innoveas
The power of energy audits

D.1.2 Initial Risk Register and Ethics Compliance Assurance

[WP1, T1.1]

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Technical References

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[1] PU = Public

PP = Restricted to other programme participants (including the Commission Services)

RE = Restricted to a group specified by the consortium (including the Commission Services)

CO = Confidential, only for members of the consortium (including the Commission Services)

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Summary

The innoveas project is an initiative promoted by 10 partners from 6 EU countries, to build and deliver a capacity building programme, aiming at addressing the major non-technical barriers that most often hamper the adoption the energy auditing practice, in particular among those actors, such as SMEs where such audits are not required by law.

The ultimate goal is to consolidate a structured, permanent and expandable offer to help develop continuous self-sustainable services to raise awareness and build capacity in the field of energy auditing and related energy saving measures in SMEs.

The project therefore aims at designing and deploying staff trainings and capacity building programmes to enhance corporate policy towards energy efficiency, energy culture (motivations, behaviour change, mitigation of perceived risks and barriers) and sustainable supply-chain initiatives. It therefore intends to:

- Implement an advanced analysis of barriers to energy audits, to identify and analyse the enabling conditions and non-technical barriers hindering theadoption of energy auditing practice;
- Delivery of self-sustainable capacity building programmes, in order to systematise awareness raising procedures to overcome the barriers to energy audits in SMEs, deliver a training offer to SMEs and formulate a capacity building programme targeting stakeholders suchas intermediaries, policy makers and financing institutes;
- Create an institutional structure to sustain the project's objectives and results and lay the basis for the creation and consolidation of a pan-European network of enablers likely to support in the coming years the growth and expansion of the training offer to on energy efficiency for European business.

Partners

Disclaimer

This publication reflects only the author's view and the European Commission is not responsible for any use that may be made of the information it contains.

The guidelines in this publication are only to be considered recommendations for the project management and project partners of innoveas. All partners have their own responsibility to comply with General Data Protection Regulation (GDPR) according to EU and national legislation.

Table of Contents

1. Introduction

1.1 Purpose of this document

The Initial Risk Register and Ethical Compliance Assurance is the second deliverable (D.1.2) of WP1 – Project Management.

The present document should function as a guide for identifying risks that may jeopardise the results, timing or impact of the innoveas project and provides ethical guidelines for the partners to plan and implement the actions as outlined in the Grant Agreement and its Annexes.

The Initial Risk Register and Ethical Compliance Assurance is designed to be used in conjunction with the following documents:

- The Quality Assurance Planning Manual (D1.1)
- The Data Management Plan (D1.4)
- The Grant Agreement including its Annexes
- The Consortium Agreement including its Annexes

2. Risk Assessment

During the course of a project, there may be risks that will be encountered by the consortium during its implementation. The risk assessment is a process that identifies potential uncertainties and helps the partners to identify solutions how to avoid, counteract or deal with such risks.

The Grant Agreement of this project has foreseen an Initial Risk Register in Month 6 of the project, which identifies the potential project risks and evaluate their impact and probability of occurrence. Assessing the risks early in the project is critical, as this will help to facilitate contingency planning for the identified risks.

2.1 Approach of Risk Assessment

For this initial risk assessment, the authors consulted the Grant Agreement and Annex 1 (Description of Action) to identify critical risks that could delay or jeopardise the project's deliverables and milestones. During this analysis, it became clear that not all risks would be detected by this investigation, therefore the risks associated with the project will be reviewed regularly by the consortium. This means, if any additional potential risks will be identified by any of the consortium members during the implementation of the project, such risks (and associated contingency actions) will be added to this deliverable D1.2 in Table 4.

