RESILIAGE
Revolutionising community resilience

D8.3

Ethical guidance of RESILIAGE

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N/A

Table of Abbreviations and Acronyms

Abbreviation	Meaning
GDPR	General Data Protection Regulation
PSP	Participant Safety Protocol
RRI	Responsible Research and Innovation

1. Introduction

1.1. Task description

This deliverable prescribes the relevant ethical guidance to partners to ensure all aspects of project implementation adhere to the Fundamental Rights Principles, European Code of Conduct for Research Integrity, and RRI principles throughout the project runtime. It will function as an umbrella to all the research activities of the project, it will take into consideration human participation (selection and informed consent procedures), personal data management (collection, storage, processing, retention and destruction of data), incidental findings policy, and the mitigation strategy for the potential misuse of the research outputs. On its basis, all project activities with respect to their ethical compliance throughout the whole runtime will be monitored. Outcomes of the ongoing ethical monitoring on how the project has been conducted and which risks occurred and how they were mitigated will be further documented in the periodic project reporting.

1.2. Aim of the deliverable

This deliverable ***prescribes*** the ethical standards and norms ***guiding*** the implementation of all RESILIAGE activities implementing the project to be ***observed*** and upheld by all consortium partners. Going beyond that, D8.3 elaborates on the provisions of the proposal, detailing the standards, norms, procedures, practices and providing the ***corresponding supporting documents*** to be used by the consortium partners in implementing RESILIAGE.

It is part of the overall RESILIAGE approach to ethics, which encompasses the continuous ethical ***monitoring*** of the implementation of RESILIAGE activities (T8.3), as well as the assessment of all RESILIAGE outcomes and results.

RESILIAGE's ethical approach has been integrated in the overall project design from the conception of the proposal. All project activities and tasks have been screened on the basis of the European Commission's Guidance "How to complete your ethical self-assessment"[1] and the emerging ethical issues addressed in Part A and the prescribed requirements have then been acknowledged, with regard to:

1. Human participation
2. Personal data processing
3. Non-EU Countries
4. Incidental findings
5. Misuse of research results
6. Gender Mainstreaming

[1] https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/how-to-complete-your-ethics-self-assessment_en.pdf

1.3. The GELSA framework

1.3.1. Gender Aspects

- Recognizing Gender Disparities: Crises and disasters (and the societal reactions to them) are a gendered phenomenon, where men and women exhibit gender specific vulernabilities and needs. Researchers must acknowledge these disparities. This gender-sensitive approach helps in developing targeted interventions.
- Intersectionality: Recognizing that vulnerability to crises and disasters (and the societal reactions to them) intersects with other factors such as race, class, sexual orientation, and disability is vital. This intersectional lens helps researchers understand how different aspects of identity can compound the experience of crises and disasters and shape responses to it.
- Gender Mainstreaming: In addition, the project partners commit to the principles of Gender Mainstreaming, within the project team's composition as well as its implications for the project's implementation and outcomes.
- Gender Monitoring: Detailed procedures on monitoring the gender apsects of the RESILIAGE project's implementation are described in D8.1.

1.3.2. Ethical Aspects

- Informed Consent: The RESILIAGE consortium bases the involvement of any human participants and vulnerable groups in particular on their explicit informed consent in any research or project activities, taking into account safety concerns that may exist. Confidentiality and anonymity are ensured for participants, and their selection procedures are not at risk of unwarranted exclusion or bias.
- Minimizing Harm: Specifically empirical field work and other forms of direct involvement of vulnerable groups bear risks both for participants and researchers alike. Keeping the research limited to the aspects necessary, providing for guidance and safety for all parties in-volved, and putting in place mitigating and recovery measures for participants and researchers have been key measures employed.
- Avoiding Re-Victimization & Discrimination: Researchers should take measures to avoid re-victimization of survivors during interviews or data collection. Sensitivity training and trauma-informed approaches are essential in this regard. Any other form of discrimination has to be avoided at all stages, from selection of participants to their inclusion in research activities.

1.3.3. Legal Aspects

- Compliance with professional legal framework: Researchers must adhere to local, national, European and international laws and regulations regarding the conduct of research, and the processing of (sensitive) personal data.
- Human Rights-Based Approach: The human rights-based approach (HRBA) is a conceptual framework for the applied to any policy or practice that is normatively based on international human rights standards and operationally directed to protecting human rights. It seeks to analyse deficits, gaps, and inequalities at the heart of the intended intervention and omit discriminatory practices which threaten to leave individuals or groups of people to be excluded.

- Ethical Monitoring and Review: The whole ethical guidance of RESILIAGE has been established by the consortium with the aim to comply with European requirements, as well as institutional requirements of individual partners. The consortium commits to monitoring its implementation, documenting and reporting any (unforeseen) issues and demonstrating its mitigation measures. These monitoring and reporting activities are part of the periodic reporting to the European Commission.

1.3.4. Societal Aspects

- Involvement of Communities[2]: The project includes a variety of different actors and stakeholder groups, and among them community-based organizations, who also represent advocacy for specific groups as well as vulnerable individuals. Through a wider stakeholder engagement, the involvement of other stakeholder groups is envisaged to ensure the relevancy of the project's activities.
- (Unintended) Impact on Society: While it is the expressed goal of RESILIAGE to disseminate is research and tools to a wide audience, beyond implementing the research tasks, special care needs to be taken to consider also unintended effects of the research and development activities on societal groups, and especially vulnerable individuals and groups.

1.4. Requirements of the Ethics Summary Report

None.

1.5. Structure of the task & Next steps

1. Setting ethics' standards for the project,
2. Coordinating with organizational requirements of partners,
3. Providing guidance to partners for the implementation of RESILIAGE,
4. Performing ongoing advice and monitoring,
5. Performing ongoing risk identification and mitigation,
6. Adapting guidance to new, emerging needs of the project implementation,
7. Reporting ethical implementation, deviation and mitigation to the EC.

[2] RESILIAGE acknowleged different approaches to conceptualizing "communities", such as communities of place, communities of interactions, communities of practices and interest. From the start of the project, RESILIAGE does not employ one prescriptive definition guiding the empirical investigation, but use the distinction between the theoretical conceptionalisations as analytical resource when investigating the CORE field sites.

2. Human Participants

2.1. Non-biased selection procedure

RESILIAGE will ensure a transparent and methodologically sound sampling strategy of interview participants, avoiding a discriminatory or biased approach to personally sensitive aspects, such as religion, political believes, gender, or ethnicity. Participants will be informed about the goal and implications of the research conducted including the use of their data.

Recruitment decisions will be made by the research organisation locally in consultation with other team members and gatekeeper organisations. The participants will be purposefully selected according to set criteria established prior to any data collection. RESILIAGE will make sure that a wide variety of participants is selected specifically for the workshops, or any individual or group activity foreseen in the project.

Recruits will be identified and selected according to scientific criteria on the basis of task-specific requirements. The criteria for target group identification can either be defined at the beginning of a task or can emerge in the course of the task after completing certain steps (e.g., identification of the field). In the respective method section of the task deliverables, the selection of the test subjects is specifically justified and explained.

2.2. Informed consent procedure

Participation in the research activities will be voluntary. In order to gather data and better understand stakeholders' needs, the participation of practitioners will be needed. Participants will be healthy, adult volunteers who are in the position to understand and consent to our proposed research. (Specific additional measures are foreseen for the inclusion of vulnerable groups, see next chapter.)

RESILIAGE will procure informed consent from all volunteers participating in our study prior to the commencement of any data collection and participants will be informed that they can withdraw from the study at any time, without the need for explanation. No confidential personal information will be retained. RESILIAGE will demonstrate participants have understood these implications including their voluntary participations as well as anonymised processing of their data and any kind of use of this data. This will be outlined in a comprehensive informed consent procedure upheld by all research partners.

