



Towards We-Government: Collective and participative approaches for addressing local policy challenges

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Deliverable

D6.2

Gender and Ethics Management Framework

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<p>Abstract</p> <p>The report includes a detailed description of gender and ethics related requirements to be met by the project according to requirements elicitation work conducted during the project's start-up phase (Task 1.3) as well as related guidelines and templates to be applied for adequately responding to the identified requirements (e.g. consent form). The framework also includes a description of management procedures and tools to be applied for compliance monitoring throughout the entire project duration.</p> <p>Besides other ethics and gender related requirements identified in WP1, this will also concern all requirements put forward in the Ethics Screening Report.</p>	
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Executive Summary

The WeGovNow project aims at tapping into emerging technologies for effectively supporting co-production by civic society stakeholders and collective proposition development, whereby citizens are seen as partners as opposed to customers in the delivery of public services. This is to be achieved by integrating a set of innovative ICT applications within a unified citizen engagement platform. Being a typical H2020 Research and Innovation project, the workplan of WeGovNow reflects different operational project stages.

By adopting a coherent approach towards ethics across all pilot sites involved, the project sets out to provide a solid basis for ethical service innovation in the local government domain across different jurisdictions.

Beyond meeting legal data protection requirements, ethics here are about what the involved stakeholders 'should' do as the right thing, for the good of individual residents, the community, and society at large. Two main ethical perspectives deserve most attention: First, a range of ethical issues relate to ensuring that research, technology development and piloting activities follow commonly accepted ethical principles. Here, guidance can be obtained from existing discourses on ethics in research fields that have relevance to the project. Second, ethical issues arise in relation to deployment of mainstream government services, as it is the ultimate goal of WeGovNow beyond the immediate project duration to lead to the spread of effective, ICT-enhanced solutions for co-production and civic participation at community level across Europe. Also, there are ethical concerns that cut across the “research” and the “deployment” perspectives, such as ensuring data privacy in relation to individuals participating in the technology development process and in relation to citizens supposed to utilize the WeGovNow services beyond the immediate project duration.

Ensuring gender equality represents another area of concern cutting across the perspectives of “research ethics” and “deployment ethics”. From a research perspective, gender management in the framework of WeGovNow means, in particular, integrating gender equality issues at each stage of the project cycle, following the three objectives of the Commission’s activities on gender equality in Horizon 2020 (gender balance in research teams; gender balance in decision-making; integrating gender analysis in research and innovation content). From a deployment perspective, it needs to be ensured that women and men are able to equally participate in the collaborative processes which are to be ultimately supported by WeGovNow solutions.

The deliverable presents the wider picture against which the project’s approach to gender and ethics management framework has been developed. It includes reference to key existing frameworks and guides wherever relevant. While ‘cookbook’ type guidelines that can be applied throughout the various stages of the project are not always useful to define in advance, the document aims at presenting some ‘how to do’ guidance as well. Also included are generic consent forms to be adapted to the various activities within which individuals are to be involved throughout the project’s life cycle.

Continuous reporting vis-à-vis the Commission will be achieved via a dedicated section on ethics and gender management to be included in the respective Periodic Technical Reports which must be submitted by the coordinator following the end of each reporting period.

1 Introduction – About this document

This document presents the WeGovNow Gender and Ethics Management Framework (D6.2). It aims at providing operationally useful guidance to the project consortium on how appropriate safeguards are to be achieved against relevant ethics and gender related issues which are of relevance to this project. There has however not yet been any overall compilation and analysis of ethics and gender related issues potentially applying in this field. Appropriate guidance materials that could be used for the purposes of the project is thus not available “off the shelf”, despite the fact that ethics and gender related issues are frequently alluded to in the policy discourse on ICT-enabled solutions in the public services domain more generally. The ethics and data protection framework adopted for the purposes of the WeGovNow project therefore relies on various value frameworks potentially relevant to the scope of the current project such as binding legislation and voluntary codes of conduct.

An important aspect deserving attention here is that ethical considerations are not always ‘black-or-white’ and that dilemmas can sometimes arise. In addition, even for a given group, such as a resident from a disadvantaged group offered technology to support community engagement, the issue of what is good may depend on the specifics of each individual circumstance. Therefore, whilst universal ethical principles have value, their interpretation and application in any specific context is often not straightforward. Thus ‘cookbook’ type guidelines that can be applied throughout the various stages of the project are difficult to define in advance.

The current document therefore aims at not just presenting ‘how to do’ guidance but also the wider picture against which the project’s gender and ethics management framework has been developed. It is hoped that that this will enable appropriate interpretation and application of ethical principles throughout the project’s life cycle. The document is structured as follows:

Chapter 2 identifies ethical and gender related requirements deserving attention throughout the project’s life cycle, and suggests general guidelines on how the project team may best go about meeting these respectively.

Chapter 3 describes how ethics and gender management will be implemented throughout the project’s life cycle, as far as appropriate at the given stage of development in the project. An update will be provided in subsequent deliverables, namely **D1.2 “Consolidated Conceptual & methodological framework v2”**. D1.2 will, in particular, contain detailed specifications about data protection measures concerning all piloting activities in which personal data will be collected.

The **Annex** includes a generic consent form to be adapted to the various activities within which individuals are to be involved throughout the project’s life cycle.

The present document is further complemented by the WeGovNow **Data Management Framework (D6.3)** due in M6, which will include a preliminary Data Management Plan for the project.

Based on the framework presented in these Deliverables, continuous reporting vis-à-vis the Commission will be achieved via a dedicated section on ethics and gender management to be included in the respective Periodic Technical Reports which must be submitted by the coordinator following the end of each reporting period.

2 Ethical value frameworks and legislation of relevance to WeGovNow

The WeGovNow project aims at tapping into emerging technologies for effectively supporting co-production by civic society stakeholders and collective proposition development, whereby citizens are seen as partners as opposed to customers in the delivery of public services. This is to be achieved by integrating a set of innovative information and communications technology (ICT) applications within a unified citizen engagement platform. Being a typical H2020 Research and Innovation project, the workplan of WeGovNow reflects different operational project stages (Exhibit 1). By adopting a coherent approach towards ethics across all pilot sites involved, the project sets out to provide a solid basis for ethical service innovation in the local government domain across different jurisdictions.

In general, ethics have relevance to all human activities and endeavours. When it comes to ICT-enabled forms of service delivery in the public domain, the combination of the inherent properties of ICT applications (e.g. features enabling service automation) and the vulnerabilities of particular populations groups (e.g. individuals with restricted or diminished capacity to protect their own interests) has however led to a considerable amount of ethical concern in particular.¹ Beyond meeting legal data protection requirements, ethics here are about what the involved stakeholders 'should' do as the right thing, for the good of people as well as for the common good more generally.

At a generic level two main ethical perspectives can be discerned which deserve attention in the framework of WeGovNow. To begin with, a range of ethical issues arise when it comes to ensuring that technology development and piloting activities to be conducted within the project do indeed follow commonly accepted ethical principles. Here, guidance can be obtained from existing discourses on ethics in research fields that have relevance to the project. Further to this, ethical issues arising in relation to the deployment of mainstream government services deserve attention as well, e.g. when it comes to preparing and planning the further mainstreaming of WeGovNow solutions beyond the immediate project duration.

¹ The EGE (European Group on Ethics in Science and New Technologies) opinion on Ethical Issues of Healthcare in the Information Society (1999; Opinion 13) reflects on such concerns and lists the following applying to the area of health care, but which are equally relevant today for the application of ICTs in the public service domain more generally: the pervasiveness of a technology which many people do not understand; the lack of transparency that may be brought to the work of healthcare professionals and its effects on the doctor/patient relationship; the difficulty in respecting privacy and confidentiality when third parties may have a strong interest in getting access to electronically recorded and stored personal data; the difficulty in ensuring the security of shared personal data and the lack of adequate infrastructure in certain regions and the absence of computer literacy in certain sections of the population which may reinforce existing inequalities.

Also, there are ethical concerns that cut across the “research” and the “deployment” perspectives, e.g. when it comes to ensuring data privacy in relation to individuals participating in the technology development process and in relation to citizens supposed to utilize the WeGovNow services beyond the immediate project duration.

