proEthics

Deliverable

D7.2 Project Handbook including quality guidelines

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Table of Contents

1. Executive Summary

The PRO-Ethics Project Handbook is intended as a comprehensive overview of the project, its work packages, Tasks, and deliverables. It lays down the respective work package and Task leads and contributors, and clearly defines feedback loops and reviewing partners. The handbook defines internal quality assurance procedures of the PRO-Ethics consortium, and describes the project's Task interdependencies and deliverable review processes, to ensure high quality research work and outputs. It defines clear guidelines for quality assurance, lays down responsibilities and makes explicit the interdependencies between different work packages and Tasks, as well as the related working hierarchies. In addition, it works as a general project roadmap, specifying internal deadlines for each deliverable in accordance with the complexity of their respective review process.

The main target group of this deliverable are the consortium partners themselves. As such, the handbook not only serves as a point of reference for PRO-Ethics team members during the research process, it may also be especially helpful for individuals joining the project at a later stage. As the roadmap has been decided upon by the partners, and the interdependencies been described by the work package leads, the writing of this deliverable served to strengthen the partners commitment to their common goals and responsibilities.

PRO-Ethics consists of a large consortium with diverse partners from different fields and backgrounds, all working on highly interdependent Tasks. It is therefore paramount for these partners to communicate transparently about each Tasks and deliverables status, anticipated risks and hurdles, but also unforeseen problems and delays. Transparency and flexibility are thus guiding principles of the partners cooperation in this project, which is reflected in the contents of this handbook, emphasizing each partner's responsibility for the whole project's success.

On a final note, because of the currently unfolding situation regarding COVID-19, special attention has been given to risk assessment and mitigation in the responsible work package 7 "Project Management and Coordination". This can be found on pp. 41-43.

2. Introduction

The PRO-Ethics project is committed to high quality output. Therefore, this document defines a set of procedures that the consortium is committed to adhere to and to improve in the course of the project.

As the most important output of the PRO-Ethics Project Handbook, the following Chapter 3 of this deliverable describes the Quality Guidelines followed by the PRO-Ethics consortium.

This is followed in Chapter 4 through 10 by a comprehensive description of each Work Package, describing their respective objectives, laying down a time plan for each and giving an overview of deadlines to be observed in each.

All deliverables go through basic quality assurance, being reviewed at the minimum internally by the Task leads and again by the project coordinator ZSI before submission. In these cases, a deadline of 2-3 weeks before submission is deemed sufficient. In cases where the project coordinator is also the work package lead, ZSI will engage another partner to review the deliverable for them. In these cases the internal deadline is scheduled 4-5 weeks before submission, to allow for the longer review process. The same holds true for cases where a Task with one lead has as an output a deliverable with another lead, who has to review the output before directing it to the project coordinator.

Finally, the core deliverables of PRO-Ethics necessitate an additional feedback loop, with one qualified partner assigned to review the deliverable according to the review guidelines described in chapter 3. The layout of these deliverables will be done by a professional graphics designer, to account for both the high visibility of these deliverables, as well as their planned printing. The internal deadline for these deliverables is also 5-6 weeks before submission.

Thus, Chapter 4 through 11 list an internal deadline as well as the official submission date for each deliverable, while also laying down the respective level of quality assurance required.

Chapter 10, dedicated to WP7 Project Management and Coordination, in its task T7.4 "Project Quality Assurance and Risk Mitigation" also features an extensive discussion and risks assessment regarding the currently unfolding situation with COVID-19.

Chapter 12 is dedicated to the PRO-Ethics advisory board, describing its makeup as well as its purpose.

Finally, in Annex 1 the List of Figures can be found, and in Annex 2 the List of Tables.

3. Quality Assurance

Quality assurance is a special concern in collaborative research, such as PRO-Ethics, and the consortium is committed to a set of quality procedures to guarantee high quality project output. Below the PRO-Ethics quality guidelines are described in detail, with the entire consortium being committed to strict observance. In addition, the partner review process is further scrutinized at the end of the chapter.

Moreover, as part of WP7 the project coordinator ZSI will closely monitor the progress of the project and the achievement of its objectives, ensure the successful cooperation of the consortium, flexibly and proactively managing risks as well as delays or roadblocks, should they arise. WP7 also continuously monitors the performance indicators defined for the project.

3.1 Quality Guidelines

To ensure the quality of the project, all consortium partners agree to follow these guidelines at all times to the best of their ability:

1. Task leads and contributors keep in close contact and provide each other feedback so as to ensure high quality output.

2. Each deliverable must be provided well in time to allow for a feedback loop ahead of submission (at least two weeks prior to submission to the EC). The respective deadlines for each work package deliverable are defined in the PRO-Ethics Project Handbook in their respective chapters.

3. Each deliverable will go through basic quality assurance ("Basic QA"), and will be reviewed by the project coordinator ZSI before submission. Deliverables accessible to the public will adhere to a layout provided by a graphic designer. Deliverables intended for print will be designed in their entirety by a professional graphics designer. Each deliverable will follow a general structure that is as such provided in the deliverable template of the project:

   a. Cover page

   b. Document Control Sheet including Versioning and Contribution History

   c. Table of Contents

   d. Executive summary

   e. Introduction

   f. Core Content

   g. Conclusion (if applicable)

   h. References (if applicable)

   i. Annexes (if applicable)

4. Only the most important deliverables, core outputs with high visibility, will be reviewed by at least one qualified consortium partner ("Partner Review") before submission to ensure the highest possible quality standards. Such deliverables are defined clearly in the Project Handbook within the respective work package chapters. Criteria scrutinized by the reviewing partners include:

   a. Quality of the content and/or process

    b. Evidence-base

    c. Length

    d. Language

    e. Consistency

    f. Major strengths and weaknesses

    g. Special attention will be given to the development of sound methodologies for the implementation of the individual Tasks.

5. Should problems become apparent within a Task, the work package lead as well as all affected partners will be informed immediately. It is the responsibility of the work package lead to report such problems to the project coordinator and propose possible solutions. This is especially true for Tasks on which others depend directly.

3.2 Partner review

6. An internal review process is an essential yet feasible means to enhance the quality of the project deliverables. As noted above, the most important and visible PRO-Ethics deliverables go through "partner review". The respective internal partner reviewers for such key deliverables are decided upon at the beginning of each Task the project and denoted in the PRO-Ethics Project Handbook.

7. To ensure a timely submission of these deliverables, the author(s) must submit them to both the coordinator and the reviewing partner in a timely manner, as defined for each deliverable in the Project Handbook. The reviewing partner will give feedback to the author(s) within two weeks; the author(s) will implement the recommendation within two weeks. The coordinator will be included in all related communications. In case of expected delays, authors and reviewers will notify the respective editors and the project coordinator immediately.

WP 1 Ethics of Innovation: Conceptual Framework

3.3 Overview and Objectives

Lead: Sciences Po

Contributions: ZSI, DBT, TUD, NESTA, EUREKA, EUREC Office, Innoviris, RCN, CDTI, TACR, FFG, VDI/VDE, UEFISCDI , RCL

Timeframe: M1-M15

The objective of WP1 is to establish the state-of-art knowledge base of ethics of novel interaction modes in innovation activities on which all other WPs will build upon. Through theoretical and empirical investigation of the state-of-art, information about existing practices is gathered and a framework for implementing ethical aspects of innovation in different contexts is proposed.

WP1 will produce a first proposal of a new PRO-Ethics Framework (0.1, including guidelines). It will feed into WP5 alongside other insights gathered through applying and testing of the ethics framework in real-life pilots (WP2), which are in parallel accompanied by learning cycles (WP3) and stakeholder dialogues (WP4). A set of criteria for assessing the ethical stance of innovative practices and for supporting open innovation will be proposed as part of the draft ethics framework, which are used as assessment guideline to be applied in WP2.

This will be achieved by:

- highlighting the theoretical features and objectives of ethics and innovation
- obtaining information on existing regulatory frameworks
- learning from practitioners and citizens

The specific Tasks of WP1 are:

- Identify presuppositions, common features and goals underlying different forms of innovation and ethics
- Assess the ethical, regulatory and governance aspects of innovation processes according to the different actors involved
- Provide a set of criteria to test the effectiveness of current and future forms of novel interaction modes in innovation activities
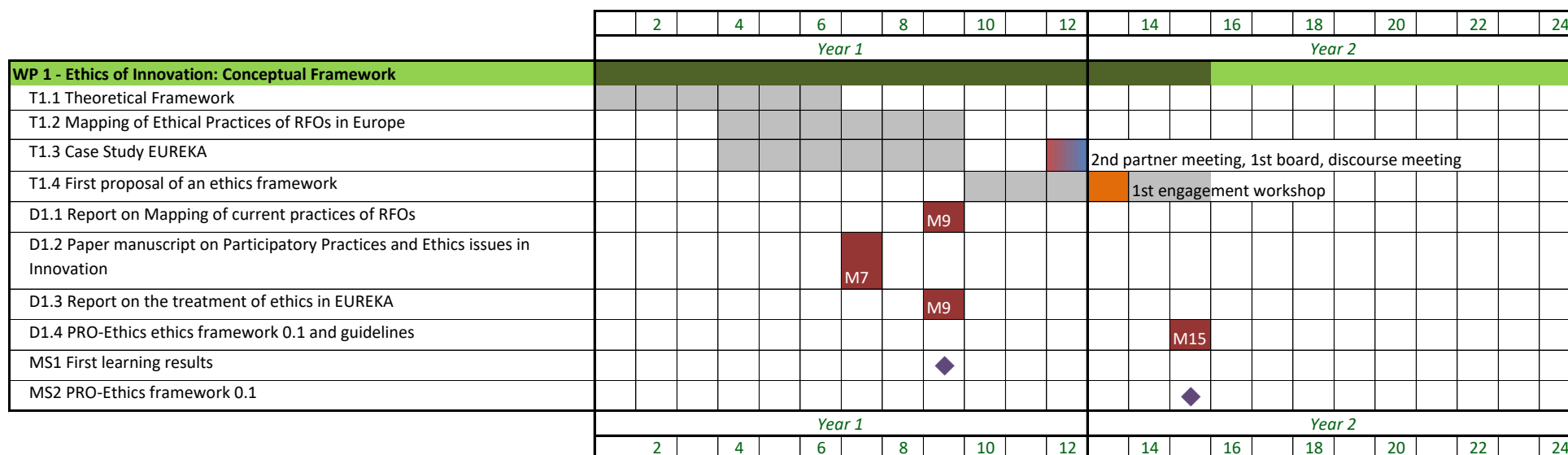
3.4 Time plan, deadlines, deliverables and milestones

WP 1 - Ethics of Innovation: Conceptual Framework	2	4	6	8	10	12	14	16	18	20	22	24
				Year 1					Year 2			
T1.1 Theoretical Framework												
T1.2 Mapping of Ethical Practices of RFOs in Europe												
T1.3 Case Study EUREKA							2nd partner meeting, 1st board, discourse meeting					
T1.4 First proposal of an ethics framework							1st engagement workshop					
D1.1 Report on Mapping of current practices of RFOs					M9							
D1.2 Paper manuscript on Participatory Practices and Ethics issues in Innovation			M7									
D1.3 Report on the treatment of ethics in EUREKA					M9							
D1.4 PRO-Ethics ethics framework 0.1 and guidelines							M15					
MS1 First learning results					◆							
MS2 PRO-Ethics framework 0.1							◆					
				Year 1					Year 2			
	2	4	6	8	10	12	14	16	18	20	22	24

Figure 1: Work package 1 Time Plan

WP 1 - Ethics of Innovation: Conceptual Framework	QA	Submission Date	Internal Due Date	Lead Participant	Internal Reviewer
D1.1 Report on Mapping of current practices of RFOs	Basic	September 2020	17.09.2020	Sciences Po	
D1.2 Paper manuscript on Participatory Practices and Ethics issues in Innovation	Partner	July 2020	17.06.2020	Sciences Po	Nesta + FFG
D1.3 Report on the treatment of ethics in EUREKA	Partner	September 2020	19.08.2020	EUREKA	Sciences Po
D1.4 PRO-Ethics ethics framework 0.1 and guidelines	Partner	March 2021	17.02.2021	Sciences Po	Nesta
MS1 First learning results		September 2020	September 2020	Sciences Po	
MS2 PRO-Ethics framework 0.1		March 2021	March 2021	Sciences Po	

Table 1: List of Work package 1 Deliverables and Milestones, including Deadlines

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3.5 Overview of interdependencies

Work package 1 has as its core output the PRO-Ethics Framework 0.1, which in turn will feed into the development of the Pilot II case studies (WP2 & 3), guide the analysis of the cases, and serve as a basis from which to develop the PRO-Ethics framework 1.0 (WP5).

