

D6.1: PaCE Ethics Handbook

[WP6 – Ethics requirement
and compliance assurance]



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**Populism and
Civic Engagement**



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Abstract

The purpose of this deliverable, i.e., the PaCE Ethics Handbook, is to provide guidance on rules and principles PaCE will comply with through the conduct of the project. It also identifies how the consortium partners will ensure compliance with these rules and principles through a specific ethical monitoring process and a series of ethics tasks embedded in the project. This Handbook outlines the research ethics obligations both in the conduct of the project as well as in the results it produces.

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Information in this report that may influence other PaCE tasks

Linked task or deliverable	Points of relevance
D7.1: Project handbook	The Project handbook defines the overall management of the project while the Ethics handbook focuses on ethical aspects.
D8.1 : H – Requirement No. 1	Briefly sketches the informed consent procedure.
D8.2 : H – Requirement No. 2	Provides basic details on relevant ethics committees and/or competent authorities for research with human participants.
D8.6 : M – Requirement No. 7	Potential issues of misuse are briefly mentioned in this Handbook.
All tasks of the project	More generally, this document concerns all tasks of the PaCE project as it provides general research ethics guidance.



Disclaimer

The project PaCE has received funding from the European Union’s Horizon 2020 research and innovation programme under the grant agreement No 822337. The opinions expressed in this document reflect only the authors view and reflect in no way the European Commission’s opinions.

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List of acronyms and abbreviations

Abbreviation or acronym	Explanation
EC	European Commission
EU	European Union
GA	Grant Agreement
GDPR	General Data Protection Regulation
T	Task
WP	Work Package

Table 1: List of acronyms and abbreviations

Glossary of terms

Term	Explanation
Consent	In the context of data protection, this refers to any freely given, specific, informed and unambiguous indication of the data subject's wishes by which he or she, by a statement or by a clear affirmative action, signifies agreement to the processing of personal data relating to him or her. ¹
Consortium	Collectively, all parties that have signed the Consortium Agreement.

Table 2: Glossary of terms

¹ European Parliament and the Council of the European Union, 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), *OJ L*, 4 May 2016, pp. 1-88, Art. 4 (11).

1. Introduction

This document presents the PaCE's project ethics handbook.² It provides ethics guidelines to the consortium's partners in order to ensure (1) that the project is conducted in accordance to the highest standard of research ethics and (2) that it does not lead to unwanted effects on individuals or the society more at large. It lays down the legal rules and ethical principles and values that all partners of the project have to comply with regards to their respective tasks in the project. It guides the ethical monitoring that Trilateral Research (TRI) conducts throughout the project in order to ensure an ethically sound research project. It also identifies potential ethical issues that may arise in specific tasks planned for the project in order to make sure that special attention is paid to these tasks with regard to ethics. Partners in the consortium have read the handbook and commit to adhere to it.

The PaCE Handbook is a living document. It is maintained and updated through the course of the project. TRI being the partner in charge of the ethics monitoring, it reports on the implementation of the Handbook in the project's interim and final reviews. TRI circulates updated versions of the Handbook to the consortium when significant changes are made to it.

Section 1 of the Handbook introduces the project and the consortium's partners. Section 2 lays down the rules governing PaCE, including the legal and ethical regulatory frameworks that apply to it. Section 3 identifies potential ethical issues that may arise in the PaCE project and defines how these are addressed. It highlights the research activities that involve human participants and other aspects of the project that require particular ethical attention. Section 4 details the ethics control and monitoring process that is conducted throughout the project. Section 5 concludes the Handbook.

1.1. About PACE

Across Europe there is a rise of political movements that claim to challenge liberal elites and speak for the 'ordinary person' - movements that can be loosely categorised as 'populist'. Many of these movements have undesirable tendencies. The Populism and Civic Engagement project (PACE), with others, aims to understand better and respond to the negative tendencies of populist movements, to build upon the lessons of positive examples (such as Reykjavik), and hence play a part in constructing a firmer democratic and institutional foundation for the citizens of Europe.

PACE analyses, in detail, the type, growth and consequences of such movements in terms of their particular characteristics and context. From this, it analyses the causes of these movements and their specific challenges to liberal democracy. In particular, it focuses on transitions in these movements (especially changes in leadership) as well as how they relate to other kinds of movements and the liberal reaction. PACE proposes responses to these challenges, developing risk-analyses for each kind of response, each kind of movement and the type of transition. For this, it employs the agent-based simulation of political processes and attitudes to allow for

² The structure of the handbook is informed by the Ethical Monitoring Protocol developed (and being successfully used) by the research project SIENNA - Stakeholder-Informed Ethics for New technologies with high socio-economic and human rights impact (<http://www.sienna-project.eu>), a project funded by the European Commission under grand agreement No. 741716. The Ethical Monitoring Protocol (Deliverable 8.2) was drafted by Trilateral Research and submitted to the EC in December 2017.



thorough risk analyses to be made. Throughout the project, it engages with citizens and policy actors, especially groups under-represented in public affairs, face-face and via new forms of democratic participation appropriate to our digital age to help guide the project and to comment on its outputs.

It develops new tools, based on machine-learning algorithms for identifying and tracking populist narratives and to aid online consultation. It will result in specific interventions aimed at: the public, politicians, activists and educators. It will look further into the future, developing new visions concerning how we could respond to populism and it will warn about longer-term trends.

1.2. PACE project partners

The PACE project's partners are:

Partner	Short name	Country
The Manchester Metropolitan University	MMU	UK
Reykjavíkurborg	RVK	Iceland
Fondatsiya Tsentr za Liberalni Strategii	CLS	Bulgaria
Paris-Lodron-Universität Salzburg	PLUS	Austria
Technische Universität Dresden	TUD	Germany
The Democratic Society Aisbl	DEMSOC	Belgium
Trilateral Research Limited	TRI	Ireland
Helsingin Yliopisto	UH	Finland
Ibuar- Samradslydraedi Ses	CF	Iceland

Table 3: PaCE partners



2. Rules governing PaCE

This section identifies the rules that govern the PaCE project and that partners respect throughout the duration of the project. It lays down the applicable legislation and ethical principles partners need to comply with.

PaCE is essentially governed by four sets of rules

- National and EU law applying to each of the participants.
- Specific rules for participation in the Horizon 2020 as stipulated by the European Commission and as set out in the project's grant agreement.
- Institutional obligations placed upon the partners (e.g. institutional code of ethics or research approval processes).
- Chosen norms and principles selected by the project itself.

2.1. National laws and regulations

All PaCE partners act according to national legislation and data protection-related regulations.

2.2. European legislation

European Convention on Human Rights (ECHR)

PaCE partners recognise the fundamental obligations arising from the ECHR, e.g., respect for human rights, right to respect for private and family life, freedom of thought, conscience and religion, freedom of expression. The consortium partners conduct research and organise their activities in ways that neither jeopardise nor threaten such rights, whether held by persons within the consortium or those who may otherwise be affected by research and engagement activities conducted by the consortium's partners.