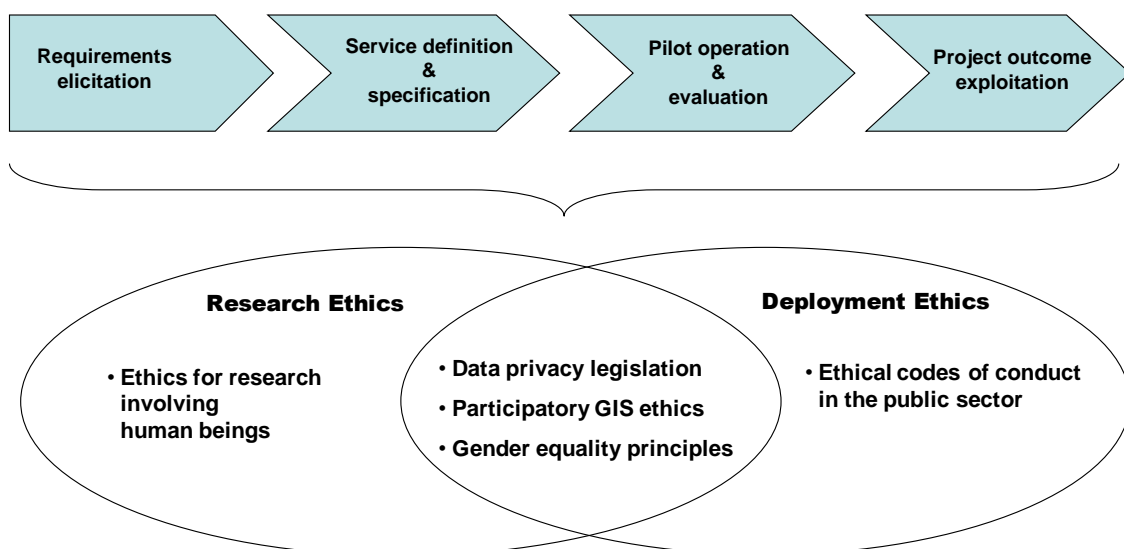
Ensuring gender equality represents another area of concern cutting across the perspectives of “research ethics” and “deployment ethics”. From a research perspective, gender management in the framework of WeGovNow means, in particular, integrating gender equality issues at each stage of the project cycle, following the three objectives of the Commission’s activities on gender equality in Horizon 2020²:

- Fostering gender balance in research teams;
- Ensuring gender balance in decision-making, “in order to reach the Commission’s target of 40% of the under-represented sex in panels and groups (50% for Advisory Groups)”;
- Integrating gender/sex analysis in research and innovation content as a means to “improve the scientific quality and societal relevance of the produced knowledge, technology and/or innovation”.

From a deployment perspective, it needs to be ensured that women and men are able to equally participate in the collaborative processes which are to be ultimately supported by WeGovNow solutions.

As graphically summarised below, the WeGovNow approach towards ethics and gender management addresses all three areas of ethical concern (“research ethics”, “deployment ethics” and cross-cutting issues).

Exhibit 1: The WeGovNow conceptual approach towards ethics and gender management



Source: The authors

² European Commission (2016) ‘H2020 Programme – Guidance on Gender Equality in Horizon 2020’, Version 2.0, URL: <https://ec.europa.eu/programmes/horizon2020/en/h2020-section/promoting-gender-equality-research-and-innovation>

Against this background, there is a set of issues relating to ethics and gender aspects which can potentially arise along the overall project's life cycle. In the following subsections, existing ethical value frameworks which WeGovNow can rely upon for its own purposes are briefly presented.

2.1 Ethical research involving human beings

From a historical perspective, the so called Belmont Report (1979) has for the first time made a distinction in the domain of ethics between 'research' and 'practice'. Although the focus was on medical research, basic ethical principles that were formulated in the report for the first time have relevance for research involving human beings more generally. These include the principles of respect for persons; beneficence (do no harm, maximize possible benefits) and justice. WeGovNow is not a classical research project in the sense of the Belmont Report. It does not intend to involve individuals with particular characteristics in dedicated research activities, e.g. experiments or randomised controlled trials. Rather, citizens in general are to be consulted for the purposes of collaborative ICT-based service development and piloting, as set out in the project's workplan. Nevertheless, the conceptual approach to collaborative ICT-based service development taken by WeGovNow is inspired by the concept of community-based participatory research, which not at least reflect core ethical principles set out in the Belmont Report. This implies a partnership approach to research that equitably involves community members, organisational representatives, and researchers in all aspects of the research process and in which all partners contribute expertise and take part in decision making.

Ethical considerations are continuous in community engagement processes. What happens if a person is in a process but a decision is made that she or he is unhappy with? For example, if the group decides to exclude other people. What do researchers do when the community comes to a view that is factually incorrect?³

Shallwani & Mohammed (2007)⁴ and Felzmann (2014)⁵ list some fundamental principles of research ethics in community-based research⁶:

Respect for persons entails respecting the dignity of research participants and ensuring their autonomy. In cases where autonomy may be diminished, people should be protected from any exploitation that results due to their vulnerability. This principle is important because adherence to it entails that people will not be merely a means to achieve the research objectives, and that the views and interests of all stakeholders should be taken seriously.

³ Wellcome Trust, The (2011) 'Community Engagement – under the Microscope', report, URL: https://wellcome.ac.uk/sites/default/files/wtvm054326_0.pdf

⁴ Shallwani & Mohammed (2007) 'Community-Based Participatory Research: A Training Manual for Community-Based Researchers', URL: <http://www.livingknowledge.org/resources/toolbox/>

⁵ Felzmann, H. (2014) 'Ethics of Community - Higher Education Engagement', Campus Engage Guide, URL: <http://www.campusengage.ie/userfiles/files/Ethics%20of%20Community-HE%20Engagement%20WEB.pdf>

⁶ Definitions taken from Mack, N. et al. (2005) 'Qualitative Research Methods: A Data Collector's Field Guide', Family Health International. URL: http://www.fhi.org/en/RH/Pubs/booksReports/QRM_datacoll.htm

Beneficence requires a commitment to minimising the risks associated with research, including psychological and social risks, and maximising the benefits that accrue to research participants. Researchers must articulate specific ways how this will be achieved.

Fairness requires a commitment to ensuring a just distribution of the risks and benefits of research. Research participants should share in the benefits of the knowledge gained. Therefore, the research participants should be people who are expected to benefit from the knowledge gained through the project.

Accountability: Professional stakeholders are accountable for their actions towards other stakeholders in the community. Particular responsibility accrues to consortium representatives who design and implement the project.

Respect for communities means that researchers must respect the values of the community involved in the research and protect the community from harm. This is very important in research which requires communitywide knowledge, values, and relationships and, thus, the community may be impacted by the research process or its outcomes.

Confidentiality: It is very important to ensure the confidentiality of participants in a research project at all times. Identifying information should not be used when discussing results with anyone, including other researchers. This holds true even when sharing anecdotes or statements that seem inconsequential. When storing data or discussing the results of a project, care should be taken to eliminate names and other identifying information. Before any research project is undertaken, it is imperative to discuss how the confidentiality of participants will be maintained.

Informed voluntary consent: It is imperative to ensure that participants understand the implications of participating in a research project so that they are able to make an informed decision about whether or not they would like to participate in a project. This entails ensuring that participants understand the purpose of the research, what is expected of them, the expected risks and benefits, and that participation is voluntary.

Right to refuse or withdraw at any time: It is imperative that participants have the right to refuse to participate in the project or withdraw at any time without any negative repercussions.

Reporting back: It is important that participants be given access to the findings of the project once data analysis is completed. This will allow them to see how their data is being represented and gain from the findings of the project.

Special consideration for vulnerable groups: Some groups are traditionally considered vulnerable research participants. They include minors, older citizens, members of ethnic minorities and persons with mental disabilities. Other groups such as people without literacy, those with limited economic resources, and women who do not have decision-making power regarding their participation in a project may also be vulnerable. Vulnerable persons can still participate in a research project; however, they need special protections.

Those project activities and procedures involving citizens will be conducted in accordance with the above principles. The WP leaders concerned and the pilot site managers will be

requested on a regular basis to report on how this was achieved. Outcomes will be presented in the respective management reports.