The WP1 theoretical framework (T1.1) will be used as a basis for reflection in WP2, WP3, WP4 and WP5, while serving as a general framing of the project in regards to 1) research and innovation and 2) participation. The mapping of ethical practices of RFOs in Europe (T1.2) will be conducted internally with PRO-Ethics RFOs and complemented by interviews of experts identified through the stakeholder mapping done in WP 4 (T4.1) by Nesta. The development of the PRO-Ethics framework 0.1 (T1.4) is also dependent on the practical insights gained from the Pilot I activities in WP2, provided by ZSI.

Further elaboration of interdependencies can be found within the respective Task descriptions.

3.6 Task descriptions

3.6.1 Task 1.1 Theoretical Framework: Review of Multi-level Regulatory Dimensions of Participation and Ethics Practices.

Lead: Sciences Po

Contributions: TUD, EUREC

Timeframe: M1-M6

Starting point of WP1 is a critical literature review to, firstly, identify and systematize common ethical features, differences and challenges which novel or emerging innovation approaches and configurations (such as open innovation, grassroots innovation, social innovation, responsible innovation, etc.) address and employ.

Secondly, literature and documents (incl. grey literature, guidelines, codes of conduct, web-texts etc.) on ethical practices in R&I will be critically reviewed to identify how different regulatory bodies (e.g. ethics committees, research integrity bodies, advisory bodies like EGE, National Ethics Councils) are dealing with such innovative configurations.

By unveiling general principles and methodologies of participatory practices in innovation, and matching them with the basic features and concerns of contemporary ethics in the field of R&I, regulatory gaps and potential controversies will be explored. Based on a discourse-analytical comparison a problem-centered scoping paper of ethical issues for novel modes of interactions (e.g. with citizens) will be drafted.

3.6.2 Task 1.2 Mapping of Ethical Practices of RFOs in Europe

Lead: Sciences Po

Contributions: TUD, Innoviris, RCN, CDTI, TACR, FFG, VDI/VDE-IT, UEFISCDI, RCL

Timeframe: M4-M9

T1.2 complements the literature- and document-centered research design of T1.1 by recording and analyzing empirical practices. Thus PRO-Ethics will provide a state-of-art knowledge stock on provisions and treatments of ethical aspects in innovation projects and innovation funding practices. Based on the stakeholder mapping exercise conducted in Task 4.1, T1.2 will empirically identify and study ethics related practices (such as governance structures, legal and regulatory provisions and practices) in participative innovation activities (in the meaning of new actor constellations) reported by national and regional RFOs. This enables us to gain a comprehensive picture on current practices, gaps and identified challenges across the EU.

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Methodologically a short survey will be developed by Sciences Po and send out to the stakeholders identified in Task 4.1. The survey will be cognitively pre-tested. The focus of the survey is on ethical aspects of the current participative innovation practices supported or implemented by regional and national RFOs at the level of (a) funded innovation projects, (b) new actor constellations in strategy development and (c) in evaluation practices, i.e. the three fields under scrutiny in PRO-Ethics. For each field the corresponding ethical governance structures, the legal ethics basis and soft law (regulations, codes of conduct, guidelines) as well as the size and scope of such novel innovation practices will be recorded and analyzed.

Based on a guideline, the different regulatory schemes within the PRO-Ethics network of RFOs will be identified and analyzed in order to gain an overview of their actual legal, ethical and governance-related rules and conditions with regard to the funding of innovative interactions modes (incl. strategy development and evaluation) and configurations in innovation projects. For this purpose document analysis, inter-views (with 10 experts) and a short survey will be applied. This survey also addresses experiences with participative approaches and the applied ethics rules or ethics appraisals in the in-novation programs under scrutiny of the RFOs partnering in Pilot I (see WP2).

3.6.3   Task 1.3 Case Study EUREKA

Lead: EUREKA

Contributions: TUD, Sciences Po

Timeframe: M4-M9

To dig deeper into the empirical practice of ethics and new actor constellations in innovation projects, EUREKA offered to be a case study. This brings in a pan-European as well as an international dimension, because EUREKA will take advantage of its potential to gather insights from non-European Member countries (e.g. Canada, South Korea and South Africa) and explore how practices differ with involvement of international partners beyond the European borders.

The Task will be formed by three different empirical activities:

▶ Extract information on the characteristic of innovation projects funded under Eurostars, recording their links to the current landscape of ethics (see Task 1.1) in innovation and identifying the ethical issues linked to citizens' participation to innovation projects.
▶ EUREKA will send a short survey to a representative sample of participants in Eurostars projects. The survey will be cognitively pre-tested. It addresses both experiences with participative approaches and the applied ethics rules and ethics appraisal. The ethics appraisal for Eurostars is a unique added value because the information provided will bring an exclusive perspective on this matter.
▶ EUREKA will organize a workshop with the aim to collect feedback from project officers, ethics experts and beneficiaries. The content of the workshop includes inter alia:
    ▹ General reflections on ethics on innovation. Reasons behind the increasing importance within H2020 and the European funding scheme.
    ▹ Contribution of the implementation of ethics assessment to the quality of projects.
    ▹ Barriers in implementation and delivery of ethics requirements.
    ▹ Current and futures challenges in the dissemination of ethics in innovation projects and society.
    ▹ Differences between the theory and the practice of implementation of ethics. These activities will provide quantitative and qualitative insights and a better picture of ethics appraisals, the consequences on the projects and the challenges that different parties face. One of the goals of this Task is to assess if the awareness of beneficiaries on ethics issues can contribute to strengthen the project proposals from a technical and commercial point of view.

3.6.4 Task 1.4 Proposal of an ethics framework (framework 0.1)

Lead: Sciences Po

Contributions: all

Timeframe: M10-M15

T.1.4 will systematize the work of T.1.1 (Theory), T.1.2 (Mapping) and T1.3 (Case Study) and combine the findings in a moderated discourse workshop with the practical insights gained from the Pilot I activities in WP2. The discourse workshop will take place in Prague in month 12 back-to-back with the 2nd General Assembly. The PRO-Ethics Advisory Board will be invited to participate in this workshop.

Based on the efforts implemented across all WPs until month 15, a first synthesized version of the PRO-Ethics ethics framework will be drafted (D1.4). In addition, guidelines for the implementation of the draft ethics framework will be developed. Operationalization of the draft ethics framework into guidelines requires that criteria are made as specific and measurable as possible, which in turn demands that they are formulated as specific as possible. The guidelines will be applied in the pilots implemented in phase II. They will be practically tested and evaluated in these pilots by the involved citizens, industry representatives, and researchers.

The draft ethics framework will also propose a set of criteria to assess the ethical stance of novel interaction modes in innovation activities.

4. WP 2 Testing the ethics framework in real life pilots

4.1 Overview and Objectives

Lead: ZSI

Contributions: EUREC Office, Innoviris, RCN, CDTI, TACR, FFG, VDI/VDE, UEFISCDI , RCL

Timeframe: M3-M48

WP2 is at the very centre of PRO-Ethics. Experiments and Pilot actions in the different fields of action under scrutiny will be implemented. This will be done in two stages: Pilot I offers a first field for experimentation in applying the criteria of the draft ethics framework developed in T1.4. Pilot II will follow after a cycle of co-designing, learning, training and evaluation. The RFOs are encouraged and supported to integrate the draft ethics framework in new R&I programs and processes to enhance ethically sound new interaction modes in innovation activities which could subsequently be integrated into everyday practices. The three fields of action in which the RFOs plan to carry out their Pilots are "citizen participation in innovation projects", "citizen engagement within agency's processes", and "citizen engagement in evaluation processes".

The specific Tasks of WP2 are:

- ▶ Selection and set up of pilots: 11 pilots in two phases (pilots phase I and II) in three fields of action by all RFOs
- ▶ Integrating the ethical framework in the development and co-design of pilots (phase II) accompanied by learning cycles (WP3) and engagement and dialogue activities (WP4)
- ▶ Accompanying analysis of ethical issues of the ongoing pilots (pilots phase II) throughout the whole learning cycles (see the learning cycles in WP3)
- ▶ Evaluation of pilots according to guidelines

4.2 Time plan, deadlines, deliverables and milestones
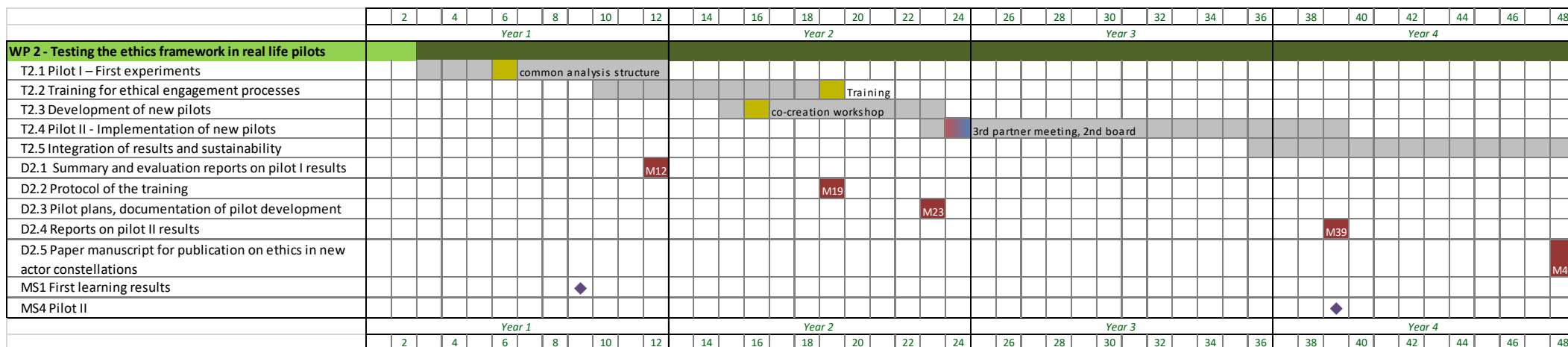
Figure 2: Work package 2 Time Plan

WP 2 - Testing the ethics framework in real life pilots	QA	Submission Date	Internal Due Date	Lead Participant	Internal Reviewer
D2.1 Summary and evaluation reports on pilot I results	Partner	December 2020	18.11.2020	ZSI	DBT
D2.2 Protocol of the training	Basic	July 2021	28.06.2021	EUREC Office	ZSI
D2.3 Pilot plans, documentation of pilot development	Basic	November 2021	01.11.2021	ZSI	DBT
D2.4 Reports on pilot II results	Partner	March 2023	15.02.2023	Innoviris	ZSI+CDTI
D2.5 Paper manuscript for publication on ethics in new actor constellations	Partner	December 2023	20.11.2023	ZSI	TUD
MS1 First learning results		September 2020	September 2020	Sciences Po	
MS4 Pilot II		March 2023	March 2023	DBT	

Table 2: List of Work package 2 Deliverables and Milestones, including Deadlines

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4.3 Overview of interdependencies

WP2 is tied closely to the objectives of WP3. The two work packages run in parallel, and close cooperation between the work package leads will be essential. The successful implementation of WP2, WP3, and WP4 will constitute the basis for WP5, which will in turn produce the key output of the project – the PRO-Ethics framework 1.0. Thus, the conscientious execution of these work packages in concert with one another will be imperative, requiring a close cooperation between ZSI and DBT in particular.