Participants will have the right

- To know that participation is voluntary;
- To ask questions and receive understandable answers before making a decision;
- To know the degree of risk and burden involved in participation;
- To know who will benefit from participation;
- To know how their data will be collected, protected during the project and either destroyed or reused at the end of the research;
- To withdraw themselves and data from the project at any time;
- To know of any potential commercial exploitation of the research.
- Copies of participant information sheets, the signed consent forms and confirmation of ethical approval from each institution is available to the commission (see attachments) and stored (for auditing purposes) by each partner (if applicable).

- Written informed consent will be sought from all study participants. Participants are all mentally competent adults (i.e., aged 18+ years), able to give legal consent themselves.
- Prospective participants will be provided with information about the study before any consent to participation is sought. They will be adequately informed about:
- The aim of the study and methods to be used;
- Institutional affiliations of the research and source of the funding;
- How participants will be selected and recruited, including inclusion and exclusion criteria;
- The setting in which they are asked to participate (survey, group discussion) and the duration and types of questions asked;
- Anticipated benefits;
- Potential risks and follow-up of the study; the description must demonstrate appropriate efforts to ensure fully informed understanding of the implications of participation;
- Discomfort it may entail;
- The right to abstain from participating in the study, or to withdraw from it at any time, without reprisal;
- Measures to ensure confidentiality of information provided, privacy and anonymity;
- Full contact details of the Data Protection Officer of the Coordinator in case questions may rise after the interview. All detailed documentations on Data Management can be found in D8.2.

Standard consent forms have been developed for each type of participant and research technique.

2.3. Involvement of vulnerable groups

2.3.1. Principles for involving vulnerable groups

Conducting ethical social scientific research requires researchers to protect participants' welfare and safety and to ensure they are treated fairly and with respect throughout all stages of research. The ethical requirements for research carried out in the EU are outlined and enshrined in several legal instruments. Of particular importance are the Charter of Fundamental Rights of the European Union, the European Convention on Human Rights (ECHR) and the UN Declaration of Human Rights. In principle these instruments oblige researcher to respect the dignity and integrity of participants, ensure honesty and transparency towards research subjects, respect participants individual autonomy and obtain free and informed consent as well as to minimise harm and maximise benefit. Furthermore, researchers must always guarantee the privacy and confidentiality of the data collected.

To ensure compliance with these general provisions and rights within the context of social scientific research project two central principles can be identified, namely the principle of informed consent and the principle of non-harming (Hopf 2015). Informed consent is a fundamental prerequisite for conducting any research, as voluntary participation is only guaranteed if potential participants are fully informed about the background, objectives, methods and possible use and dissemination of the research and its results. Ensuring voluntary participation by means of informed consent also guarantees the personal rights of the participants contained in the above-mentioned provisions. The principle of non-harm requires that people involved in the research are informed about possible dangers and risks

that could affect them (e.g., the possibility of re-traumatisation). In the context of social science research this principle typically refers to the potential consequences of participation, such as the risks of identification, rather than to the dangers associated with the data conduction itself. Beyond these basic requirements, special provisions apply in the case of so-called vulnerable groups and sensitive data. These are discussed in the following section.

2.3.2. Research obligations when researching potentially vulnerable groups

In general persons can be considered vulnerable in the context of research either because they have (i) difficulty providing voluntary, informed consent arising from limitations in their decision-making capacity, (ii) due to their situational circumstances, or because (iii) they are especially at risk of exploitation. Consequently, a distinction can be drawn between categorical and contextual vulnerability (Gordon 2020). Typically, children or people with cognitive impairments that make informed consent difficult are seen as categorically vulnerable. For other groups, such as people who are or have been affected by crises and disasters or are at particular risk, vulnerability often depends on the contextual circumstances. Thus, the experience of crises and disasters per se does not always have to be the reason to assume or ascribe vulnerability. Likewise, the associated consequences of experienced crises and disasters such as traumatic experiences, displacement, exclusion from one's social network, the separation from the children or precarious economic circumstances can constitute grounds for vulnerability. In addition, vulnerability may stem from reasons unrelated to the experience of crises and disasters, such as belonging to marginalised groups, or mental health challenges. Depending on the specific research project, researchers must therefore take appropriate precautions, such as the availability of multilingual or plain-language information sheets and consent forms.

Finally, for social science research on crises and disasters the question arises to what extent researchers may perpetuate a stigmatizing narrative by the fact that they a priori assume particular groups to be particularly vulnerable. Such attributions can also negatively influence the recruitment process or data collection, because perceived sensitive topics are omitted or only touched upon briefly. In this regard, social scientists should be aware that people and groups affected by crises and disasters often have a high degree of resilience and courage. Thus, while it is certainly appropriate to reflect on the possible vulnerability of those affected - especially to be aware of the possibility of re-traumatisation through the interview - at the same time, the blanket attribution of vulnerability can have a stigmatising effect. For determining participants' vulnerability researchers should therefore also ask themselves whether their research makes subjects more vulnerable than they might ordinarily be in their daily lives (van den Hoonaard 2018).

2.3.3. General considerations and mitigation measures

As discussed in the introductory section, vulnerability can result from both categorical and contextual factors. Corresponding challenges must already be taken into account during the research design.

Equally relevant is whether persons with limited cognitive abilities are included in the study. In this case, special precautions must be taken regarding the training for interviewers, the design and length of the interviews and the design and language used in questionnaires and information materials. When conducting the interviews, it is advisable to ensure that participants have the opportunity to be accompanied by their care-givers or other trusted person.

The gender-specific character of the phenomenon must be acknowledged in the research design, the recruitment of participants and - particularly in qualitative research – in the collection of data. In terms of the recruitment process, gender-neutral and inclusive language that also appeal to trans, or non-binary people is recommended. For the data conduction attention and careful consideration must be given to the question how gender relations in the interview setting may impact the data collection and safety and well-being of participants. In this respect, participants' preferences should be paramount, hence the research team should include both male and female researchers and the information sheet should include the option for participants to choose an interviewer according to their gender preferences. Another important aspect is that gender relations are culturally mediated, thus when including people from ethno-cultural backgrounds other than the autochthonous culture in the research, cultural differences in gender-relations need to be considered, e.g., whether it is acceptable for women to be alone in a room with a male stranger.

In addition to questions of participant selection and interview set up, the content and objectives of the research must also be considered to minimise possible risk through appropriate measures. For example, if participating in research has the potential to retraumatise people, because the experience of crises and its impacts is a central topic, it is paramount to take all necessary steps to minimise this risk. In addition to sufficient training, appropriate safety protocols are important to ensure the safety and well-being of the participants, but also to minimise the risk to the researchers. Hence, RESILIAGE acknowledges and ensures that the research team includes investigators with the appropriate research experience and expertise and to develop/include guidelines the following guidelines in the research design.

2.3.4. Additional ethical requirements for research including vulnerable groups

RESILIAGE will contain a participants safety protocol (PSP), see Annex 9.3.1.

2.4. List tasks involving Human Participants

Table 1. RESILIAGE tasks with human participants & associated ethics requirements

Task #	Task description	Type of involvement	Target group participants	Number of participants	Specifics of participation	Ethics requirements	RESILIAGE measures
T2.2	Investigation of the 5 CORE labs: FRs needs, FRs MAC in C&D, gap analysis of policies and practices, FRs and citizens psycho-physiological reactions to C&D	Qualitative and quantitative empirical research methods (interviews, focus groups)	Governmental representatives, first responders, citizens (incl. vulnerable groups)	Approx. 15 participants in each CORE (in Belgium, Greece, Norway, Portugal, Turkey), organised in 2 rounds of focus groups	Adult; Healthy; Volunteers; Potential vulnerable groups; National language; Based on Art 1 (a) GDPR “consent”	Non-biased selection strategy; Informed Consent Procedures (Project information, Informed consent sheet, incl. Rights of participant); Safety protocols for vulnerable groups; Data management strategy	Corresponding documents for each requirement in Annex.
T2.3	Investigation of impact of communication materials on risk perception and behaviour	Experiment measuring psycho-physiological reactions	Citizens (incl. vulnerable groups)	Approx. 15 participants in each CORE (in Belgium, Greece, Norway, Portugal, Turkey)	Adult; Healthy; Volunteers; Potential vulnerable groups; National language; Based on Art 1 (a) GDPR “consent”	Non-biased selection strategy; Informed Consent Procedures (Project information, Informed consent sheet, incl. Rights of participant); Safety protocols for vulnerable groups; Data management strategy	Corresponding documents for each requirement in Annex.
T2.3	Investigation of post-disaster period & resilience	Survey	Local authorities, first responders, local volunteers, citizens, including vulnerable groups.	Approx. 50 participants in each CORE (in Belgium, Greece, Norway, Portugal, Turkey)	Adult; Volunteers; Potential vulnerable groups (elderly person, economically/socially deprived personse, people with diabilities, refugees, people with chronic illness, irregular migrants); National	Non-biased selection strategy; Informed Consent Procedures (Project information, Informed consent sheet, incl. Rights of participant); Safety	Corresponding documents for each requirement in Annex.

