



# D1.4 ETHICS, GENDER & SECURITY REQUIREMENTS REPORT

2024/04/30



Grant Agreement No.: 101123150  
 Call: HORIZON-CL5-2022-D4-02  
 Topic: HORIZON-CL5-2022-D4-02-05  
 Type of action: HORIZON Innovation Actions

# D4.1 ETHICS, GENDER & SECURITY REQUIREMENTS REPORT

Work package	WP 1
Task	Task 1.5
Due date	2024/04/30
Submission date	2024/04/30
Deliverable lead	CENTRE FOR RENEWABLE ENERGY SOURCES AND SAVING (CRES)
Version	2.0
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Abstract	This deliverable describes the ethics, gender & security requirements that the project must comply with, and the procedures ensuring that these requirements are fulfilled throughout all project activities, in accordance with EU principles and values. Emphasis is given to project specific aspects. An approach beyond traditional ethics and gender monitoring is adopted, integrating ethics, security and gender dimension into research and innovation activities, stakeholder engagement and project management, also considering open access aspects and educating partners in gender equality in science.
Keywords	Ethics, gender, security

## DOCUMENT DISSEMINATION LEVEL

Dissemination Level	
X	PU - Public
	SEN - Sensitive

## DOCUMENT REVISION HISTORY

Version	Date	Description of change	List of contributor(s)
0.1	2024/01/24	Definition of the Table of Contents	CRES
0.2	2024/02/02	1 <sup>st</sup> draft of Chapters 2, 3 and 4 ready	CRES
0.3	2024/04/02	1 <sup>st</sup> draft for reviewers	CRES
0.4	2024/04/09	1 <sup>st</sup> Revision	HIOF
0.5	2024/04/16	2 <sup>nd</sup> Revision	AID
0.6	2024/04/25	2 <sup>nd</sup> draft	CRES
0.7	2024/04/25	3 <sup>rd</sup> Revision	LURTIS
0.8	2024/04/26	Final draft for coordinator	CRES
1.0	2024/04/29	Final version	
2.0	2024/07-24	Revision of questionnaires	CRES

## STATEMENT ON MAINSTREAMING GENDER

The SNUG consortium is committed to including gender and intersectionality as a transversal aspect in the project’s activities. In line with EU guidelines and objectives, all partners – including the authors of this deliverable – recognize the importance of advancing gender analysis and sex-disaggregated data collection in the development of scientific research. Therefore, we commit to paying particular attention to including, monitoring, and periodically evaluating the participation of different genders in all activities developed within the project, including workshops, webinars and events but also surveys, interviews and research, in general. While applying a non-binary approach to data collection and promoting the participation of all genders in the activities, the partners will periodically reflect and inform about the limitations of their approach. Through an iterative learning process, they commit to plan and implement strategies that maximize the inclusion of more intersectional perspectives in their activities.

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How to cite this report: SNUG (2024). D1.4 Ethics, Gender and Security Requirements Report. <https://snugproject.eu/>

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2	BECSA SOCIEDAD ANONIMA	BEC	ES
2.1	GLOBALCYCLUS SL	GLO	ES
3	ASOCIACION EMPRESARIAL DE INVESTIGACION CENTRO TECNOLOGICO DE LA CONSTRUCCION REGION DE MURCIA	CTCON	ES
4	UNIVERSITY OF STUTTGART	UST	DE
5	CHIMAR (HELLAS) AE - ANONYMI VIOMICHANIKI KAI EMPORIKI ETAIREIA CHIMIKON PROIONTON	CHI	EL
6	CRH NEDERLAND BV	CRH	NL
7	F6S NETWORK LIMITED	F6S	IE
8	CENTRE FOR RENEWABLE ENERGY SOURCES AND SAVING FONDATION	CRES	EL
9	BRIMATECH RESEARCH GGMBH	BRI	AT
10	KEEY AEROGEL	KEEY	FR
11	AUSTRIAN STANDARDS INTERNATIONAL - STANDARDISIERUNG UND INNOVATION	ASI	AT
12	HOGSKOLEN I OSTFOLD	HIO	NO
13	KASTAMONU ENTEGRE AGAC SANAYI VE TICARET ANONIM SIRKETI	KEAS	TR
14	TAKKENKAMP GROEP B.V.	TAK	NL
15	AGITEC AG	AGI	CH
16	LURTIS LTD	LUR	UK

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## EXECUTIVE SUMMARY

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This deliverable describes the ethics, gender & security requirements that the project must comply with, and the procedures ensuring that these requirements are fulfilled throughout all project activities, in accordance with EU principles and values.