Charter of Fundamental Rights of the European Union

PaCE respects the rights and freedoms embodied in the Charter of Fundamental Rights of the EU, i.e., dignity, freedoms, equality, solidarity, citizens' rights and justice.³ More specifically, from the proposal stage, consortium partners committed to respect Article 10 of the Charter on “Freedom of thought, conscience and religion”.

General Data Protection Regulation 2016/679/EU (GDPR)

PaCE partners conform to the applicable rules and aims of the General Data Protection Regulation.⁴

³ European Parliament, the Council and the Commission, **Charter of Fundamental Rights of the European Union**, *OJ C 326*, 26.10.2012, p. 391–407.

⁴ European Parliament and the Council, 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), *OJ L*, 4 May 2016, pp. 1–88.



2.2.1. Regulation establishing Horizon 2020

Regulation (EU) No 1291/2013 of the European Parliament and of the Council of 11 December 2013 establishing Horizon 2020 — the Framework Programme for Research and Innovation (2014-2020) and repealing Decision No 1982/2006/EC⁵.

According to recital 29,

Research and innovation activities supported by Horizon 2020 should respect fundamental ethical principles. The opinions of the European Group on Ethics in Science and New Technologies (EGE) should be taken into account. Article 13 of the Treaty on the Functioning of the European Union (TFEU) should also be taken into account in research activities. All activities should be carried out ensuring a high level of human health protection in accordance with Article 168 TFEU.

Article 19 on ethical principles states that:

All the research and innovation activities carried out under Horizon 2020 shall comply with ethical principles and relevant national, Union and international legislation, including the Charter of Fundamental Rights of the European Union and the European Convention on Human Rights and its Supplementary Protocols. Particular attention shall be paid 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 a person, the right to non-discrimination, and the need to ensure high levels of human health protection.

2.2.2. Rules for participation and dissemination in Horizon 2020

Regulation (EU) No 1290/2013 of the European Parliament and of the Council of 11 December 2013 laying down the rules for participation and dissemination in "Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020)" and repealing Regulation (EC) No 1906/2006⁶.

Article 13 (3) states that “a proposal that contravenes ethical principles or any applicable legislation, or which does not fulfil the conditions set out in Decision No 2013/743/EU, in the work programme, in the work plan or in the call for proposals may be excluded from the evaluation, selection and award procedures at any time”. Article 13 (4) states, “where relevant and specified in the work programme or the work plan, proposals shall explain how and to what extent gender analysis is relevant to the content of the project”.⁷

Article 14 on ethics review states “the Commission shall systematically carry out ethics reviews for proposals raising ethical issues. That review shall verify the respect of ethical principles and legislation and, in the case of research carried out outside the Union, that the same research would have been allowed in a Member State”.⁸ Article 14 further states that “the Commission shall make the process of the ethics review as transparent as possible and ensure that it is carried out in a timely manner avoiding, where possible, the resubmission of documents”.⁹

⁵ OJ L 347, 20.12.2013, p. 104–173.

⁶ OJ L 347, 20.12.2013, p. 81–103.

⁷ Regulation (EU) No 1290/2013.

⁸ Regulation (EU) No 1290/2013.

⁹ Regulation (EU) No 1290/2013.



Article 18 (5) states that:

The grant agreement shall, where appropriate and to the extent possible, reflect the general principles laid down in the Commission Recommendation on the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers, principles of research integrity, the Commission Recommendation on the management of intellectual property in knowledge transfer activities, the Code of Practice for universities and other public research institutions as well as the gender equality principle laid down in Article 16 of Regulation (EU) No 1291/2013. Article 18(6) states that the grant agreement shall, where appropriate, contain provisions ensuring the respect of ethical principles, including the establishment of an independent ethics board and the right of the Commission to carry out an ethics audit by independent experts.

Article 23 (9) on implementation of actions states that “participants shall comply with national legislation, regulations and ethical rules in the countries where the action will be carried out. Where appropriate, participants shall seek the approval of the relevant national or local ethics committees prior to the start of the action”.¹⁰

2.3. PaCE Grant Agreement

The PaCE consortium also recognises its obligations under the terms of the Grant Agreement (GA) no. 822337. Article 34 spells out obligations in relation to ethical and research integrity principles, especially referring to the European Code of Conduct for Research Integrity.¹¹ Article 34 of the Grant Agreement states:

“With regards to research integrity, the Grant agreement refers to the European Code of Conduct for Research Integrity. This implies compliance with the following fundamental 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 organisation, for training, supervision and mentoring, and for its wider impacts and means that beneficiaries must ensure that persons carrying out research tasks follow the good research practices and refrain from the research integrity violations described in this Code.”

In addition, Article 34 notes that “before the beginning of an activity raising an ethical issue, each beneficiary must have obtained:

- a. Any ethics committee opinion required under national law and
- b. Any notification or authorisation for activities raising ethical issues required under national and/or European law needed for implementing the action tasks in question.” (Art. 34.2).

¹⁰ Regulation (EU) No 1290/2013.

¹¹ European Code of Conduct for Research Integrity of ALLEA (All European Academies). Available online at: https://ec.europa.eu/research/participants/data/ref/h2020/other/hi/h2020-ethics_code-of-conduct_en.pdf [accessed 11 March 2019].



The documents must be kept on file and be submitted upon request by the coordinator to the Agency (see Article 52). If they are not in English, they must be submitted together with an English summary, which shows that the action tasks in question are covered and includes the conclusions of the committee or authority concerned (if available).”

This is discussed further below in the section related to ethics monitoring (Section 4.1).

As per the Grant agreement, the PaCE project complies with the **ethics requirements** set out as deliverables in WP6 (Ethics requirements and compliance assurance) and WP8 (Ethics requirements). These work packages are specifically designed to ensure that ethical commitments are implemented throughout the development of the project.

Furthermore, from the proposal stage of the project, the consortium’s partners committed to take into account **the social responsibility principle** as developed in the SATORI project that defines it as the “responsibility to consider the societal impacts of research and innovation and for taking steps to minimise anticipated harm and maximise benefits”.¹² As mentioned in the PaCE Grant Agreement, this principle encourages researchers to:

- “Anticipate and consider the potential consequences of the research and innovation project for society, including any plausible future uses and applications of the results of project, and take appropriate remedial action to address any (potentially) negative societal and environmental impacts if such action seems justified;
- Consider whether and how the research or innovation activity could positively or negatively contribute to the interests, rights and well-being of individuals and groups, the common good or a just and peaceful world society;
- Consider whether the research or innovation promotes or is compatible with sustainable development, and how it might promote greater environmental sustainability;
- Acknowledge the economic and cultural value of local knowledge, pursue dialogue with local knowledge bearers, involve them in the research and let them share in the benefits. This applies to research and innovation that directly builds on other types of knowledge, specifically local or traditional knowledge, and the skills and practices found in individuals and local communities;
- Avoid misuse of research materials and results. Consider whether the materials, methods, technologies, and knowledge involved in or generated during the research or innovation could serve, or be modified or enhanced to serve, individuals, animals, society and/or the environment;
- Communicate important research results and (potential) societal consequences to relevant stakeholders and to the general public to ensure their proper interpretation, while explaining the degree of uncertainty involved.”¹³

Furthermore, PaCE partners also respect **Article 35 — Conflict of interests**, which states as follows:

35.1 Obligation to avoid a conflict of interests

¹² SATORI, “Report on standardizing operating procedures in ethics assessment”, July 2017 (p. 11 of the CEN Workshop Agreement). Available online at http://satoriproject.eu/media/D7.1_Standardizing_ethics_assessment.pdf [accessed 14 March 2019].