The approach for assessing and managing risks within the innoveas project has been divided in five sub-tasks:

1. Identification of various risks;

2. Assessment of the likelihood an event will happen;

3. Assessment of the impact an event will have on the project's outcome;

4. Creating a risk matrix to determine the most significant risks one should focus on;

5. Outline a first mitigation strategy to handle the risk if it does occur;

2.2 Risk identification

For the innoveas project, seven potential risks were identified, which included both general risks associated with the management or European projects, and specific risks related to the nature of the projects and KPIs. They are:

- Implementation of project activities are delayed

- Performance of one or more partners is poor

- Partner or key person leaves consortium

- Key Performance Indicators (KPI) set at the proposal preparation stage and further discussed at the beginning of the project are too ambitious

- Efforts needed to complete activities which results have been underestimated. Resource/Budget overrun

- Low response rate of the stakeholders addressed

- Low participation rate to the capacity building activities

2.3 Probability Measure

Probability refers to how likely an event/risk is to occur. For every identified project risk, it is important to determine the likelihood of the event actually materialising and this is done by assigning each risk with a probability level. For the purpose of this risk assessment, three probability levels have been selected i.e.; high, medium and low, whereas HIGH is considered a probably of more than 70% occurrence, MEDIUM is between 30 % and 70%, probable, and LOW below 30%.

Probablity	Meaning
HIGH	Risk event more likely than not to occur at least once in the project lifetime.
MEDIUM	Risk event may or may not occur in the project lifetime.
LOW	Risk event less likely to occur

Table 1 – Probability Measure

2.4 Impact Measure

Similar to the three levels used in the probability measure, this risk assessment uses three impact levels (HIGH, MODERATE and LOW) to categorise the level of impact an event may have on the project. There are two main indicators that determine this value: the schedule of the project and the impact an event may have on its results (deliverables or milestones). Table 2 describes the meaning of the three impact levels.

Impact	Meaning
HIGH	A delay of more than two months of a deliverable or milestone or a significant failure to reach the predicted KPIs, less than 75%.
MODERATE	A delay of up to two months of a deliverable or milestone or a moderate failure to reach the predicted KPIs, less than 90%.
LOW	A delay of less than one month of a deliverable or milestone or a failure to reach the predicted KPI by a close margin, up to 90%.

Table 2 – Impact Measure

2.5 Risk Matrix

Measuring risk requires to determine a value of likelihood against a value of impact such an event may have. The goal of risk analysis is to establish a standard and therefore comparable measurement of the likelihood and impact of every identified risk.

Risks which are categorised with a high likelihood, with a medium or high impact or a risk with a medium probability and a severe impact need to be given particular attention. Below in Table 3, seven risks have been listed that the members of the consortium have attributed to the innoveas project in M6 and categorised with the according level of impact and probability:

No.	Risk	Impact	Likelihood
1	Implementation of project activities are delayed	Low	Medium
2	Performance of one or more partners is poor	Medium	Medium
3	Partner or key person leaves consortium	Medium	Low
4	Key Performance Indicators (KPI) set at the proposal preparation stage and further discussed at the beginning of the project are too ambitious	Low	High
5	Efforts needed to complete activities which results have been underestimated. Resource/Budget overrun	Medium	High
6	Low response rate of the stakeholders addressed	Medium	Medium
7	Low participation rate to the capacity building activities	Medium	Medium

Table 3 - Risk attributed to the innoveas project by M6

For a better visualisation of risks, impact and probability of the risks, they were included in Figure 2, which now shows the innoveas risk assessment in a matrix format. This matrix format shows, that the most critical risk identified in Table 3 is Risk 5, followed by Risks 2, 4, 6 and 7.
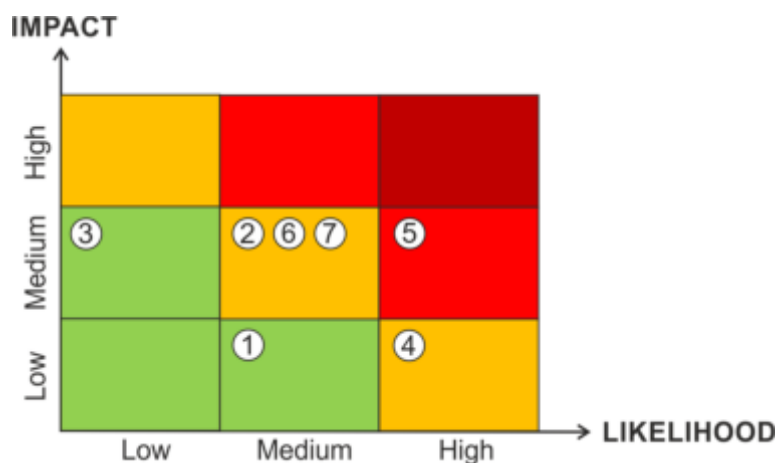

Figure 1 - Risk assessment for the innoveas project. Numbers represent a certain risk defined in Table 3

2.6 Risk Contingency Plan

A contingency plan was developed for every risk for the innoveas project listed in Table 3. Table 4 shows a first contingency plan how countermeasures could reduce the impact of these risks. These countermeasures will be decided and documented in this deliverable, and they will be flagged throughout the execution of the project as "risk items". This ensures that these items will be handled very carefully throughout the project in Management, WP and Task level.