					language; Based on Art 1 (a) GDPR “consent”	protocols for vulnerable groups; Data management strategy	
T2.4	Investigation of perception and preparation for risk	Longitudinal survey (via Smartphone App)	First responders, citizens (incl. vulnerable groups)	Approx. 50 participants in each CORE (in Belgium, Greece, Norway, Portugal, Turkey)	Adult; Healthy; Volunteers; Potential vulnerable groups; National language; Based on Art 1 (a) GDPR “consent”	Non-biased selection strategy; Informed Consent Procedures (Project information, Informed consent sheet, incl. Rights of participant); Safety protocols for vulnerable groups; Data management strategy	Corresponding documents for each requirement in Annex.
T2.4	Investigation of cognitive, behavioural, and social reactions to stress and danger	Psycho-physiological measurements through Imminent threat simulations (via VR devices)	First responders, citizens (incl. vulnerable groups)	Approx. 30 participants in 2 CORE (in Belgium and Norway)	Adult; Healthy; Volunteers; Potential vulnerable groups; National language; Based on Art 1 (a) GDPR “consent”	Non-biased selection strategy; Informed Consent Procedures (Project information, Informed consent sheet, incl. Rights of participant); Safety protocols for vulnerable groups; Data management strategy	Corresponding documents for each requirement in Annex.
T2.6	Co-mapping of multilayered communities-environments interactions	Workshop	Governmental representatives, first responders, citizens	Approx. 15 participants in each CORE (in Belgium, Greece, Norway, Portugal, Turkey)	Adult; Healthy; Volunteers; National language; Based on Art 1 (a) GDPR “consent”	Non-biased selection strategy; Informed Consent Procedures (Project information, Informed consent sheet, incl. Rights of participant); Safety protocols for vulnerable groups; Data management strategy	Corresponding documents for each requirement in Annex.

T3.1	Identifying users' needs and feelings for user experience in the Resource Ecosystem architecture and tools integration	Qualitative research methods (workshops and interviews)	Governmental representatives, first responders, citizens	Approx. 15 participants in each CORE (in Belgium, Greece, Norway, Portugal, Turkey)	Adult; Healthy; Volunteers; Potential vulnerable groups; National language; Based on Art 1 (a) GDPR "consent"	Non-biased selection strategy; Informed Consent Procedures (Project information, Informed consent sheet, incl. Rights of participant); Safety protocols for vulnerable groups; Data management strategy	Corresponding documents for each requirement in Annex.
T3.2	Analytical Monitoring RESILIAGE Toolkit as a toolkit of tools for assessment and monitoring enhancement via technological systems.	Qualitative research methods (workshops and interviews)	Governmental representatives, first responders, citizens	Approx. 15 participants in each CORE (in Belgium, Greece, Norway, Portugal, Turkey)	Adult; Healthy; Volunteers; Potential vulnerable groups; National language; Based on Art 1 (a) GDPR "consent"	Non-biased selection strategy; Informed Consent Procedures (Project information, Informed consent sheet, incl. Rights of participant); Safety protocols for vulnerable groups; Data management strategy	Corresponding documents for each requirement in Annex.
T3.3	This Task will design and build tools for systemic knowledge learning and exchange and fostering decision makers to take action for community resilience building processes.		CORE lab members, interested local communities, Governmental representatives, first responders, citizens	Open access web tools, no limits of participants	Adult; Healthy; Volunteers; Potential vulnerable groups; Based on Art 1 (a) GDPR "consent"	Non-biased selection strategy; Informed Consent Procedures (Project information, Informed consent sheet, incl. Rights of participant); Data management strategy	
T4.1	Identification of stakeholders' needs	Qualitative and quantitative empirical research methods	Governmental representatives, first responders, citizens	Approx. 15 participants in each CORE (in Belgium, Greece, Norway,	Adult; Healthy; Volunteers; Potential vulnerable groups; National language; Based on Art 1 (a) GDPR "consent"	Non-biased selection strategy; Informed Consent Procedures (Project information,	Corresponding documents for each

		(interviews, focus groups surveys)		Portugal, Turkey) for the qualitative methodols and approx 50. Participants in each CORE for the quantitative survey.		Informed consent sheet, incl. Rights of participant); Safety protocols for vulnerable groups; Data management strategy	requirement in Annex.
T4.2	Engaging citizens in community resilience commitment: perceiving and curating sustainable CH Workshop	Workshop	Governmental representatives, first responders, citizens	Approx. 15 participants in each CORE (in Belgium, Greece, Norway, Portugal, Turkey)	Adult; Healthy; Volunteers; Potential vulnerable groups; National language; Based on Art 1 (a) GDPR “consent”	Non-biased selection strategy; Informed Consent Procedures (Project information, Informed consent sheet, incl. Rights of participant); Safety protocols for vulnerable groups; Data management strategy	Corresponding documents for each requirement in Annex.
T5.2.	Initial validation of RESILIAGE digital tools and soft solutions	Qualitative research methods (workshops and interviews)	CORE lab members and other relevant stakeholders	Approximately 15 participants in each CORE (in Belgium, Greece, Norway, Portugal, Turkey)	Adult; Healthy; Volunteers; Potential vulnerable groups; National language; Based on Art 1 (a) GDPR “consent”	Non-biased selection strategy; Informed Consent Procedures (Project information, Informed consent sheet, incl. Rights of participant); Safety protocols for vulnerable groups; Data management strategy	Corresponding documents for each requirement in Annex.
T5.3.	Final validation of the RESILIAGE digital tools and soft solutions	Qualitative and quantitative research methods (workshops and interviews), experiments	CORE lab members, other relevant stakeholders and citizens	Approximately 15 participants in each CORE (in Belgium, Greece, Norway, Portugal, Turkey)	Adult; Healthy; Volunteers; Potential vulnerable groups; National language; Based on Art 1 (a) GDPR “consent”	Non-biased selection strategy; Informed Consent Procedures (Project information, Informed consent sheet, incl. Rights of participant); Safety protocols for vulnerable groups;	Corresponding documents for each requirement in Annex.

						Data management strategy
T7.1	Dissemination and communication activities	Content received via website forms, via email, via social media accounts or collected in events	All	All participants belonging to the project's network and partners' networks	Based on Art 1 (a) GDPR "consent"	T7.1 does not anticipate significant ethical concerns

3. Personal data processing

3.1. Definitions

The RESILIAGE project acknowledges that data protection[3] is a fundamental right, implemented within the Treaties of the European Union: The Treaty on the Functioning of the European Union (TFEU) and the Charter of Fundamental Rights. The European law setting out the new protection of individuals' rights and increasing data controller obligations in the digital era is the General Data Protection Regulation (GDPR). This is the main law that will apply to the project's research and development activities. The project involves the collection and processing of personal data; to correctly implement this within RESILIAGE the following definitions will be included within the project's taxonomy as defined in GDPR:

- Personal data: "[...] any information relating to an identified or identifiable natural person ('data subject'); and identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to physical, physiological, genetic, mental, economic, cultural or social identity of that natural person."
- Data Processing: "[...] any operation or set of operations which is performed on personal data or on sets of personal data, whether or not by automated means, such as collection, recording, organisation, structuring, storage, adaptation or alteration, retrieval, consultation, use, disclosure by transmission, dissemination or otherwise making available, alignment or combination, restriction, erasure or destruction."
- Data Controller: "[...] the natural or legal person, public authority, agency or other body which, alone or jointly with others, determines the purposes and means of the processing of personal data; [...]."
- Data Processor: "[...] a natural or legal person, public authority, agency or other body which processes personal data on behalf of the controller; […]."