¹³ PaCE proposal, Section 5 (Ethics).

The beneficiaries must take all measures to prevent any situation where the impartial and objective implementation of the action is compromised for reasons involving economic interest, political or national affinity, family or emotional ties or any other shared interest (**‘conflict of interests’**).

They must formally notify the Agency without delay any situation constituting or likely to lead to a conflict of interests and immediately take all the necessary steps to rectify this situation.

The Agency may verify that the measures taken are appropriate and may require additional measures to be taken by a specified deadline.

35.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43) and the Agreement or participation of the beneficiary may be terminated (see Article 50).

Such breaches may also lead to any of the other measures described in Chapter 6.

The consortium also recognises its obligations under **Article 36 – confidentiality** (i.e., general obligation to maintain confidentiality).

2.4. Manchester Metropolitan University's ethics approval requirement

In addition to these requirements, the project coordinator, MMU, has its own set of ethics requirements which it places upon partners. Each partner is required to obtain ethical approval for their research activity, and to provide evidence of this to MMU.

2.5. PaCE Principles

Finally, in addition to these formal legal requirements, the PACE consortium have voluntarily adopted the following principles, agreed at the kick-off meeting (February 2019). These principles are compatible with and supportive of the above legal, contractual and institutional requirements. The consortium aims to:

- Adhere to the highest standards of legal compliance, integrity, ethics, fairness and openness;
- Seek to do research of the highest possible rigour, significance and usefulness;
- Actively engage with and listen to outside voices (other academics, citizens, stakeholders, etc);
- Sensitively address any cultural issues (gender, minorities, citizens' rights, etc);
- Actively promote the careers of early stage researchers working on the project;
- Use all project resources carefully and appropriately, getting the greatest value for money.

Throughout the various research activities, PaCE partners:

- Present research goals and intentions in an honest and transparent manner;
- Design research carefully and conduct it in a reliable fashion, taking its impact on society into account;
- Use techniques and methodologies (including for data collection and management) that are appropriate for the field(s) concerned;
- Exercise due care for the subjects of research, human beings in the case of the PaCE project;



- Ensure objectivity and impartiality when conducting the research and disseminating the results;¹⁴
- In addition to the open access obligations under Grant Agreement Article 29.2, allow as great as possible access to research data in order to enable research to be reproduced — taking into account the legitimate interest of the beneficiaries;
- Make the necessary references to the work of other researchers, ensuring a diversity of authors (including women and minorities);
- Refrain from practising any form of plagiarism, data falsification or fabrication;
- Avoid double funding, conflicts of interest and misrepresentation of credentials or other research misconduct.

¹⁴ Consortium partners committed from the proposal stage to “work in a non-partisan nature” (Section 5 of the PaCE proposal).



3. Ethical issues in PaCE and how these will be addressed

3.1. PaCE ethics self-assessment

The table below presents the results of the PaCE ethics self-assessment carried out during the proposal stage.

Ethics issues table	Yes/No
1. HUMAN EMBRYO/FOETUS	
Does your research involve Human Embryonic Stem Cells (hESCs)?	No
Does your research involve the use of human embryos?	No
Does your research involve human foetal tissues/cells?	No
2. HUMANS	
Does your research involve human participants?	Yes
<i>Are they volunteers for social or human sciences research</i>	Yes
<i>Are they persons unable to give informed consent?</i>	No
<i>Are they vulnerable individuals or groups?</i>	No
<i>Are they children/minors?</i>	Yes
<i>Are they patients?</i>	No
<i>Are they healthy volunteers for medical studies?</i>	No
Does your research involve physical interventions on the study participants?	No
3. HUMAN CELLS/TISSUES	
Does your research involve human cells or tissues (other than from Human Embryos/foetuses, i.e. section1)?	No
4. PERSONAL DATA	
Does your research involve personal data collection and/or processing?	Yes
<i>Does it involve the collection and/ or processing of sensitive personal data (e.g.: health, sexual lifestyle, ethnicity, political opinion, religious or philosophical conviction?)</i>	Yes
<i>Does it involve processing of genetic information?</i>	No
<i>Does it involve tracking or observation of participants?</i>	No
Does your research involve further processing of previously collected personal data (secondary use)?	No
5. ANIMALS	
Does your research involve animals?	No
6. NON-EU COUNTRIES	
In case non-EU countries are involved, do the research related activities undertaken in these countries raise potential ethics issues?	No
Do you plan to use local resources (e.g., animal and/or human tissue samples, genetic material, live animals, human remains, materials of historical value, endangered fauna or flora samples, etc.)?	No



Ethics issues table	Yes/No
Do you plan to import any material - including personal data - from non-EU countries into the EU?	Yes
From Iceland (which is not strictly in the EU, but has compatible data protection laws). Data is in the form of public available discussions on the Citizens.is participatory platform, to be analysed using machine learning techniques in the UK (as well as Iceland). Data is available for use for research in projects that Citizens.is participates in, via their terms and conditions of use of their platform. Any such use is constrained by normal conditions of data privacy, security and anonymity in any graphs, tables or results in published research outcomes.	
Do you plan to export any material - including personal data - from the EU to non-EU countries?	No
If your research involves low and/or lower middle income countries, are any benefits-sharing measures foreseen?	No
Could the situation in the country put the individuals taking part in the research at risk?	No
7. ENVIRONMENT & HEALTH and SAFETY	
Does your research involve the use of elements that may cause harm to the environment, to animals or plants?	No
Does your research deal with endangered fauna and/or flora and/or protected areas?	No
Does your research involve the use of elements that may cause harm to humans, including research staff?	No
8. DUAL USE	
Does your research involve dual-use items in the sense of Regulation 428/2009, or other items for which an authorisation is required?	No
9. EXCLUSIVE FOCUS ON CIVIL APPLICATIONS	
Could your research raise concerns regarding the exclusive focus on civil applications?	No
10. MISUSE	
Does your research have the potential for misuse of research results?	No
11. OTHER ETHICS ISSUES	
Are there any other ethics issues that should be taken into consideration? Please specify	No

Table 4: PaCE ethics self-assessment

The sections below point to the way PaCE partners will address ethics issues in the conduct of research activities that may raise such issues.