No.	Risk description	Partner	Proposed risk-mitigation measures
1	Implementation of project activities are delayed	IIPLE	At the beginning of the project a timetable for activity implementation and outputs delivery will be further developed (based on the proposal). This will be used to assess the proceeding of the action, allowing coordinator and partners to take corrective measures in case of delays
2	Performance of one or more partners is poor	IIPLE	All partners involved in the project have a consolidated experience in EU projects, and they have a strong collaboration behind them. Risks related to their performance are therefore limited. However, should any problems of this kind arise, corrective measures will be taken, in accordance with the Conflict Management Procedures outlined in the proposal
3	Partner or Key person leaves consortium	IIPLE	If the partner cannot provide a replacement, a re-allocation of responsibilities between partners will be implemented. Hence the Project Coordinator will distribute responsibilities and associated budget among the consortium.
4	Key Performance Indicators set at the proposal preparation stage and further discussed at the beginning of the project are too ambitious	IIPLE	KPI have been set after a confrontation with all project partners, which have an extensive expertise in project's activities. KPI are therefore realistic and achievable under standard operating conditions. However, should the set target not be achieved, the matter will be discussed at the Management Committee level to assess to what extent the re-dimensioning of the project ambition can interfere with its innovative impacting potential
5	Efforts needed to complete activities which results have been underestimated.	IIPLE	Project Management has been structured so as to closely monitor resource/budget consumption / take corrective actions wherever necessary, thanks to the attribution of monitoring tasks to a specific person (the Quality Assurance Coordinator)
6	Low response rate of the stakeholders addressed and consequent low participation to the capacity building activities	UTBW	A huge part of the activities aimed to reach stakeholders and training activities as well are provided on line, to facilitate the widest possible involvement of stakeholders and participants (On-line surveys, webinars, web-based modules…)
7	Low level of innovation	CKA	The partner responsible for innovation activities has a great experience in innovation management and has a good network to involve. A defined roadmap of activities – which will be developed from the beginning to the end of the project – will contribute to achieving the objectives

Table 4: innoveas risks and their mitigation

Table 4 allocates for each identified risk also a partner that is responsible for the mitigation actions, in case the event listed occurs. All partners are expected to contribute to the identification of further risks which may be identified during the course of the project, and are currently not identified in this deliverable, but could potentially arise during the course of the project. For this, during the bi-annual meetings of the Management Committee, the Project Coordinator will raise the issue of "New Risks" in the agenda, which will then be incorporated in this deliverable. Hence, the" Initial Risk Register and Ethical Compliance Assurance" document, will become a working document called "Risk Register and Ethical Compliance Assurance (MX), where MX stands for the month this document was updated.

Responsible partners are not necessarily required to implement corrective actions themselves, but they are responsible to ensure that such actions have been implemented by the consortium as a whole. Mitigation actions will be decided upon by the Management Committee for both operational related risks and for strategic issues.

3. Ethical Compliance

Ethical Compliance is an important issue for evaluating and mitigating non-compliance and ethical risks, in order to secure the purpose of the project. Ethical and compliance recommendations can be based on a number of international recognised guidelines such as the European Code of Conduct for Researcher, published by the European Federation of Academies of Sciences and Humanities (ALLEA), representing more than 50 academies from over 40 EU and non-EU countries.

As innoveas is a project that is funded and developed within the Horizon 2020 Framework Programme, it is required to explicitly address the ethical considerations of the project. This chapter provides a guideline for ethical compliance for internal and external relations of the project partners and individuals working within the project.

3.1 Ethical Questions for H2020 Projects

As a H2020 funded project, the project coordinator IIPLE already provided a first self-assessment of ethical questions in the proposal phase. While most critical ethical issues do not apply to the innoveas project, i.e. there is no involvement of human embryonic stem cells, animals or the involvement of non-EU countries, two issues have been identified:

Does this research involve human participants?