2.2 Participatory GIS and ethics

Participatory GIS (PGIS) practice, a core element of WeGovNow, is geared towards “community empowerment through measured, demand-driven, user-friendly and integrated applications of geo-spatial technologies. GIS-based maps and spatial analysis become major conduits in the process. [...] The practice integrates several tools and methods whilst often relying on the combination of 'expert' skills with socially differentiated local knowledge. It promotes interactive participation of stakeholders in generating and managing spatial information and it uses information about specific landscapes to facilitate broadly-based decision making processes that support effective communication and community advocacy”⁷.

Ethical questions have been very much at the centre of the debate about PGIS every since it started to become promoted⁸. Pain (2004) observed that “in geographical research, ethical codes have tended to be about having no negative impacts, not about the need to have positive impacts. Viewing ethics alternatively as ‘processes that bring about more just social relations’ [...] not only brings academic and participants’ notions of ‘ethics’ closer, but necessitates a far more active approach to participation and change.”⁹

The PGIS Guide to Good Practice published by Rambaldi et al. (2006)¹⁰ gives an excellent introduction into the ethical issues that need to be addressed when designing and carrying out PGIS in practice. They start from an overview of the main questions which PGIS researchers need first to become aware about and then answer, see table below.

Exhibit 2: Participatory GIS – Compilation of ‘Who?’ and ‘Whose?’ Questions

Stage I: Planning	Stage III: Resulting information control, disclosure and disposal
Who participates?	Who owns the output?
Who decides on who should participate?	Who owns the map(s)?
Who participates in whose mapping?	Who owns the resulting data?
... and who is left out?	What is left with those who generated the information and shared their knowledge?
Who identifies the problem?	Who keeps the physical output and organises its regular updating?
Whose problems?	Whose analysis and use?
Whose questions?	Who analyses the spatial information collated?
Whose perspective?	
... and whose problems, questions and perspectives are left out?	

⁷ https://en.wikipedia.org/wiki/Participatory_GIS, accessed 07-07-2016, 13:00

⁸ Elwood, S. (2006) ‘Critical Issues in Participatory GIS: Deconstructions, Reconstructions, and New Research Directions’, Transactions in GIS 10:5, 693–708.

⁹ Pain, R. (2004) ‘Social geography: participatory research’, Progress in Human Geography 28, 5, pp. 652–663.

¹⁰ Rambaldi, G. et al. (2006) ‘Practical ethics for PGIS practitioners, facilitators, technology intermediaries and researchers’, PLA 54:106-113, London: IIED, URL: <http://pubs.iied.org/pdfs/G02155.pdf>

<p>Stage II: The mapping process</p> <p>Whose voice counts? Who controls the process? Who decides on what is important? Who decides, and who should decide, on what to visualise and make public? Who has visual and tactile access? Who controls the use of information? And who is marginalised? Whose reality? And who understands? Whose reality is expressed? Whose knowledge, categories, perceptions? Whose truth and logic? Whose sense of space and boundary conception (if any)? Whose (visual) spatial language? Whose map legend? Who is informed what is on the map? (Transparency) Who understands the physical output? And who does not? And whose reality is left out?</p>	<p>Who has access to the information and why? Who will use it and for what? And who cannot access and use them?</p> <p>Stage IV: Outcomes</p> <p>What has changed? Who benefits from the changes? At whose costs? Who gains and who loses? Who is empowered and who is disempowered?</p>
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Source: Adapted from Rambaldi, G. et al. (2006), p. 108

Code of ethics also relevant to WeGovNow are those applicable for GIS professionals in general (e.g. GIS Code of Ethics published by the GIS Certification Institute¹¹) and for practitioners of anthropology and ethnography (e.g. the AAA Code of Ethics¹²). In Europe, Iphoven's (2013) report on "Research Ethics in Ethnography/Antropology" is of particular value. The report was commissioned by the Ethics Unit B6, DG Research and Innovation of the European Commission¹³.

These aspects will be included in a dedicated data privacy and ethics assessment of the WeGovNow solutions towards the end of the 1st project year. Outcomes will be reported in D1.2 respectively.

2.3 Data privacy

Privacy of users is an issue for WeGovNow in service development, provision and evaluation. Such ethical considerations will be furthered when preparing the roll out of the WeGovNow services after the immediate pilot duration, e.g. when it comes to business planning. There are different ethical value frameworks which deserve attention throughout the project's life cycle. Apart from data protection legislation, these include voluntary guidelines concerning privacy issues around geo-referencing data.

¹¹ See www.gisci.org/code_of_ethics.htm

¹² www.aaanet.org/committees/ethics/ethcode.htm

¹³ https://www.researchgate.net/publication/268522630_Research_Ethics_in_Ethnography_Antropology_by_Dr_Ron_Iphofen_AcSS_2_nd_October_2013_first_drafts_produced_for_comment_2011

2.3.1 European-level data privacy legislation

By adopting the Data Protection Directive of 1995 (Directive 95/46/EC) the European Union set legally binding rules for the protection of individuals with regard to the processing of personal data. Through this regulation basic principles for processing personal data have been stipulated which have to be followed in all Member States:

Transparency

The data subject has the right to be informed when his personal data are being processed. The controller must provide his name and address, the purpose of processing, the recipients of the data and all other information required to ensure the processing is fair. (art. 10 and 11). Data may be processed only under the following circumstances (art. 7):

- when the data subject has given his consent;
- when the processing is necessary for the performance of or the entering into a contract;
- when processing is necessary for compliance with a legal obligation;
- when processing is necessary in order to protect the vital interests of the data subject;
- when processing is necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller or in a third party to whom the data are disclosed;
- when processing is necessary for the purposes of the legitimate interests pursued by the controller or by the third party or parties to whom the data are disclosed, except where such interests are overridden by the interests for fundamental rights and freedoms of the data subject.

The data subject has the right to access all data processed about him. The data subject even has the right to demand the rectification, deletion or blocking of data that is incomplete, inaccurate or isn't being processed in compliance with the data protection rules. (art. 12)

Legitimate purpose

Personal data can only be processed for specified explicit and legitimate purposes and may not be processed further in a way incompatible with those purposes. (art. 6 b)

Proportionality

Personal data may be processed only insofar as it is adequate, relevant and not excessive in relation to the purposes for which they are collected and/or further processed. The data must be accurate and, where necessary, kept up to date; every reasonable step must be taken to ensure that data which are inaccurate or incomplete, having regard to the purposes for which they were collected or for which they are further processed, are erased or rectified; The data shouldn't be kept in a form which permits identification of data subjects for longer than is necessary for the purposes for which the data were collected or for which they are further processed. Member States shall lay down appropriate safeguards for personal data stored for longer periods for historical, statistical or scientific use. (art. 6)

When sensitive personal data (can be: religious beliefs, political opinions, health, sexual orientation, race, membership of past organisations) are being processed, extra restrictions apply. (art. 8).

- In January 2012, the European Commission proposed a comprehensive reform of data protection rules in the EU.¹⁴ After over four years of discussion, a new General Data Protection Regulation (GDPR)¹⁵ has now been adopted. While the Regulation has entered into force on 24 May 2016, it shall apply from 25 May 2018. The objective of this new set of rules is to strengthen the citizens' role in controlling their personal data, and to simplify the regulatory environment for business. Also, the new Directive foresees specific rules for the transfer of personal data outside the EU to ensure the protection of personal data when it is exported abroad. Apart from this some, a number of new requirements have been put in place with the new GDPR when compared with the data Protection Directive of 2005 such as:
- Privacy by design (cf. art. 25):
When designing new services and applications, the principles of data protection by design and by default should be taken into consideration. The GDPR mentions some examples what this might mean in practical terms. Such measures could consist, inter alia, of minimising the processing of personal data, pseudonymising personal data as soon as possible, transparency with regard to the functions and processing of personal data, enabling the data subject to monitor the data processing, enabling the controller to create and improve security features. The data controller shall implement appropriate technical and organisational measures for ensuring that, by default, only personal data which are necessary for each specific purpose of the processing are processed.
- Data protection officers (cf. art. 37 ff):
In certain circumstances data controllers and processors must designate a Data Protection Officer (the DPO) as part of their accountability programme. The threshold is (i) processing is carried out by a public authority, (ii) the core activities of the controller or processor consist of processing which, by its nature, scope or purposes, requires regular and systematic monitoring of data subjects on a large scale, or (iii) the core activities consist of processing on a large scale of special categories of data.
- Consent (cf. art. 7):
A data subject's consent to processing of their personal data must be as easy to withdraw as to give consent. Consent must be "explicit" for sensitive data. The data controller is required to be able to demonstrate that consent was given. Existing consents may still work, but only provided they meet the new conditions.
- Fair processing notice (cf. art. 12 ff):
Data controllers must continue to provide transparent information to data subjects. This must be done at the time the personal data is obtained. However, the requirements in

¹⁴ http://ec.europa.eu/justice/data-protection/reform/index_en.htm (latest access: 22/05/2016)

¹⁵ Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, and repealing Directive 95/46/EC (General Data Protection Regulation)

the GDPR are more detailed than those in the current Directive. For instance, the information to be provided is more comprehensive and must inform the data subject of certain of their rights (such as the ability to withdraw consent) and the period for which the data will be stored.