3.2. Research involving human participants

The PaCE project engages with human participants via a number of research activities. These are detailed below.¹⁵ Partners have provided as much information on these tasks as they could at initial stage of the project (March 2019) and then again in May 2020 with additional details. These tables are updated as the project develops.

Partners make sure that no discrimination or harms happen in the recruitment of participants, including the exclusion or inclusion process. The following elements are taken into consideration when planning the recruitment: purposes of the research, inclusion and exclusion criteria, whether participants may be susceptible to coercion or undue influence, recruitment methods and materials, consent process.

3.2.1. Task 3.5: Testing the effects and counter-effects of selected narratives in online experiments

Task No	3.5
Partner lead	TUD
Partner contributing	PLUS, CLS, UH, CF and other partners as required
Brief description of the activity	This task will involve the systematic testing of the effects and counter-effects of selected narratives on individuals. Selected empirical types of narratives identified in T3.2 will be used for between-subject online experiments. In one series of studies, the treatment groups will be exposed to media content containing nativist, populist, and liberal-democratic narratives, while the control group will be exposed to media content containing no such narratives. In another series of studies, the treatment group will be exposed to both a populist narrative and a counter-narrative, while the control group will only be exposed to the populist narrative. The dependent variables will be populist attitudes, such as attitudes towards outgroups, and political attitudes such as political interest, political participation, and political trust. This design will allow us to analyse both the effects of populist attitudes and the attenuative properties of the respective counternarratives. The results of the task will allow us to evaluate the social effects of populism and to formulate policy recommendations on how to react to populist narratives.
Type of participants and number	The specific number of participants will be determined when the experiments are planned beginning in M24.
Do you plan to involve minors/children?	No

¹⁵ Tables for tasks 3.3 and 3.4 have been removed from this list as it was agreed that these tasks will not include human participants.



How are you going to recruit the participants?	The participants will be recruited either in person, online or via telephone.
What activities will be expected from participants?	reading manufactured (possibly fictitious) media content, answering questions (online)
Where is the research task due to take place?	Depending on the development of the Covid19 pandemic, the experiments will take place in person (lab/experimental setting) or online.
Do you need to obtain ethics approval from your institution?	Yes, TUD ethics committee has already been informed of this task and advised the task lead to seek ethics opinion closer to the start of the activity once the research design is in place (see correspondence included in Annex of D8.2). Additionally, we will follow the PaCE Ethics guidelines in compliance with EU GDPR and will liaise with PaCE partner in charge of ethics monitoring (TRI) regarding the ethics aspects related to this task.

3.2.2. Task 4.1: Causal mechanisms of populism

Task No	T 4.1.
Partner lead	TUD
Partner contributing	CLS, UH, PLUS, MMU, DS and other partners as required
Brief description of the activity	<p>Based on a critical analysis of the current state of research on the major external and internal causes of populism, identify and study the major causes of the three modes of populism – illiberal, nativist and antidemocratic. Identify both the common and the specific causes for each of the three modes of populism and interview populist party elites as to their understanding of democracy, pluralism, and the rule of law.</p> <p>Identify and study in detail the causal mechanisms linking different socio-cultural, economic, political, media, etc. phenomena and developments in MS, EU and beyond with the emergence and growth of populist (illiberal, nativist and anti-democratic) social movements and political parties in Europe.</p>
Type of participants and number	Representatives (in leading positions) of political parties (referred to as populist) - maximum 10
Do you plan to involve minors/children?	no



How are you going to recruit the participants?	Personal invitations
What activities will be expected from participants?	‘Elite’ interviews – semi-structured.
Where is the research task due to take place?	Sofia, Bulgaria
Do you need to obtain ethics approval from your institution?	No, but a consent form will be prepared to be signed by all agreeing to be interviewed.

3.2.3. Task 4.3: Identifying possible policy responses

Task No 1	T 4.3 Identifying possible policy responses
Partner lead	CLS
Partner contributing	TUD, PLUS, UH, MMU and other partners as required
Brief description of the activity	Exploring with stakeholders (via 9 focus groups) policy responses to counter negative tendencies in populism.
Type of participants and number	Stakeholders – politicians, policy-makers, journalists, researchers. 10 for each focus group = 90 persons participating in all focus groups.
Do you plan to involve minors/children?	no
How are you going to recruit the participants?	Will invite to take part in the focus groups: politicians, policy-makers, journalists, researchers who are interested/have worked on populism and possible responses to it.
What activities will be expected from participants?	Participation in moderated focus groups



Where is the research task due to take place?	Sofia, Bulgaria
Do you need to obtain ethics approval from your institution?	<p>According to its own rules and national law, CLS is not required to obtain ethics approval for its activities in the PaCE project; however, in order to satisfy the requirement from the EC to check activities involving human participants through an ethics committee, it has requested ethics opinion from the chair of its ethics commission and advisory board who assessed the activities to be ethically sound and has approved them.</p> <p>Consent forms to be signed have been prepared to be signed by all participants in the focus groups.</p>

3.2.4. Tasks 4.4 and 4.5: Scenarios and desired future

Task No	T4.4 and 4.5
Partner lead	TRI
Partner contributing	CF, DS, CLS and other partners as required
Brief description of the activity	Workshops with a broad range of stakeholder representatives (understood broadly and including public participation from WP5) so as to develop the scenarios in a participative way. Exploring with stakeholders the implications of different futures, and the paths of action that would address the emerging needs of each future.
Type of participants and number	Stakeholder representatives (most likely somewhere between 10-20 across at least two events).
Do you plan to involve minors/children?	No
How are you going to recruit the participants?	This is still to be determined, but most likely we will identify experts from various fields (either in populism research or with expertise from other areas of significant social and economic change) based upon the previous work, taking into account the need to build a diverse group of participants. We will invite these experts directly. We will also extend invitations to participants from the democracy labs or other policy-maker interviews who have expressed an interest in further participation in the project. We will also publicise the research events on our newsletter, website and social media, and create a pathway for people to self-express an interest in participation.
What activities will be expected from participants?	Engage in a series of workshops where they will be asked to present their views and discuss scenarios related to future of liberal democracies and the possible responses to negative tendencies of populism. The aim will



	be collaborative creation of future scenarios. If the workshops are online, the participants will likely be asked to create a user account in an appropriate online platform, and given a briefing in how to participate.
Where is the research task due to take place?	This is still to be determined but will most likely be an event in Sofia (Bulgaria). Given the current pandemic, we are also investigating options and plans for holding the workshop online, which would be safer from a health perspective, potentially expand the diversity of participants, but require further consideration around the choice of appropriate platform and procedures.
Do you need to obtain ethics approval from your institution?	<p>According to its own rules and national law, TRI is not required to obtain ethics approval for its activities in the PaCE project; however, in order to satisfy the requirement from the EC to check activities involving human participants through an ethics committee, it has requested ethics opinion from a board of ethics experts selected at Trilateral Research. The board who assessed the activities to be ethically sound and has approved them.</p> <p>Participants will be asked to sign an information sheet and a consent form.</p>

