DIVERFARMING

# Crop diversification and low-input farming across Europe: from practitioners' engagement and ecosystems services to increased revenues and value chain organisation

## NEC
## Ethics Requirement No. 2

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## Executive summary

This document provides detailed information on the application of ethical standards and guidelines of Horizon2020 within Diverfarming consortium, regardless of the country in which the research is carried out.

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# Table of Contents

# 1. Introduction

In the context of European Union research funding, the Nuremburg Code has been taken very seriously and explicitly linked to European traditions of human rights. Its principles are deeply enshrined in the EU treaties. They were given additional force by the adoption of the European Charter of Fundamental Rights, itself integrated into the Treaty of the European Union.

According to this, Diverfarming consortium will apply the Ethical Principles of the Horizon 2020 (Article 19), that: “all the research and innovation activities carried out under Horizon 2020 shall comply with ethical principles and relevant national, Union and international legislation, including the Charter of Fundamental Rights of the European Union and the European Convention on Human Rights and its Supplementary Protocols. Particular attention shall be paid to the principle of proportionality, the right to privacy, the right to the protection of personal data, the right to the physical and mental integrity of a person, the right to non-discrimination and the need to ensure high levels of human health protection”.

Article 34 of the Grant Agreement describes the conditions under which ethical issues should take place, and will be applied by Diverfarming consortium. The primary obligation to comply with principles of ethics in all Horizon 2020 projects is enshrined in the Article 34.1 of the Grant Agreement (Obligation to comply with ethical and research integrity principles):

“The beneficiaries must carry out the action in compliance with:

(a) ethical principles (including the highest standards of research integrity) and

(b) applicable international, EU and national law.

Funding will not be granted for activities carried out outside the EU if they are prohibited in all Member States. The beneficiaries must ensure that the activities under the action have an exclusive focus on civil applications.”

We have not identified “ethics requirements” set out in Annex 1 of the Grant Agreement. Nonetheless, for activities raising ethical issues such as Protection of Personal Data or personnel recruitment, the Project Coordinator will submit to the Commission copy of any ethics committee opinions, notifications or authorizations required under national law. If these documents are not in English, the coordinator will also submit an English summary of the submitted opinions, notifications and authorisations (containing, if available, the conclusions of the committee or authority concerned).

Diverfarming consortium will respect the highest standards of research integrity, as set out in the European Code of Conduct for Research Integrity.

# 2. Basic Ethics Principles

## ‘Do no harm’

All partners in the Diverfarming consortium are committed to holding the highest ethical standards for doing research. In a nutshell, research ethics, involves two general ideas: i) the research should do no harm, either physical, psychological or moral, and ii) that participation in research should be voluntary.

The concept of‘do no harm’ can be differentiated along several lines. The rule of ‘do no harm’ applies to several groups. It applies first and foremost to those individuals that are the objects of research, in other words, that are being studied in one way or another. It also applies to researchers themselves who may be involved in hazardous or troublesome activities in carrying out the research. Furthermore, research activities can implicate a variety of bystanders either involved or uninvolved in the research. All of these types of participants have the right to protection.

No physical or psychological harm should result from the research being carried out. Physical and psychological harm can involve several different groups that find themselves implicated by our research. If research is done on other human beings, either through physical intervention, observation, or information gathering, then these individuals will be protected from bodily harm and psychological duress. Indeed, they have a right to it. Project related research will not provoke moral harm, we mean harm to one’s dignity. This means harm to one’s feeling of autonomy, worthiness, identity or sense of moral self, including degrading procedures, humiliation, either direct or indirect. To ensure no moral harm, we will ensure privacy on data protection (see Diverfarming Deliverable 11.2 on POPD).

Diverfarming research will not have any detrimental effects on the environment, either as a consequence of the research procedure or in short- or long-term aftermath of the procedure. Additionally, Diverfarming research will not damage or compromise private property, either as a primary intended consequence of the research, as an unintended consequence of the research, or as an unknown, unintended secondary consequence of the research. Responsibility for such damage would fall to the person responsible for the activity.

## Integrity and dignity of persons

Diverfarming research will not do anything to endanger, even potentially, the dignity of human beings, both those participating in the scientific exercise or those who are not. This means that the value of human beings in themselves, in contrast to the value that can be produced by using humans as a means to something greater. Human subjects will not be used to obtain something that is regarded as of higher value than they are.

