D 1 H - Requirement No. 1

Project acronym	GENDERACTION
Project name	GENDer equality in the ERA Community To Innovate policy implementatiON
Grant Agreement no.	741466
Project type	Coordination and Support Action
Start date of the project	01 / 04 / 2017
End date of the project	31 / 03 / 2021
Contributing WP	1 Ethics
WP lead partner	1 ISAS – Marcela Linkova, Laura Henderson
Other partners involved	2 BMWFW – Angela Wroblewski
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This project has received funding from the Horizon 2020 Framework Programme of the European Union under grant agreement No. 74166.

Executive Summary

The purpose of this Deliverable 1 is to provide detailed information on the informed consent procedures that will be implemented for the participation of humans, including the information about the management of informed consent forms. This pertains to work conducted in Work Package 3 ERA Roadmap Priority 4 Benchmarking, which involves the collection of information from persons in the science policy arena with the aim of assessing the implementation of ERA Roadmap National Action Plans objective 4.

Revision history			
Version	Date	Created/Modified by:	Comments
0.0	24. 4. 2017	Laura Henderson	Deliverable document outline
0.1	28. 4. 2017	Marcela Linkova	First incomplete draft
0.2	28. 4. 2017	Angela Wroblewski	Input for Section 2
0.3	28. 4. 2017	Marcela Linkova	First full draft for circulation
0.4	28. 4. 2017	Laura Henderson	Comments and proofreading
1.0	28. 4. 2017	Marcela Linkova	Submission through the Participant Portal
2.0	24. 5. 2017	Marcela Linkova	End date of the project corrected. The position of the EU emblem modified in line with the Guidelines for beneficiaries and other third parties on the use of the EU emblem in the context of EU programmes.

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1. Introduction

1.1 Ethics in European research

GENDERACTION hereby acknowledges that ethics is given the highest priority in EU funded research and that activities carried out under Horizon 2020 must comply with ethical principles and relevant national, EU and international legislation, such as the Charter of Fundamental Rights of the European Union and the European Convention on Human Rights.

GENDERACTION hereby also acknowledges that pursuant to the Grant Agreement the beneficiaries must carry out the action in compliance with:

a) ethical principles (including the highest standards of research integrity as set out, for instance, in the European Code of Conduct for Research Integrity and including, in particular, avoiding fabrication, falsification, plagiarism or other research misconduct) and
b) applicable international, EU and national law.

1.2 Horizon 2020 regulations

Horizon 2020 Rules of Participation address ethical issues in Articles 13 Proposals, 14 Ethics review and 23 Implementation of Actions.

1.3 Purpose of an informed consent document

An informed consent document is typically used to provide subjects with the information they need to make a decision to participate in a research study. This information is most often presented to subjects in the form of a written document but it may be offered verbally by a member of the study team or the member of the study team may provide additional verbal clarification further to providing a written document. The member of the study team provides any necessary clarification and answers any questions potential participants may have. Regulations and policy require that certain information be provided as part of the consent process.

The informed consent document is designed to be clear and straightforward, aimed at ensuring the participants understand and agree to participate. The form requires no sensitive data to be collected (such as age, health, sexual orientation, ethnicity, political opinion, religious or philosophical conviction).

1.4 Application

While GENDERACTION is not a research and innovation project but a coordination and support action, Work Package 3 involves human subjects. The ethical standards and guidelines of Horizon2020 shall be rigorously applied, regardless of the country in which the action is carried out.

The procedures and criteria specified in this document shall be applied particularly by partners 1 ISAS and 2 BMWFW and 5 NHRF (EIE) involved in Work Package 3 ERA Roadmap Priority 4 Benchmarking. Each partner shall supervise and check that the work performed by its staff is in accordance with this document. The procedures and criteria shall be applied to all procedures of data acquisition involving subjects internal and external to the project consortium (the participants) in a non-anonymous form.

This document shall be interpreted with reference to the Grant Agreement and the Consortium Agreement.

1.4 Scope

Work Package 3 ERA Roadmap Priority 4 Benchmarking involves the collection of information from persons in a number of countries aimed at assessing the implementation of priority 4 in ERA Roadmap National Action Plans and Strategies. These persons will participate in the ERA Roadmap Priority 4 benchmarking in order to provide information **in their professional capacity** through surveys and (telephone) interviews. In order to ensure compliance with ethical standards for the involvement of human subjects, an **informed consent document** will be presented to the participants to guarantee their free and fully informed participation. The individual informed consent forms will be available upon request from the Coordinator. For a draft of the informed consent document see Annex 1 hereof.

2. Involvement of humans and informed consent procedures

The Coordinator, the Institute of Sociology of the Czech Academy of Sciences, is a public research organization in the field of social sciences. As such it rigorously applies any and all regulations related to the ethical conduct of research. Informed consent documents are an established part of the research process at the Institute.

Humans will be involved in GENDERACTION as (1) participants in workshops, (2) respondents in an online survey and (3) interview partners in the context of the evaluation.

Participants in workshops will be informed about the purpose of the workshop within GENDERACTION and their role as participants in workshops when they receive the invitation to the

workshop. Participants will sign an informed consent sheet before the workshop starts. The informed consent sheet will contain the following elements:

(a) a summary of the purpose of the workshop,
(b) an agreement that minutes for the workshop will be taken and information about the following procedure to agree on the minutes,
(c) statement that all information will be treated as confidential and that no information will be shared that could identify the respondent,
(d) information that participation is voluntary and
(e) an agreement that participants' name may be listed in the list of participants which will be included in the relevant deliverable report to the Commission which is a publicly available document.