3.2.5. Task 5.5: Local Democracy Labs

Task No	T5.5 Local Democracy Labs
Partner lead	RVK
Partner contributing	DS, CF, and others as required
Brief description of the activity	<p>To assess the public's attitude to and aspirations for democracy and to identify ways of democratic involvement and to understand the way in which traditional and social media influence and shape political and social opinions.</p> <p>The Democracy Labs specifically aim at creating opportunities for people from different countries of the European Union to become involved in the PaCE project. A twofold impact is envisaged with the participants' engagement in democracy labs:</p> <ol style="list-style-type: none">Valuable impact on the PaCE project research by gathering the opinion of civil society and under-represented group on the perception of power, trust and democracy and the role of government and governance across Europe.Added value for the lab participants to enable them becoming an active voice in the process of evolution and development of democracy across Europe and raising awareness on the informed and participatory role in the evolution of democracy

	<p>Two different approaches are going to be follow for the local democracy labs:</p> <ol style="list-style-type: none"> 1. European online democracy labs, in the actual context of COVID-19 pandemic when face-to-face meetings are temporarily restricted in order to enable participants across Europe to express their voice and opinion on different topics. This format is going to be tried as new alternative until on-place meeting are going to be possible. 2. Face-to-face democracy labs that are going to be run until the end of the project.
Type of participants and number	Up to 8 local labs with about 30 participants
Do you plan to involve minors/children?	<p>We plan on involving youth in one of the labs (16-18 years old).</p> <p>For the engagement of youth to be possible in the democracy labs, a few ethical aspects are to be addressed:</p> <ul style="list-style-type: none"> • Consent for parents in the democracy labs in English and other language, according to the location where the labs are going to be carried out. • Participant Information Sheet for minors in English and other language, according to the location where the labs are going to be carried out
How are you going to recruit the participants?	The participants for democracy labs are going to be recruited by working with the representative of CSOs (civil society organisation) in different location of European countries such as Reykjavik, Budapest, Warsaw and so forth, for both the online and face-to-face democracy labs. The role of representative of CSO would be to select a diverse audience including the under-represented category of participants.
What activities will be expected from participants?	<p>Participants will be expected to share their views around democracy. The labs will provide an opportunity to test certain assumptions and messages developed in the analysis phase of the project. It will also provide us with insights into possible ways for dissemination.</p> <p>Among the interested themes chosen for democracy labs are:</p> <ul style="list-style-type: none"> • Explore the perception and the extent to which people experience the health and economic in different crises situation (such as COVID-19) and how and to what extend those might affect the democracy process • Evaluate the experience of participants in different European countries regarding the government representation and protection of citizen in crises • The role of information on people's voting decisions • The influence of traditional and social media in shaping the political and social opinions

Where is the research task due to take place?	Across up to 8 different European countries (in smaller and medium-size communities), aligning with the case studies of the PaCE project, if possible.
Do you need to obtain ethics approval from your institution?	According to its own rules, RVK is not required to obtain ethics approval for its activities in the PaCE project; however, in order to satisfy the requirement from the EC to check activities involving human participants through an ethics committee, RVK is currently seeking to undertake such process of ethical review with an external body. RVK is liaising with the University of Iceland ethics committee about this.

3.2.6. Task 5.6: European Democracy Lab

Task No	T5.6 European Democracy Lab
Partner lead	DS
Partner contributing	CF, RVK, MMU and others as needed
Brief description of the activity	A high-profile closing point where PaCE will exploit new connections to existing and new democracy networks to draw together a range of experts, practitioners and officials who will be able to receive the output of research and take it forward into practice, increasing and speeding up impact.
Type of participants and number	About 80 representatives from policymakers, civil society, media, youth and the general public.
Do you plan to involve minors/children?	Youth representatives (16-18 years old)
How are you going to recruit the participants?	To ensure continuance and insights into effective participation project, the Democratic Society suggests engaging several of the participants of the local democratic labs at this phase of the project as well. We will also work with our partners and networks to recruit participants from other sectors.
What activities will be expected from participants?	Objectives of the European democracy lab include the testing of the research findings and receiving recommendations for new forms of civic engagement.
Where is the research task due to take place?	The European lab will probably take place in a metropolitan city within the European Union, such as Brussels, to ensure that participants from several sectors are able to join the event.
Do you need to obtain ethics approval from your institution?	According to its own rules, DS is not required to obtain ethics approval for its activities in the PaCE project; however, in order to satisfy the requirement from the EC to check activities involving human participants through an ethics committee, it has put in place an internal board with



research ethics expertise to check these activities. The board assessed the activities to be ethically sound and has approved them.

3.2.7. Task 5.7: Future and foresight project

Task No	T5.7 Future and foresight project (M25-36)
Partner lead	TRI
Partner contributing	DS, RVK, TUD, CLS and other partners as required
Brief description of the activity	<p>Capacity building with education and school authorities to support and enable young people to think about future policy challenges and to encourage them to debate future policy challenges and solutions and to secure the support and engagement of policy makers for the activity.</p> <p>This activity should be considered a bespoke, targeted dissemination event, to equip and skill up the educators working in this and related areas.</p> <p>It will likely take the form of a workshop, where the project research and activities are presented to the participants, and they are allowed to ask questions of the PACE researchers, experiment with the tools created by the project, and explore the various project findings. They will then be asked for their insight on how this can best be formatted and packaged for use by educational authorities and schools.</p>
Type of participants and number	<p>Type of participants: representatives from education and school authorities, teachers, education professionals and education researchers from across the EU (and Iceland).</p> <p>How many? Maximum 30</p>
Do you plan to involve minors/children?	<p>No.</p> <p>The aim of this activity is to engage with educators, who will then be in a position to engage with young people on the topic of populism and civic engagement as they see fit. It is therefore not necessary to involve children/minors</p>
How are you going to recruit the participants?	<p>To be determined, however, we will likely identify organisations active in this area in the member states, including both departments/ministries of education as well as educational networks. We will invite these organisations to send a representative to the workshop. Participants will be provided with an information sheet and a consent form.</p> <p>We will endeavour to achieve a gender balance within the participants.</p>
What activities will be expected from participants?	<p>Engage in a research focused workshop on how to support and enable young people to think about future policy challenges and to encourage</p>



	<p>them to debate future policy challenges and to secure the support and engagement of policy makers.</p> <p>Engage in group discussion sessions on the presented material, facilitated by project researchers. These groups discussions would be recorded, with the consent of the participants.</p> <p>Participants identities and contributions can be anonymised, as it is the insight that is valued, rather than any particular individual's beliefs.</p> <p>The risks to participants are low, and they can withdraw their participation at any time.</p>
Where is the research task due to take place?	TBD, but in an EU member state.
Do you need to obtain ethics approval from your institution?	<p>According to its own rules and national law, TRI is not required to obtain ethics approval for its activities in the PaCE project; however, in order to satisfy the requirement from the EC to check activities involving human participants through an ethics committee, it has requested ethics opinion from a board of ethics experts selected at Trilateral Research. The board who assessed the activities to be ethically sound and has approved them.</p> <p>Participants will be asked to sign an information sheet and a consent form.</p>