This was answered with YES, as innoveas will train hundreds of people during the course of the project. However, all subsequent questions following this initial question were answered with NO:

Are they volunteers for social or human sciences research?
Are they persons unable to give informed consent?
Are they vulnerable individuals or groups?
Are they children/minors?
Are they patients?
Are they healthy volunteers for medical studies?
Does this research involve physical interventions on the study participants?
Does it involve invasive techniques?
Does it involve collection of biological samples?

This means that ethical issues related to human participants can be considered as relevant in terms of a general way to deal with participants of the project in a transparent, respectful honest and reliable way.

Similarly, the other question answered with YES during the proposal phase of the innoveas project was:

Does this research involve personal data collection and/or processing?

As the innoveas partners will inevitably need to contact participants for the training sessions, there will also be a degree of personal data collection and processing. Most of the following questions in this category were denied, including:

Does it involve the collection and/or processing of sensitive personal data (e.g. health, sexual lifestyle, ethnicity, political opinion, religious or philosophical conviction)?
Does it involve processing of genetic information?
Does it involve tracking or observation of participants?

On the last question, the answer is not so clear:

Does this research involve further processing of previously collected personal data (secondary use)?

Partners have already potential participants for their training in their own databases of their organisations. So, they will process previously collected personal data, but this will be done by the individual partners and not as a consortium or part of the consortium. None of the personal data from the organisations databases will be shared or made available to other partners. In practice, this means that the project needs to ensure that all persons the project

approaches, such as SME owners and managers, interviewees or participants of the training, will be treated according to data protection legislation throughout the lifetime of the project.

Therefore, the critical ethical issues for this project has been identified in basic ethical issues, which include the treatment of humans in this project, and in the management of personal data.

3.2 Basic Ethical Principles

innoveas aims to design and deploy staff trainings and capacity building programmes to enhance corporate policy towards energy efficiency, energy culture (motivations, behaviour change, mitigation of perceived risks and barriers) and sustainable supply-chain initiatives. For this activity, the project members are expected to adopt a professional integrity and perform their research and training activities by using common ethical principles such as intellectual reliability, honesty, transparency and respect towards both partners and trainees.

3.2.1 Reliability

The principles of reliability is one of the fundamental cornerstones of the scientific method. Good scientific practice is reflected in the design, methodology, analysis and generation of reliable and credible data.

But it is clear that reliability is always related to human interaction. Reliable research can only be achieved by reliable and credible scientists and their collaborators, ensuring that each individual researcher contributes to the success of the entire project and its impact.

From the project management point of view, reliability can have additional attributes. It may mean that a deliverable is provided on time, support is given to a partner in a difficult task and that the coordinator can experience loyalty from their partners in the project and vice versa.

3.2.2 Honesty

Strictly speaking, much of our coexistence is based on lies. Friendliness and politeness are only two of the manners that are not possible without lies. Nevertheless, honesty is indispensable in project management. It is the underlying principle in developing, undertaking, reviewing, reporting and communication about research in a transparent, fair, full and unbiased way.

But honesty also means to deal honestly with the state of the project, being sincere about problems that are occurring on different tasks and communicating about them with the project coordinator and other partners. Similarly, criticism must be given honestly and fairly, and if it is not expressed in such a way, it lacks respect and will cause more damage than good. Honesty is therefore one of the project's key ethical obligations.

3.2.3 Transparency

Transparency is closely associated with honesty. Because an honest description of the state of a project is of no use if it is treated as a secret. Conflicts in a project cannot be solved if they are not communicated openly. People working on a project cannot make the right decisions if they are insufficiently informed about the projects' dynamics and developments.

To live the principle of transparency externally means to publish honest reports, to disclose all information, and to make all decisions and their fundamentals comprehensible.

In the research domain, transparency can also be replaced with the term "accountability". Researchers need to be transparent how an idea has developed, they need to provide sources in a scientific publication and acknowledge other researchers that have contributed to their findings.

Transparency means unrestricted information for all employees, open discussions about upcoming decisions and justifiability of decisions already made. However full transparency has its limits. Personal data and personal rights need to be valued higher than the transparency of the individuals working on a project like innoveas. These limitations are dealt with in section 3.3.