3.2. Principles

The GDPR establishes a risk-based approach to data processing and requires data controllers to bear full responsibility for the safety and security of personal data and the protection of individuals' rights in relation to the processing of their personal data. The RESILIAGE project will fully endorse and adopt this approach, mirroring it in the research processes and practices throughout and beyond the project. In particular, RESILIAGE will strictly adhere to the GDPR Framework, which highlights the key principles for collecting and processing data:

- Lawfulness: RESILIAGE will only process data for a specific purpose and remain transparent with the users;
- Purpose limitations: RESILIAGE will collect and process data for specified and legitimate purposes, following explicit consent from the users;
- Data minimisation: RESILIAGE will limit the amount of data collected and retained where necessary;
- Data accuracy: RESILIAGE will ensure the data stored is accurate, up to date and secured safely;

[3] For a detailed description of the data sources and data handling procedures of RESILIAGE, please consult the Data Management Plan (D8.2).

- Storage limitations: The data will be kept for as short-term as possible, and where applicable pseudonyms will be used to protect user identities;
- Integrity: The data processors of the research will protect user data against unlawful processing or loss, using encryption and privacy by design methods.

3.3. Legal basis

3.3.1. Art (1) a GDPR “consent”

See tasks in list.

3.3.2. Art (1) f GDPR “legitimate interest”

(where consent is not possible – i.e., social media investigations, …)

See tasks in list.

3.4. Data protection management strategy

3.4.1. Access rights & anonymization procedures

1. Pre-emptive measure of limiting personal data to be collected (Principle of data minimisation and purpose limitation)
2. Clear guidance to partners upon which data to collect, and how to store, analyse, share, and delete:
    a. Personal data that needs to be kept beyond the project runtime for auditing purposes (Informed Consent Forms) will not be stored in cloud services, and in locked file cabinets, however they do not allow a reference to the protocols/transcripts of the sessions.
    b. Personal data that needs to be temporarily kept (Contact list, Recordings) will be kept governed by a strict access control policy limited to task contributors. However, recordings will never be stored on the cloud services, and will be deleted upon the establishment of protocols or transcripts.
3. Anonymisation of direct and strong indirect identifiers: Transcripts and protocols which will form the basis for analysis and writing reports, are established after removing any direct and strong indirect identifiers from transcription therein be anonymised. The sufficient anonymisation will be checked by the national research partner doing the transcription from the recordings and task leader before including them in the further analysis.

3.4.2. Technical and organisational measures

1. Collection policy via data minimisation and limitation of purpose: A strict policy of only relevant and only necessary data is applied as pre-emptive measure.
2. Clear adherence to the “Data Life Cycle” depending on Data type and respective Task, be it on intra-organisational partner level, or inter-organisational consortium level. Personal data will never be shared with third parties or parties outside the RESILIAGE consortium.
3. Anonymisation policy as described in Chapters 3.4.1 and 3.6.

4. Storage policy: per data type offline storage in locked file cabinets, digital storage in password protected files, or cloud storage in a GDPR conform cloud service governed by strict access control.
5. Sharing policy: strict access control policy technologically assisted by folder subscriptions and password protected folders/files governed by the coordinator; no sharing of personal data via email.
6. Deletion policy: clear guidance by data type as to the time to keep (retention) and deletion of files (digital and physical).
7. Ongoing monitoring by the coordinator and RESILIAGE DPO.
8. Regular reports to the Steering Board and the EC in foreseen mid-term and final reports.

3.5. List tasks involving Processing of Personal Data

Table 2. RESILIAGE tasks with personal data processing & associated ethics requirements

Task #	Task description	Type of personal data	Legal basis	Amount of data	Specifics of personal data	Ethics requirements	RESILIAGE measures
T2.2	Investigation of the 5 CORE labs: FRs needs, FRs MAC in C&D, gap analysis of policies and practices, FRs and citizens	Contact data; Informed consent forms; Audio recordings; Protocols/ Transcripts	Based on Art 1 (a) "explicit consent"	2 x 5 x 2h recordings of group discussions, 3 x 5 x 1h recordings of personal interviews	Not sensitive; Not large scale; Based on Art 1 (a) "explicit consent"	Informed Consent Procedures (Project information, Informed consent sheet, incl. Rights of participant); Data management strategy	Corresponding documents for each requirement in Annex.
T2.2	Social media analysis of past crisis	Account name; Posting; Metadata	Based on Art 1 (f) "legitimate interest"	Localised social media over the durance of a crisis case	Not large scale; Based on Art 1 (f) "legitimate interest"	Data management strategy	
T2.3. (survey)	Investigation of post-disaster period & resilience	Informed consent forms; Socio-demographic data	Based on Art 1 (a) "explicit consent"	5 x 50 complete questionnaires	Not sensitive; Not large scale; Based on Art 1 (a) "explicit consent"	Informed Consent Procedures (Project information, Informed consent sheet, incl. Rights of participant); Data management strategy	Corresponding documents for each requirement in Annex.
T2.3. (experiment)	Investigation of pre-disaster period & resilience	Informed consent forms; Socio-demographic data	Based on Art 1 (a) "explicit consent"	5 x 15 complete questionnaires and sets of physiological and eye-tracking measurements	Not sensitive; Not large scale; Based on Art 1 (a) "explicit consent"	Informed Consent Procedures (Project information, Informed consent sheet, incl. Rights of participant); Data management strategy	Corresponding documents for each requirement in Annex.

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T2.4 (survey)	Investigation of perception and preparation for risk	Informed consent forms; Socio-demographic data	Based on Art 1 (a) “explicit consent”	5 x 50 complete questionnaires	Not sensitive; Not large scale; Based on Art 1 (a) “explicit consent”	Informed Consent Procedures (Project information, Informed consent sheet, incl. Rights of participant); Data management strategy	Corresponding documents for each requirement in Annex.
T2.4 (experiment)	Investigation of cognitive, behavioural, and social reactions to stress and danger	Informed consent forms; Socio-demographic data	Based on Art 1 (a) “explicit consent”	2 x 30 complete questionnaires and sets of physiological measurements	Not sensitive; Not large scale; Based on Art 1 (a) “explicit consent”	Informed Consent Procedures (Project information, Informed consent sheet, incl. Rights of participant); Data management strategy	Corresponding documents for each requirement in Annex.
T3.1	Identifying users’ needs and feelings for user experience in the Resource Ecosystem architecture and tools integration	Informed consent forms; Socio-demographic data	Based on Art 1 (a) “explicit consent”		Not sensitive; Not large scale; Based on Art 1 (a) “explicit consent”	Informed Consent Procedures (Project information, Informed consent sheet, incl. Rights of participant); Data management strategy	
T3.2	Analytical Monitoring RESILIAGE Toolkit as a toolkit of tools for assessment and monitoring enhancement via technological systems.	Informed consent forms; Socio-demographic data	Based on Art 1 (a) “explicit consent”		Not sensitive; Not large scale; Based on Art 1 (a) “explicit consent”	Informed Consent Procedures (Project information, Informed consent sheet, incl. Rights of participant); Data management strategy	
T3.3	Supporting Systemic Community Resilience Set	Posting; Metadata; Profile information (name, short profile/short bio, affiliation, social media channels, and email)	Based on Art 1 (a) “explicit consent”;		Not sensitive; Based on Art 1 (a) “explicit consent”	Informed Consent Procedures (Project information, Informed consent sheet, incl. Rights of participant); Data management strategy	