- Data breach notification (cf. art. 33 f):
Data controllers must notify most data breaches to the Data protection Authority (DPA). This must be done without undue delay and, where feasible, within 72 hours of awareness. A reasoned justification must be provided if this timeframe is not met. In some cases, the data controller must also notify the affected data subjects without undue delay.

According to the GDPR (art. 40 ff), the Member States, the supervisory authorities, the Board and the Commission shall encourage the drawing up of codes of conduct intended to contribute to the proper application of this new Regulation, taking account of the specific features of the various processing sectors. Also, the development of appropriate certification processes is stipulated in the GDPR. It can however be expected that more specific guidance materials will not become available during the life time of the WeGovNow project.

Against this background, Task 1.3 will focus on assessing of the WeGovNow platform and individual applications in relation to potential non-conformity with data privacy legislation along the line of an approach stipulated in GDPR (cf. art. 35) as follows:

- The envisaged processing operations of personal data and the purposes of the processing will be identified / described, including, where applicable, the legitimate interest pursued by the data controller.
- The necessity and proportionality of the processing operations will be assessed in relation to the purposes;
- Potential risks to the rights and freedoms of data subjects will be assessed.
- Provided any risks can be identified, measures envisaged to address these will be identified / described.

Technology wise, the WeGovNow solutions will be gaining in shape only throughout the project's service specification and development phase (cf. WP2 and WP3). Such an assessment will therefore be conducted towards the end of the 1st project years, and its outcomes will be reported in the D1.2 (Consolidated Conceptual & Methodological Framework v2).

2.3.2 National-level data privacy legislation

Following the adoption of the European Data Protection Directive of 1995 a set of common rules have been transposed by all EU countries into national laws. The table below summarises the legal situation in WeGovNow pilot countries . National regulation/legislation may however go beyond the principles set out in the Commission's Communication, or they may set out particular interpretation of the general principles stipulated by EU-level regulation. Once the GDPR is in effect, the current Data Protection Directive 95/46/EC is

repealed. Although Member States will need to consider the impact on national legislation, it may take some time until any revisions of relevant national laws which might become necessary in one or another case will ultimately be enacted. For the time being, any particular requirements going beyond those stipulated in European-level legislation will thus be identified from national data privacy legislation as it currently exists. Outcomes will be reported again in D1.2 (Consolidated Conceptual & Methodological Framework v2).

Exhibit 3: Overview of national data protection legislation to be taken into account

Regulative situation regarding data protection	
IT	In 1996, the Italian Data Protection Act was enacted to implement the European Union Data Protection Directive. It covers both government agencies and the private sector. In addition several Decrees relating to data protection have been issued, addressing issues such as security requirements, the processing of medical information, the processing of information for journalistic, scientific or research purposes, and personal data stored by public bodies. The Privacy Law of 2003 rules the treatment of personal data in any application field. During the past few years the Garante della protezione dei dati personali, a national oversight body, has dealt with a number of issues related to the protection of personal data in the health arena. Increasing utilisation of video surveillance systems in public places has been addressed by the Garante as well. The data protection ombudsman issued guidelines for the installation of surveillance cameras in various settings.
UK	The Data Protection Act of 1998 implements the requirements of the European Union's Data Protection Directive. The Act covers records held by government agencies and private entities. The Act is quite complex and provides for limitations on the use of personal information, and access to and correction of records and requires that entities that maintain records register with the Information Commissioner. There are also several other laws that affect privacy, e.g. in relation to medical records. The Data Protection and Freedom of Information are enforced by the Office of the Information Commissioner, an independent agency.

2.3.3 Specific privacy aspects to the utilisation of geo-referenced data

Apart from the data privacy requirements applicable to all types of data, special attention needs be given to geo-referenced data, where identifying spatial references such as point co-ordinates also have a geo-spatial value. Such data constitutes a considerable part of the data expected to be produced and used in WeGovNow.

Geo-coded social media data provided by a diffuse network of self selected users presents a rich data source that can, once filtered and analysed with sufficient care, provide useful input to WeGovNow service development and research. Lovelace et al. (2014)¹⁶ demonstrate the use of Twitter data related to museum visits, for which they were able to

¹⁶ Lovelace, R. et al. (2014) 'Geotagged tweets to inform a spatial interaction model: a case study of museums', paper presented at GISRU2014, URL: <http://arxiv.org/abs/1403.5118>

use tweets sent from mobile devices by users who have explicitly opted to publish their present location. The problem is that many users who opt to publish their location on their mobile device might be either unaware of the fact that messages, photos etc. sent from their cell phones contain geo-location, especially with such accuracy; or what actual consequences publishing the information may have. Here, again, what is legal must not necessarily be ethical.

There has, in general, been much enthusiasm among researchers about the potential of social media analytics, in the context of which ethical considerations have been heavily debated. Grubmüller et al. (2013)¹⁷, based on work in the UniteEurope FP7 project (2011-2014)¹⁸, stress the issue of ‘informed consent’: “Being in compliance with the law is one step to diminish ethical concerns, but must be considered a minimum standard only for coming up to ethical requirements concerning data protection. In this regard, the lack of ‘informed consent’ is an issue that requires precautions in order to protect the authors of postings who might not be aware of the public availability of their contents, let alone of their deployment for research purposes”¹⁹.

In practical terms, data protection issues with geo-referenced data can usually not be addressed by removing spatial references prevents disclosure, as this would mean that all geographical information is lost, making the data all but useless for the purposes of WeGovNow. A better option, as suggested by the UK Data Archive guidelines²⁰, may be to keep spatial references intact and to impose access regulations on the data instead. As an alternative, point co-ordinates may be replaced by larger, non-disclosing geographical areas or by meaningful alternative variables that typify the geographical position.

These issues will be further explored during the project’s service specification and development phase. The preferred solutions will be included in the data privacy and ethics assessment of the WeGovNow solutions towards the end of the 1st project year. Outcomes will be reported in D1.2 respectively.