3.2.4 Respect

Respect and appreciation for each individual is the fourth pillar of ethical principles. This includes the respect towards a colleague or project partner, but also at larger for society, ecosystems, cultural heritage and the environment.

For innoveas the term "respect" applies in particular to the team, as well as to the target groups of SME owners, SME managers and other stakeholders. In this context, it is important that other opinions can be expressed and are respected. The project management will always respect its working environment and will therefore take the needs of a person working on a project seriously as well as appreciate suggestions and criticism. It will promote the respect of all those involved in the project for each other and try to achieve a trusting relationship with each other. As a result, if this respectful and trusting interaction is created, goals can be achieved faster and more conflict-free.

3.3 Areas of Ethical Compliance

innoveas aims to foster responsible behaviour among the participating partners to comply with the highest ethical standards. There are several issues related to ethical management, that will be taken into consideration, namely professional integrity, legal requirements and personal integrity.

3.3.1 Professional integrity

Professional integrity is not only aimed at professional peers, such as members of the academia and industry, but this also has a wider socio-ethical perspective and includes the responsibility towards society at large.

As part of the professional integrity, the innoveas project will adopt the principles of the European Code of Conduct for Research Integrity[1]. This code addresses good practice and bad conduct in science, offering a basis for trust and integrity across national borders in the European Union.

The authors of this deliverable have distributed the European Code of Conduct for Research Integrity to the consortium and all consortium partners have confirmed that they respect the European Code of Conduct for Research Integrity in their research practices for the innoveas project.

3.3.2 Legal integrity

Apart from good practices in research, the consortium partners will also respect all legal requirements in the planning and implementation of the innoveas project. Such a legal framework may have been established by the European Commission or national authorities. They include both the planning and implementation of training courses, its content, data protection and privacy issues (see also Section 3.3).

3.3.3 Social and personal integrity:

The consortium of innoveas is aware that funding of the project comes to 100% from taxpayer money. Therefore, there is a great sense of responsibility to bring this project to a success, going the extra mile for reaching their goals and thus ensuring a high impact. The responsibility to society is considered by the consortium partners as important as the

contractual obligations outlined in the Grant Agreement. Therefore all partners are committed to work together as a team to contribute to the success of the project.

However, working in a European Project with many different partners, backgrounds, nationalities and cultures is never an easy task. It requires sometime an extra effort in understanding, patience and cultural adaption to find agreements on methodologies and approaches used.

The innoveas consortium is very aware of this cultural challenge within its own grouping, and although almost all partners have had experience in working within European projects, it was decided to address this issue as an important element in this ethical compliance assurance manual. It has therefore been decided, that whenever there is a conflict within the consortium, these will not only be resolved as outlined in the Grant Agreement (Section 3.2.2. Project Management Procedure), but that all partners will adopt the basic ethical principles described in section 3.2 of this deliverable: reliability, honesty, transparency and respect.

3.4 Personal Data in innoveas

As part of the activity in innoveas, the consortium will need to collect, store, manage and retrieve personal data. For example, it is foreseen a series of interviews to stakeholders prior to the trainings to understand the needs of the participants. Also, when a partner organises the actual training activity, they will need to inform potential candidates about the event and send out invites about the training session. They will need to register the participants who signed onto the training and after the course they will need to conduct further interviews or collect evaluation forms. All these activities involve the collection, storage and processing of personal data.

3.4.1 GDPR for Partners

The General Data Protection Regulation (GDPR)[2], which has been in force since 25th May 2018, obliges every organisation operating in the EU to protect data. It is the most important of all data protection regulations in Europe, the implementation of which the project partners must comply with by taking appropriate measures.

The General Data Protection Regulation imposes comprehensive obligations on all those responsible within the meaning of the ordinance. Those responsible must not only ensure that they meet the requirements of the General Data Protection Regulation, but must also be able to prove this as outlined in Article 5 GDPR. This means that companies and organisations must be able to prove that they implement suitable data protection guidelines

and appropriate data protection precautions. Otherwise there is a risk of fines, claims for damages and other disadvantages.