The survey among experts involved in development, implementation and monitoring of ERA roadmaps will be a full coverage survey. The invitation to participate in the survey will be sent out by e-mail. Participants in the survey will be selected on the basis of their professional role/function. Potential respondents' names will be identified by national HG representative and the invitation to participate in the survey should be forwarded by them. As respondents will provide information about the implementation of policies it is assumed that they discuss their answers with their management if necessary. Respondents will not be asked to share their individual opinions. Participants in the online survey will be informed about the following upon receipt of the invitation:

(a) the purpose of the survey and its role within the GENDERACTION project,
(b) that participation is voluntarily and
(c) that they participate in the survey as representatives of their institution. They will be asked to discuss and agree on the answers internally as usual in such contexts.

The interviewees conducted in the context of the evaluation will also be selected according to their professional role/function. The focus lies on experts who are involved in the development, implementation and monitoring of ERA roadmaps. All interviewees will be informed about the goals and design of the evaluation of GENDERACTION when contacted to arrange an interview. The informed consent document will be signed before the interview starts and the interviewee will receive a copy (in the case of face to face interviews) or the interviewee explicitly agrees to the informed consent sheet via e-mail (in the case of skype or telephone interviews). The informed consent sheet will be comprised of the following elements:

(a) a summary of the purpose of the study,
(b) an agreement to record the interview and information about the subsequent analytical steps (transcription, consent of interviewee on transcript or protocol),
(c) statement that all information will be treated confidentially and that no information will be shared that could identify the respondent,
(d) information that participation is voluntary and that the interviewee may decline to answer any questions.

3. Ethics principles

In the conduct of the study, GENDERACTION will observe the following principles of responsibility toward research participants:

- respecting the integrity and dignity of persons
- voluntary nature of participation
- provision of information on the context of the study
- provision of a project information sheet
- the right to withdraw from the study
- anonymity
- respecting the principle of proportionality – not to impose more than necessary on the participants, as well as not going beyond stated objectives
- considering the concerns research raises and building an understanding that all benefits of this research are for the good of society
- protection from harm and discomfort.

Annex 1. Preliminary draft of the informed consent form for interviews

INFORMED CONSENT FORM

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This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 74166.	
Disclaimer: The views and opinions expressed in this document are solely those of the project, not those of the European Commission.	

Introduction

Before making a decision on whether you want to participate or not, please read this document carefully. Please feel free to ask any questions to ensure that you fully understand the purpose and proceedings of this study, including risks and benefits. As the study is carried out in a language that is not your mother tongue, this informed consent document may include words that you do not understand. If this is the case, please ask the interviewer to fully explain the meaning of the word or piece of information you do not fully understand.

Compliance with legal and ethical regulations

We assure full compliance with relevant legislation on data protection and ethical standards.

Purpose of the study

You have been invited to take part in a study of the implementation of ERA National Action Plans in the objective 4 Gender mainstreaming and gender equality carried out within the framework of the H2020 project GENDERACTION funded by the European Commission.

The objective of the project is to create an innovative policy community for the implementation of the gender priority in the European Research Area by setting up a network of national representatives from EU Member States and Associated Countries. GENDERACTION supports MS and

AC by providing networking opportunities for relevant national authorities who have the task of pushing for implementation of ERA priority 4.

Involvement

If you agree to participate in the study, you will be asked to participate in an interview carried out as part of Work Package 3 of the project. The interview will be carried out by Dr Angela Wroblewski from the Institute of Advanced Studies in Vienna, Austria. The interview will take about one hour and will focus on the preparation, adoption, and implementation of actions in Priority 4 contained in your ERA National Action Plan.

Benefits

Your participation in this study will contribute to the analysis of the implementation of ERA National Action Plans in Priority 4 Gender mainstreaming and gender equality, and thus will foster policy coordination and mutual learning in the European Research Area. You will benefit from the study indirectly as an analysis of the implementation of ERA National Action Plans will be carried out and published. This will facilitate learning among EU Member States and policy monitoring.

Risks

There are no risks associated with this study because the data collection is completely anonymous. You are participating in this study as a representative of your national authority. The opinions expressed should reflect the position of your national authority and you may consult your superior as relevant. No personal information will be requested.

Privacy and confidentiality

The results of this study will be published but this publication will not contain any information that could identify you. There are some reasons why people other than the researchers may need to see information you provided as part of the study. This may include an Ethical review.

Voluntary nature of the study

Participation in this study is completely voluntary. Even if you decide to participate now, you may change your mind and stop at any time.

Contact person

If you wish to learn more about the project or this study please contact the project coordinator, Dr Marcela Linkova, Institute of Sociology of the Czech Academy of Sciences, email: marcela.linkova@soc.cas.cz, telephone: 00 420 210 310 322.

Study result

Your participation in the study will feed the analysis of the implementation of objective 4 of ERA National Action Plans. A report will be drafted, which will be supplied to you.

Consent

By signing this document, you are agreeing to take part in the study. You will be given a copy of this document for your records and one copy will be kept by the project coordinator with the study records. Be sure that questions you have about the study have been answered and that you understand what you are being asked to do. You may contact the researcher if you think of a question later.

I agree to participate in the study.

This consent form is made pursuant to the relevant national, European and international data protection laws and regulations and personal data treatment obligations. Specifically this consent document complies with the EC Data Protection Directive 95/46/EC of the European Parliament and of the Council of 24 October 1995 on the protection of individuals with regard to the processing of personal data and on the free movement of such data.

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Name and surname of participant

……

Place, date and signature of participant

Statement of investigator's responsibility: I have explained the nature and purpose of this research study, the procedures to be undertaken and any risks that may be involved. I have offered to answer any questions and fully answered such questions. I believe that the participant understands my explanation and has freely given informed consent.

……

Name and surname of the researcher

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Place, date and signature of the researcher