Emphasis is given to project specific aspects, such as the specific requirements during the conduction of project surveys and interviews and also for the development of decision support tools and the use of artificial intelligence technologies. The specific requirements for the project activities that will be carried out in non-EU countries and for importing, transporting, and using sensitive materials, are also discussed.

The report adopts an approach beyond traditional ethics and gender monitoring, integrating ethics, security, and gender dimensions into research and innovation activities, stakeholder engagement, and project management, also considering open access aspects and educating partners on gender equality in science.

The report introduces an innovative approach of periodic monitoring, through which partners are trained on the ethical, gender, and safety dimensions of the projects. To this end, self-assessment questionnaires on ethics, gender, and safety will be distributed to all partners. The monitored data will be analysed and, if necessary, corrective actions will be proposed.

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## 1 INTRODUCTION

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Deliverable D1.4 describes the ethics, gender & security requirements that the project must comply with, and the procedures ensuring that these requirements are fulfilled throughout all project activities, in accordance with the EU's Charter of Fundamental Rights [1], the European Convention on Human Rights and its Supplementary Protocols [2], the EU Regulation 2021/695 establishing Horizon Europe programme [3] and the European Code of Conduct for Research Integrity [4]. Emphasis is given to project specific aspects such as activities carried out in non-EU countries, importing materials from third countries to EU, exporting materials from EU to third countries, use of artificial intelligence, as well as surveys of users' and stakeholders' opinions. An approach beyond traditional ethics and gender monitoring is adopted, integrating ethics, security and gender dimension into research and innovation activities, stakeholder engagement and project management, also considering open access aspects and educating partners in gender equality in science.

This document (SNUG deliverable D1.4) will be distributed to all personnel working for the SNUG project.

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## 2 ETHICS

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According to the SNUG Grant Agreement [5], the action must be carried out in line with the highest ethical standards and the applicable EU, international and national law on ethical principles. In addition, project partners must commit to and ensure the respect of basic EU values (such as respect for human dignity, freedom, democracy, equality, the rule of law and human rights, including the rights of minorities).

Moreover, all SNUG participants must carry out the action in compliance with ethical principles (including the highest standards of research integrity) and applicable EU, international and national law, including the EU Charter of Fundamental Rights [1] and the European Convention for the Protection of Human Rights and Fundamental Freedoms and its Supplementary Protocols [2]. Activities carried out of EU must be legal in at least one EU Member State.

Furthermore, project partners must pay particular attention to the principle of proportionality, the right to privacy, the right to the protection of personal data, the right to the physical and mental integrity of persons, the right to non-discrimination, the need to ensure protection of the environment and high levels of human health protection.

Before starting an action task raising ethical issues, project partners must have obtained all approvals or other mandatory documents needed for implementing the task. The documents must be kept on file together with an English summary.

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### 2.1 Research Integrity

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All SNUG partners must respect the fundamental principle of research integrity, as set out in the European Code of Conduct for Research Integrity [4]. This implies compliance with the following principles:

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

and means that project partners must ensure that persons carrying out research tasks follow the good research practices including ensuring, where possible, openness, reproducibility and traceability and refrain from the research integrity violations described in the Code [4].

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## 2.2 Artificial intelligence

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Using AI, among other IT solutions, we intend to improve the thermal and environmental performance of a set of materials. The AI will be used to support users on the decisions uptake on the solution to be used, but it won't take into account any personal data, or like.

The following principles [6], relevant to SNUG AI systems developed, will be followed.

Personal data:

- Personal data collected or processed by AI will be anonymized. For this purpose it is recommended to use a user ID instead of personal data.
- There will be appropriate security measures in place to prevent data breaches and leakages.
- No sensitive data will be collected, such as sex, race, ethnic social origin, age, disability, sexual orientation, religion, political affiliation, etc.).

Fairness:

- The system is designed to avoid algorithmic bias, in input data, modelling and algorithm design.