The "Pilot I – First experiments" (T2.1) will in part be executed in concert with the "Cross-pilot learning workshops" T3.3, while the reflection and evaluation of ethical questions of this Task will build on the templates developed in T3.1. The development of the Pilots II (T2.3) will be facilitated through the trainings (T2.2) and a workshop, which will be held back to back with the WP4 second "Stakeholder engagement workshop" (T4.2), with the associated synergies needing to be exploited.

The "Implementation of Pilots II" (T2.4) will depend on the draft PRO-Ethics framework 0.1 (D1.4), which will be provided by Sciences Po, and will critically assess the ethical dimensions according to the "Monitoring and Evaluation Concept" (T5.1), developed itself by ZSI. Furthermore, narratives on their experiences will be developed (T3.4) in concert with DBT.

Further elaboration of interdependencies can be found within the respective Task descriptions.

4.4 Task descriptions

4.4.1 Task 2.1 Pilot I – First experiments

Lead: ZSI

Contributions: all RFOs

Timeframe: M3-M12

The funding agencies (namely Innoviris, RCN, CDTI, FFG, VDI/VDE, TACR, UEFISCDI, RCL) have selected one innovative participatory real-life experiment for a detailed ethical analysis. The experiments in the first pilots should be based on existing and ongoing programs or processes with participatory elements and include participatory activities at three engagement action fields. At least one pilot per action field will be under scrutiny, some cases will be done jointly by two RTOs. One first cross-pilot workshop will be conducted during pilot phase I in Oslo in month 6 (see Task 3.3. cross-pilot learning workshops). Templates for reflection, learning and evaluating ethics developed in WP3 (T3.1) will support the RFOs in reporting of what they have learnt from the pilot analysis.

Engagement fields of action:

Participation in innovation projects (FFG, CTDI)/Participation within agency's processes of strategy development (VDI/VDE-IT, TACR) /Participation in evaluation processes (RCN, RCL, Innoviris, UEFISCDI)

4.4.2 Task 2.2 Training for ethical engagement processes

Lead: EUREC Office

Contributions: ZSI, all RFOs

Timeframe: M13-M19

To empower the participating RFOs to properly prepare Pilots II and to achieve the best possible effects of the draft ethics framework, an intensive training with two parts will take place within PRO-Ethics in Vienna in M19:

▶ The first part will focus on the draft ethics framework and the guidelines developed within WP1 and will be feed backed with the Research Ethics and Research Integrity experiences of the HORI-ZON2020 Projects VIR2TUE and Path2Integrity. The training will enable the RFOs to apply contemporary and tailored Ethics rules, appraisals, procedures as well as Research Integrity guidelines in their engagement experiments. This part will be led by EUREC Office.

▶ The second part will address the single steps of the engagement processes leading to a clear under-standing how engagement processes can successfully be implemented. The training will include the set-up of engagement processes and the use of co-design techniques as well as the application of the IT tool to support ethical engagement processes (see WP3). Questions such as which engagement methods are used, how to do the stakeholder mapping, how to get people on board, and also how to document the processes will be collaboratively answered. One important element is the issue of gender equality both in the selection of stakeholders or citizens and in the constitution of evaluation boards. This part will be led by ZSI with support of VDI/VDE, who will explain the IT tool selected under Task 3.2 in month 10. The training will be carried out in interactive group formats. As a result, all RFOs will have a clear understanding on how to kick off and conduct the pilot phase II process successfully in an ethics and gender sensitive way. This Task will inform Task 2.3.

4.4.3 Task 2.3 Development of new pilots

Lead: ZSI

Contributions: all RFOs

Timeframe: M15-M23

All RFOs will meet in a two day co-creation workshop, designed by ZSI, where they develop their pilots for phase II by taking the ethics framework into account. The workshop will take place in Vienna in month 16 (back-to-back with the 2nd Stakeholder Engagement Workshop – see Task 4.2). The RFOs will work on an ethical implementation strategy for phase II pilots. The pilot plans include stakeholder map-ping, methods of engagement, ethics issues, time planning, decision on activities, resources needed, documentation and reporting of activities and a clear pilot time schedule. The plans will be sent to the advisory board experts for feedback and additional advice, which will be integrated by the RFOs before they start the pilot II implementation phase in T2.4. The co-creation process and the pilot implementation plans, which are addressing PRO-Ethics´ three engagement action fields, will be documented. This feeds into the work of WP3 with continuous documentation (memos, reflection processes), the dialogue with external stakeholders in WP4 and the dissemination activities of WP6.

4.4.4 Task 2.4 Pilot II – Implementation of new pilots

Lead: ZSI

Contributions: all RFOs

Timeframe: M23-M39

In this central Task, the RFOs (except RCL, which will act as 'shadow learning partner') will implement their pilot ideas based on the draft ethical framework and guidelines. RFOs will apply engagement processes supported by the IT tool collaboratively selected in T3.2 and reflect and document the process with a particular focus on ethics issues which might arise. Using the provided reflection, documentation and evaluation templates, they also will critically assess the ethical dimensions according to the monitoring and evaluation concept (T5.1) and develop narratives on their experiences (see T3.4). ZSI will support the agencies in their pilot implementation processes, by offering advice for gender- and ethics-sensitive engagement methodologies.

4.4.5   Task 2.5 Integration of results and sustainability

Lead: Innoviris

Contributions: all RFOs

Timeframe: M36 – M48

This Task aims at integrating the pilots' results and learnings in everyday practices of the funding agencies based on the results of the analysis, evaluation and synthesis in T3.5. The development of future integration models with the help of methodologies such as system dynamics and group model building or scenario workshops will support the funding agencies in identifying widening strategies for adopting, adapting and integrating novel and ethically sound engagement processes and interaction configurations in innovation activities. One training on methodologies for the establishment of such models will be held in Copenhagen in month 39 (see Task 3.3.). As a consequence, however outside of the budget of PRO-Ethics, suit-able further innovation funding programs in the RFOs' program portfolios and processes should be identified, proper ethical engagement processes subsequently tested (ex-ante impact assessment) and implemented. Task 2.5 is closely linked to WP4 (T4.4 embedding PRO-Ethics ethics framework in partner countries' ecosystems) as both Tasks point to a sustainable uptake in the future after the finalization of PRO-Ethics.

5. WP 3 Cross pilots learning on the practical implementation of the ethics framework and guidelines

5.1 Overview and Objectives

Lead: DBT

Contributions: ZSI, TUD, Innoviris, RCN, CDTI, TACR, FFG, VDI/VDE, UEFISCDI , RCL

Timeframe: M3-M45

The overall objective of WP3 is to facilitate learning about the implementation of the draft ethics framework and guidelines developed in Task 1.4 across the pilots. WP3 runs in parallel to WP2. The benefit of facilitated learning and exchange among the RFOs will be twofold. On one hand, the learning cycle supports learning-by-doing among the RFOs. On the other hand, the learning cycle enables grounded theory building to identify relevant aspects and dimensions of the draft ethics framework in practical implementation (including hot spots, critical issues as well as potential discrepancies, including the drivers and bottlenecks that must be taken into account).

In order to reach this overall objective, WP3 has the following specific Task related goals:

▸ Facilitate structured learning among the RFOs by offering templates for designing, reporting, evaluating
▸ Implementation of cross-pilot learning workshops to enable structured reflection, cross-pollination and mutual adjustment among the RFOs
▸ Facilitate the gathering of 'pilot stories' for purposes of deepening the available pilot data and for illustration and communication of the lessons learned
▸ Provide coaching and/or expert support for pilots drawing on expertise within and outside the consortium, to ensure implementation of the ethical framework at a 'state-of-the-art' level.
▸ Analyze, evaluate and synthesize the results
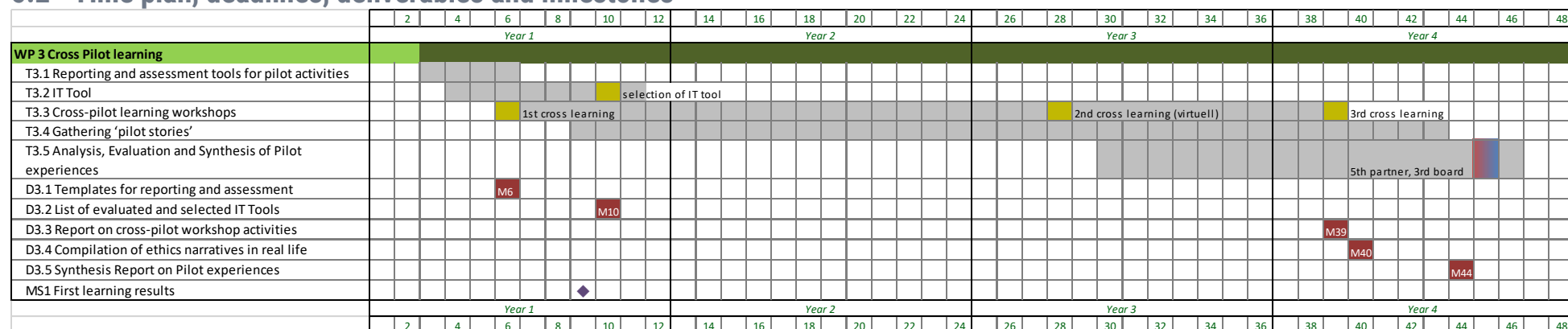
5.2 Time plan, deadlines, deliverables and milestones

Figure 3: Work package 3 Time Plan (Gantt chart, months 2–48, Year 1 to Year 4)

WP 3 Cross Pilot learning	Timeline markers
T3.1 Reporting and assessment tools for pilot activities	
T3.2 IT Tool	selection of IT tool
T3.3 Cross-pilot learning workshops	1st cross learning; 2nd cross learning (virtuell); 3rd cross learning
T3.4 Gathering 'pilot stories'	
T3.5 Analysis, Evaluation and Synthesis of Pilot experiences	5th partner, 3rd board
D3.1 Templates for reporting and assessment	M6
D3.2 List of evaluated and selected IT Tools	M10
D3.3 Report on cross-pilot workshop activities	M39
D3.4 Compilation of ethics narratives in real life	M40
D3.5 Synthesis Report on Pilot experiences	M44
MS1 First learning results	◆

Figure 3: Work package 3 Time Plan

Table 3: List of Work package 3 Deliverables and Milestones, including Deadlines

WP 3 - Cross Pilot learning	QA	Submission Date	Internal Due Date	Lead Participant	Internal Reviewer
D3.1 Templates for reporting and assessment	Basic	June 2020	01.06.2020	ZSI	DBT
D3.2 List of evaluated and selected IT Tools	Basic	October 2020	28.09.2020	VDI/VDE-IT	DBT
D3.3 Report on cross-pilot workshop activities	Basic	March 2023	15.03.2023	DBT	
D3.4 Compilation of ethics narratives in real life experiences	Partner	April 2023	22.03.2023	DBT	ZSI
D3.5 Synthesis Report on Pilot experiences	Partner	August 2023	16.07.2023	DBT	ZSI
MS1 First learning results		September 2020	September 2020	Sciences Po	

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5.3   Overview of interdependencies

In addition to the interdependencies described above, WP3 is further interconnected with WP5: T3.2 IT Tools will be used for the e-consultation of the ethics framework in T5.4, while WP3 will be working with outputs from T5.1 (Monitoring and Evaluation Concept) for T3.5 (Analysis, Evaluation and Synthesis of Pilot experiences). In general, the collected learnings from the three workshops, as they're synthesized in T3.5, will also help inform the Ethical Framework 1.0 of T5.2. Furthermore, the last T3.3 Cross-pilot learning workshop will be held back to back with a stakeholder engagement event from WP4 (T4.2).