2.4 Ethical codes of conduct in the public sector

In the public sector, codes of conduct are generally value-based guides on how public officials should behave, and outline what they should – and should not – do on the job. Historically, ethical codes have first emerged in relation to public service delivery within the healthcare domain, thereby focussing mainly on the doctor-patient relationship, that is, on

¹⁷ Grubmüller, V., Krieger, B., Götsch, K. (2013). Social Media Analytics for government in the light of legal and ethical challenges, In: Parycek, P. & Edelmann, N. (eds.) CeDEM13 – Conference for E-Democracy and Open Government, pp. 199-209

¹⁸ UniteEurope developed a social media analytics (SMA) and decision support tool for European cities and NGOs. See <http://www.uniteeurope.org/>

¹⁹ Krieger et al. (2012) ‘Legal, Cultural, and Ethical Aspects’, Project report. UniteEurope, URL: http://www.uniteeurope.org/images/deliverables/UniteEurope_D2.6.pdf

²⁰ Corti, L. et al. (2011) ‘Managing and Sharing Research Data. A Guide to Good Practice’, London: SAGE Publications.

the duty of the doctor towards the presenting patient. In more recent times, dedicated ethics codes have also emerged in relation to the public sector more generally. A particular aspect deserving attention in this context concerns the fact that more and more public services are provided by third-party organisations outside the conventional public sector. Dedicated ethics frameworks such as the one suggested by the Committee on Standards in Public Life in the UK²¹ can serve as an instrument for pursuing common ethical standards regardless of who is providing public services. Also, dedicated guidelines and codes of conducts have emerged at the regional and or municipal governance levels in some countries. For instance, at the WeGovNow pilot site in the UK Southwark Council has developed a dedicated code of governance in line with the six core principles of good governance taken from “The Good Governance Standard for Public Services” (2004) which again was developed by the Independent Commission on Good Governance in Public Services.²² Moreover, the Council signed up to an Ethical Home Care Charter in 2013.²³ The other two WeGovNow pilot sites are situated in Italy where a national code of conduct applying to non-elected government servants was adopted already back in the 1990s.²⁴

To ensure that the WeGovNow platform and services to be piloted will comply with ethical codes of conduct prevailing at the pilot sites these will be considered in the framework of the data privacy and ethics assessment of the WeGovNow solutions towards the end of the 1st project year. Outcomes will be reported in D1.2 respectively.

2.5 Gender equality

WeGovNow seeks to integrate gender equality issues at each stage of the project. The focus here is:

- First, on making sure the project itself is managed in a gender-sensitive way by fostering gender balance in research teams and in decisions-making structures and processes operating at project level.
- Second, gender equality needs to be sought in the external structures and bodies advising the projects in strategic issues, most notably the Project Advisory Board. The European Commission’s target in this respect is 40% of the under-represented sex in panels and groups, and 50% for Advisory Groups²⁵;
- Third, integrating gender analysis in research and innovation content as a means to improve the scientific quality and societal relevance of the produced knowledge,

²¹ Committee on Standards in Public Life (2014): Ethical standards for providers of public services

²² http://www.southwark.gov.uk/info/200494/how_we_work/521/code_of_corporate_governance (latest access: 28/06/2016)

²³ http://www.southwark.gov.uk/news/article/1470/southwark_signs_up_to_ethical_home_care_charter (latest access: 28/06/2016)

²⁴ <http://www.oecd.org/dataoecd/61/33/35526972.pdf> (latest access: 28/06/2016)

²⁵ European Commission (2016) ‘H2020 Programme – Guidance on Gender Equality in Horizon 2020’, Version 2.0, URL: <https://ec.europa.eu/programmes/horizon2020/en/h2020-section/promoting-gender-equality-research-and-innovation>

technology and innovation. As WeGovNow deals with engagement of citizens/residents in social/civic activities at community level, the need to incorporate the gender dimension in the project's activities is obvious.

A substantial body of knowledge exists, for example, on gender differences in the areas of food, housing and mobility. The "Gender in EU funded Research" FP7 project²⁶ concluded from the available evidence that, "as society attributes different roles to men and women, their needs and interests in the areas of food, housing and mobility are different and their respective 'research needs' are likely to be very different too. Deliberative processes designed to involve civil society stakeholders in the decision-making process regarding the research agenda on these themes should thus ensure that these differentiated needs of men and women are taken into consideration equally. It is important that the deliberative processes are set up in such a way that men and women can participate equally in them, that their participation is balanced and that their respective needs are equally identified and valued. Representatives from women's organisations should be actively involved in the consultation process".²⁷

Against this background, relevant questions for the WeGovNow project are:

- How will the consortium ensure that the civil society organisations that will be involved in the deliberative processes represent both men's and women's interests?
- Will gender differences be explicitly addressed in the discussions and during the workshops and conferences?
- Will the consortium achieve a balanced representation of men and women among the participants and speakers in workshops and conferences?

WeGovNow will make use of best practice and existing value frameworks in the area of gender equality in community engagement, e-democracy, participatory GIS and related fields.

A reference of particular importance to WeGovNow is the **European Charter for Equality of Women and Men in Local Life**, launched in 2006 by the Council of European Municipalities and Regions (CEMR). The introduction of the Charter stresses some of the reasons why gender equality is of much importance for initiatives focusing on the local level, such as WeGovNow:

"Equality of women and men constitutes a fundamental right for all, and an essential value for every democracy. In order to be achieved, this right needs not only to be legally recognized, but to be effectively applied to all aspects of life: political, economic, social and cultural.

Despite numerous instances of formal recognition and progress made, equality of women and men in daily life is still not a reality. Women and men do not enjoy the

²⁶ www.yellowwindow.com/genderinresearch

²⁷ Yellow Window (ed)(2012) 'Gender in EU-funded Research: A Toolkit', Module 2, URL: http://www.yellowwindow.com/genderinresearch/index_downloads.html

same rights in practice. Social, political, economic and cultural inequalities persist – for example, salary disparities and political under-representation.

These inequalities are the results of social constructs built upon numerous stereotypes present in the family, education, culture, the media, the world of work, the organisation of society... So many domains in which it is possible to act, adopting a new approach and making structural changes.

[...]If we are to achieve a society based on equality, it is essential that local and regional governments take the gender dimension fully into account, in their policies, their organisation and their practices. And in today's and tomorrow's world, the real equality of women and men is also key to our economic and social success – not just at European or national levels, but also in our regions, towns and local communities.”²⁸

The following articles appear to be of particular relevance for WeGovNow²⁹:

- (1.2) The Signatory recognizes that the right to equality of women and men is a fundamental prerequisite of democracy, and that a democratic society cannot afford to ignore the skills, knowledge, experience and creativity of women. To this end, it must ensure, on a basis of equality, the inclusion, representation and involvement of women from different backgrounds and of different age groups in all spheres of political and public decision-making.
- (2.5) The Signatory commits itself to promote and apply the principle of balanced representation to its own decision-making and consultative bodies, and in its appointments to external bodies. However, where the authority does not currently enjoy a balanced representation of women and men, it will implement the above on a basis no less favourable to the minority gender than its current gender balance.
- (3.2) In relation to the different forms of public participation in its own affairs, for example via advisory committees, neighbourhood councils, e-participation or participatory planning exercises, the Signatory commits itself to ensure that women and men are able to participate equally in practice. Where existing means of participation do not lead to such equality, it undertakes to develop and test new methods.
- (3.3) The Signatory undertakes to promote the active participation in its political and civic life of women and men from all sections of the community, in particular of women and men from minority groups who may otherwise be excluded.
- (25.1) The Signatory recognizes the importance of its spatial, transport, economic development and land use policies and plans in creating the conditions within which the right to equality of women and men in local life may be more fully achieved.

²⁸ Council of European Municipalities and Regions (2006) 'European Charter for Equality of Women and Men in Local Life', URL: <http://www.charter-equality.eu/the-charter/la-presidence-en.html?lang=en>

²⁹ CEMR also runs an observatory on the topics addressed by charter, including a repository of good practices from which WeGovNow can benefit, see <http://www.charter-equality.eu/?lang=en>

- (25.2) The Signatory commits itself to ensure that, in drawing up, adopting and implementing such policies and plans:
 - the need to promote effective equality in all aspects of local life is fully taken into account;
 - the specific needs of women and men, in relation for example to employment, access to services and cultural life, education and family responsibilities, based on relevant local and other data, including the signatory's own gender assessments, are properly taken into account;
 - high quality design solutions are adopted which take into account the specific needs of women and men.

The WeGovNow project will be conducted in accordance with the above principles. The WP leaders concerned and the pilot site managers will be requested on a regular basis to report on how this was achieved. Results will be presented in the respective management reports.

3 WeGovNow ethics and gender management framework

Exhibit 4 below presents the ethics and gender management framework to be adopted for the purposes of WeGovNow. Based on the ethical value frameworks discussed in the previous chapter, it is structured according to key issues to be addresses throughout the project's life cycle and measures to be pursued by the project for addressing these. Also, the framework identifies which party will be responsible for monitoring progress concerning these measures and means of outcomes reporting respectively. Beyond this, generic guidance on operational aspects raised by the ethics and gender management framework is presented in dedicated subsections. Where required further guidance will be developed and reported as set out in Exhibit 4.

