

Ethics Summary Report

Call Reference	H2020-SU-ICT-2018-2
Proposal Number	830892
Acronym	SPARTA

Ethics Issues

Humans

Does this research involve human participants?	Yes
Comments Interviews are foreseen by the Consortium in WP2 and WP9.	

Protection of personal data

Does this research involve personal data collection and/or processing?	Yes
Does it involve tracking or observation of participants?	Yes
Does this research involve further processing of previously collected personal data (secondary use)?	Yes
Comments The Consortium foresees the possibility to collect or process personal data as part of the WP4, WP7, WP8, and WP9. Furthermore, the Consortium foresees the administration of interviews to focus groups, as part of WP2 and WP9. The applicant's must provide: <ul style="list-style-type: none"> • Details of the technical and organizational measures to safeguard the rights of the research participants. • Details of the informed consent procedures. • Details of the security measures to prevent unauthorized access to personal data. • How is all of the processed data relevant and limited to the purposes of the project ('data minimization' principle)? Explain. • Details of the anonymization/pseudonymisation techniques. 	

Dual use

Does this research have the potential for military applications?	Yes
Comments Dual use is explicitly mentioned by the consortium. See "It is worth mentioning that some activities performed in SPARTA makes the project susceptible to produce outputs close to dual-use aspects". p.210	

Exclusive Use on Civil Applications

Could this research raise concerns regarding the exclusive focus on civil applications?	Yes
Comments The applicants state: "Technology, software and use cases applications developed in SPARTA all have an exclusive focus on civil applications. Some partners in SPARTA, namely CEA, TCS, LEO, IND, LKA, and ITTI have military related activities." p.209	

Misuse

Does this research have the potential for malevolent/criminal/terrorist abuse?	Yes
---------------------------------------------------------------------------------------	------------

Comments

 Associated with document Ref. Ares(2018)4630433 - 10/09/2018

The applicants state: "Potential misuses from these could happen depending on how these artifacts are disclosed and used."p.209

Identified Ethics Issues

- Humans
- Personal data
- Dual use
- Misuse

Ethics Opinion

Conditional ethics clearance (i.e. clearance is subject to conditions, i.e. ethics requirements. The requirements must either be fulfilled before grant signature or become part of the grant agreement)

Pre-Grant Requirements

Misuse

Risk assessment and details on measures to prevent misuse of research findings must be included in the grant agreement before signature.

Copies of ethics approvals/authorisations/security clearances must be specified in the grant agreement.

Post-Grant Requirements

Dual use

Details on potential dual use implications of the project and risk-mitigation strategies must be submitted as a deliverable.

Humans

The procedures and criteria that will be used to identify and recruit research participants must be kept on file and submitted as a deliverable by the Coordinator upon request.

The informed consent procedures that will be implemented for the participation of humans must be kept on file and submitted by the Coordinator as a deliverable upon request.

The templates of the informed consent/assent forms and information sheets (in language and terms intelligible to the participants) must be kept on file and submitted by the Coordinator as a deliverable upon request.

The copies of opinions/approvals by ethics committees and/or competent authorities for the research with humans must be kept on file and submitted by the Coordinator upon request.

Protection of personal data

The host institution must confirm that it has appointed a Data Protection Officer (DPO) and the contact details of the DPO are made available to all data subjects involved in the research. For host institutions not

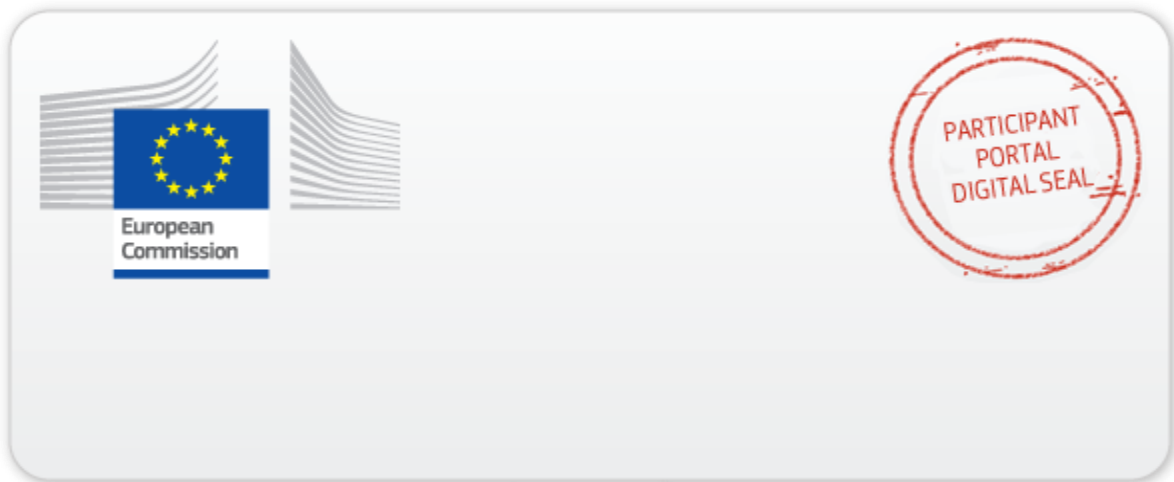
required to appoint a DPO under the GDPR a detailed data protection policy for the project must be kept on file.

A description of the technical and organisational measures that will be implemented to safeguard the rights and freedoms of the data subjects/research participants must be kept on file and submitted by the Coordinator upon request.

A description of the security measures that will be implemented to prevent unauthorised access to personal data or the equipment used for processing must be kept on file and submitted by the Coordinator upon request.

For the research activities involving the profiling and tracking of participants, the beneficiary must provide explanation of how the data subjects will be informed of the existence of the profiling or tracking, its possible consequences and how their fundamental rights will be safeguarded. This must be kept on file and submitted by the Coordinator as a deliverable upon request.

In case of further processing of previously collected personal data, an explicit confirmation that the beneficiary has lawful basis for the data processing and that the appropriate technical and organisational measures are in place to safeguard the rights of the data subjects must be kept on file and submitted by Coordinator as a deliverable upon request.



This document is digitally sealed. The digital sealing mechanism uniquely binds the document to the modules of the Participant Portal of the European Commission, to the transaction for which it was generated and ensures its integrity and authenticity.

Any attempt to modify the content will lead to a breach of the electronic seal, which can be verified at any time by clicking on the digital seal validation symbol.