T3.4 is another task in which interdependencies exist. For one thing, the narratives developed here feed into D2.5 as empirical input, requiring some additional exchange between ZSI and DBT. Simultaneously, the narratives collected in T3.4 also fuel some of the Dissemination, outreach and exploitation output of T6.2. In order to get the most out of these narratives and maximize their impact, some common planning and general interlinking of key aspects of T3.4 and T6.2 is to be expected regarding details of how and when certain narratives are disseminated.

Finally, T3.5 (Analysis, Evaluation and Synthesis of Pilot experiences), will be used within T2.5 ("Integration of results and sustainability"), WP5 and WP6. Further elaboration of interdependencies can be found within the respective Task descriptions.

5.4   Task descriptions

5.4.1   Task 3.1: Reporting and assessment tools for pilot activities

Lead: ZSI

Contributions: DBT

Timeframe: M3-M6

Task T3.1 will develop and provide reporting and assessment tools for the RFOs for implementing the ethics framework in their pilots (phase I and phase II). The tools structurally support the RFOs in reflecting their processes and to learn from experiences. The collected documentation is the basis for further analysis and assessment as well as for cross pilots exchange (see Task 3.3). To foster continuous learning, the reporting templates will be adopted to build upon the phase II pilot plans. DBT will gather the reports, analyze and assess them and prepare the results for both the cross-pilot learning workshops in Task 3.3 and the synthesis in T3.5.

The work is currently being carried out in unison between ZSI, who are leading the template design, and DBT, who are assisting this work. The first iteration of the templates has been sent out in M3 and will be developed further by the two partners, after which additional questions will be sent out some time before the first workshop in M6. Once the answers are gathered, DBT will take the lead in analyzing and applying the insights for the first workshop, while ZSI will take on the assisting role.

5.4.2   Task 3.2: IT Tools

Lead: VDI/VDE-IT

Contributions: all RFOs, DBT and TUD

Timeframe: M4-10

This Task will map available IT-tools on the market which facilitate new interaction modes and partici-pation of nontraditional actors in R&I funding processes and programs. Strengths and limits of these tools for different actor configurations and purposes will be analyzed and main features of a proper model for engagement (differentiated by the three engagement fields of PRO-Ethics) defined.

Within a workshop all RFOs will assess and rate which tools are most useful for them and decide which ones they would most likely apply in their engagement processes. The finally selected tool will be contracted and applied in the Pilots in Phase II. The RFOs will be trained to use the tool in the train-ing conducted in Task 2.4. The IT-tool will also be used for the e-consultation of the ethics framework in T5.4.

Beginning in M4, VDI/VDE-IT and DBT will instigate the work in mapping the potential IT-tools. Here, VDI/VDE-IT will be leading the identification and evaluation of the tools, while DBT's main contribution will be to assist the analysis of their strengths and limits in engagement contexts. The first internal goal is to have a very rough sketch of the mapping ready for the first workshop of T3.2 in M6, if the format allows it.

From this point in time, the mapping will continue with the same roles through the summer, with VDI/VDE-IT leading the effort and DBT assisting the analysis, while TUD is also expected to contribute somewhat at this point, by way of assessing the mapping as part of the larger framework and the three engagement fields of PRO-Ethics. The mapping is expected to be finished in M8.

Leading up to the IT tool selection workshop, the results of the mapping will be presented in a form that allows for the key qualities of each tool to be properly assessed by the RFO's with little prior knowledge of them. VDI/VDE-IT will lead this effort through months 8-9, and again, DBT will assist. In M9 or M10, depending on the chosen date for the workshop, all RFOs will receive this material in prep-aration for the workshop itself, which VDI/VDE-IT will be responsible for planning and running, with all RFOs and TUD participating.

The final list, D3.2, will be presented shortly hereafter based on the material prepared for the workshop and the selection outcome, with VDI/VDE-IT in charge of the list and DBT assisting as WP leader for the hand-in.

5.4.3   Task 3.3: Three cross-pilot learning workshops

Lead: DBT

Contributions: ZSI, all RFOs, TUD, Sciences Po

Timeframe: M3-M39

Task 3.3 implements online and face-to-face workshops in which the RFOs follow, reflect on, learn from, challenge and inspire each other to advance towards the goals of their pilots. Therefore, two face-to-face workshops and one virtual workshop will be conducted.

The first cross learning workshop will take place during pilot phase I in Norway (M6), the second (vir-tual) cross learning workshop takes place during pilot phase II and the third (face to face) workshop will be conducted after the implementation of pilot phase II in Denmark (M39). This last face to face workshop will be organized back-to-back with a stakeholder engagement event foreseen in WP4 to reach out to potential external users (T4.2).

The first cross learning workshop serves the exchange of ethics practices in the pilots under scrutiny in pilot phase I. Participants are the RFOs and the coordinator. The second cross learning workshop is

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a virtual one to the exchange ethics practices in the pilots under scrutiny in pilot phase II. Participants are the RFOs and the coordinator. The third cross learning workshop feeds in the practical learning of the RFOs for finalizing and fine-tuning of the PRO-Ethics ethics framework. Participants are the RFOs and the coordinator as well as TUD and Sciences Po who are responsible for finalizing the PRO-Ethics ethics frame-work together with the coordinator.

All workshops will employ a diversity of exchange formats to support mutual learning as needed. This Task will be planned flexibly to allow a needs-based approach in terms of both content and timing. In addition to common workshop design techniques, the Task will draw on Problem-Based Learning techniques and methods to facilitate learning and ongoing peer review. In different workshops, participants will take over different roles. An important secondary goal of the workshops is to gather evidence for later work packages, especially with regard to the production of a user-friendly ethics framework in WP5. All work-shop activities will use the reporting templates developed in Task 3.1 to ensure structured and transparent documentation of findings and lessons.

Starting off in M3, the contents of the workshop is being developed by DBT, while ZSI will weigh in on the first draft in M4. M4 will also be the month in which it will be decided collectively whether the first workshop will be held online or in Oslo in light of the COVID-19 situation. No matter the outcome, some additional preparation and potential changes will have to be considered by DBT and in part ZSI, as coordinator, and potentially RCN, as hosts. In M5 or M6, pilots can also expect to receive some material or tasks in preparation for the workshop, while one or two phase I pilots might also be asked to contribute by way of presenting their pilot as part of the program.

The planning of workshops 2 and 3 in M28 and M39 are likewise expected to begin some 2-3 months before the events themselves. In both workshops, DBT will be planning the proceedings with assistance from ZSI to make sure they fit the current needs of the pilots in addition to meeting the outlined goals. Here as well, the partners in charge of Phase II Pilot projects can expect some level of preparation in the month leading up to the workshops or to be asked to contribute by way of presenting, while TUD and Science Po can also expect to contribute with input before the final workshop 3 where they will partake.

5.4.4   Task 3.4: Gathering 'pilot stories'

Lead: DBT

Contributions: all RFOs

Timeframe: M9-M40

Task 3.4 gathers stories of first-hand experiences of the RFOs in dealing with the implementation of the draft ethics framework in novel interaction modes. Gathering such first-hand experiences helps to add color and verve to theoretical explanations of the lessons learned in the pilots and will be used both for scientific (see Deliverable 2.5) and popular communication (in WP6). The Task will make use of an adapted version of Open-Notebook Science to ensure that all project participants can follow the note-books of pilot participants online. The decision whether or not to make these notebooks fully open (to the outside world) will have been made by the participants in Task 3.1. The Open Notebooks will be able to contain entries in different media, e.g. writing, pictures, video, and more. The content of the Open Notebooks will be used in the workshops as well as in subsequent work packages as needed. DBT will build trust around the notebook format, ensure that relevant entries are made available in cross-pilot workshops and in other work packages (especially WP6), and will support and encourage participants in their use of the notebooks.

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In M9, DBT will begin work establishing a suitable format and broad guidelines for the use of the Open Notebooks. As part of this process, some RFOs can expect to be heard within relation to the practicalities and wants in terms of their pilots to secure the best possible integration during M9-M11. The Open Notebooks are expected to have reached a final form within M12, while ZSI as coordinator can expect to review the adapted notebook design before it's rolled out.

From this point onwards the RFOs are expected to make regular use of the notebooks as their work unfolds, while the pilots' use of the notebooks will continuously be checked up on and pushed by DBT.

5.4.5 Task 3.5: Analysis, Evaluation and Synthesis of Pilot experiences

Lead: DBT

Contributions: TUD

Timeframe: M30-M45

Based on the Monitoring and Evaluation Concept developed in Task 5.1, and the correspondingly collected data and qualitative information within WP3 about the implementation of the draft ethics framework in the phase II pilots, DBT will analyze, evaluate and synthesize the findings. The synthesis of Pilot experiences will feed into the integration of good-practice results into everyday practices (T2.5) as well as in WP5 (final ethics framework and guidelines) and WP6 (dissemination). Members of the advisory board will provide feedback to this report in their last meeting.

6. WP 4 Stakeholder Dialogue, Reflection, and Embedding

6.1 Overview and Objectives

Lead: NESTA

Contributions: ZSI, DBT, EUREKA, EUREC Office, Innoviris, RCN, CDTI, TACR, FFG, VDI/VDE, UEFISCDI , RCL

Timeframe: M1-M48

The overall objective of WP4 is to support the translation of the project's results into practical outputs that are robust and widely applicable across the EU and internationally. Thus, WP4 is about addressing and including external key stakeholders (other RFOs, policy makers, private sector, NGO representations) in PRO- Ethics to reach out and scale up. By giving a central role to ethics committees and research integrity bodies, this key-account approach (which will be extended in WP6 to a much wider audience) aims to increase the capacity of innovation key stakeholders to understand, create and apply ethical principles and practices in new innovation related interaction modes. WP4 runs in parallel to WP1, WP2 and WP3.