Exhibit 4: The WeGovNow ethics and gender management framework

Issue	Measure	Monitoring & reporting
Involvement of end users in project activities	The basic principles of community-based research for involving human subjects are to be adhered to in relation to all project activities involving end users: respect for persons, beneficence, justice, respect for communities, confidentiality, informed voluntary consent, right to refuse and withdraw at any time, reporting back and special consideration for vulnerable groups.	<ul style="list-style-type: none"> Monitoring by WP leaders concerned in collaboration with pilot site managers Reporting to the CEC within periodic management report
	The recruitment procedures and criteria to be chosen for community engagement activities at local level will be described in D2.1. As part of Task 1.3, these will be assessed in relation whether they could result in discriminatory practices and/or enhancement of vulnerability/stigmatisation. If such practices are inevitable, as a consequence of the methodology, measures to be taken to mitigate them will be identified.	<ul style="list-style-type: none"> Monitoring by WP leaders concerned in collaboration with pilot site managers Reporting to the CEC within D1.2
	The consortium partners will seek advice by relevant bodies in their countries whether a formal ethics approval will be required. As far as required by national regulation/legislation and/or research institutions, partners will seek ethical approval of the planned piloting activities from relevant ethics committees.	<ul style="list-style-type: none"> Monitoring by ethics and data protection manager in collaboration with pilot site managers Reporting to the CEC within periodic management report
	A common procedure for obtaining informed consent form the participants in the WeGovNow pilots will applied across all pilot sites as will be set out in the project's consolidated conceptual and methodological framework (D1.2)	<ul style="list-style-type: none"> Monitoring by ethics and data protection manager in collaboration with pilot site managers Reporting to the CEC within periodic management report
	All pilot sites are to follow a common data protection protocol when involving end users in the project. This will include procedures to be implemented for data collection, storage, protection, retention and	<ul style="list-style-type: none"> Monitoring by WP leaders concerned in collaboration with pilot site managers Reporting to the CEC within annual

Issue	Measure	Monitoring & reporting
	destruction as will be set out in the project's consolidated conceptual and methodological framework (D1.2). The latter will comply with national and EU-level legislation.	management report
Participatory GIS	In the framework of Task 1.3, the WeGovNow platform and applications to be developed will be assessed against the criteria set out in available guidelines (Rambaldi et. al. 2006).	<ul style="list-style-type: none"> Monitoring by WP leaders concerned in collaboration with pilot site managers Reporting to the CEC within D1.2
Ethical codes of practice in the public sector	Relevant codes of conduct prevailing at the WeGovNow pilot sites will be identified and potential requirements on the WeGovNow platform / applications be derived from these. The WeGovNow platform / applications will then be assessed against identified requirements.	<ul style="list-style-type: none"> Monitoring by WP leaders concerned in collaboration with pilot site managers Reporting to the CEC within D1.2
Conformity of the WeGovNow platform & services with data protection legislation	A data protection impact assessment of the WeGovNow platform and applications will be conducted in the framework of consolidating the project's conceptual and methodological framework (Task 1.3).	<ul style="list-style-type: none"> Monitoring by WP leaders concerned in collaboration with pilot site managers Reporting to the CEC within D1.2
Gender equality	All efforts will be made to foster gender balance in the project team and in decision-making project consortium	<ul style="list-style-type: none"> Monitoring by WP5 leader in collaboration with pilot site managers Reporting to the CEC within annual management report
	All efforts will be made to ensure that both men and women are equally represented in community engagement activities and that gender differences are explicitly addressed in discussions	<ul style="list-style-type: none"> Monitoring by WP2 leader in collaboration with pilot site managers Reporting to the CEC within annual management report
	All efforts will be made to ensure that gender issues are adequately considered when analysing any evaluation data generated in the framework of the WeGovNow pilots	<ul style="list-style-type: none"> Monitoring by WP5 leader in collaboration with pilot site managers Reporting to the CEC within annual management report

Issue	Measure	Monitoring & reporting
	All efforts will be made to ensure that both women and men are equally represented in the project's advisory board.	<ul style="list-style-type: none"> • Monitoring by WP5 leader in collaboration with pilot site managers • Reporting to the CEC within annual management report

3.1 Generic guidance on beneficence and non-maleficence of end users participating in the project

The following principles should be considered when conducting project activities involving end users:

- The evaluation/piloting of WeGovNow services should be scientifically sound and the purpose should be to contribute to knowledge;
- The evaluation/piloting of WeGovNow services should be undertaken and supervised by those who are appropriately qualified and experienced;
- The importance of the objective should be in proportion to the inherent risk to the subject;
- The evaluation/piloting of WeGovNow services should be preceded by careful assessment of predictable risks in comparison with foreseeable benefits to the subject or to others;
- Evaluation/piloting of WeGovNow services should not be undertaken where the hazards involved are not believed to be predictable;
- Adequate facilities and procedures should be in place to deal with any potential hazards.

3.2 Generic guidance on recruitment of end users participating in the project

End users are to participate in the project at different stages of the work plan, e.g. in use case development and requirements elicitation as part of the agile platform development process as well as in the operation of validation trials at three different locations and related evaluation activities. To this end, both on-line and off-line engagement activities will be pursued. The specific mix of end user characteristics to be involved at each project stage and particular selection criteria to be applied respectively will be specified as part of a dedicated user engagement plan developed for each site under WP2 (Task 2.1). At least three different categories of users are envisaged to be involved:

- individual citizens (and, where appropriate, local residents without citizenship status);
- representatives of civil society organisations;
- staff of public administrations.

In any case, participation in project activities is to be voluntary. The recruitment procedure to be detailed as part of Task 2.1 will rely on a number of general principles:

- participation will be voluntary;
- participation will only be possible upon informed consent;
- participants will have the right to refuse or withdraw at any time without any negative repercussions.

3.3 Generic guidance on informed consent

The following principles should be considered in relation to achieving informed consent from users participating in the project:

- Each potential subject must be adequately informed of the aims, methods, anticipated benefits and potential hazards of the research and any discomfort it may entail;
- Any documentation given to potential participants should be comprehensible and there should be an opportunity for them to raise any issues of concern;
- Consent should be required in writing and records of consent should be maintained;
- Potential participants must be informed that they are free to withdraw consent to participation at any time;
- There should be a procedure for making complaints and participants should be made aware of this;
- All participants should be volunteers. Considerable care should be taken where consent is sought from those in a dependent position and it should be made clear that refusal to participate will not lead to any adverse consequences. For example, clients of public service providers must be assured that any decision not to participate will not prejudice or affect in any way the services they currently receive;
- Any inducement offered to participants should be declared and should be in accordance with appropriate guidelines;
- Consent must be obtained from a legal guardian in the case of minors or any others who do not have the legal competence to give informed consent.

It is not envisaged that persons who do not have the legal competence to give informed consent will participate in any project activities.

It is also not planned to involve vulnerable individuals whose vulnerability/stigmatisation will potentially be enhanced by the project. The topic will be revisited at regular intervals in WP2 planning discussion and adequate action taken in case that vulnerable individuals will be engaged in whatever ways. In general, user involvement within the project will adhere to the commonly accepted ethical research principles of beneficence and non-maleficence.

The operationalisation of the project's approach towards pilot evaluation in terms of evaluation techniques to be applied will be achieved by Task 4.1 (Evaluation Planning). In case any personal data is to be gathered in this context, these will be anonymised for further use by the project. It may also happen that data is to be gathered which is to be considered as confidential. In both cases informed consent will be sought from individuals involved. Two generic consent forms are annexed to this document. These will be customised to the particular circumstances prevailing at a given evaluation setting.

3.4 Generic guidance on formal ethics approval

At the European governance level, the EU Directive on Clinical Trials of 2001 requires Member States to have in place a system of ethical review of clinical research projects. With

this Directive, the European Union envisioned a harmonization of research ethics committees (REC's) across Europe, including the time taken to assess a trial proposal and the kinds of issues a committee should take into account. National ethical review systems concerning clinical research do however not tend to be geared towards ICT-related pilot projects in the public service domain more generally. As WeGovNow will not conduct a clinical trial it is not expected that the project will need to seek formal ethics approval in accordance with the European Clinical Trial Directive.