Transparency:

- The end-users are aware that they are interacting with an AI system.
- The purpose, capabilities, limitations, benefits and risks of the AI system and of the decisions conveyed are openly communicated to and understood by end-users and other stakeholders along with its possible consequences.
- The AI system enables traceability during its entire lifecycle, from initial design to post-deployment evaluation and audit.
- The system offers details about how decisions are taken and on which reasons these were based.

Accountability:

- The AI system allows for human oversight during the entire life-cycle of the project /regarding their decision cycles and operation

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## 2.3 Interviews and Surveys

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A quantitative survey on building owners' and users' attitudes, behavior and needs will be conducted, focusing on their awareness, acceptance, behavior-related factors affecting the applicability of the developed technologies, willingness to pay, etc. The survey will collect opinions on specific

characteristics of the technologies under examination. In addition, a two-phase survey targeting the real users of all the demo sites will be performed; the survey will be conducted before the project interventions, as well as after the interventions, in order to examine the projects' real effects. Both permanent and non-permanent users will be taken into account. Local partners will assist conducting implementation actions in their countries. The insights of these activities will also provide input to the overall exploitation strategy, focusing on the element of user acceptance of the developed technologies.

**All data collected during SNUG activities including interviews, surveys, questionnaires, decision support tools and artificial intelligence will be anonymized. Participation will be free and voluntary, and the interviewed persons shall receive an informed consent note (by e-mail or/and in the beginning of the questionnaires), before answering any question or providing any information.**

For consent to data processing to be 'informed', the data subject must be provided with detailed information about the envisaged data processing in an intelligible and easily accessible form, using clear and plain language. As a minimum, this should include:

- the identity of the data controller;
- the specific purpose(s) of the processing for which the personal information or opinion will be used;
- the subject's rights as guaranteed by the EU's General Data Protection Regulation [7] and the EU Charter of Fundamental Rights, in particular the right to withdraw consent or access their data, the procedures to follow should they wish to do so, and the right to lodge a complaint with a supervisory authority;
- information as to whether data will be shared with or transferred to third parties and for what purposes; and
- how long the data will be retained before they are destroyed.
- the data subjects must also be made aware if data are to be used for any other purposes, shared with research partners or transferred to organizations outside the EU.

Any data recovered will be managed under EU legislation.

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## 2.4 Health and Safety

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Health and safety aspects potential risks identified in the industrialization process are described in detail in deliverable D3.5 "Health and Security assessment of developed thermal insulation solutions" and the ones corresponding to the demonstration sites in deliverable D6.2 "Health and Security assessment related to the demonstrators"

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## 2.5 Non-EU countries: UK and Switzerland

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Activities will be carried out in non-EU countries include development of artificial intelligent and software in the UK, as well as technology development of aerogels and set up of one real demonstration site in Switzerland.

In addition, aerogel's solutions will be imported from Switzerland to EU member states. The legislation of Switzerland and the importing EU member state guiding the export, import, transport, handling and use of aerogel's solutions will be followed.

Moreover, different solutions upscaled to be installed in the real demonstrators, such as biobased panels made of lignocellulosic wastes, aerated concrete blocks, and plasters made of developed aerogels from RCD's, will be exported from EU member states to Switzerland, or will be developed in Switzerland and tested in Spain, e.g. PureFlex wastes. The corresponding EU Member State and Switzerland legislation will be followed. In addition the following documents will be provided:

- Copies of import/export licenses
- Material Transfer Agreement

EU's ethics requirements, including personal data, will be followed together with relevant National legislation provisions.

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## 2.6 Developing, low-middle income countries: Turkey

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Collecting personal data from research subjects in non-EU countries raises similar ethical issues, but these may be amplified by the need to ensure that the participants are:

- wholly comfortable with being part of a research project conducted by researchers from outside their own country;
- aware of what will happen to their data; and
- not subject to any undue pressure to participate.

EU's ethics requirements, including personal data, will be followed together with relevant National legislation provisions.