WP4 comprises the following specific Tasks:

  ▸ To build a network of (external to the project) key-account stakeholders who are aware of the project and can make use of its results
  ▸ To involve key stakeholders in the processes and create opportunities for sharing their views, interests and needs to shape analysis, interpretation and outputs. This is done in close interaction with WP1 and WP2
  ▸ To build up a forum for close interaction with relevant ethics and research integrity bodies at both national and international level
  ▸ To share project findings with policy audiences in EU Member States and at the EU level, by providing opportunities for interaction, debate and exploration of possible future policy avenues
  ▸ To produce and share policy-focused outputs that will support effective take up and use of the project findings. This will be supported by the communication and dissemination activities of WP6.

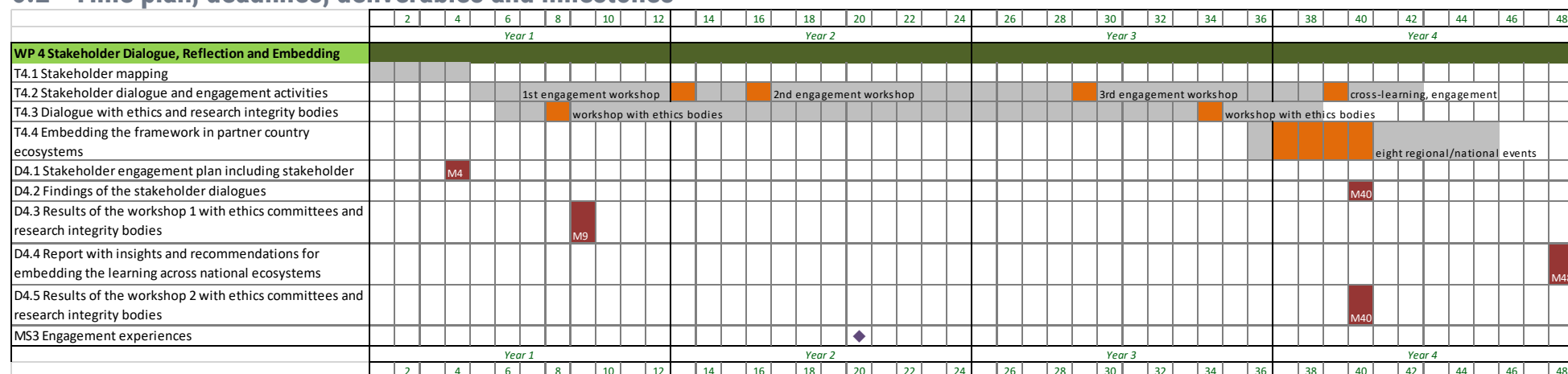## 6.2 Time plan, deadlines, deliverables and milestones

Figure 4: Work package 4 Time Plan

WP 4 - Stakeholder Dialogue, Reflection, and Embedding	QA	Submission Date	Internal Due Date	Lead Participant	Internal Reviewer
D4.1 Stakeholder engagement plan including stakeholder map	Basic	April 2020	15.04.2020	NESTA	
D4.2 Findings of the stakeholder dialogues	Partner	April 2023	22.03.2023	NESTA	EUREKA
D4.3 Results of the workshop 1 with ethics committees and research integrity bodies	Basic	October 2020	14.10.2020	NESTA	
D4.4 Report with insights and recommendations for embedding the learning across national ecosystems	Partner	December 2023	20.11.2023	NESTA	RCN
D4.5 Results of the workshop 2 with ethics committees and research integrity bodies	Basic	April 2023	16.04.2023	NESTA	
MS3 Engagement experiences		August 2021	August 2021	NESTA	

Table 4: List of Work package 4 Deliverables and Milestones, including Deadlines

6.3   Overview of interdependencies

WP4 runs in parallel with WP1, WP2 and WP3. The interconnections between the four WPs are strong. The stakeholder mapping (T4.1), first stakeholder dialogue workshop (T4.2) and the engagement with ethics and integrity bodies (T4.3) will support WP1 to develop the ethics framework, identifying stakeholders who should participate in this process and providing opportunities for them to share expertise, insight and feedback as the draft ethics framework is produced.

As the project progresses, further stakeholder dialogue workshops (T4.2) will provide an opportunity for external stakeholders to help shape the second phase of pilots and their sustainability plans. Key project stakeholders can also provide feedback on the practical guidelines produced in WP5 (T5.4).

The events to embed learning across national ecosystems (T4.4) will take place in close communication with WP6 (Communication, dissemination and exploitation) and with RFOs leading pilots in WP2. Finally, the stakeholder engagement plan developed in WP4 will sit alongside the WP6 communication, dissemination and exploitation plan, ensuring that communications are well tailored and targeted to the project's different key audiences.

Further elaboration of interdependencies can be found within the respective Task descriptions.

6.4   Task descriptions

6.4.1   Task 4.1: Stakeholder mapping

Lead: Nesta

Contributions: EUREKA, EUREC Office

Timeframe: M1-M4

In Task 4.1 a network of key stakeholders is built-up. These key stakeholders should become aware of the project, have opportunities to shape the analysis, and can make use of its results. In a first step, PRO-Ethics will carry out a stakeholder mapping exercise across the European Union to identify relevant policymakers, ethics committees and research integrity bodies, companies that apply new interactions modes, civil society organizations, NGOs, science centers, 'maker associations' and others who can provide input but also benefit from the project's findings. For this purpose, Nesta can already build upon an extended stock of contacts. In a second step, PRO-Ethics will also map supranational and international bodies and networks for whom this work will be relevant, and who can share examples of good practice relating to the ethics of citizen engagement, such as the European Commission, COST, the OECD, the World Bank, the TAFTIE network and/or other RFOs worldwide. The two European Network partners, EUREKA and EUREC Office can help filling in the gaps by including interested regional and national RFOs and ethics bodies outside the consortium to get a more complete picture of the landscape. In addition, efforts will be made to involve stakeholders from non-European countries within the Network. Nesta will establish a stake-holder engagement plan and map. The stakeholders identified within this Task will be engaged in T4.2 and other stages of the project.

6.4.2   Task 4.2 Three Stakeholder dialogue and engagement workshops

Lead: Nesta

Contributions: EUREKA, EUREC Office, ZSI, CDTI; input from all partners

Timeframe: M5-M40

The objective of Task 4.2 is to ensure engagement of potential external stakeholders throughout the whole project. The needs and priorities from civil society, industry and policy (identified in Task 4.2) will inform the development of the ethical framework, by involving them at different stages of the project. The inclusion of those who will be affected will increase the legitimacy of the framework and will enable PRO-Ethics to draw on a wider range of views and ideas as it is being developed.

A first dialogue and engagement workshop with around 15 selected external stakeholders from the spheres of civil society, industry, ethics bodies, policy makers and external RFOs will take place in Vienna (M13). The focus will be on a preliminary version of the draft ethics framework (see Task 1.4),

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the monitoring and evaluation concept (see Task 5.1) and the documented experiences of the first pilot phase (see Tasks 2.1 and 3.4). A budget for inclusion of representatives from civil society has been calculated. External stakeholders (not necessarily the ones already consulted) will be again involved in the second dialogue and engagement workshop in month 16, organized back-to-back with the co-creation workshop for developing the pilots to be implemented in phase II. The focus of this workshop is on critically re-viewing ethical aspects (including shortcomings and pitfalls) within the pilot II plans developed by the RFOs the days before. Also for this workshop a budget for involvement of around 15 selected external stakeholders from the spheres of civil society, industry, ethics bodies, policy makers and external RFOs has been reserved.

The third dialogue and engagement workshop will take place immediately after the end of the implementation of pilot phase II (see WP3, T3.3) in Copenhagen in month 39. It will be organized back-to-back with the internal training workshop on future sustainability (see T2.5). The focus of the third dialogue and engagement workshop is on the lessons learned of the implementation of the draft ethics framework in the real-life pilots implemented in phase II. Again a budget for securing the participation of around 15 external stakeholders from civil society, industry, ethics bodies, policy makers and external RFOs is reserved.

The involvement of external stakeholders within the workshops will take place in the format of focus groups and diverse creative formats such as world cafes, brainstorming, mind mapping, brain walks etc. PRO-Ethics will carefully observe that the citizens' representatives will have a say!

The protocols of these dialogue and engagement workshop will be shared with the Advisory Board to collect their feedback. The findings from the dialogue and engagement workshop will feed into the development of the final version of the PRO-Ethics ethics framework and the corresponding guidelines (see Tasks 5.2 and 5.3).

Furthermore, Nesta will identify relevant European events to partner with for widening PRO-Ethics stake-holder dialogue activities.

6.4.3   Task 4.3: Dialogue with ethics committees and research integrity bodies

Lead: Nesta

Contributions: EUREC Office, EUREKA

Timeframe: M6-M38

Through dialogue with ethics committees and research integrity bodies, Task 4.3 gathers insights, reflection and feedback to ensure that the project is valuable to representatives of international, national and sub-federal ethics and research integrity bodies. In close interaction with both the European Network of Research Ethics Committees (EUREC Office) – who is a consortium partner in PRO-Ethics – and the European Network of Research Integrity Offices (ENRIO, board member), Nesta will conduct 15 telephone interviews with representatives of national and regional ethics and research integrity bodies. In addition, EUREKA will collect information through 10 face-to-face and telephone interviews with ethics experts previously engaged in EUREKA Ethics Panels and staff from the Research Integrity Unit at the European Commission.

Furthermore, PRO-Ethics will organize two workshops to encourage and intensify the dialogue between policy makers, funding agencies and the ethics and research integrity bodies. At an early stage of the project, in month 8, one workshop with relevant European networks (EUREKA Ethics Panels, TAFTIE, ALLEA, EUREC, ENRIO, European Commission's Research Integrity Unit etc.) will be organized in Brussels to integrate the expectations of ethics and research integrity bodies into the projects and especially into the Pilots (M8). A second workshop in Brussels with a broader audience of national and regional actors will take place at a later stadium, when the first preliminary results of pilot II are available (M36). It will be discussed how PRO-Ethics could practically support the work of both the ethics committees Tasked with evaluating and monitoring ethical issues (governance of ethics, ethical precautions and regulations) in R&I programs, and the research integrity bodies responsible for promoting research integrity and research quality in view of new interaction modes in R&I projects. This workshop is organized back-to-back with a General Assembly meeting.

6.4.4   Task 4.4: Embedding the ethics framework in partner countries' ecosystems

Lead: Nesta

Contributions: all RFOs

Timeframe: M36-M45

The objective of Task 4.4 is to encourage policy makers, ethics bodies and other stakeholder organizations in the partnering agencies' countries to implement the ethics framework across the innovation ecosystem. One national/regional event will be organized in each of the eight agency partner countries by the RFOs (Austria, Brussels, the Czech Republic, Romania, Germany, Norway, Lithuania and Spain), targeting national policy audiences (research and innovation policymakers, research councils, ethics bodies, etc.). The aim is to make national ecosystems aware to demonstrate commitment to ethical citizen engagement, for example through pledges, implementation plans, incorporation into national policies, etc. PRO-Ethics will only cover limited personal resources for the organizations of these national events. By taking the subsidiarity principle serious, the RFOs will cover all other costs from their regular budgets.