3.2.8. Task 6.3: Consult with stakeholders

Task No	6.3 – Consult with stakeholders
Partner lead	RVK
Partner contributing	TRI, CF, DS and other partners as required.
Brief description of the activity	<p>The partners will consult with stakeholders to gather their views on the ethical, legal and social issues (ELSI) that might arise from within the project and how they think partners should address those issues. For example, the legitimacy of political actors adopting anti-populist measures and strategies, and the underpinning assumptions on current liberal democratic institutions.</p> <p>This will be accomplished through semi-structured interview methods. If it is possible to organise, the partners may also organise some small-group discussions between participants.</p> <p>The aim is to sensitise the consortium to the general ethical issues, not to identify the particular beliefs or wishes of any given interviewee.</p>
Type of participants and number	<p>10-15 people</p> <p>Adults, primarily in their professional capacity as experts in populism, ethics or research methods</p>

	We may approach professional politicians or activists involved with populist parties to better understand their perspective.
Do you plan to involve minors/children?	No
How are you going to recruit the participants?	Participants from a professional academic, ethics and research methods background will be identified by a literature review in this area, then approached by email or social media. They will be provided with background information on project, how their contribution will be used, and a consent form will be provided. Participants from a politics background will be recruited by contacting the press or information contact address of political parties and asking for their participation.
What activities will be expected from participants?	Participants will be invited to participate in a phone or skype interview to discuss the key ethical challenges emerging from conducting research into populism.
Where is the research task due to take place?	Virtually, but organised from Iceland, Ireland, the UK and Germany.
Do you need to obtain ethics approval from your institution?	According to its own rules, RVK is not required to obtain ethics approval for its activities in the PaCE project; however, in order to satisfy the requirement from the EC to check activities involving human participants through an ethics committee, RVK is currently seeking to undertake such process of ethical review with an external body. RVK is liaising with the University of Iceland ethics committee about this.

3.3. Children and minors

As mentioned in the *Ethics and data protection* document from the EC, “all research involving children and young people raises significant ethics issues, as they may be less aware of the risks and consequences of their participation. This is also true as regards the processing of their personal data.”¹⁶ As a result, research activities involving children and minors are subject to extra ethical attention in order to avoid any ethics issues their participation may imply. Partners conducting activities involving children or minors obtain the consent of a parent/legal representative as well as the assent of the child and provide information to him/her in a language that he/she may understand. As suggested by the *Ethics and data protection* guidance document, researchers aim to “minimise the collection and processing of their data as far as possible.”

According to the EC *Guidance on How to complete your ethics self-assessment*, a justification for the involvement of children should be provided. As the document puts it: “Research involving children (or other persons unable to give consent) — should be carried out only if:

¹⁶ European Commission, *Ethics and data protection*, 14 November 2018. Accessible online at: http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/ethics/h2020_hi_ethics-data-protection_en.pdf [accessed 13 March 2019].



- studies with consenting adults would not be effective
- participants are subject to only a minimal risk and burden
- the results of the research will benefit the individual or group represented by the participant.”

The partners wish to include young people (age range 16-18 years old) in the democracy labs and in the European labs.¹⁷ The justification for this is as follows:

- Young people's political attitudes towards politics, populism, political movements and civic engagement are highly relevant for research into populism and civic engagement. They comprise the next generation of citizens, who will be of voting age in a short number of years. Many of them are already engaged in political activity of some form or are exposed to political issues through the media.
- Based upon existing polling and research, young people's political attitudes are likely to differ systematically from those of older adults on several different variables¹⁸, so older adults cannot realistically be used as a proxy for the opinions and attitudes of young people. Asking adults about the political or social opinions and perspectives of the young people in their lives is also likely to produce a distorted picture.
- Young people are also likely to have different patterns of engagement with populist politics, different levels of media access and different levels of political awareness.
- Young people below voting age are systematically not represented in the election statistics that are often used to study populism, and that are likely to be collected in Task 2.1. Whilst Task 2.1 will identify data sets that include children's perspectives (where they exist), they are not as substantive as voting and polling data.

Minors will be recruited by DS with the support of local structures and partners on the ground who are familiar with the population and the area. Terms of the recruitment still need to be determined but will most likely happen via school events.

PaCE will subject young people involved to only a very minimal risk and burden, as detailed below:

- A Disclosure and Barring Service (DBS) (or equivalent check) will be required from the researchers to ensure safety and security of participants.
- A safeguarding policy has been developed for the engagement with youth and minors.
- The researchers will work with local partners that are recognised actors in local communities and are able to ensure the participants represent the local context.
- Local partners are essential to prepare participants for the event and ensure a follow-up after their participation.
- The research methods are non-invasive and non-physical.
- The researchers are experienced in working with young people in these contexts and have experience of putting in place procedures and mechanisms to ensure that participants are safe, and are treated with respect and dignity.
- The extent to which participants are active or passive participants in the democracy lab is voluntary.
- The most significant risk is that participants are made to feel uncomfortable by the viewpoints or behaviour of other participants. Harassment or abuse will not be tolerated by the facilitators, and any participant expressing discomfort will receive support from the facilitators.

¹⁷ We need to highlight an error in the *Grant Agreement* on this aspect. There is a mistake in Section 5 of the proposal that mentions that only adults will take part in research activities conducted as part of the project. However, the Ethics self-assessment of the proposal rightly acknowledges their involvement.

¹⁸ <https://unesdoc.unesco.org/ark:/48223/pf0000217876>
<https://blogs.lse.ac.uk/europpblog/2017/08/15/why-are-younger-voters-less-likely-to-back-populist-politics/>

The results of the research that PACE wishes to conduct with young people will benefit both the individual and the group represented by the participants.

- Individual young people participating in the democracy lab will be taking part in a stimulating, educational event that will introduce them to new people, expose them to different political views, and give them a space to put forward their own perspectives. We would hope they would gain something from the experience.
- The results will be used to inform the development of the "futures and foresight project" in Task 5.7 where the PACE consortium will engage in capacity building with education and school authorities to support and enable young people to think about future policy challenges and to encourage them to debate future policy challenges and solutions. This includes making the results from the PACE project accessible and useful for young people.

Furthermore, as specified in the EC *Guidance on How to complete your ethics self-assessment*, the following is collected as part of the ethics monitoring task of the project (T6.2).

We follow the EC guidance and provide:

- Details of the procedures for obtaining approval from the guardian/legal representative and the agreement of the children or other minors.
- What steps will you take to ensure that participants are not subjected to any form of coercion?
- Details of the age range.
- What are your assent procedures and parental consent for children and other minors?
- What steps will you take to ensure the welfare of the child or other minor?
- What justification is there for involving minors?

We are also keeping on file copies of ethics approvals.