The following agricultural residues may be imported from Turkey to EU and/or Switzerland or vice-versa: such as paulownia, Posidonia, rice shell, hemp, other. For these items the following documents will be available:

- details on the type of local resources to be used and modalities for their use
- documentation showing compliance with the UN Convention on Biological Diversity [8] and the National Biodiversity Strategy and Action Plan [9] (e.g. access permit and benefit sharing agreement)

The following benefit sharing actions will be planned, documented and implemented by Turkish partners:

- benefit sharing measures
- responsiveness to local needs
- procedures to facilitate effective capacity building

The following safety measures will be taken for SNUG participants when visiting Turkey:

- staff training to accurately assess and preventatively manage the risks associated with business travel, provided by local partners
- insurance cover to personnel by his/her organisation
- additional measures recommended by local partners

In order to avoid any ethics damping in addition to the European Code of Conduct for Research Integrity [4], collaboration with Turkish partners, as well as activities carried out in Turkey will also respect the TRUST Global Code of Conduct for Equitable Research Partnerships [10].

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## 2.7 Import, transport and use of sensitive materials: hemp

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Hemp is a strain of the cannabis plant that grows for industrial use. It is a tall, fibrous plant that people have used for thousands of years for its strong fibers. It can make paper, textiles, and even building materials. Hemp is also rich in cannabidiol (CBD), which is a non-psychoactive compound that is believed to have a range of health benefits. [11], [12]

The European Commission recognizes that Hemp can play a significant role towards improving energy efficiency in the building sector [13]. The corresponding EU legislation is presented in [13]. In general, an import license is required.

Handling, transporting, importing and exporting of hemp may be subjected to dedicated legal provisions, depending on the county concerned. Any SNUG partner working with hemp must have obtained all approvals or other mandatory legal documents needed from national or local authorities. These documents must be kept on file and available upon request, together with an English summary. The English summary should show that the documents cover the action tasks related with hemp and should include the conclusions of the committee or authority concerned.

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### 3 GENDER DIMENSION

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According to the SNUG Grant Agreement [5], the gender dimension is an integral part of SNUG and shares the viewpoint of the Gendered Innovations document [14] and the Gender Equality and Diversity in R&I factsheet [15] of the European Commission.

As the project acknowledges the importance of alleviating existing gender inequities and to ensure that research meets the needs of all users, the concepts of sex and gender will be defined in the initial phase, including an examination of aspects addressed within the activities dealing with stakeholder engagement. The user's vision research will include an intersectional approach to gender, ethnicity, age, socioeconomic status, etc. All monitored such characteristics that might be included in the questionnaire, will be other anonymous (questionnaires), either anonymized (interviews).

Gender dimension will be addressed to ensure that the products /services /methodologies developed are attractive and easy to use for both men and women. Intersectoral aspects such as age or disabilities will be considered together with the gender in the design and requirements phases to improve the acceptance of the final outcomes. In addition, we will check if users' attitudes, behavior and needs focusing on their awareness, acceptance, behavior-related factors differ among men and women.

SNUG will guarantee responsible research not only considering gender aspects, but avoiding any type of discrimination, including open science priorities, and encouraging the participation of women in the R&I process.

The gender component will be included in all activities, e.g. equal representation in the surveys, interviews and workshops. Surveys, stakeholder consultation, and communication activities will use the gendered innovations approach, which the EC DG Research and Innovation promote.

The following Exploitable Results (ER) will include gender dimension in its development: ER1-New constructive solutions will be easier to place on site which will balance opportunities for construction workers with different physical capacities.

Each project partner must take all measures to promote equal opportunities between men and women in the implementation of the action and, where applicable, in line with its gender equality plan. They must aim, to the extent possible, for a gender balance at all levels of personnel assigned to the action, including at supervisory and managerial level. KPIs that will be monitored (through collecting and elaborating data from relevant questionnaire, see Annex I) are:

- Number of women involved in the SNUG project
- Proportion of women involved in the SNUG project
- Number of PhD graduates by sex
- Proportion of women PhD graduates
- Number of researchers, by sex
- Proportion of women researchers

- Proportion of women in management positions
- Women to men ratio as authors in project publications
- Women to men ratio as corresponding authors in project publications
- Proportion of project partners that adopted gender equality plans
- Women to men ratio of inventorships (patents)
- Percentage of publications with a gender dimension in their research content

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## 4 SECURITY ASPECTS

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### 4.1 Personal data

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According to the SNUG Grant Agreement [5], project partners must ensure that personal data is (a) processed lawfully, fairly and in a transparent manner in relation to the data subject, (b) collected for specified, explicit and legitimate purposes and not further processed in a manner incompatible with those purposes, (c) adequate, relevant and limited to what is necessary in relation to the purposes for which they are processed, (d) accurate and, where necessary updated, (e) kept in a form which does not permit identification of data subjects and (f) processed in a manner that ensures appropriate security of the personal data.