7. WP 5 Synthesis: Ethics framework and practical guidelines

7.1 Overview and Objectives

Lead: TUD

Contributions: ZSI, DBT, Sciences Po, VDI/VDE

Timeframe: M3-M48

The main objective of WP5 is to provide a final version of the ethics framework which can be easily and regularly used in guiding and assessing ethical considerations of new interaction modes in innovation projects and innovation funding. Basis for the work implemented in WP5 is to continuously harvest the results of the project and to develop a synthesis. Based on the first draft of an ethics framework developed in WP1 (T1.4), which was further discussed, tested and refined through the following WPs, WP5 will integrate the findings of the previous WPs and develop these into a final version of the ethics framework. This ethics framework will be translated and operationalised into practical guidelines to increase its use potential. PRO-Ethics will also consider using the IT Tools (see Task 3.2) to e-consult with funding agencies, ethics bodies, policy makers, CSOs and scholars the text of the PRO-Ethics framework and guidelines. Whether these IT Tools are useful for this purpose will be assessed in Task 3.2.

The specific Tasks of WP5 are:

- To develop a monitoring and evaluation concept (including methods and indicators)
- To formulate an ethics framework which responds to and moderates between needs and values of citizens' and research and innovation partners
- To operationalise the ethics framework and translate it into a set of practical guidelines and actionable criteria for assessing the quality and ethics of participation in innovation processes and innovation funding.
- To set up a platform for e-consultation of the framework as well as of the derived guidelines and criteria.

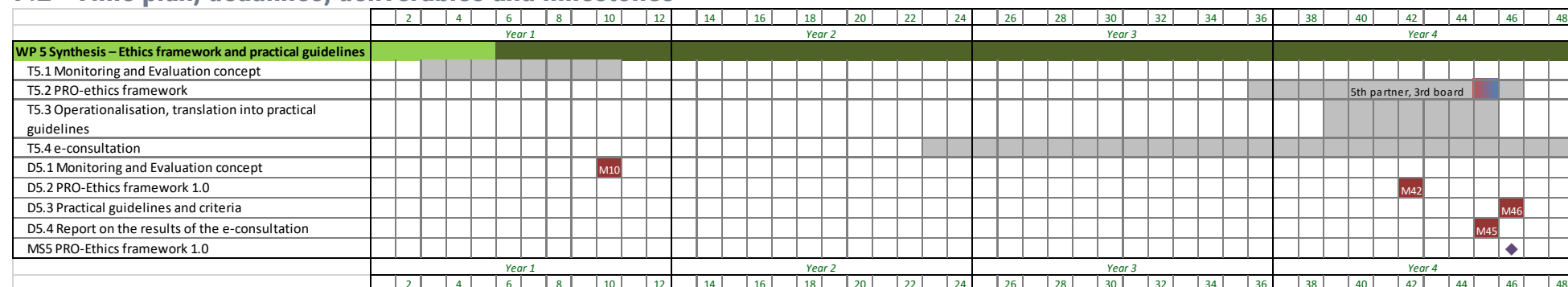## 7.2 Time plan, deadlines, deliverables and milestones

Figure 5: Work package 5 Time Plan

WP 5 Synthesis – Ethics framework and practical guidelines	QA	Submission Date	Internal Due Date	Lead Participant	Internal Reviewer
D5.1 Monitoring and Evaluation concept	Basic	October 2020	28.09.2020	ZSI	DBT
D5.2 PRO-Ethics framework 1.0	Partner	June 2023	22.05.2023	TUD	ZSI + Sciences Po
D5.3 Practical guidelines and criteria	Partner	October 2023	18.09.2023	TUD	ZSI + DBT
D5.4 Report on the results of the e-consultation	Basic	September 2023	17.09.2023	TUD	
MS5 PRO-Ethics framework 1.0		October 2023	October 2023	TUD	

Table 5: List of Work package 5 Deliverables and Milestones, including Deadlines

7.3   Overview of interdependencies

WP5 will integrate the findings of all the previous WPs and develop these into a final version of the ethics framework. Therefore, WP1, WP2, WP3 and WP4 feed into WP5. The Monitoring and Evaluation concept (T5.1), developed by ZSI, depends on the draft ethics framework (T1.4) developed by Sciences Po. In turn, it will be used to evaluate the pilot activities from WP2 (T3.5), and will in turn feed into the final version of the PRO-Ethics framework (T5.2). T1.4 will also be the basis from which the final guidelines will be operationalised (T5.3). The IT Tool selected in T3.2 will be evaluated in T5.4, examining to what extent it may be of use to make the ethics framework (T1.4 and T5.2) and the derived guidelines and criteria (T1.4 and T5.3) available for e-consultation to funding agencies, ethic bodies, policy makers, CSOs and scholars.

Further elaboration of interdependencies can be found within the respective Task descriptions.

7.4   Task descriptions

7.4.1   Task T5.1 Monitoring and Evaluation concept

Lead: ZSI

Contributions: DBT

Timeframe: M3-M10

In Task 5.1 a monitoring and evaluation concept will be developed to properly monitor and evaluate the results of PRO-Ethics. This concept should also become applicable to easily assess ethical aspects of future R&I projects which employ new interaction modes. The monitoring and evaluation concept will include evaluative questions, assessment criteria and indicators (including impact indicators and MoRRI indicators), as well as suggestions for qualitative and quantitative methods of data recording. Gender aspects will be duly taken into account. The concept will be structured along the main dimensions of the draft ethics framework. It will be used to evaluate the pilot activities implemented in WP2 (see Task 3.5) before they are rolled out. The concept will be edited to feed into the final version of the "PRO-Ethics framework" (see Task 5.2).

7.4.2   Task T5.2 PRO-Ethics framework 1.0

Lead: TUD

Contributions: Sciences Po, ZSI

Timeframe: M36-M45

Task 5.2 will bring together all results of the project activities by building on the draft ethics framework developed in WP1. It will also take into account the documented findings from WP2, WP3 and WP4 including the evaluation results gained in Task 3.5. To allow for maximum benefit sharing, the framework will be made easily and freely accessible online. The PRO-Ethics framework will complement the new European code of conduct for research integrity and will be compatible with it.

7.4.3   Task T5.3 Operationalisation and translation into practical guidelines

Lead: TUD

Contributions: Sciences Po; all partners

Timeframe: M40-M46

Based on the draft guidelines developed in Task 1.4, the third Task of WP5 is to operationalise the final ethics framework into final guidelines and actionable criteria for assessing the ethics of participation processes in innovation processes and innovation funding. To avoid very abstract one-size-fits-all criteria, we will distinguish between criteria intended to assess the aim of participation (participation for ethics) and criteria intended to assess the participation process itself (ethics in participation). The latter refers to issues of scientific integrity. Likewise, we will distinguish between participation in innovation processes and participation in innovation funding (with a focus on participation in strategy

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development processes and in evaluation). This yields different sets of draft criteria, which will – unavoidably – partly overlap.

The final ethics framework and guidelines will be discussed with all partners as well as with the members of the advisory board during a General Assembly in Delft in month 45.

7.4.4 Task T5.4 e-consultation

Lead: TUD

Contributions: VDI/VDE

Timeframe: M23-M45

Both the ethics framework (T1.4 and T5.2) and the derived guidelines and criteria (T1.4 and T5.3) will be made available via an online platform for e-consultation to gather feedback from external innovation funding agencies, ethics committee representatives, and research integrity experts, particularly aimed at assessing the usability of the framework and the guidelines as well as scrutinizing the completeness of the criteria. This Task uses the IT Tool developed in T3.2.

The feedback will be systemically assessed and the original framework text, guidelines and criteria will be revised accordingly.

8. WP 6 Communication, Dissemination, and Exploitation

8.1 Overview and Objectives

Lead: RCN

Contributions: ZSI, DBT, TUD, Sciences Po, NESTA, EUREKA, EUREC Office, Innoviris, CDTI, TACR, VDI/VDE, UEFISCDI , RCL

Timeframe: M1-M48

Strategic communication, dissemination and exploitation (CDE) throughout the project are of vital importance for facilitating uptake and use of the project's outputs, processes and results. PRO-Ethics focuses also on citizen's inclusion, which makes CDE with the wider public essential. In addition, PRO-Ethics' goal is to ensure that the ethical framework and the guidelines that are produced will be implemented and used by ethics bodies, RFOs, policy-makers as well as other stakeholders and beneficiaries (including industry) on a regular basis (see Section 2.1). Hence, communication with these actors is crucial throughout the project. The objective of this WP is to make all relevant stakeholders aware of project results and its potential impact. On one hand, WP6 supplements the WP4 dialogue activities and promotes project results to potential lead users, stakeholders and beneficiaries to increase engagement and exploitation. On the other hand, broad outreach to the wider public will be promoted through adequate and targeted communication.

The specific Tasks in WP6 are:

- Plan the overall CDE strategy to enable optimal CDE within the project, as well as towards relevant external users, beneficiaries, stakeholders and the larger community
- Employ a variety of targeted CDE tools to implement the strategy and to ensure high level visibility.
- Regularly undertake and coordinate CDE activities according to the strategy and monitor the impact
- Ensure large outreach, international visibility, uptake and impact of project activities and results.
- Organize the final conference of PRO-Ethics.

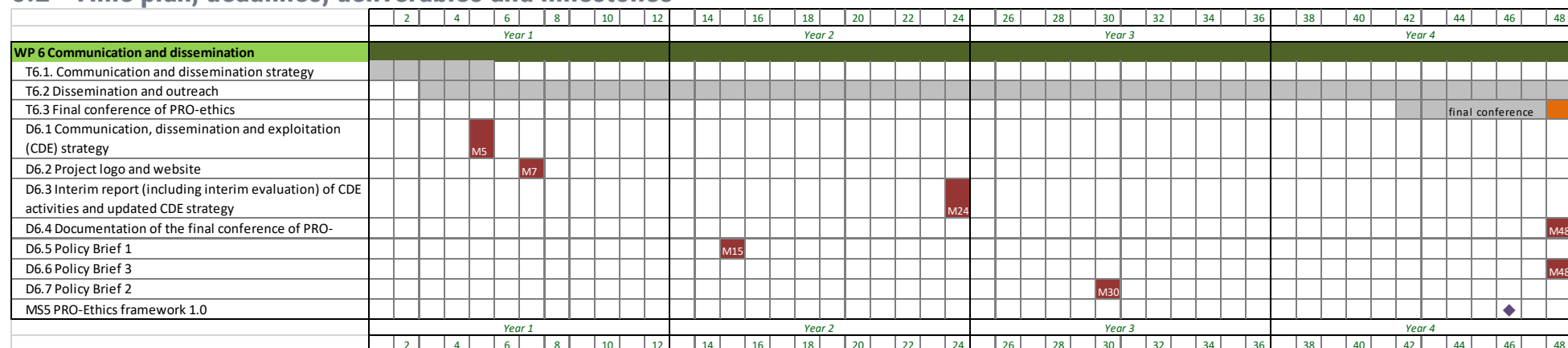## 8.2 Time plan, deadlines, deliverables and milestones

Figure 6: Work package 6 Time Plan

WP 6 - Communication and dissemination	QA	Submission Date	Internal Due Date	Lead Participant	Internal Reviewer
D6.1 Communication, dissemination and exploitation (CDE) strategy	Basic	May 2020	17.05.2020	RCN	
D6.2 Project logo and website	Basic	July 2020	29.06.2020	ZSI	RCN
D6.3 Interim report (including interim evaluation) of CDE activities and updated CDE strategy	Basic	December 2021	05.12.2021	RCN	
D6.4 Documentation of the final conference of PRO-ethics	Basic	December 2023	08.12.2023	RCN	
D6.5 Policy Brief 1	Partner	March 2021	15.02.2021	RCN	ZSI + Nesta
D6.6 Policy Brief 3	Partner	December 2023	20.11.2023	RCN	ZSI + TUD
D6.7 Policy Brief 2	Partner	June 2022	23.05.2022	RCN	ZSI + DBT
MS5 PRO-Ethics framework 1.0		October 2023	October 2023	TUD	

Table 6: List of Work package 6 Deliverables and Milestones, including Deadlines

8.3 Overview of interdependencies

WP6 supplements the WP4 dialogue activities and promotes project results to potential lead users, stakeholders, and beneficiaries to increase engagement and future exploitation. In addition, the outreach to the wider public depends on the input and content produced by all WPs, especially the ethics framework developed in WP5. Adequate and targeted communication supported by RCN as WP lead is highly relevant for all WPs. Furthermore, ZSI as coordinator and WP7 lead works closely together with RCN.