When it comes to research projects more generally, ethical review procedures tend to be in place at the University-level in many countries. These differ considerably across individual Universities when it comes to their thematic ambit and the particular assessment procedures applied. In general, they are directed towards ensuring that the conduct of research is compliant with basic principles of the protection of human rights and the dignity of the human being. The table below summarises the situation in the WeGovNow pilot countries. The project will seek advice from the competent authorities on whether formal ethical approval will be required, and if so seek ethical approval of the pilots respectively.

Exhibit 5: National bodies responsible for ethics approvals

IT	<p>In relation to clinical research, local Ethics Committees are established by the organ of administration of the public health facilities in which clinical trials are conducted. The Regional Authorities are responsible for the accreditation of the Ethics Committees working within their regions and for the transmission of the list of them to the Italian Medicines Agency. Because no clinical research is planned in WeGovNow, approval from local Ethics Committees is not required until further notice.</p> <p>At university level (UniTo), the Comitato di Bioetica dell'Università di Torino, although mainly responsible for clinical research, also needs to be asked for approval in some cases of non-medical research involving human volunteers, e.g. to ensure compliance with the Italian data protection code (Legislative Decree 196/2003). Initial investigations by the UniTo project time suggest that WeGovNow will not require approval from the Comitato di Bioetica dell'Università di Torino or another regulatory body.</p>
UK	<p>The United Kingdom Ethics Committee Authority (UKECA) has responsibility for reviewing clinical trials of investigational medicinal products. Research studies other than these are reviewed by NHS Research Ethics Committees (RECs), which are established under policy from the relevant Health Departments in each of the four UK countries. Because no clinical research is planned in WeGovNow, approval from UKECA is not required until further notice.</p> <p>At university level (University College London), all research proposals involving human participants and the collection and/or study of data derived from human participants undertaken by UCL staff or students requires ethical approval to ensure that the research conforms with general ethical principles and standards. It is the responsibility of the Head of Department to ensure that staff and students of the Department are apprised of UCL's arrangements for research governance and the associated</p>

	<p>procedures, the main components of which include UCL's Statement for Research Integrity³⁰ as well as the UCL Research Ethics Committee's constitution, terms of reference and guidelines³¹. Department Heads have final judgement as to whether a particular activity should be exempt from the requirement for approval by the Research Ethics Committee.</p> <p>The procedure for assessing whether the research foreseen in WeGovNow will require ethical approval from either the Research Ethics Committee or the Head of Department is still ongoing at the time of writing.</p>
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3.5 Generic guidance on WeGovNow platform compliance with data protection legislation

Any data processing activities within the project will be carried out in accordance with European and national data protection legislation. At the European governance level, the EU Directive 95/46/EC will remain in force until 2018. From then on, the General Data Protection Regulation (GDPR)³² will take effect. As discussed earlier in this document, all EU countries have transposed the Directive of 2005 into national laws. The WeGovNow platform and services will be assessed by the project in relation to their conformity with European and national legislation. As far as required, the project will seek advice from the competent authorities at national level.

When it comes to ensuring data privacy during the piloting process in particular, all pilot sites are to follow a common data protection protocol as follows:

- Only research/other personnel within the participating organisations should be granted access to data.
- All data must be made to be anonymous.
- Only summaries of the quantitative data should be available. Excerpts (e.g. quotations) from qualitative data may be included in any results section of any report or academic publication.
- Participants must be treated with respect at all times and their anonymity protected. Pseudonyms or codes must be used to replace any identifiers within the data. Every quotation must be made anonymous, using e.g. a pseudonym, when quotations from interviews are to be included in reports and publications arising from the pilot evaluation.
- If participants wish to talk to interviewers about sensitive issues which they wish to remain confidential, interviewers must not use what they hear in this context in any part of the pilot evaluation.

³⁰ <https://www.ucl.ac.uk/research/integrity>

³¹ <http://ethics.grad.ucl.ac.uk/>

³² Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, and repealing Directive 95/46/EC (General Data Protection Regulation)

- Personal paper based details of participants must be kept in locked filing cabinets.
- Transcription must be made anonymous
- Data (transcripts, audio and video recordings) will be kept in locked cabinets.
- Interview/focus group recording, transcription and analysis: It is essential that data is made to appear anonymous. Reference numbers must be used to identify tapes, transcriptions and data analyses.
- All information that could be used to identify the participant (names, address, and personal details) must be separated from the data permanently before analysis.
- Reports must only contain selected passages of interview transcripts and must not publish transcripts in their entirety.
- Video recordings of persons will also be separated from identifiers permanently and will not be used publicly.

3.6 Generic guidance on community engagement

Based on the general principles outlined in chapter **Fehler! Verweisquelle konnte nicht gefunden werden.** above, the table below presents some guidelines for research and development activities in WeGovNow. The resource the table is based on, namely the Practical ethics for PGIS guidelines authored by Rambaldi et al. (2006), at some places makes reference to participatory research in developing country contexts, i.e. is not always applicable to the context for piloting in WeGovNow. The guidelines have been adapted to account for this.

Exhibit 6: "Practical ethics for PGIS" Guidelines as applied to WeGovNow

Guideline	Application to WeGovNow
Be open and honest	Project representatives must explain clearly and in the local language the strengths and limits of their ability to influence outcomes, and no claims must be made for results that are not within the power of the project to achieve.
Purpose: which purpose? and whose purpose?	Be certain and clear about the purpose – why do people get involved in this particular activity? Before embarking on the process, discuss openly the objectives of the activity and what the different parties may expect from it.
Obtain informed consent	As in any research with people, participation must be voluntary (see section Fehler! Verweisquelle konnte nicht gefunden werden.). In order for participation to be voluntary, the participant needs to know what kind of output is generated based on their contribution (showing them an example would be ideal), the type of information that will be uploaded to the application, and the possible implications of the information being made public.
Recognise that you are working with socially differentiated communities	Be aware that the internal workings of socially differentiated communities are very context dependant and unpredictable. It will be impossible to prevent unintended consequences.

Guideline	Application to WeGovNow
Avoid raising false expectations	Any community engagement activity in WeGovNow is liable to raise expectations of some benefit, even when the project representative explains that few concrete changes may follow from the interaction. Opening up the space to map local expectations and negotiate the objectives may reduce the risk of raising unrealistic expectations.
Invest time and resources in building trust	Trust between project representatives and community members is the building block upon which good community engagement practice is founded.
Don't rush	Accept the fact that participatory approaches need time and are generally slow, and factor the time variable in your intervention schedule. The project workplan needs to take account of the possibility of delays in engagement processes, while of course still recognising the fact that the overall project duration is fixed.
Be considerate in taking people's time	Time is a precious resource to almost everybody. Although residents are often polite, hospitable and deferential to researchers interested in their lives, project representatives still need to realise the sacrifices people are making. Duplication of activities should be avoided wherever possible.
Be flexible	Despite the necessity for a long-range vision, the approach should remain flexible, adaptive, and recursive, without sticking rigidly to pre-determined tools and techniques, or blindly to the initial objectives of the engagement exercise.
Select ICT that is adapted to local environmental conditions and human capacities	Choose the appropriate technology with the objective to grant equal access to and control over it by all community members, where necessary by community-nominated intermediaries.
Do not sacrifice local perception of space in the name of precision	Spatial precision is relative and only has value when very detailed data on boundaries or areas is needed. Too often the emphasis is on precise measurements rather than on seeking and checking what are the spatial phenomena the people are really talking about.
Be careful in avoid causing tensions or violence in a community	While this guideline has been developed with rural developing country contexts in mind, Europe's larger cities also have their fair share of tensions between groups of citizens. Within-group tensions also need to be taken into account, such as when women from ethnic minorities take part in participatory activities without the consent of their husbands, who when finding out about it become angry.
Put local values, needs and concerns first	Instances may arise where a course of action is beneficial to the needs of the associated research effort, but is significantly counter-productive in meeting the community's needs. The ethical approach is to find alternative courses of action that are suitable to the community's needs. Local people and their communities are the principals or partners, not the clients. So their participation is essential in the process of determining the purpose of a community engagement initiative.
Stimulate spatial learning and	Refrain from extracting or eliciting information only for the

