ethical concerns of the findings.

The project partners have a responsibility to ensure that published results are not misleading and that no important research results are left out. Details about theories, methods and the research concept which are required to interpret the research results and their limitations in a reasonable way, have to be provided to the best of the researchers' knowledge.

When reporting on the results of the research project, researchers shall make a clear distinction between the findings, the researchers' interpretation of these findings, and any recommendations based on them.

Researchers shall always be prepared to make available the technical information necessary to assess the validity of any published findings.



### 3. GENDER EQUALITY

To assure the in subchapter 2.6.3. mentioned equality of opportunities for all aspects of and throughout the whole project, the partners will be asked to complete a short survey, the gender equality survey, once during the project. The results of this survey will be merged in D1.5 'Ethical, Societal and Gender Equality Protocol – final'. The answers to this survey will give information about the diversification of the researchers and all professionals participating in the RESISTO project as well as the overall gender equality applied within the partner organisations.

The survey will be provided by BUW and made available for all consortium members in the document manager of the EMDESK platform (in the WP1 folder) by month 6 of the project and will be attached to D1.4 as an annex. The survey has to be completed by each project partner by month 33.

## 4. EFFECTIVE CONTROLLING

Previous to the Grant Agreement, BUW consulted with all partners to determine where precisely the project may involve ethical considerations (e.g., relating to any primary research and participants' or stakeholders' data collection). Based upon the consultations as well as the pre-grant requirements of the EC and European laws and standards, this internal protocol for ethical, societal and gender equality issues has been compiled for the consortium to follow.

Throughout the duration of the project, the Ethics Manager (see also chapter 2.2) organizes the internal monitoring of the implementation of the 'ethical, societal and gender equality protocol' by the consortium (i.a. by providing, collecting and evaluating the surveys on ethics and data protection that have to be completed by every task leader prior to start working on the task, see annexes 1 and 2). The evaluation of this monitoring will be reported in the deliverables D1.3, D1.4 and D1.5.

BUW leverages the partners' existing expertise in ethical research methods by undertaking internal ethical monitoring activities. This exercise began with the compilation of this protocol for the project, which focuses on the ethical and data protection related procedures for the consortium to follow with regards to ensuring that adequate ethical standards are met and that data protection measures are taken and will include informed consent and information sheet documents. All partners will be requested to review this document and sign a letter of intent for following the protocol throughout the project. This letters of content will be part of this deliverable. Throughout the duration of the project, BUW will monitor and evaluate the implementation of the ethical protocol by all partners. If necessary, this document will be revisited and revised if any additional ethical issues arise. All issues pertaining to ethics approval by the SSHERC will be forwarded to RESISTO's Steering Committee for notification and approval. The evaluation of the monitoring exercise and ethical practices of the project will be reported in the deliverables D1.4 and D1.5.

All respective deliverables and reports (responsible is the Ethics Manager) will consist of the assessment of the proper implementation of ethical standards and guidelines of Horizon2020 and provide sufficient information on ethical or other issues arising from the ethical screening.

If any ethical issues or challenges arise, please contact on a primary basis the Ethics Manager of the project, Sylvia Bach:

### Ethics Manager (BUW):

Dr.-Ing. Sylvia Bach

- Mail: sbach@uni-wuppertal.de
- Phone: +49 202 439 5603

## ANNEX 1: 1<sup>ST</sup> SURVEY FOR THE ETHICAL MONITORING PROCESS

### 1<sup>st</sup> survey: Possible ethical issues in the task\*

<i>Contact person (complete contact details including email address)</i>	
<i>Task ID:</i>	<i>Expected Date of delivery:</i>
<i>Brief description of the task (250 words max.):</i>	
<i>Does the task include any activities that pose potential privacy, safety, health and environmental risks, or other negative impacts identified under the Ethics Protocol (e.g. interviews, exercises, trainings, audio or video surveillance, alarms...)?</i>	
<i>In case of data collection and/or processing, please describe briefly what data will be collected and why!</i>	
<i>What measures are taken to reduce risks and negative impacts mentioned above (informed consent, data storage methods etc.)?</i>	
<i>Will the task comply with the Ethics Protocol of the RESISTO project (Annex 1 of D1.3)? If not, please explain why.</i>	

\*to be answered before each task by the task leader

## ANNEX 2: 2<sup>ND</sup> SURVEY FOR THE ETHICAL MONITORING PROCESS

### 2nd survey: Report on ethical issues and countermeasures in the task\*

<i>Contact person (complete contact details including email address):</i>	
<i>Task ID:</i>	<i>Expected Date of delivery:</i>
<i>Did any ethical or personal data related issues other than mentioned in the 1<sup>st</sup> survey appear? If so please describe here.</i>	
<i>Have there been recommendations provided by the SSHERC after the 1<sup>st</sup> survey? Please describe and explain briefly the recommendations and their usefulness.</i>	
<i>How successful were the measures taken to reduce risks and negative impacts mentioned in the 1<sup>st</sup> survey?</i>	

\*to be answered by the task leader at the end of the task, *before* the submission of the deliverable