The security provisions of data (including personal) are included in the data management plan (deliverable D3.1), which will be drafted during the first months of the project and, if necessary, will be modified and updated in a later stage, so that personal privacy is guaranteed.

**All data collected during SNUG activities including interviews, surveys, questionnaires, decision support tools and artificial intelligence will be anonymized, and participants will provide their informed consent beforehand,** as described in subchapter 2.3.

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### 4.2 Confidential information

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According to the SNUG Grant Agreement [5], project partners, their associated organizations and subcontractors must keep confidential any data, documents or other material (in any form) that is identified as sensitive in writing ('sensitive information') during the implementation of the action and for at least for 5 years after the end of the SNUG project. If a beneficiary requests, the granting authority may agree to keep such information confidential for a longer period. Unless otherwise agreed between the parties, they may use sensitive information only to implement the Agreement.

The project partners may disclose sensitive information to their personnel or other participants involved in the action only if they: (a) need to know it in order to implement the Agreement and (b) are bound by an obligation of confidentiality.

The confidentiality obligations no longer apply if (a) the disclosing party agrees to release the other party, (b) the information becomes publicly available, without breaching any confidentiality obligation, and (c) the disclosure of the sensitive information is required by EU, international or national law.

Before starting the action tasks concerned, the project partners must have obtained all approvals or other mandatory documents needed for implementing the task. The documents must be kept on file and be submitted upon request by the coordinator to the granting authority. If they are not in English, they must be submitted together with an English summary.

Sensitive information with a security recommendation must comply with the additional requirements imposed by the granting authority. For requirements restricting disclosure or dissemination, the information must be handled in accordance with the recommendation and may be disclosed or disseminated only after written approval from the granting authority.

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### 4.3 Classified information

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The SNUG project does not involve, use or generate any classified information.

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### 4.4 Development and demonstration of thermal insulation solutions

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End user needs in terms of security of new thermal insulation solutions are described in deliverable D2.1, security assessment of the developed thermal insulation solutions by the SNUG project is described in deliverable D3.5, and security assessment of the demonstrators is included in deliverable D6.2.

Building simulations carried out and the digital tool assistant (DTA) that will be developed should have a security component and an assurance for owners of the demo building.

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### 4.5 Dissemination of results

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Security aspects mentioned in this chapter should be respected when disseminating project results.

Also, open access to the project results is described in deliverable D1.3 Data Management Plan (DMP). The DMP determines and explains what data generated by the project's research will be made available for open access based on the Guidelines on Data Management Plan in Horizon Europe and defines the rules for future use of the data.

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## 5 ETHICS, GENDER & SECURITY SELF ASSESSMENT

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Within one month after the approval of this deliverable by the European Commission services and then every reporting period, each partner of the SNUG project will complete the following:

1. Ethics and security self-assessment questionnaire
2. Gender dimension self-assessment questionnaire

The corresponding documents are included as Annexes. The elaborated answers will be stored in the project Teams repository (WP1/Task1.5). If necessary, the questionnaire templates will be updated to address the needs of each reporting period.

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## 6 CONCLUSIONS

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This report outlines the project's ethics, gender & security requirements that the whole consortium must comply with, as well as the procedures that will be followed to ensure that these requirements are met throughout the project duration by all partners.

The report includes both general ethics, gender, and security related topics and also the ones tailored to the SNUG project. All project activities must comply with EU's Charter of Fundamental Rights, the European Convention on Human Rights and its Supplementary Protocols, the EU Regulation 2021/695 establishing Horizon Europe programme, and the European Code of Conduct for Research Integrity. Special ethics and security requirements are given for the conduction of project surveys and interviews and also for the development of decision support tools and the use of artificial intelligence technologies. The specific ethics and security requirements for the activities that will be carried out in non-EU countries and for importing, transporting, and using sensitive materials, are also discussed. Moreover, specific requirements to include the gender component in all project activities are included.