Further elaboration of interdependencies can be found within the respective Task descriptions.

8.4 Task descriptions

8.4.1 Task T6.1. Communication, dissemination and exploitation strategy

Lead: RCN

Contributions: ZSI, NESTA

Timeframe: M1-M5

A communication, dissemination and exploitation (CDE) strategy will be developed in the first few months of the project by RCN in cooperation with ZSI as coordinator and Nesta as leader of WP4. All other partners will be consulted to make sure that the strategy is firmly anchored and supported by all consortium members. The strategy is vital to ensure optimal CDE within the project and that relevant information from the other WPs are fed into WP6. The strategy is also vital to ensure CDE towards relevant external users, beneficiaries, stakeholders and the larger community.

The strategy will entail:

- Identification of relevant users, beneficiaries, stakeholders and target audience
- Definition of the communication objectives and key-messages for each target group
- Identification of channels most suited to communicate the messages to the target groups (see section 2.2b)
- Description, timing and planning of the CDE activities and material
- Allocation of human and financial resources
- A detailed work plan for internal project communication
- Guidelines for exploitation and continuous use of the project results (including after the end of the project)

All WPs contain activities and deliverables that will be promoted and disseminated through WP6. Also, WP4 which is dedicated to engagement and networking activities with key stakeholders, will be a part of the strategy. WP4 does the stakeholder mapping in Task 4.1; the results of which will be fed into the strategy.

8.4.2 Task T6.2 Dissemination, outreach and exploitation

Lead: RCN

Contributions: Input from all

Timeframe: M3-M48

This Task is dedicated to the development, application and coordination of the communication and dissemination tools that are identified in the CDE strategy to generate outreach and impact.

The work will be divided into two parts:

- Project presentation (e.g. website development, visual identity and logo, flyer), lead ZSI.
- Ongoing dissemination activities (e.g. news updates, newsletters, social media, policy briefs), lead RCN.

Project presentation: ZSI as coordinator will be responsible for developing the website, logo and visual identity of PRO-Ethics in cooperation with RCN as Task leader. A printed flyer with information about the project will be developed early to be handed out on events. ZSI will makes sure that project results like reports and publications, ethics framework and assessment guidelines are published and easily accessible online, and that upcoming project events are announced in due time.

Ongoing dissemination activities: RCN as Task leader will be responsible for strategic communication and promotion in cooperation with the coordinator. RCN will produce news articles about project activities and results to promote PRO-Ethics, firstly, on the project's website and via the project's Twitter account and, secondly, via social media accounts of the project partners. Social media will be used both to increase the public visibility of the project and to specifically target and engage core European and international stakeholders. Selected material and videos from pilot notebooks, developed in WP3, will be disseminated through electronic channels to stimulate active engagement from different target groups. RCN will also produce newsletters. Three annual policy briefs with recommendations based on findings and lessons learned will be developed annually to influence national and EU policy makers, and increase awareness. Three factsheets will be produced to summarize key findings and learnings from the project to be handed out on events and distributed through website, newsletter and social media.

The outreach of activities will be evaluated approximately halfway through the project, and the results used for an update of the CDE strategy.

8.4.3   Task 6.3 Final conference of PRO-Ethics

Lead: RCN

Contributions: ZSI, Input from all

Timeframe: M36-M48

In order to increase the take-up of project results and particularly the ethics framework and guidelines developed, a final conference for approximately 150 participants will take place in month 46 in Brussels (Norway House). The conference targets stakeholders from various social spheres in Europe and beyond (RFOs, European Commission, national policy makers, industry, citizens and CSOs, ethics bodies etc.). With active involvement of participating citizens, visual tools and inspiring presentations, PRO-Ethics final conference will highlight the importance of an ethical baseline for citizens' involvement. The conference will inform about project results and demonstrate achievements. It will also stimulate and consolidate international networking and dialogue, ensure broad awareness and commitment to ethical citizen engagement.

9. WP 7 Project Management and Coordination

9.1 Overview and Objectives

Lead: ZSI

Contributions: DBT, TUD, Sciences Po, NESTA, EUREKA, EUREC Office, Innoviris, RCN, CDTI, TACR, VDI/VDE, UEFISCDI, RCL

Timeframe: M1-M48

The objective of this WP is to ensure that the results and processes of the project are delivered on time, at budget and with the quality expected by the European Commission. This WP will also take care for the project's knowledge management (incl. IPR) and takes care of project quality control and risk management.

The main Tasks in this WP are:

▸ To secure full achievement of project objectives
▸ To perform contract management and communication with the European Commission
▸ To coordinate the reporting processes
▸ To ensure that the consortium members operate successfully together as a team
▸ To manage the collaboration within the project in terms of processes, tools and procedures, coordinate internal communications, and organize meetings
▸ To oversee the project execution in terms of scope, schedule, cost, quality, ethics, staffing, communication and risk management
▸ To oversee the progress of the work packages and the preparation of deliverables
▸ To ensure that quality control is undertaken on all levels of work and to provide quality guide-lines
▸ To take preventive and corrective actions if necessary
▸ To review and analyze risks, resolve conflicts and problems and to develop mitigation plans
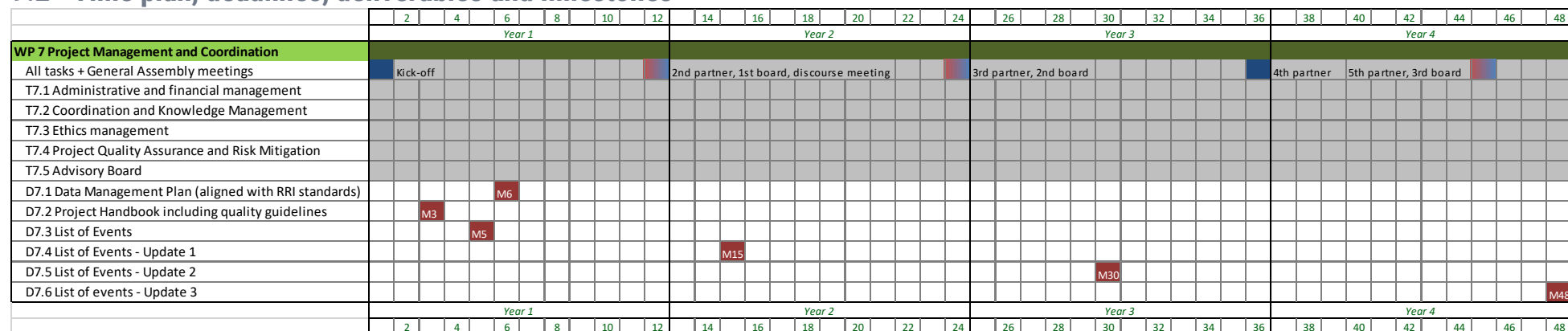
9.2 Time plan, deadlines, deliverables and milestones

		Year 1						Year 2						Year 3						Year 4					
		2	4	6	8	10	12	14	16	18	20	22	24	26	28	30	32	34	36	38	40	42	44	46	48
WP 7 Project Management and Coordination																									
All tasks + General Assembly meetings	Kick-off						2nd partner, 1st board, discourse meeting						3rd partner, 2nd board						4th partner	5th partner, 3rd board				
T7.1 Administrative and financial management																									
T7.2 Coordination and Knowledge Management																									
T7.3 Ethics management																									
T7.4 Project Quality Assurance and Risk Mitigation																									
T7.5 Advisory Board																									
D7.1 Data Management Plan (aligned with RRI standards)			M6																					
D7.2 Project Handbook including quality guidelines	M3																							
D7.3 List of Events		M5																						
D7.4 List of Events - Update 1							M15																	
D7.5 List of Events - Update 2															M30									
D7.6 List of events - Update 3																								M48

Figure 7: Work package 1 Time Plan

Table 7: List of Work package 7 Deliverables and Milestones, including Deadlines

WP 7 - Project Management and Coordination	QA	Submission Date	Internal Due Date	Lead Participant	Internal Reviewer
D7.1 Data Management Plan (aligned with RRI standards)	Basic	June 2020	14.06.2020	ZSI	
D7.2 Project Handbook including quality guidelines	Basic	March 2020	17.03.2020	ZSI	
D7.3 List of Events	Basic	May 2020	17.05.2020	ZSI	
D7.4 List of Events - Update 1	Basic	March 2021	14.03.2021	ZSI	
D7.5 List of Events - Update 2	Basic	June 2022	12.06.2022	ZSI	
D7.6 List of events - Update 3	Basic	December 2023	10.12.2023	ZSI	

9.3   Overview of interdependencies

The work package 7 "Project Management and Coordination" relies in its entirety on open, continuous, and reliable information by all consortium partners, so as to ensure that the results and processes of the project are delivered on time, at budget and with the quality expected by the European Commission. In order to do so, all deliverables must be delivered on time to ZSI and the respective reviewing partners (if applicable).

The continuous flow of information is especially important with regards to delays, problems, and unforeseen issues, which need to be communicated immediately to the project manager, should they arise.

In addition, the coordinator relies on all hosting partners of local event as well as the General Assembly meetings (T7.1) to independently and timely schedule the events they host, while staying in continuous communication about the progress of planning.

9.4   Task descriptions

9.4.1   Task 7.1. Administrative and financial management

Lead: ZSI

Contributions: all

Timeframe: M1-M48

The administrative and financial management of the project maintains regular contact with the EC's Project Officer, formulates propositions for possible modifications of the work plan, supervises reporting and submission of deliverables and financial managing the project, resolves conflicts between partners, and mitigates external or unforeseen threats.

Communication will be supported by a password protected shared cloud, emails and web conferences, as well as face to face meetings. These meetings support consistency of ongoing work, achievement of the project's objectives, as well as ensure that each partner's interests are accommodated.

GA Meetings	
Time	**Place**
M1/Jan20	Vienna
M12/Dec20	Prague
M24/Dec21	Berlin
M36/Dec22	Brussels
M45/Sep23	Delft

Table 8: List of General Assembly Meetings

The following consortium meetings (General Assembly) will be organized:

1. Month 1: kick-off in Vienna (information about project management issues; first co-creation of the cornerstones of the draft ethical framework)
2. Month 12: back-to back with the discourse workshop in Prague (reflection of pros and cons of the draft ethical framework and guidelines in light of the experiences gained in the pilot phase I)
3. Month 24: kicking-off of the new pilots implemented in phase II in Berlin; final instructions about the use of the documentation, monitoring and evaluation tools and templates
4. Month 36: Reflection of the first preliminary results of the implementation of the updated draft ethics framework, guidelines and monitoring and assessment concept in the pilots conducted in phase II. This General Assembly in Brussels is organized back-to-back with the 2nd dialogue workshop with ethics committees and research integrity bodies
5. Month 45: Final General Assembly in Delft. Focus is on the discussion on the final shape of the PRO-Ethics framework and guidelines and clarification of potentially open questions related to the final conference. Another agenda point is the near end of the project and the preparation of the final reporting.