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T4.1.	Identification of stakeholders' needs	Contact data; Informed consent forms; Audio recordings; Protocols/ Transcripts	Based on Art 1 (a) "explicit consent"		Not sensitive; Not large scale; Based on Art 1 (a) "explicit consent"	Informed Consent Procedures (Project information, Informed consent sheet, incl. Rights of participant); Data management strategy
T4.2	Engaging citizens in community resilience commitment: perceiving and curating sustainable CH Workshop	Informed consent forms; Socio-demographic data	Based on Art 1 (a) "explicit consent"	Georeferenced information accompanied by photographic documentation of the outcomes of workshops	Not sensitive; Not large scale; Based on Art 1 (a) "explicit consent"	Informed Consent Procedures (Project information, Informed consent sheet, incl. Rights of participant); Data management strategy
T5.2.	Initial validation of soft solutions and digital tools	Contact data; Informed consent forms; Audio recordings; Protocols/ Transcripts	Based on Art 1 (a) "explicit consent"		Not sensitive; Not large scale; Based on Art 1 (a) "explicit consent"	Informed Consent Procedures (Project information, Informed consent sheet, incl. Rights of participant); Data management strategy
T5.3.	Final validations of the soft solutions and digital tools	Contact data; Informed consent forms; Audio recordings; Protocols/ Transcripts	Based on Art 1 (a) "explicit consent"		Not sensitive; Not large scale; Based on Art 1 (a) "explicit consent"	Informed Consent Procedures (Project information, Informed consent sheet, incl. Rights of participant); Data management strategy
T7.1	Dissemination and communication activities – website contact form	Contact information (name and email) and messages received through the website's contact form,	Based on Art 1 (a) "explicit consent"		Not sensitive; Based on Art 1 (a) "explicit consent"	T7.1 does not anticipate significant ethical concerns

		necessary for replying to these			
T7.1	Dissemination and communication activities – newsletter subscription form	Contact information (name and email) from subscribers to the project mailing list/newsletter, necessary for distributing the newsletters to the subscribers	Based on Art 1 (a) “explicit consent”	Not sensitive; Based on Art 1 (a) “explicit consent”	T7.1 does not anticipate significant ethical concerns
T7.1	Dissemination and communication activities – partners’ information	Profile information (name, short profile/short bio, affiliation, social media channels, and email) from partners and other stakeholders involved in project activities for promotional purposes	Based on Art 1 (f) “legitimate interest”	Not sensitive; Based on Art 1 (f) “legitimate interest”	T7.1 does not anticipate significant ethical concerns

3.6. Data management strategy throughout the data life cycle

Table 3. RESILIAGE (personal) data management by types throughout the data life cycle

Data type	Associated task(s)	Collection	Storage	Analysis	Sharing	Deletion
Contact data	WP2, 3, 4, 5, 6	Contact data of research participants will be collected guided by a strategy ensuring a non-discriminatory sampling. They feature the name, organisation (if applicable), and contact details of the research participant.	Contact data will be stored in password protected files by the partner organisation conducting the research.	Contact data will not be used for further analysis and omitted from datasets for analysis.	Contact data will not be shared within the consortium or with external partners/third parties.	Contact data will be deleted after the research activities have been finalised.
Informed consent forms	WP2, WP4	Informed consent forms will be collected by partner organisations conducting the research. They feature the name, organisation, contact details, and signature of the research participant.	Informed consent forms will be stored as non-digital hard copy in a locked file cabinet by the partner organisation conducting the research.	Informed consent forms will not be used for further analysis and omitted from datasets for analysis.	Informed consent forms will not be shared with external partners/third parties. Informed consent forms may be available to the coordinator upon prior inquiry and sent in a secure way.	All consent forms will be located with each partner and stored in a secure locked file cabinet; all hard copies will be destroyed five years after project completion.
Audio recordings	T2.2, T4.1	Research partners who conduct the field study collect audio recordings of the interviews/focus groups.	The audio files will remain at the partner organisation conducting the research. The audio files will be password protected. The recording devices will be stored in a locked file cabinet.	Audio recordings will be transcribed as protocols, any identifiable information (direct or strong indirect identifiers) will be omitted form transcripts. Analysis will be done by partner organisations	Audio recordings will remain solely at the national research partner organisation and not shared with the consortium or third parties.	Audio recordings will be deleted after they have been transcribed into protocols.

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				conducting the research without involvement of third parties.		
Transcripts/ Protocols	T2.2, T4.1	Transcripts/Protocols of interviews/focus groups will be created on the basis of audio recordings. Any identifiable information (direct or strong indirect personal identifiers) contained within the interviews will be omitted from transcripts, including personal/contact data.	Transcriptions/Protocols will be stored as document files digitally at the partner organisation. While they do no longer include personally identifiable data (and only anonymised data), partner organisations will store them in password protected files.	Transcriptions will be analysed by partner organisations who collected the data, or consortium members with expertise in qualitative research methods.	Findings omitting identifiable information and translated excerpts/protocols will be shared within the consortium. Appropriate security measures (file encryption) will be taken. They won't be stored in unprotected cloud services, shared with third parties, or made publicly available.	Transcriptions/Protocols will be stored in digital files by the partner organisations, who collected them, for five years after the project concludes and all copies destroyed by consortium members afterwards.
Survey data	T2.3; T4.1	Survey data will be collected through an online platform as well as in person. The survey will not contain direct identifiable information.	Survey data gathered online will be stored digitally as documents files at the partner organisations, protected by password. Other forms of physically acquinted survey data will be stored in each CORE labs in a locked file cabinet.	Survey data will be aggregated and analysed by partner organisations with expertise in quantitative research and data analysis methods.	Findings omitting identifiable information will be shared within the consortium. Appropriate security measures (file encryption) will be taken. They won't be stored in unprotected cloud services, shared with third parties, or made publicly available.	Survey data and results of the analysis will be stored in digital files by the partner organisations, who collected them, for five years after the project concludes and all copies destroyed by consortium members afterwards.
Physiological measurements	T2.3; T2.4	Non-invasive physiological stress measurements using electrodes placed on the participant with his/her consent.	Data will be stored digitally as documents files at the partner organisations, protected by password.	Survey data will be aggregated and analysed by partner organisations with expertise in quantitative research and data analysis methods.	Data will not be shared with external partners/third parties. They may be available to the coordinator upon prior inquiry and sent in a secure way.	Data will be stored in digital files by the task leader, for five years after the project concludes and all copies destroyed by consortium members afterwards.
Oculometric measurements	T2.3	Non-invasive measurements using eye-	Data will be stored digitally as documents files at the	Survey data will be aggregated and	Data will not be shared with external	Data will be stored in digital files by the task leader, for

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		tracking glasses worn by the participant with his/her consent.	partner organisations, protected by password.	analysed by partner organisations with expertise in quantitative research and data analysis methods.	partners/third parties. They may be available to the coordinator upon prior inquiry and sent in a secure way.	five years after the project concludes and all copies destroyed by consortium members afterwards.
Displacement measurements in Virtual Reality	T2.4	Non-invasive measurements using VR device to record speed of movement and the virtual path taken by the participant.	Data will be stored digitally as documents files at the partner organisations, protected by password.	Survey data will be aggregated and analysed by partner organisations with expertise in quantitative research and data analysis methods.	Data will not be shared with external partners/third parties. They may be available to the coordinator upon prior inquiry and sent in a secure way.	Data will be stored in digital files by the task leader, for five years after the project concludes and all copies destroyed by consortium members afterwards.
Profile information of partners	T7.1	Partners provide the required information	The data from partners and other stakeholder information is stored on the project's repository in Google Drive	Data will not be used for further analysis and omitted from datasets for analysis	Data from profiles and contact information from partners and stakeholders will be partially accessible (upon consent) inside the consortium	N/A
Contact information from subscribers	T7.1	From subscribers to the project mailing list/newsletter	Data from subscribers will be stored in Zoho Campaigns, which fully complies with GDPR	Data will be used to share newsletters with subscribers	Data from subscribers to the mailing list will not be openly accessible and only LOBA has access. Software to access the data is Zoho Campaigns	N/A
Contact information from the website contact form	T7.1	From messages received through the website's contact form	The data from content on the website, this includes messages received through the contact form, is stored on LOBA's servers.	Data will be used to answer the messages sent by users	Contact information and messages received via the contact form will not be openly accessible. Only LOBA will have access to it and other partners, if applicable due to the nature of the message. Software to access the data is the website back office (WordPress).	N/A

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3.7. DPIA opinion

3.7.1. Requirements

According to Art 35 GDPR the requirements for a DPIA are the following:

"1. Where a type of processing in particular using new technologies, and taking into account the nature, scope, context and purposes of the processing, is likely to result in a high risk to the rights and freedoms of natural persons, the controller shall, prior to the processing, carry out an assessment of the impact of the envisaged processing operations on the protection of personal data. A single assessment may address a set of similar processing operations that present similar high risks."