When is GDPR applied to?
- The GDPR applies to the completely or partially automated processing of personal data which are stored in a file system or are to be stored.
- Personal data is all information that refers to an identified or identifiable natural person.
- Processing is a comprehensive term for the contact with personal data. It includes the collection (acquisition, collection), storage, modification, use and transfer of data.
- Principles of the processing of personal data according to Article 5 (GDPR) are:
    - (a) legality of data collection
    - (b) data may only be collected in a comprehensible manner (transparency)
    - (c) survey only for specified, explicit and legitimate purposes (purpose limitation)
    - (d) collection and processing must be proportionate and relevant to the purpose and limited to what is necessary for the purposes of the processing (minimisation of data).
    - (e) personal data must be correct
    - (f) personal data may be processed only in such a way as to ensure adequate security of such data
    - (g) the person responsible must be able to demonstrate compliance with the principles (accountability)

Legitimacy of data processing
According to Article 6 (GDPR), personal data processing is not allowed but under certain circumstances. One such condition is the so-called principle of informed consent. This means that personal data of third parties may be collected, stored or passed on if the data processors do have an explicit permission according to the General Data Protection Regulation.

Partners need to be sure that they have a legitimate reason for processing personal data. The most common reasonings are:

1. Consent of the person has been received (Article 6 I a)
2. The personal data processed is necessary for the fulfilment of a contract (Article 6 I b)
3. Processing of personal data is necessary to safeguard the legitimate interests of the data controller, unless the interests or fundamental rights of the data subject prevail (Article 6 I f).

IT security

Those responsible for data protection must also safeguard IT security. Just as data protection focuses on the protection of individuals with regard to the processing of personal data, IT security primarily aims to protect data from misuse by third parties.

Confidentiality
Confidentiality is about protecting information for unauthorised persons. This includes, for example, the use of passwords on computers and the storing documents with personal data in locked cabinets.

Integrity of information
Integrity is intended to protect the integrity of information. This integrity is lacking when data is intentionally or unintentionally manipulated or altered.

Availability of data
The IT goal of availability is to ensure that existing data can be used as required, i.e. is available.

Implementation of duties
Each project partner needs to check whether their organisation complies with all the necessary data protection obligations and, if necessary, make the according adjustments.

3.4.2 GDPR Checklist

The following checklist gives an overview of the most critical issues each project partner needs to verify for itself in relation to compliance with GDPR. The authors hereby emphasise that each project partner is responsible for compliance with the data protection rules.

1. Appointment of a data protection officer:
Each organisation is responsible for compliance with data protection requirements (GDPR and national laws), and this may include the appointment of a data protection officer.

2. Directory of processing activities:
Each organisation must keep a register of all data processing activities (see Article 30, GDPR). This list includes responsibilities, describes the purposes of the data processing and defines deletion periods.

3. Privacy policy:
All persons whose data are processed must be informed about the data processing activities. For example, every website owner is obliged to embed a data protection declaration on their website.

4. Obligation of confidentiality:

All employees who work with personal data must declare in writing to respect confidentiality, i.e. the secrecy of all company-related data.

5. Data processing agreement:

If a service provider processes personal data on behalf of and on the instructions of a responsible person, a data processing agreement must be signed in certain cases, which specifies the duties and responsibilities of both parties.

6. Technical and Organisational Measures (TOM):

TOM is a concept for handling personal data. They can include items such as employee user accounts, authorisation concepts, video surveillance or lockable cabinets for files.

3.4.3 Case Study: Filming a Training Session

Before a partner may film a training session of INNOVEAS, both the trainers and the trainees need to be informed about the plan (as long as they may be identifiable in the recorded material). In a written agreement, all identifiable data suspects will be given information about the time and date of the filming event and the purpose of the filmed material (where and when will it be published). The agreement will also include the name and contact details of a person, they may contact in case they decide to retrieve their consent of processing the data.

4. References

1:      European Code of Conduct for Research Integrity:
       https://ec.europa.eu/research/participants/data/ref/h2020/other/hi/h2020-ethics_code-of-conduct_en.pdf

2:      General Data Protection Regulation (GDPR): https://gdpr.eu/tag/gdpr/

       General Data Protection Regulation (GDPR): Full text in all EU languages:
       https://eur-lex.europa.eu/eli/reg/2016/679/oj