The report adopts an innovative periodic monitoring approach, through which partners are educated in ethics, gender & security project dimensions. For this, self-assessment questionnaires on ethics, gender, and security will be distributed to all partners. The monitored data will be analysed and if necessary, corrective suggested actions will be proposed.

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## 7 ANNEX I: CONSENT NOTE FOR QUESTIONNAIRES AND INVITATIONS FOR INTERVIEWS

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Questionnaires or invitations for interviews should include a consent note, which should include at least the following information:

### **Consent Note Contents**

- a) identity of data controller;
- b) specific purpose(s) for which the personal data will be used;
- c) commitment of the responsible of the interviews/surveys to respect the EU's 2016/679<sup>1</sup> regulation and EU Charter of Fundamental Rights, including the procedure in case the data subjects would like to withdraw consent or access their data;
- d) information on potential data sharing - and the purpose for this - with third parties, research partners and organisations outside the EU.

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<sup>1</sup> Consolidated text: 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)



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## 8 ANNEX I: ETHICS & SECURITY SELF-ASSESSMENT QUESTIONNAIRE

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REPORTING PERIOD: \_\_\_\_\_

### A. Background information

Please select your organisation.

- AID
- BEC
- GLO
- CTC
- UST
- CHI
- CRH
- F6S
- CRES
- BRI
- KEEY
- ASI
- HIO
- KEAS
- TAK
- AGI
- LUR

Please fill in your name

.....

Please fill in your e-mail

.....

## B. Ethics related European legislation

Please read (links are included in footnotes) and indicate whether your activities and research work comply with the following European legislation:

	Yes	No
EU Charter of Fundamental Rights <sup>2</sup>	<input type="radio"/>	<input type="radio"/>
European Convention for the Protection of Human Rights and Fundamental Freedoms and its Supplementary Protocols <sup>3</sup>	<input type="radio"/>	<input type="radio"/>
EU Regulation 2021/695 establishing Horizon Europe programme <sup>4</sup>	<input type="radio"/>	<input type="radio"/>

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<sup>2</sup> European Union, Charter of Fundamental Rights of the European Union, Official Journal of the European Union C 326/391-407, 26 October 2012, available at: [http://data.europa.eu/eli/treaty/char\\_2012/oj](http://data.europa.eu/eli/treaty/char_2012/oj), accessed 26 March 2024

<sup>3</sup> Council of Europe, European Convention for the Protection of Human Rights and Fundamental Freedoms, as amended by Protocols Nos. 11 and 14, 4 November 1950, ETS 5, available at: <https://www.refworld.org/docid/3ae6b3b04.html>, accessed 26 March 2024

<sup>4</sup> European Union, Regulation (EU) 2021/695 establishing Horizon Europe programme, Official Journal of the European Union L 170/1-68, 12 May 2021, available at: <http://data.europa.eu/eli/reg/2021/695/oj>, accessed 26 March 2024

### C. Research Integrity

Please read (link is included in footnote) and declare whether your activities and research work comply with the following European code:

	Yes	No
European Code of Conduct for Research Integrity <sup>5</sup>	<input type="radio"/>	<input type="radio"/>

In particular, does your organisation comply with the following principles of Research Integrity?

	Yes	No
Reliability in ensuring the quality of research	<input type="radio"/>	<input type="radio"/>
Honesty in developing, undertaking, reviewing, reporting and communicating research in a transparent, fair and unbiased way	<input type="radio"/>	<input type="radio"/>
Respect for colleagues, research participants, society, ecosystems, cultural heritage and the environment	<input type="radio"/>	<input type="radio"/>
Accountability for the research from idea to publication	<input type="radio"/>	<input type="radio"/>

Does your research activities provide benefits of participation for the involved stakeholders (e.g. development of research infrastructure, distribution of results, publications, access to data, intellectual property, technology transfer).?

- Yes
- No

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<sup>5</sup> ALLEA (2023) The European Code of Conduct for Research Integrity – Revised Edition 2023. Berlin. DOI 10.26356/ECOC available at: <https://allea.org/wp-content/uploads/2023/06/European-Code-of-Conduct-Revised-Edition-2023.pdf>, accessed 26 March 2024

### D. Artificial Intelligence (AI)

Is your organization involved in the development of Artificial Intelligence (AI) in the framework of the implementation of SNUG project during the current ethics & security assessment period?