RESILIAGE response: Not applicable to RESILIAGE's foreseen action. Personal data processing will be done in applying traditional qualitative and quantitative empirical research methods, such as interviews, workshops, focus groups, forms and questionnaires, based on the consent of the participants. Social media will be analysed to study the dynamics of crisis communication online, however direct and strongly indirect personal identifiers will be removed from analysis. This analysis will be performed on the basis of Art 1 (f) GDPR "legitimate interest", however it will be not large scale in its nature.

"2. The controller shall seek the advice of the data protection officer, where designated, when carrying out a data protection impact assessment."

RESILIAGE response: RESILIAGE will submit its Description of Action as well as its Data Processing Procedures to all DPOs of RESILIAGE consortium members, Ethical Committees – and taken into account all suggestions and implemented changes where requested. On the basis of the evaluation of the EC in their Ethics Summary Report, no advice for conducting a DPIA was given.

"3. A data protection impact assessment referred to in paragraph 1 shall in particular be required in the case of:

a. a systematic and extensive evaluation of personal aspects relating to natural persons which is based on automated processing, including profiling, and on which decisions are based that produce legal effects concerning the natural person or similarly significantly affect the natural person;

b. processing on a large scale of special categories of data referred to in Article 9(1), or of personal data relating to criminal convictions and offences referred to in Article 10; or

c. a systematic monitoring of a publicly accessible area on a large scale."

RESILIAGE response: None of the examples mentioned in 3 (a) to (c) apply to RESILIAGE. RESILIAGE will not engage in automated processing, including profiling, producing legal effects; or large-scale processing of special categories of data; or personal data relating to criminal convictions; or systematic monitoring of publicly accessible area on a large scale.

"7. The assessment shall contain at least:

a. a systematic description of the envisaged processing operations and the purposes of the processing, including, where applicable, the legitimate interest pursued by the controller;

b. an assessment of the necessity and proportionality of the processing operations in relation to the purposes;

c. an assessment of the risks to the rights and freedoms of data subjects referred to in paragraph 1; and

d. the measures envisaged to address the risks, including safeguards, security measures and mechanisms to ensure the protection of personal data and to demonstrate compliance with this Regulation taking into account the rights and legitimate interests of data subjects and other persons concerned."

RESILIAGE response: While RESILIAGE has, in our judgement, not met the conditions mentioned in Art 35 (1) or (3), RESILIAGE has fulfilled Art 35 (7) (a) (b) (c) (d) in this document.

"11. Where necessary, the controller shall carry out a review to assess if processing is performed in accordance with the data protection impact assessment at least when there is a change of the risk represented by processing operations."

RESILIAGE response: While RESILIAGE has, in our judgement, not met the conditions mentioned in Art 35 (1) or (3), RESILIAGE has fulfilled Art 35 (11) herewith.

3.7.2. Opinion

Following the detailed argument above, an additional Data Protection Impact Assessment, in a more formalized structure than has been de-facto achieved (see response to Art 35 (7) above), is not required.

3.7.3. Supporting Opinions

While the Ethics Summary Report of the EC has not suggested or re required the RESILIAGE consortium to employ a Data Protection Impact Assessment, any further guidance or requirement by organizational DPOs and Ethical Committee of any consortium partner will be considered and responded to by the consortium. If in the implementation of RESILIAGE (specifically WP3) any action changes the responses to the questions above a DPIA will be reevaluated.

4. Non-EU countries

4.1. Provisions in the GA and CA

RESILIAGE consortium includes two Turkish and two Norwegian partners: KARBEL, DEM, TRK, SIN. Turkey/Norway despite being a non-EU country has no restrictions for their participation in Horizon Europe. Turkish entities have been granted by the EC a special status, allowing that their participation under the same conditions as the 27 EU Member States[1]. Therefore, KARBEL, DEM and TRK, SIN are signatories of both legal documents: the GA and CA, without any specific considerations to be taken due to being partners coming from a non-EU country. Also, as mentioned in section 4 of the GA: ‘‘All relevant procedures will be followed to ensure that ethical issues are compliant with EC requirements and the specific ones of Turkey. The partners ensure that the research conducted outside the EU is legal in at least one EU Member State’’.

4.2. Export Control

A section of the Consortium Agreement (CA) covers the potential NEC restrictions that could affect not only the two Turkish partners and the two Norwegian partners, but also the EU partners. Section 5.4 of the CA states that:

‘‘No Party shall be considered to be in breach of this CA if it is prevented from fulfilling its obligations under the CA by Force Majeure.

Each Party will notify the General Assembly of any Force Majeure without undue delay. If the consequences of Force Majeure for the Project are not overcome within 6 weeks after such notice, the transfer of tasks - if any - shall be decided by the General Assembly.”

The Parties shall adhere to all applicable export control laws and regulations, including Regulation (EU) 2021/821 of 20 May 2021 setting up a Union regime for the control of exports, brokering, technical assistance, transit and transfer of dual-use items, and inform each other if goods, software or technology are affected by export control laws and regulations. The export of goods, software or technology to third parties outside the European Union may be subject to an export license provided by the relevant authority’’.

As mentioned in the Section 5.5. of the CA, the key regulation to be considered is the Regulation 2021/821 listed the dual-use items for which an authorisation for export is needed[1]27. Dual-use items must be considered in broader sense, including goods, software and technology that can be used for both civilian and military applications, but also sensitive intangible assets such as know-how. At the moment no partner has identified any kind of authorisation needed for their work to be developed in RESILIAGE.

4.3. Exchange of material

No exchange of material is at this moment (month M6 of the project/February 2024) to be performed inside RESILIAGE project. If an unexpected exchange of materials arises then as a previous security measure a material transfer agreement must be signed between the EU and non-EU partners involved, keeping in mind also the cautions previously mentioned included as section 5.5 of the CA. Also, if the exchange involves intangible information that could be considered personal data, then it will be assessed by the partners involved if this could be considered an international transfer of personal data as regulated by the GDPR. As mentioned in the last paragraph of Section 4.4. of

the CA: ‘‘In case that an international data transfer will be required between an EU party of the consortium and a non-EU party it will be applicable the standard contractual clauses approved by the European Commission foreseen in Chapter V of the GDPR’’.

4.4. References for Non-EU countries

[1] Regulation (EU) 2021/821 of the European Parliament and of the Council of 20 May 2021 setting up a Union regime for the control of exports, brokering, technical assistance, transit and transfer of dual-use items. Available at: https://eur-lex.europa.eu/eli/reg/2021/821/oj

[1] Turkey joins the Horizon Europe, Erasmus+ and Solidarity Corps programmes. Available at: https://research-and-innovation.ec.europa.eu/news/all-research-and-innovation-news/turkey-joins-horizon-europe-erasmus-and-solidarity-corps-programmes-2021-10-27_en

[2] Five Western Balkan partners join Horizon Europe research and innovation programme. Available at: https://research-and-innovation.ec.europa.eu/news/all-research-and-innovation-news/five-western-balkan-partners-join-horizon-europe-research-and-innovation-programme-2021-12-06_en

5. Incidental findings and procedures

Addressing the possibility of discovering incidental findings and describe in advance the procedure that shall be followed in such case acting both proactively (for instance acquiring consent forms by the participants), as well as following such findings (confidentiality, communication to research participants etc.) is an ethical requirement in all research that involves human participants.