## Privacy and personal data protection

Individual research subjects have an absolute right to privacy and to the protection of their own personal data. Personal data may be defined as any data permitting to identify the person involved. Data that human subjects give to a research collection will be treated such that it is not accessible to anyone other than the individual and the researchers involved (see Diverfarming Deliverable 11.2 on POPD for detailed information on this regard).

## Informed consent

Individual research subjects will be fully informed about all aspects of the research in which they are being asked to participate, including the future use of the data they might provide, the complete details and possible dangers they might face (see Diverfarming Deliverable 11.2 on POPD for detailed information on this regard).

### Proportionality

The research will not imply procedures or experiences more invasive than necessary or requiring the human subject to go beyond stated objectives (mission creep).

### Transparency and integrity

Diverfarming treats societal concerns seriously maintaining awareness of the public and its concerns, reacting to the public.

### Dual use

Diverfarming shall avoid making research procedures and results exposed to misuse or malignant dual use.

## 3. Grant Agreement Ethics Essential Principles

Diverfarming consortium shall apply in all research, communication and dissemination activities the following essential principles.

- Honesty;
- Reliability;
- Objectivity;
- Impartiality;
- Open communication;
- Duty of care;
- Fairness and
- Responsibility for future science generations.

This means that beneficiaries must ensure that persons carrying out research tasks:

- Present their research goals and intentions in an honest and transparent manner;
- Design their research carefully and conduct it in a reliable fashion, taking its impact on society into account;
- Use techniques and methodologies (including for data collection and management) that are appropriate for the field(s) concerned;
- Exercise due care for the subjects of research — be they human beings, animals, the environment or cultural objects;
- Ensure objectivity, accuracy and impartiality when disseminating the results;
- Allow — in addition to the open access obligations under Article 29.3 of the Grant Agreement as much as possible and taking into account the legitimate interest of the beneficiaries — access to research data, in order to enable research to be reproduced;
- Make the necessary references to their work and that of other researchers;
- Refrain from practicing any form of plagiarism, data falsification or fabrication;
- Avoid double funding, conflicts of interest and misrepresentation of credentials or other research misconduct.

If a beneficiary breaches any of its obligations under Article 34 of the Grant Agreement related to Ethics, the grant may be reduced (Article 43 of the Grant Agreement) and the Agreement or participation of the beneficiary may be terminated (Article 50 of the Grant Agreement).

# 4. Practical procedure for research ethics management

A simple procedure for self-assessing research tasks in collaboration with the Ethics Manager (Project Manager) is the main course for mitigating risks stemming from the European standards for research ethics. Research ethics are applicable at the task level. The task leader is responsible for assuring the ethical consistency of all activities associated with the task, although final responsibility lies on work package leader and Project Coordinator. A task-by-task assessment will be made in good time to ensure that all principles exposed above are applied. However, ethical issues can in some cases be collectivised across several similar tasks by work package leader if ethical issues are similar. This will be done in consultation with the Ethics Manager. For example, for work packages 2, 6 and 8, where interviews, surveys and questionnaires are defined, personal data protection will be ensured, and all participant subjects will be given the “Informed Consent Letter” (included as template in Diverfarming Deliverable D11.2). If ethics mitigation is judged necessary, an Ethics issue memo should be generated by passing the relevant information to the Ethics Manager.

In cases where ethics approvals are required, these should be sought at the most local level possible. The Network of European Research Ethics Committees (EREC) keeps a list over national ethics committees (http://www.eurecnet.org/information/index.html). For questions of privacy and data protection, we will address the national data protection agencies (http://ec.europa.eu/justice/data-protection/bodies/authorities/index_en.htm). In all cases, the relevant documents should be on file with the Project Office, and uploaded on the Microsof Office 365 OneDrive dedicated area (WP11).

# 5. Regulations and references

Burgess, P., 2015. Research Ethics Compliance Kit. Training Augmented Reality Generalised Environment Toolkit. Deliverable 8.03. TARGET Consortium. http://www.target-h2020.eu

European Code of Conduct for Research Integrity of ALLEA (All European Academies) and ESF (European Science Foundation) of March 2011. http://ec.europa.eu/research/participants/data/ref/h2020/other/hi/h2020-ethics_code-of-conduct_en.pdf