- Yes
- No

If yes, please answer the following questions.

Please read (link is included in footnote) and indicate whether your activities and research work comply with the following European document on Artificial Intelligence:

	Yes	No
European Commission, Ethics By Design and Ethics of Use Approaches for Artificial Intelligence <sup>6</sup>	<input type="radio"/>	<input type="radio"/>

In particular, does your organization comply with the following principles throughout the AI solutions development?

	Yes	No
Personal data protection and Privacy is ensured, in compliance with the relevant EU and/or national legislation (anonymised personal data, enforcement of security measures to prevent data leakages, no sensitive personal data collection)	<input type="radio"/>	<input type="radio"/>
Fairness principle is applied	<input type="radio"/>	<input type="radio"/>
Transparency principle is applied	<input type="radio"/>	<input type="radio"/>
Accountability principle is applied	<input type="radio"/>	<input type="radio"/>

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<sup>6</sup> European Commission, Ethics By Design and Ethics of Use Approaches for Artificial Intelligence, 25 November 2021, available at: [https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/ethics-by-design-and-ethics-of-use-approaches-for-artificial-intelligence\\_he\\_en.pdf](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/ethics-by-design-and-ethics-of-use-approaches-for-artificial-intelligence_he_en.pdf), accessed 26 March 2024

### E. Interviews, surveys and decision support tools

Do your activities and research work - in the framework of the implementation of SNUG project during the current assessment period - include the conduction of interviews, or/and surveys, and/or the development of decision support tools or AI?

- Yes
- No

If yes, please answer the following questions.

Does your organisation comply with the following requirements throughout the conduction of the interviews or/and surveys and/or the development of decision support tools or/and AI?

	Yes	No
Was the collected data anonymized?	<input type="radio"/>	<input type="radio"/>
Was the participation to the interviews/surveys/questionnaires/decision support tools free and voluntary?	<input type="radio"/>	<input type="radio"/>
Was Data Protection and Privacy ensured, in compliance with the relevant EU and/or national legislation?	<input type="radio"/>	<input type="radio"/>
Have the interviewed persons/participants in surveys and/or in decision support tools received an informed consent note before answering questions?	<input type="radio"/>	<input type="radio"/>
Did this consent note include at minimum the following: a) identity of data controller; b) specific purpose(s) for which the personal data will be used; c) commitment of the responsible of the interviews/surveys to respect the EU's 2016/679 <sup>7</sup> regulation and EU Charter of Fundamental Rights, including the procedure in case the data subjects would like to withdraw consent or access their data; d) information on potential data sharing - and the purpose for this - with third parties, research partners and organisations outside the EU?	<input type="radio"/>	<input type="radio"/>
Were the principles of the individual informed consent/assent note well documented (in writing) and followed?	<input type="radio"/>	<input type="radio"/>

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<sup>7</sup> Consolidated text: 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)

## F. Activities in non-EU countries

Is your organization involved in activities carried out in non-EU countries, in the framework of the implementation of SNUG project during this assessment period?

- Yes
- No

If yes, please answer the following questions.

Please declare whether the activities carried out of European Union would have been allowed in at least an EU member state

- Yes
- No

Does your organization plan to import any material (other than data) from a non-EU countries into the EU or from an EU country to a non-EU country? For data imports see Section I of this questionnaire.

- Yes
- No

If yes, have you followed the national non-EU country and the importing EU member state legislation guiding the export, import, transport, handling and use of imported material?

- Yes
- No



**G. Activities in developing, low-middle income countries: Turkey**

Is your organization involved in activities carried out in low-middle income countries?

- Yes
- No

If yes, please answer the following questions.

Please indicate which benefit-sharing actions have you planned, documented and implemented, during the current ethics & security assessment period.

.....  
.....  
.....  
.....

Will the research contribute to the development of local expertise?

- Yes
- No

**H. Import, transport and use of sensitive materials: hemp**

Is your organization involved in activities related with the import, transport and use of sensitive materials (e.g. hemp)?

- Yes
- No

If yes, please answer the following questions.

Does your organisation comply with the following requirements regarding the import, transport and use of sensitive materials?