If this is the case, namely a human subject research, the procedures that will be implemented in the event of unexpected incidental findings should be clearly stated (namely whether the participants have the right to know or not to know about such findings or statements of participants can trigger actions with consequences to them). Researchers have an obligation to address the possibility of discovering incidental findings and describing in advance the procedure that shall be followed in such case.

If one considers the ethical implications such findings may raise for researches and at the same time what implications their disclosure to participants may present, it becomes apparent that incidental findings present a range of ethical, legal, and practical challenges, for both their recipients, as well as the researchers who encounter them.

The notion of incidental findings originated in medical and genetic research. An anticipatable incidental finding is one that is known to be associated with a test or procedure. Anticipatable incidental findings need not be common or even likely to occur—their defining characteristic is that the possibility of finding them is known. Not anticipatable incidental findings include findings that could not have been anticipated given the current state of scientific knowledge. Researchers cannot plan for these types of findings specifically. However, they can consider in advance what they might do if a particular kind of unexpected finding arises, for example, one that could be actionable or lifesaving.

As far as researchers are concerned the main ethical concern that needs to be addressed is: are researchers ethically obligated to share such information with study participants and, if yes, are they qualified to do so? This obligation derives from the broader researcher duty of beneficence to secure participants' well-being by maximizing benefits and minimizing harms. In other words, researchers have an ethical duty to plan for incidental findings to the best possible extent.[4]

RESILIAGE's general policy and related procedure to minimise the effects and overcome the issue are that any researcher who is involved in activities involving human participation and data processing discovers incidental findings (of unspecified nature) shall inform the WP leader, and the Coordinator of RESILIAGE (COO). This shall remove the burden of an individual researcher to decide the course of action. This group will report to the Steering Committee to decide upon the evidence of the incidental finding, carry out, if necessary, a risk assessment procedure, consult with external / or national advisors, if necessary, to establish the necessary legal framework or other relevant context facts, while protecting the privacy of the research participant. And shall then decide whether to inform the research participant; not inform the research participant;

4 https://ec.europa.eu/research/participants/documents/downloadPublic?documentIds=080166e5c7c9a499&appId=PPGMS; https://ec.europa.eu/research/science-society/document_library/pdf_06/textbook-on-ethics-report_en.pdf; https://www.ncbi.nlm.nih.gov/pmc/articles/PMC2581517/

involve any other authority relevant to the incidental finding. Meeting minutes and decisions should be documented in writing and kept confidential by the COO.

6. Misuse of research results

The RESILIAGE consortium partners share an awareness of the specific risks of misuse related to research findings and have experience in the application of successful counter measures. The COO will implement a special internal review process screening deliverables and materials to be made publicly available with regard to their potential misuse (D8.1). Adequate wording and explanatory notes will be added in all those cases where a risk of strategic misuse is identified. It is worth mentioning, that RESILIAGE's project includes an Advisory Board (AB). The AB consists of independent experts who will provide advice to the RESILIAGE project also concerning security issues. They will assess the sensitivity and potential of misuse of deliverables prior to publication. The AB will ensure the compliance of all security rules and re-assess the sensitivity of each deliverable as well as the level of dissemination of each prior to publication.

The consortium has already been sensitised to the issues of misuse of data/findings/dissemination by previous research in sensitive areas. In addition, many partners have carried out work in the area of documenting, analysing and preventing racism, xenophobia, hate crime, misogyny and homophobia. The T8.3 task leader together will heed and report to the COO who also heed guidance provided by the AB but is the responsible actor for reviewing the deliverables regarding their potential sensitive nature, misuse, and determining whether adjustments are required.

7. Gender mainstreaming

Within the RESILIAGE project, we rely on the concept of gender mainstreaming to adequately include and make note of issues surrounding gender and discrimination. Stemming from a mainly politics and public administration point, gender mainstreaming means, in simple terms, that gender is included as a central aspect in the 'mainstream' of politics (Stiegler, 2010).

This means regarding gender issues as an all-encompassing element; it is defined as “the process of assessing the implications for women and men of any planned action, including legislation, policies or programmes, in all areas and at all levels. It is a strategy for making women’s as well as men’s concerns and experiences an integral dimension of the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and societal spheres so that women and men benefit equally and inequality is not perpetuated. The ultimate goal is to achieve gender equality” (Office of the Special Adviser on Gender Issues Department of Economic and Social Affairs (UN), 2002).

Within research projects and practice, gender mainstreaming aims to guarantee that gender concerns are considered both in the general research agenda and in the development of specific initiatives and work assignments (UN, 2002). RESILIAGE has taken gender issues into account at the planning stage (defining research area, methodology, researcher selection), and continues to address these issues throughout the project. The detailed protocol and procedures on managing and monitoring Gender Aspects of the implementing the RESILIAGE project are detailed in D8.1

Researcher selection is not only important regarding gender of the researcher, but also their expertise in understanding gender dimensions of the research carried out.

The continuous consideration of gender aspects within the project is done through the identification of gender-specific findings and recommendations on addressing any issues found to be relevant in the research field. Gender is one of the pillars of our overall ethical assessment: GELSA: Gender, Ethical, Legal, and Societal Aspects forming the central heuristic for the analysis conducted in T8.3.

The project includes perspectives on gender equality in its advice on policies, strategies and legal norms. RESILIAGE continues to disseminate these findings, including those on gender aspects within the research field, with a broad audience (CORE labs).

Gender distribution is also considered in the make up of our CORE labs, and relevant stakeholders regarding gendered experiences of crises and disasters will be included and given adequate consideration in talks, focus group debates, and workshops. Gender-related results will be communicated in RESILIAGE’s deliverables, but also our social media platforms (LinkedIn, Facebook). The use of gender-inclusive language within project communication (internal as well as external) is a matter of course (UNIDO, p.33). Of course, RESILIAGE will further monitor gender-sensitive issues in our research progress as well as provide a concluding evaluation of methodologies, strategies, impacts and outputs of the project at the finalisation of the project.

8. Risk assessment

Risk #	Description	likelihood	Impact	Mitigation
R1	RESILIAGE Data Processing Regulations not GDPR conform or too lenient	low	Any project internal policy regarding Data Processing in conflict with national or EU law would create a risk as to the use of data and subsequent results to the project's successful implementation.	The RESILIAGE Data Processing Regulations have been described at proposal stage, have been submitted to the EC, and all consortium partners DPOs and – where existing – ethical committees to seek opinion; all requests for clarification or change have been observed – and will be in case further observations are made at any stage of the project.
R2	RESILIAGE Data Processing Regulations not observed/monitored/enforced	Low-med	Research subjects or Data subjects would lose trust in the project and further participation or withdraw their contributions when RESILIAGE partners do not observe Data Processing Regulations. In case of Data breaches based on non-observance of Data Processing Regulations RESILIAGE partners are subject to liability, beyond reputational loss.	RESILIAGE first aimed to ensure a GDPR conform Data Processing Regulations; second to make it as easy and clear as possible; third to continuously remind and update partners on any changes and the existing regulations; fourth to build in the need to actively adapt each consent form to the task requirements; fifth to apply all technical measures in a way that reinforce organisational measures (e.g. access rights); sixth to foresee monitoring reports to the EC; seventh to involve the Legal/Ethical AB Members; eight to describe pathways for seeking clarification and advice to any partner before potentially problematic choices are made – across each stage of the data life cycle.
R3	RESILIAGE Data Processing Regulations subject to change	med	Unclear or outdated regulations applied by partners create heterogenous practices which foster deviation	RESILIAGE Ethical Partners, DPO and COO work in close cooperation to keep all relevant documents (consent forms, project

			from the Data Protection Regulations	information, etc.) coherently and consistently up to date. Outdated versions are removed from cloud storage. Updates are communicated, timely, clearly, and repeatedly to all consortium partners.
R4	Unforeseen Data Processing Situation Arises	med	A partner might be unclear or unsure how to deal with a given situation which aws not foreseen in the DOA or based on a deviation of a task foreseen in the DOA or the partner is not able to find clear guidance in the respective ethics documentation. Therein, creating a risk for improper processing.	For any situation that any member of any partner organisation deems unclear, and not only for data processing, but other ethics' issues like incidental findings, a clear process has been described involving the task leader, the wp leader, the DPO, and the coordinator who review the situation, and – if necessary – seek for advice of the Legal and Ethical External Advisors or the PO and the EC's services.
R5	Data Processing Regulation (EU or national) changes within the RESILIAGE project runtime	Low-med	RESILIAGE Data Protection Regulations are outdated due to change of legal framework.	The RESILIAGE partners, especially RESILIAGE ethics' partners and the coordinator together with their external AB Members constantly monitor due to changes on EU level. National partners are required to monitor the national legal development.