Guideline	Application to WeGovNow
information generation rather than mere data extraction for outsider's analysis and interpretation	outsiders' benefit. If research is the only purpose, be open and honest, seek permission and do your best to share benefits. This is a major issue with local knowledge of commercial value.
Focus on local expertise	The aim here to to understand local culture, society, spatial cognition, and livelihoods, local resources, hazards and options, etc., and all of these relate to the urban sphere.
Prioritise the use of local toponomy (the meaning of geographic names)	This will help ensure understanding, ownership, and to facilitate communication between insiders and outsiders.
Ensure genuine custodianship	Ensure that the original physical output of a participatory mapping exercise stays with those who generated it and specifically with a trusted entity nominated by the informants. Taking outputs away – even if for a short time – is an act of disempowerment. Those who generated the spatial information must not be deprived of their intellectual property (IP) and effort.
Be ready to deal with new realities which will emerge from the process	Visualising and geo-referencing local knowledge is likely to change the way space is perceived and understood by both the informants and the wider public affected by the mapping exercise. Such changes may influence power relations and hierarchies, and induce new conflicts or inflame latent ones. Provisions have to be made to eventually deal with new conflicting realities.
Observe the processes	This increases understanding on both sides. Ask questions, probe, ask for explanations, e.g. why are there regularities and why anomalies in the results?
Ensure that the outputs of the mapping process are understood by all those concerned	Ensure that the look & feel of the electronic map is developed in consultation with informants and end users.
Acknowledge the informants	If not prejudicial to the security of the informants, and with their prior consent, include the names of the contributors to the generated maps and/or data sets.
Review and revise the maps	The maps are never final or static. They are not 'cast in stone' – they have to be crosschecked, improved, and updated, for which the electronic format is ideally suited.
Facilitators need to be properly trained	Training should include modules on personal behaviour and attitudes, the ethics of community engagement, and trust building.

Source: Adapted from Rambaldi et al. (2006), pp. 107-112.

3.7 Generic guidance on gender equality

Pilot site managers are asked to ensure that local project teams are fully aware of the gender dimension of any community engagement activity planned within the framework of the WeGovNow project. The following list of questions derived from the work of the

“Gender in EU-funded Research” toolkit³³ should be used for discussing relevant issues concerning the practical implications of WeGovNow’s commitment to gender equality:

- How will the pilot site team ensure that the local civil society organisations to be involved in the deliberative processes represent both men’s and women’s interests?
- Will gender differences be explicitly addressed in the discussions and during the workshops and conferences?
- Will the pilot site achieve a balanced representation of men and women among the participants and speakers in local events such as workshops, conferences, mapping parties?

As a general rule, project partners should seek:

- strong participation of female researchers in the project, wherever possible aiming for a share of 40% of women in research teams as measured by number of participants or person hours spent on the project;
- at least 40% share of each gender in members of the Project Advisory Board;
- gender balance in any decision-making processes and bodies at the pilot sites;
- at least 40% share of each gender in groups of external parties advising the project at pilot sites;
- use of moderation techniques (at meetings and workshops) which make sure that female participants are given as much voice as males.

Consortium partners with responsibility for pilot site activities are recommended to provide their staff with gender training. As stipulated in the annex of the Horizon 2020 Work Programme, costs for this type of training are eligible for funding from the project budget. The objective is to encourage researchers to further develop and share gender expertise in relation to WeGovNow community engagement activities.

Data on gender management in WeGovNow will be collected regularly by the coordinator and then analysed and reported in the periodic progress reports. For this purpose, each project partner is asked to report on an annual basis data on:

- % of women participants in WeGovNow project team;
- % of person hours in WeGovNow worked by women;
- % of women participating in community engagement activities at pilot sites;
- % of women in groups of external parties advising the project at pilot sites.

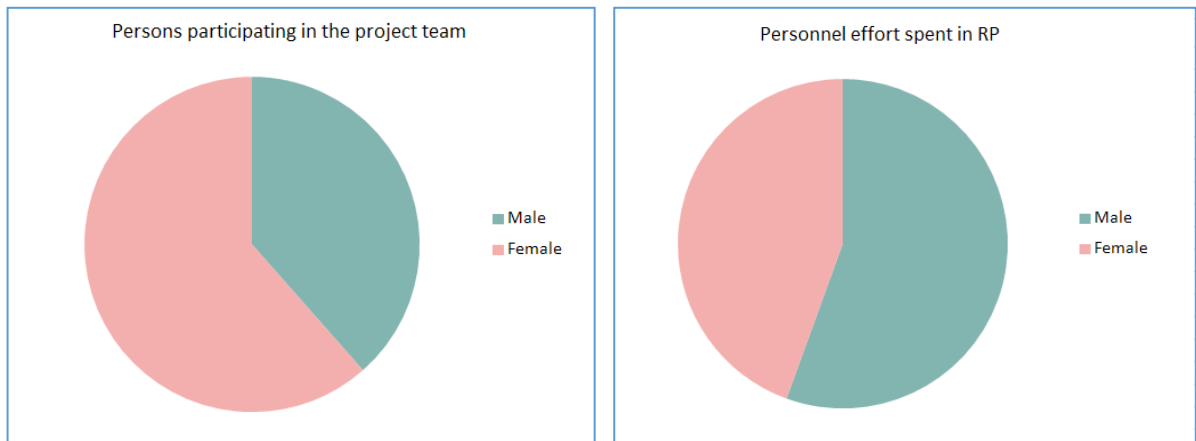
In addition, the coordinator will compile data on:

- % of women participants in the Project Advisory Board
- % of women participants in meeting of the Project Advisory Board and other

The data will be reported in total numbers and percentages wherever appropriate, as in the example shown below.

³³ http://www.yellowwindow.com/genderinresearch/index_downloads.html

Exhibit 7: Example of format for reporting gender data in periodic progress report



4 Annex: Consent form templates

4.1 Generic Consent Form Template – Anonymous Data

I understand that my participation in the WeGovNow project will involve [*provide brief description of what is required, e.g. ...completing two questionnaires about my attitudes toward controversial issues which will require approximately 20 minutes of my time.*].

I understand that participation in this project is entirely voluntary and that I can withdraw from the project at any time without giving a reason.

I understand that I am free to ask any questions at any time. I am free to withdraw or discuss my concerns with [*name*].

I understand that the information provided by me will be held totally anonymously, so that it is impossible to trace this information back to me individually. I understand that this information may be retained indefinitely.

I also understand that at the end of the project I will be provided with additional information and feedback about the purpose of the project.

I, _____ (NAME) consent to participate in the project conducted by [*name*]

Signed:

Date:

4.2 Generic Consent Form Template- Confidential Data

I understand that my participation in the WeGovNow project will involve [*provide brief description of what is required, e.g., ...completing two questionnaires about my attitudes toward controversial issues which will require approximately 20 minutes of my time.*].

I understand that participation in this project is entirely voluntary and that I can withdraw from the project at any time without giving a reason and without penalty.

I understand that I am free to ask any questions at any time. I am free to withdraw or discuss my concerns with [*name*].

[select one of the two following paragraphs depending on design]:

I understand that the information provided by me will be held confidentially, such that only the [*name(s) of project team members where applicable*] can trace this information back to me individually. The information will be retained for up to [*state amount of time data will be held*] when it will be deleted/destroyed. I understand that I can ask for the information I provide to be deleted/destroyed at any time and I can have access to the information at any time.

OR IF DATA IS TO BE EVENTUALLY ANONYMISED:

I understand that the information provided by me will be held confidentially, such that only [*name(s) of project team members where applicable*] can trace this information back to me individually. I understand that my data will be anonymised [*state when this will happen, for example at the end of the project or on a specific date*] and that after this point no-one will be able to trace my information back to me. The information will be retained for up to [*state amount of time data will be held*] when it will be deleted/destroyed. I understand that I can ask for the information I provide to be deleted/destroyed at any time up until the data has been anonymised and I can have access to the information up until the data has been anonymised.

I also understand that at the end of the project I will be provided with additional information and feedback about the purpose of the project.

I, _____(NAME) consent to participate in the project conducted by [*name*]

Signed:

Date:

END OF D6.2