	Yes	No
Have you obtained all approvals or other mandatory legal documents needed from national or local authorities?	<input type="radio"/>	<input type="radio"/>
Have you kept these documents on file and available upon request, together with an English summary, including the conclusions of the committee or authority concerned?	<input type="radio"/>	<input type="radio"/>



**I. Personal data**

Does your organisation comply with the following requirements regarding the personal data?

	Yes	No
Personal data is processed lawfully, fairly and transparently	<input type="radio"/>	<input type="radio"/>
Personal data is collected for specified, explicit and legitimate purposes	<input type="radio"/>	<input type="radio"/>
Collected personal data is adequate, relevant, accurate, updated, and limited to necessary information	<input type="radio"/>	<input type="radio"/>
Collected personal data is kept in a form which does not permit identification of data subjects	<input type="radio"/>	<input type="radio"/>
Personal data is processed with appropriate security	<input type="radio"/>	<input type="radio"/>
Personal data collection respect the EU's 2016/679 <sup>8</sup> regulation and EU Charter of Fundamental Rights	<input type="radio"/>	<input type="radio"/>

Does your organization plan to import data from a non-EU country into the EU or from an EU country to a non-EU country?

- Yes
- No

If yes, have you followed the national non-EU country and the importing EU member state legislation guiding the export, import, transport, handling and use of imported data?

- Yes
- No

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<sup>8</sup> Consolidated text: 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)

## F. Confidential information

Does your organisation comply with the following requirements regarding the confidential information?

	Yes	No	Not applicable
Before starting the action tasks concerned, my organisation have obtained all approvals or other mandatory documents needed for implementing the task.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
My organisation will obtain all necessary approvals or documents before starting the action tasks concerned and keep them on file (together with a summary in English if not written in English).	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Sensitive information with a security recommendation comply with the additional requirements imposed by the granting authority	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Building simulations carried out and the digital tool assistant (DTA) have a security component and an assurance for owners of the demo building	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>



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## 9 ANNEX II: GENDER DIMENSION QUESTIONNAIRE

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REPORTING PERIOD: \_\_\_\_\_

### A. Background information

Please select your organisation.

- AID
- BEC
- GLO
- CTC
- UST
- CHI
- CRH
- F6S
- CRES
- BRI
- KEEY
- ASI
- HIO
- KEAS
- TAK
- AGI
- LUR

Please fill in your name

.....

Please fill in your e-mail

.....



### B. Gender Equality Plan

Does the organisation have a Gender Equality Plan (GEP)?

Yes       

No        

### C. Gender of personnel

Please fill in the following tables for the people working on SNUG project from your organization.

Partner	Number of female researchers	Number of male researchers	Number of females in management positions	Number of males in management positions	Number of females in the workforce other than researchers & in management	Number of males in the workforce other than researchers & in management

Partner	Number of female PhD graduates	Number of male PhD graduates	Number of female in inventorships (patents)	Number of male in inventorships (patents)

If your organization has made publication during the current gender dimension assessment period, please fill in the following tables for your organisation.

Partner	Number of female authors in project publications	Number of male authors in project publications	DOI of project publication(s)

Partner	Total publications in assessment period	No of publications with gender issues tackled

**D. Gender of participants in project' surveys, interviews, decision support tools and dissemination events**

Have your organization conducted surveys or interviews or have you organised workshops, webinars or other dissemination event, within this assessment period?

- Yes
- No

If yes, have you monitored the gender of the participants during the current ethics & security assessment period (obligatory from month M6)?

- Yes
- No

If yes, please fill in the total number of participants per category the current ethics & security assessment period, based on the answers of the participants:

	Male	Female	Other	I don' t want to share
Surveys				
Interviews				
Decision support tools				
Workshops				
Webinars				
Other (please define)				

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## 10 ANNEX III: THE EUROPEAN CODE OF CONDUCT FOR RESEARCH INTEGRITY

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<< European Code of Conduct for Research Integrity >>

<https://allea.org/portfolio-item/european-code-of-conduct-2023/>

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## 11 ANNEX IV: THE TRUST CODE

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<< The TRUST Global Code of Conduct for Equitable Research Partnerships >>

<https://www.globalcodeofconduct.org/the-code/>