3.4. Privacy and protection of personal data

A specific task is dedicated to data management (T7.2) and a Data Management Plan will be submitted as a deliverable M2 (D7.2). As per requirement of the Grant Agreement, partners have committed to appoint a DPO in the host institution, or – when it is not required by their institution – to provide a detailed data protection policy for the project (POPD Requirement No. 3). These details will be submitted as a deliverable M3 (D8.3).

The project recognises that privacy and protection of personal data have strong ethical dimensions. As such the partner in charge of the ethics monitoring task, Trilateral Research, will work closely with the data manager and all partners to ensure appropriate measures for privacy and protection of personal data.

3.4.1. Additional details on the provision of information to participants and the informed consent process

Human participants to research activities conducted as part of the PaCE project should be provided with adequate information on the project and their involvement in it. In order to help partners in this process, Trilateral has drafted an information sheet and consent form template for partners to give to individuals taking part in any research activities (Annex 7.1). This is a template that will need to be adjusted by each partner depending on the specificities of the activities they conduct, the profile of the individuals they recruit to take part in the task, and

their own institutional requirements. As required in the Grant Agreement, this template was submitted as a deliverable M3 to fulfil (H) Requirement no. 1 (D8.1).

3.5. Research involving non-EU countries

Research conducted as part of the PaCE project involves a non-EU country: Iceland. In compliance with Article 34.1 of the Grant Agreement according to which “funding will not be granted for activities carried out outside the EU if they are prohibited in all Member states or for activities which destroy human embryos”, no such activities are conducted as part of PaCE.

3.6. Gender equality

The PaCE project pays particular attention to gender equality. It does so in two ways:

- (1) by promoting gender equality within the consortium, among the stakeholders it engages with, and the gender of the experts it draws from (including in the literature) and
- (2) by taking into consideration the gender in the topic it studies, i.e. populist movements and parties.

Regarding the first point, we recognise that the leaders of the main tasks of the project are men; however, in any future recruitment processes, we particularly encourage the recruitment of women. We also promote gender balance in the advisory board and pay attention to ensuring gender balance among the various stakeholders we will engage with as part of the project, including in the workshops and labs. Furthermore, we seek to make sure that the work of women researchers is not neglected in our analysis.¹⁹

Regarding the second point, we recognise that gender analysis is particularly relevant to conducting research on populist movements and parties. The proposal mentioned some aspects that will require more attention, including a potential “narrowing of the traditional ‘gender gap’ in populist radical right (PRR)” and the gender gap in leadership of PRR in Europe.²⁰

3.7. Ethical challenges this project raises

PaCE consortium partners recognise that the project raises a number of ethical challenges beyond the fundamental research ethics considerations mentioned above (i.e., those related to human participants and data protection). From the proposal stage of the project, the consortium recognised that “the categorization of particular social and political movements as populist, nativist or illiberal may bring them impacts and consequences. This creates an obligation upon PaCE to be aware of these issues, their sensitivity and their political nature.”²¹

A central challenge of this research lies in the highly politicised nature of its subject, populism, a topic that leads to strongly polarised perspectives, especially today within the EU and beyond. As such, it is essential that the project, through its duration and in the results it produces, does not further exacerbate this already highly polarised landscape.

¹⁹ TRI is developing a list of female experts on populism and will ensure that their voice is heard as much as those of male experts.

²⁰ PaCE proposal, p. 15.

²¹ PaCE proposal, section 5.

Related to this issue, the project recognises that the use of the label “populism” is in and of itself political, i.e., it implies a particular strategic position in the political spectrum, one that may consider as more or less illegitimate the political claims made by those identified as populists. As such, a risk of this project lies in a potential silencing of these voices because they are populists, and are therefore considered somehow illegitimate or less legitimate. Another risk with directly opposite implications is that the populist label might actually render more acceptable parties or movements that would not be otherwise (e.g. labelling as populist makes a party potentially more acceptable than it if was labelled xenophobic). However, the consortium partners commit to conduct their research in an impartial and non-partisan manner.

The project has specifically dedicated research tasks to ensure that the risks highlighted above as well as other potential ethical issues that may arise in the project are taken into consideration. Tasks 6.3, 6.4, 6.5 and 6.6 will identify more precisely these potentially emerging issues to address them appropriately. T6.3 will consult stakeholders to gather their views on the social, ethical, and legal issues (ELSI) that might arise in the course of the project and the way these should be addressed. T6.4 will look explore more specifically at ELSI in the context of the development of ICT tools, T6.5 in relation to public engagement, and T6.6 in the context of policy recommendations. These tasks will contribute to the PaCE project itself but also aim to serve as guidance for other similar research projects.

4. Ethics control and monitoring

4.1. Ethics advisor and committee

The PaCE consortium has designated David Wright from Trilateral Research as the project’s Ethics Advisor. The role of the ethics advisor is to assist the consortium with any emerging ethical issues and to ensure the ethics process is handled appropriately.

The consortium decided against putting in place an external ethics board for several reasons. The first reason is that we do not consider that the project involves any major ethical risks both in terms of the conduct of the project and the potential implications of its results. Secondly, tasks specifically designed to address emerging ethically issues are planned in the project, including a consultation process with a wide range of different stakeholders (Task 6.3) that can help the consortium gain different views on these potential issues and ways to handle them.

In addition to the ethics advisor, the consortium has created an internal ethics committee composed of the leaders of each WP (i.e. the project board). It meets whenever an ethical issue emerges within the project.

Day-to-day ethics-related activities will be conducted by the Ethics Officer, Anais Resseguier (TRI).

4.2. Ethics approval process in PaCE

Article 34 of the PaCE Grant Agreement notes that “before the beginning of an activity raising an ethical issue, each beneficiary must have obtained:

- a. Any ethics committee opinion required under national law and
- b. Any notification or authorisation for activities raising ethical issues required under national and/or European law needed for implementing the action tasks in question.” (Art. 34.2).

The documents must be kept on file and be submitted upon request by the coordinator to the Agency (see Article 52). If they are not in English, they must be submitted together with an English summary, which shows that the



action tasks in question are covered and includes the conclusions of the committee or authority concerned (if available).”

TRI and RVK are collecting details of the ethics approval process from each consortium’s partner and keeping these on file. Before the start of an action task that raises ethical issues, ethics committee opinion required under national law and notification/authorisation for the particular activity as required by the law is collected from the partner in charge of the task. TRI and RVK keep the documents on file and submit them to the Commission, if required. This will fulfil Requirement (H) no. 2 according to which “Copies of opinions/approvals by ethics committees and/or competent authorities for the research with humans must be kept on file” (D8. 2) what has been revised and to which ethics approvals obtained by partners have been annexed.

In addition to this, TRI proactively checks and asks questions to research partners on the ethics approval process that they will follow on each specific task that might require this process. This will be presented at project management meetings and reported in Period 1 and Period 2 PaCE Ethics Reports (D6.2 and D6.3).