9.4.2   Task 7.2. Coordination and Knowledge Management

Lead: ZSI

Timeframe: M1-M48

In Task 7.2 the implementation of all WPs and Tasks is supervised to ensure that they meet the project's overall and WP-specific objectives. This Task also includes managing dependencies and division of labor amongst the work packages and Tasks. All content – either produced within the project (deliverables, reports, meeting minutes, etc.) or supportive material (background material, state-of-the-art material, survey conducted, etc.) – will be organized and stored in the shared workspace by all project partners. In addition, relevant material will be made available to the wider public on the project's webpage.

T7.2 will also manage the project's IPR, prepares the consortium agreement to be signed by all partners and defines the use of knowledge arising from the project as well as access rights and other legal agreements.

9.4.3   Task 7.3. Ethics management

Lead: ZSI

Contributions: EUREC Office

Timeframe: M1-M48

An important aspect of this Task is dealing with ethics in a proper manner. Ethics guidelines will be provided to support the work of the consortium and to ensure appropriate treatment of data protection, gender aspects, privacy issues, open science requirements etc.

This Task will also take care of open data management and will provide an open data management plan, which will be aligned with RRI standards.

9.4.4   Task 7.4. Project Quality Assurance and Risk Mitigation

Lead: ZSI

Timeframe: M1-M48

Quality assurance is an indispensable fundament for securing the quality of services, processes and products, which should finally trigger high-leveraging CDE. Thus, the purpose of quality assurance is to:

- anticipate bottlenecks and problems, also in light of changing circumstances and requirements, and either deal with them early on or, if this is not possible, initiate adjustments to the progress after the agreement of partners and the Commission if so required
- undertake objectives-oriented planning and monitoring
- ensure high quality processes, deliverables and their approval
- undertake regular quality review and assurance procedures

To ensure that the project meets its objectives in a timely and effective manner and is able to respond to rapid changes in both internal and external environments, risks and potential solutions will be identified as early as possible. In the event of deviations from the project's work plan, the EC will be informed by the Project Coordinator without delay. Potential risks and solutions already identified are listed in the PRO-Ethics Description of Action on page 39.

At this point special focus should be given to the current and ever-evolving situation with the outbreak of COVID-19 that impacts all partners and all work packages. ZSI as coordinator of the project is dedicated to continuously and realistically (re-)assess the ongoing risks. By keeping in close contact with

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all partners, ZSI will keep informed on ongoing problems arising from the situation in different work packages and in relation to different tasks. ZSI will facilitate solution finding processes and where necessary provide assistance. ZSI is actively working on establishing virtual infrastructures to facilitate online communication. Events will be transferred online where possible and necessary, and if needed they will be postponed rather than cancelled. The consortium and the coordinator in particular are committed to conduct the project to the best of their ability, even in highly uncertain times. Below we list potential risks and solutions identified by ZSI with regards to COVID-19:

Description of risk	Affected project aspect (WP, etc.)	Proposed risk-mitigation measures
ZSI not able to fulfill coordinator duties	coordination, overall project	ZSI office structures are strengthened for home-office and replacements, ZSI coordinated projects are closely monitored; if coordinating person falls sick for a few weeks a contact person is going to be available; intensified information sharing and documentation in close coordination with other project leaders at ZSI
Partners not able to fulfill project activities, reporting duties, etc.	all	Keep in touch with the partners, remain flexible with allocation of tasks (and eventually related budget if a partner is in a prolonged difficulty to charge on the project), encourage sound documentation at any time, reinforce spirit of cooperation
Participation in (international) physical meetings not possible in the next 2 months (April/May) (different reasons - which have a different likelihood - can lead to the same result: gatherings of more than 2/5/20/100 people remain discouraged, whole countries / locations might stay in quarantine, whole industries in tourism/hospitality might be struggling to provide services, etc.)	participation in external meetings need to be cancelled	Attempt to negotiate with local hotel/service providers (providing contingent of rooms or catering or transfers by bus etc.) about possibility to transfer the signed contracts to a later period without any penalty
Participation in international physical meetings not possible in the next 6 months (until September)	see above	Transfer into virtual meetings, explore possibility to postpone the meeting to autumn (in dependence on developments and respective EU and national regulations), even if situation calms down, consider virtual participation options for some participants (e.g. from still affected regions, those that don't want to travel, etc.)
Participation in international physical meetings not possible in the next 9 months (until December)	organisation of / participation in all meetings 2020	Transfer into virtual meetings, explore if an amendment is needed to prolong the project if objectives cannot be reached
Participants reluctant or unable to participate in events	organisation of / participation in all meetings 2020	Consider strong virtual component to physical meetings, if needed building of small working groups (virtual and physical) with a strongly coordinated documentation and information exchange (e.g. recordings, minutes, etc.)
Low participation in any events due to an overload of events and deadlines in autumn / winter 2020 (all spring events currently postponed to Sept.-Dec.)	organisation of all meetings in autumn / winter 2020, dissemination of results	Revise expectations for events in autumn, plan participation in dissemination events well (distributed among the partners)
Price hikes at venues and in the hospitality industry	financial planning, conference organisation	Reconsider budget planning, consider organising the meeting in different locations (e.g. while prices in Brussels will go up, they might go down in tourist

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		areas), consider more time for looking for suitable offers and planning
Price hikes at travels / flights	financial planning, conference organisation, dissemination activities such as presentations at third party events	Reconsider budget; might affect specific locations only (e.g. Brussels) - consider different locations
Partners not able to participate in virtual meetings (e.g. for technical reasons)	all	Consider supporting partners allocating costs to increase bandwidth at home, explore meeting possibilities that require low bandwidth (e.g. turn off video, etc.)
Virtual meetings do not yield the desired results of physical meetings (e.g. in the case of co-creation workshops involving hard-to-reach groups)	all, conference organisation	Consider innovative tools that might allow you to get closer to the experience of physical meetings (see e.g. https://alternativeto.net/category/remote-work-and-education/) and plan budget for their implementation
Co-workers, partners are on long-term leaves (for different reasons, sick-leaves, leaves for caring for dependent sick family or worse)	depends on the person	Ensure / encourage institutional capacities for replacements; find encouraging personal words for the concerned partners
Continued insecurity and weak decision making on contractual issues (for various reasons at different levels, e.g. POs not available, EC overloaded, no clear processes)	depends on potential amendment needs	Consider potential amendment needs early and keep contact with EC officials
Stakeholders necessary for the implementation of activities not available (e.g. for planned interviews, co-creation workshops, etc.) due to various reasons (overwhelmed, not accessible, changed priorities, etc.)	interviews, workshops, stakeholder engagement/interaction	Consider phone/skype interviews and online workshops, review the timeline how to postpone the phase that needs interaction, consider amendment needs, reflect on exclusion of stakeholders due to technical limitations, consider approaching intermediaries
Proposals to change the content of some activities to address the current crisis (e.g. take up infectious diseases / reaction to COVID)	revision of deliverables/tasks	Consider positive to increase impact and relevance of the project (needs to fit into the project and address relevant challenges), if adequate: increased relevance of infectious diseases / health topics in project communication; but not to overdo it
Increased requests from outside to comment on the current crisis	project communication and impact	Be prepared to answer questions of journalists, create adequate channels of communication with the project partners (e.g. COVID-task-force) to collect statements and inputs
PR disaster if the project / institution becomes the core of a new cluster (or e.g. a new outbreak in autumn)	project communication	Events are cancelled already, in autumn (expected "second wave") special attention has to be paid (worst case: temperature control at the event entrance?), yet media attention for small clusters is actually unlikely
Impact gaps and differences due to shifted priorities	project impact	Impact needs to be carefully measured and assessed at the end of the project duration taking different effects of the crisis into account

Table 9: Risk Assessment of COVID-19

9.4.5   Task 7.5. Advisory Board

Lead: ZSI

Timeframe: M1-M48

The Advisory Board provides guidance, recommendations and feedback on principal project issues (state-of-art, assessment of proposed approaches and agendas) and advises the consortium on its major deliverables at different points during the project related to the milestones. If matters arise on which Board members can also provide additional input or advice, they will be consulted. The Advisory Board will also be part of the quality assurance process (T7.4.).

10. WP 8 Ethics Requirements

10.1 Overview and Objectives

The objective is to ensure compliance with the 'ethics requirements' set out in this work package.

10.2 Time plan, deadlines, deliverables and milestones

	2	4	6	8	10	12	14	16	18	20	22	24	26	28	30	32	34	36	38	40	42	44	46	48
			Year 1						Year 2						Year 3						Year 4			
WP 8 Ethics Requirements																								
All tasks																								
D8.1 H - Requirement No. 1	M3																							
D8.2 POPD - H - Requirement No. 2	M3																							
D8.3 POPD - Requirement No. 3	M3																							
			Year 1						Year 2						Year 3						Year 4			
	2	4	6	8	10	12	14	16	18	20	22	24	26	28	30	32	34	36	38	40	42	44	46	48

Figure 8: Work package 8 Time Plan

WP 8 - Ethics Requirements	QA	Submission Date	Internal Due Date	Lead Participant	Internal Reviewer
D8.1 H - Requirement No. 1	Basic	March 2020	23.03.2020	ZSI	EUREC Office
D8.2 POPD - H - Requirement No. 2	Basic	March 2020	23.03.2020	ZSI	EUREC Office
D8.3 POPD - Requirement No. 3	Basic	March 2020	23.03.2020	ZSI	EUREC Office

Table 10: List of Work package 8 Deliverables and Milestones, including Deadlines

10.3 Overview of interdependencies

The Ethics Requirements formulated in WP8 form the basis of all actions taken within the project (especially the participatory cases developed in Pilot I and Pilot II of WP2), and are thus of key importance. Every other Task relies on the requirements laid out in WP8. Therefore, an additional review by EUREC Office, who has pro-found expertise in this field, will be undertaken.

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11. PRO-Ethics Advisory Board

The Advisory Board (AB) will provide advice and feedback on principal project issues (state-of-the-art, review of proposed approaches and agendas) as well as on major deliverables related to the milestones. The AB will be consulted also on other matters where they can provide input. The AB offers expertise in citizen science, gender, ethics and legal issues and will give a voice to RFOs beyond Europe.

The following distinguished persons have already committed their participation in the AB:

- Sanna Kaisa Spoof, Chair of ENRIO The European Network of Research Integrity Offices
- Krista Varantola, Member of the ALLEA Permanent Working Group on Science and Ethics
- Margaret Gold, ECSA - The European Citizen Science Association
- Angela Wroblewski, Institute for Advanced Studies, Author of the section on gender equality in the MoRRI project 'Monitoring the Evolution and Benefits of Responsible Research and Innovation'
- Liu Chang, Chief Scientist at China Academy for Urban Planning and Design (CAUPD)
- David Moorman, Senior Advisor, Policy and Planning, Canada Foundation for Innovation

Regularly Board meetings as well as targeted feed-back from single board members will ensure that:

- PRO-Ethics is working close to the needs of ethics bodies
- PRO-Ethics' activities are based on accepted principles such as The European Code of Conduct for Research Integrity
- PRO-Ethics responds to needs and concerns of the civil society and the private sector
- PRO-Ethics guidelines and principles can be transferred to other countries and contexts

Annex 1: List of Figures

Annex 2: List of Tables