9. References

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10. Annex

10.1. Informed consent form

Project Acronym: RESILIAGE
Grant Agreement No: 101121231

RESILIAGE Informed Consent Form

I _____ [name of participant] agree to participate in this I [interview / focus group / training / workshop / tool exercise / survey / experiment]

The purpose of the [interview / focus group / training / workshop / tool exercise / survey / experiment] has been explained to me in writing (in the information sheet).

I am participating voluntarily and understand that I can withdraw from the [interview / focus group / training / workshop / tool exercise / survey / experiment] without repercussions, at any time, by contacting the Data Protection Officer either by sending an e-mail to [e-mail address of the DPO] or by calling [telephone number of the DPO].

I have been fully informed how the protection of my data will be ensured and I am satisfied that the assurances of responsible and strict data governance, given by the RESILIAGE project, will be upheld.

I understand that anonymity, by removing any identifying information from protocols and transcripts will be ensured at each research stage in the project.

A copy of the information sheet and (this) signed consent form has been given to me (the signee).

- ○ I consent to participate in this [interview / focus group / training / workshop / tool exercise / survey / experiment]
- ○ I consent to the processing of my personal data.

[Signature participant]

[City], [Date]

10.2. Project information

Project Acronym: RESILIAGE
Grant Agreement No: 101121231

RESILIAGE Information sheet

RESILIAGE is a three-year project funded by the Horizon Europe programme, composed of 18 experienced partners, that will have an important role in providing more precise information and make it accessible via user-friendly tools and soft solutions for supporting first responders and empowering citizens in crisis and disaster situations. The RESILIAGE project requires that professionals who participate in the [interviews / focus groups / workshops] give explicit consent to do so.

Please take time to read and understand the following information and if you agree with the content sign the consent form.

I freely and voluntarily consent to be a [interview / focus group / training / workshop / tool exercise / survey / experiment] participant in the RESILIAGE project to be conducted by [partner] on [date] at [location]. The person(s) responsible for collecting the data is/are _____ [name of data processor] of the organisation _____ [organisation name] and can be reached by me at any time at _____ [mail address].

The RESILIAGE project team ensures that any data or information you provide will be kept strictly confidential. In gathering our data, we will only record information that is necessary to address the central purpose of our research and ensure that your information given will be anonymized. Information will be securely stored and retained for the lifetime of the project and deleted 5 years after the project's conclusion. The legal basis for the processing of the data is consent, as provided by the RESILIAGE project consent form.

Your name will not be linked with the research materials, as the researchers are interested in the content in general, and not in any individual's opinions or choices. Results from the interviews can be included in project deliverables, communication material (primary use) and academic publications (secondary use). However, any directly or indirectly identifiable data will be omitted to guarantee the anonymity of the interviewee.

A general commitment of the researcher applies to treat the information provided by the research participants pseudonymously, i.e., not directly linkable to him/her, and without repercussions for what they disclose to the researcher. Unlawful behaviour reported by the interviewee will be reported to the coordinator. Such "incidental findings" will be dealt with according to the Criminal Law procedures of the RESILIAGE member countries.

I understand that if at any time during the pilot test I feel unable or unwilling to continue, I am free to leave without negative consequences. That is, my participation in this [interview / focus group / training / workshop / tool exercise / survey / experiment] is completely voluntary, and I may withdraw from this project at any time. I further have the right to request the following from the data controller: access to and rectification or erasure of my personal data, restriction of processing concerning the data subject, object to the processing of data, right to data portability. You further have the right to withdraw your consent at any time or lodge a complaint with a supervisory authority.

Potential risks of participating in this research may be the risk of entrusting your personal data in the hands of others, and the potential harm for misuse of those identifiable data. The reassurances around strict data governance, given by the RESILIAGE team, are designed to alleviate potential participation burdens.

On the other hand, the benefits of participating in this research are twofold: it provides you with a rare opportunity to be involved in a significant piece of research; the role you play in improving the service provision for victim-survivors of domestic violence will provide you with great self-satisfaction in the future.

I have been informed that if I have any questions needing further clarification or assurances about the ethical issues relating to the project, I am free to contact [RESILIAGE DPO contact & email.]

10.3. Safety protocol for participants (vulnerable groups)

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RESILIAGE Safety Protocol

This document contains information on how to approach and engage with participants who may be vulnerable. Researchers are encouraged to follow the guidelines contained in this document when recruiting and interviewing participants and when handling the collected data (Langford, 2000).

Participant Contact

- Contact with participants should only be established via gatekeepers.
- During initial establishment of contact no personal information (beside contact details and names) should be recorded.
- Initial contact with potential participants must include comprehensive information and clarification about the research, its methodology, and its objectives, the topics of research, and address possible risks and challenges like personal safety concern. Therefore, previously provided information sheets should be reviewed and if necessary, explained in detail
- Ideally, gatekeepers or confidants of the participants should be present during preliminary discussions with potential participants.
- If necessary and preferred by participants a translator should be present during the initial meetings.
- Since the project includes also marginalised groups, information sheet and consent forms should be written in plain language and if needed provided in the native language potential participants.
- In case researchers aim to reach out to vulnerable participants who have not been identified by gatekeepers and are not currently involved in support programs (e.g. via social media or newspaper advertisement), special precautions need to be taken.

Interview/Focus Group/Experimental Setting

- Interviews/Focus Groups/Experiments should be held at a safe place. While participants' preferences take precedence in this regard, interviews should not be conducted in the private home.
- Participants have the right to have a confidant by their side during the Interviews/Focus Groups/Experiments.
- Participants have the right to choose an interviewer of their preferred gender.
- The duration and content of the Interviews/Focus Groups/Experiments should be appropriate to the research objective. Therefore, other topics that fall outside the scope of the research as described in the information sheet, even if they are related to the topic should be addressed carefully and briefly.

Coping with emotional distress and avoiding re-traumatisation

- In Interviews/Focus Groups/Experiments with people who experienced crisis or traumatic events, there is a risk that participants will be emotionally troubled by recalling and talking

about their experience of violence. In such situations, researchers should consider the following guidelines.

- Give the person space and time to regain their composure.
- Offer the person a pause or a stop of the Interview/Focus Group/Experiment, maybe offer to leave the room yourself.
- If the person has come alone to the interview/focus group/experiment, ask them if they want to call someone or if they want you to call someone.
- Before asking potentially sensitive questions or discussing sensitive topics, provide "trigger warnings".

Reporting Disclosed Abuse

- Information on procedures for disclosing previously undisclosed experiences of crises or even violence must be included in the information sheet.
- In principle, when researchers learn of previously undisclosed violence, they should follow the persons' wishes on disclosing or withholding this information.
- In cases where researchers become aware of violence against children or dependent/cared for relatives, they should, in consultation with their supervisor, inform the gatekeepers and, depending on the risk assessment, the police or comparable law enforcement agencies. This information must be included in the information sheet.
- Researchers should, when learning about previously undisclosed violence, offer victims information on violence protection services and offer assistance in contacting these services.

Confidentiality and other issues

- Researchers must ensure at all times that personal information and data collected during the Interview/Focus Group/Experiment is kept confidential and secure.
- Information about participation in the study should only be sent to the e-mail or postal addresses agreed with potential participants
- At the explicit request of the participants, they may receive the transcript of the interview.
- If in line with wider project, funder or institutional policies a participants can be offered a honorarium/renumeration.

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Revolutionising community resilience

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