4.3. Timeline of ethics deliverables and ethics approvals

Considering that some ethical issues may arise through the project, the present Ethics Handbook is a living document. Trilateral revises it throughout the project and keeps track of the changes in the document history. Trilateral sends revised versions of the Handbook to all consortium partners after significant changes are made to its content.

The section below presents a timeline with all the ethics requirements for the project and the various research tasks that will require specific ethical attention.



MONTHS	DELIVERABLES DUE (related to ethics)	TASKS INVOLVING HUMAN PARTICIPANTS								
M1		T6.3	T4.1							
M2	D6.1 Ethics handbook									
M3	D8.1 Requirement No. 1 D8.2 Requirement No. 2									
M4										
M5										
M6	D8.6 Requirement No. 7									
M7										
M8										
M9	D6.4: ELSI guidance on ICT tools design									
M10										
M11										
M12	D6.5: ELSI guidance on public engagement									
M13										
M14										
M15										
M16										
M17				T5.5	T5.6					
M18	D6.2: Report PaCE ethics – Period 1									
M19										
M20										
M21										
M22						T4.3	T4.4			



5. Conclusion

The Ethics Handbook provides guidance on legal and ethical rules and principles PaCE partners have agreed to comply with through the conduct of the project. It also identifies how the consortium partners ensure compliance with these rules and principles through a specific ethical monitoring process that is described in this Handbook. It also introduces potential ethical issues that may emerge in the course of the project and the way these will be further identified and addressed through a series of ethics tasks embedded in the project.

As unexpected requirements or issues may emerge in the course of the project, this Ethics Handbook is a living document that is updated throughout the duration of the project. Updated versions of this document are circulated to partners when significant changes are made on it and TRI reports on its implementation at the project's interim and final review.



6. References

All European Academies (ALLEA), European Code of Conduct for Research Integrity of ALLEA (All European Academies). Available online at: https://ec.europa.eu/research/participants/data/ref/h2020/other/hi/h2020-ethics_code-of-conduct_en.pdf [accessed 11 March 2019].

European Commission, Ethics and data protection, 14 November 2018. Accessible online at: http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/ethics/h2020_hi_ethics-data-protection_en.pdf [accessed 13 March 2019].

European Parliament and the Council of the European Union, 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), *OJ L*, 4 May 2016

European Parliament and the Council of the European Union, Regulation (EU) No 1291/2013 of the European Parliament and of the Council of 11 December 2013 establishing Horizon 2020 — the Framework Programme for Research and Innovation (2014-2020) and repealing Decision No 1982/2006/EC *OJ L* 347, 20 December 2013

European Parliament and the Council of the European Union, Regulation (EU) No 1290/2013 of the European Parliament and of the Council of 11 December 2013 laying down the rules for participation and dissemination in "Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020)" and repealing Regulation (EC) No 1906/2006, *OJ L* 347, 20 December 2013

European Parliament, the Council and the Commission, **Charter of Fundamental Rights of the European Union**, *OJ C* 326, 26 October 2012

Convention for the Protection of Human Rights and Fundamental Freedoms (ECHR)

PaCE Grant Agreement, Agreement No. 822337.

SATORI, "Report on standardizing operating procedures in ethics assessment", July 2017 (p. 11 of the CEN Workshop Agreement). Available online at http://satoriproject.eu/media/D7.1_Standardizing_ethics_assessment.pdf [accessed 14 March 2019].



7. Annexes

Participant information sheet and informed consent form – template



PARTICIPANT INFORMATION SHEET

By signing this form, I understand that I am consenting to participate in the PaCE project funded by the European Union (Grant Agreement number 822337) and co-ordinated by the Manchester Metropolitan University (MMU). I confirm that I understand the following:

- The purpose of the activities in which I am participating is to **improve understanding of populism parties and movements today in order to reduce the negative tendencies these may have**.
- **My participation might involve interviews, workshops, surveys and/or written responses to questionnaires**, where I will be invited to offer my views on **populist parties and movements and on civic engagement**. I understand that I may be asked to provide professional or personal views and that my involvement in the research will be kept confidential.
- I am participating in these activities voluntarily, and I am free to end my participation at any time. I may refuse to answer any questions.
- I have the right to ask questions and receive clear answers before deciding to participate.
- My responses to an interview, workshop discussion, survey or questionnaire may be recorded and that physical copies of such recordings will be securely stored **by the PaCE organisation leading the concerned activities**. I understand that all the original data provided will be deleted five years after the project funding comes to an end, according to Article 18 of the PaCE Grant Agreement with the European Commission, unless other legislation requires earlier deletion. I understand that I can request a copy of the data I have provided.
- The legal basis for processing my personal data is my consent. I can withdraw my consent at any time. I am aware of my right to request access to my personal data processed by the PaCE project team, as well of my right to request rectification of my personal data, as well as its erasure. I am aware of my right to request the restriction of my personal data processing and of my right to lodge a complaint with a supervisory authority.
- Such data will be anonymised, **unless I request otherwise**, so that I am no longer identifiable. Anonymised data will be used as input to project reports to be submitted to the Commission and, in some cases, made publicly available on the project website and in a public repository.
- Any information that might identify me will be removed. Only the research team undertaking the research project will be able to access such data. Personal information received will be stored in separate files in a secure manner (including password protection where required). When the information I provide is used for the writing of the report, the consortium will remove my name and all identifying features of that information so that my identity and experiences remain confidential (unless attribution is required and I have consented to it). Under the General Data Protection Regulation 2016/679, PaCE has an obligation to inform me of the purpose of the collection, use, storage and retention of the information I have provided. I understand that the project will only collect information that is relevant to its activities. The project will not transfer my personal information to third parties (i.e., people outside the project).
- My responses may result in incidental and secondary findings, i.e., some information that was not the focus or primary purpose of the question(s). In such cases, I understand that I may opt out of my consent for PaCE's use of the incidental findings. Otherwise, I understand that PaCE will manage the incidental findings in the same way as the principal findings, i.e., that the information will be deleted within five years after EU project funding comes to an end and that any use of such information will be anonymised.



- I have been given the contact details of the research team and I have been informed that I am free to contact Bruce Edmonds, PaCE Project Co-ordinator, with any queries relating to my data or the project itself. By email: bruce@edmonds.name or telephone +44 161 247 6479.

Name:	Date:	Signature:
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Informed consent form

Terms of consent	Respondent's signature
I _____ [your name] confirm that I have read the information sheet dated ____/____/____ explaining the project and I have had the opportunity to ask questions about the project.	
My participation is voluntary. I agree that the data collected from me can be used for a PaCE deliverable.	
I confirm that I agree to the activity (interview, workshop, survey and/or questionnaire) in which I am participating and that any data will only be used for the project's sake.	
I agree to have the name of my organisation stated for this research.	
I consent to the project team contacting me, if required, as a follow-up to the research/engagement activity.	
I consent to project researchers' use of my anonymised responses.	
OR	
I consent to the use of my name and responses in project deliverables.	

Respondent's name (please print):

Date: