



Sino-European Innovative Green and Smart Cities

D 8.4

POPD – Requirement No. 4

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SiEUGreen

The project has received funding from the European Union's Horizon 2020 Research, and Innovation programme, under grant Agreement N 774233 and from the Chinese Ministry of Science and Technology.

Throughout SiEUGreen's implementation, EU and China will share technologies and experiences, thus contributing to the future developments of

The project SiEUGreen aspires to enhance the EU-China cooperation in promoting urban agriculture for food security, resource efficiency and smart, resilient cities.

The project contributes to the preparation, deployment and evaluation of showcases in 5 selected European and Chinese urban and peri-urban areas: a previous hospital site in Norway, community gardens in Denmark, previously unused municipal areas with dense refugee population in Turkey, big urban community farms in Beijing and new green urban development in Changsha Central China.

A sustainable business model allowing SiEUGreen to live beyond the project period is planned by joining forces of private investors, governmental policy makers, communities of

Technical References

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Project Title:	Sino-European Innovative Green and Smart Cities
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¹ **PU** = Public

PP = Restricted to other program 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)

Document History			
Version	Date	Author – Partner	Summary of Changes
1.0	23.03.2018	NMBU	Circulation of the 1st DRAFT version to all partners for comments (1st level check)
1.1	27.03.2018	NMBU	Circulation of 2nd version for final review (2nd level check)
1.2	30.03.2018	NMBU	3rd level check – Ready for submission
2.0	23.01.2020	NMBU	Revised version to address the comments received On



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Executive Summary

The SiEUGreen project brings together a multi-disciplinary consortium of European and Chinese researchers, technology providers, SMEs, financiers, local and regional authorities and resident communities to apply novel urban agricultural techniques and new approaches for social engagement and investigate the economic, environmental and social benefits of urban agriculture. SiEUGreen project will also incorporate elements of digital Social innovation, by enhancing resident participation and awareness-raising through a gamification app and an interactive platform. This will facilitate the collection of important data linked to the social and cultural changes expected to be generated at each of the local communities and an international level by the implementation of the SiEUGreen showcases. In the SiEUGreen project, there is close interaction with the community; therefore, the ethical aspects are particularly important. SiEUGreen consortium has analyzed the potential ethical considerations to be taken into account. Pre- Grant Ethics Summary report” identified the following ethical requirements that the SiEUGreen project must comply with:

1. Humans- Details on the procedures and criteria that will be used to identify/recruit research participants must be provided (D8.1).
2. Humans- Detailed information must be provided on the informed consent procedures that will be implemented for the participation of humans (D8.2).
3. Humans- Templates of the informed consent forms and information sheet must be submitted on request (D8.3).
4. Protection of Personal Data - Detailed information must be provided on the procedures that will be implemented for data collection, storage, protection, retention and destruction and confirmation that they comply with national and EU legislation (D8.4).
5. Protection of Personal Data - Detailed information on the informed consent procedures that will be implemented regarding the collection, storage, and protection of personal data must be submitted on request (D8.5).
6. Third countries - The applicant must provide details on the material which will be imported to/exported from the EU and provide adequate authorizations (if applicable). In case personal data are exported from the EU/Norway to the PR China, copies of EU Model Clause Contracts must be submitted (D 8.6).

The deliverable (D8.4) **provides detail information on the procedure** that will be implemented for data collection, storage, protection, retention, and destruction and confirmation that they comply with national and EU legislation.



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1. Introduction

The SiEUGreen project brings together a multi-disciplinary Consortium of European and Chinese researchers, technology providers, SMEs, financiers, local and regional authorities and resident communities, in order to apply novel urban agricultural technological techniques new approaches for social engagement and investigate the economic, environmental and social benefits of urban agriculture (UA from now on). SiEUGreen aspires to enhance the EU-China cooperation in promoting UA for food security, resource efficiency, and smart, resilient cities through the development of showcases in selected European and Chinese urban and peri-urban areas. Throughout the implementation of the SiEUGreen project, the EU and China will share technologies and experiences and will generate ground-breaking multidisciplinary demonstration cases, thus contributing to the future developments of UA.

Since relation with the community is at the forefront of the SiEUGreen project the ethical aspects are important. Each researcher and the participating institutions have, therefore, the obligation to follow the ethical standards and guidelines of Horizon 2020 regardless of the country in which the research is carried out.

This deliverable **provides detail information on the procedure** that will be implemented for data collection, storage, protection, retention, and destruction and confirmation that they comply with national and EU legislation.

1.1 Intended Audience

The document presents the ethical issues which relate to the recruitment and participation of external in the SiEUGreen project research activities. It provides an internal record for the project itself and all consortium members and the Project Officer to be able to refer to and understand what ethical issues are in place. These ethical guidelines are provided to all the researchers and research assistants involved in the project



2. Procedures for storage, processing and sharing of data

Research data must be handled ethically and securely during fieldwork, analysis, storage, and sharing. Information provided by participants must be stored securely, anonymized, and kept confidential. According to the NESH Guidelines (2006) participants and the EU Regulation 2016/679 GDPR (General Data Protection Regulation), the use of data collected for this research project requires the informed consent of the research participants.

2.1 Data collection

The database and documentation of the social and economic benefits of the SiEUGreen project will be based on mixed methods and qualitative-quantitative data. SiEUGreen project will also incorporate elements of Digital Social Innovation, by enhancing resident participation and awareness-raising through a gamification app and an interactive platform. This will facilitate the collection of important data linked to the social and cultural change expected to be generated at each of the local communities and at an international level by the implementation of the SiEUGreen showcases. Therefore, we regard the data we collect as sensitive, and each researcher is required to perform data collection, and the handling of data, in a cautious manner under the Ethical Guidelines and comply with the Regulation (EU) 2016/679 (General Data Protection Regulation).

NMBU, as coordinator of SiEUGreen, will adopt both the European Unions's (EU) ethical guidelines, Norwegian ethical guidelines, and the ethical guidelines of NMBU. NMBU has a named Data Protection Officer if their expertise is required. As part of ethical review, the NMBU's compliance guideline with data protection standards and good research data management practices are also taken into consideration.

In accordance with the National Committee for Research Ethics in the Social Sciences and the Humanities (NESH, 2016), this project will be reported to, and if required, will obtain the protection of privacy procedures approved by NESH.

SiEUGreen does not collect data from children, vulnerable people, or people who have not given their explicit consent to participate in the project. The SiEUGreen project does not do complex processing operations or the processing of personal data on a large scale. All personal data that will be collected will need consent from the subject and will follow the Conditions for consent stated in Article 7 of GDPR (GDPR 2016). The informed consent procedures will be available in Deliverable 8.5 with more details.

2.2 Data storage and processing

Following the European Unions' 'General Data Protection Regulation'(2016), the data we collect in this project will be securely stored, whether it be in physical notebooks or as electronic files. Data registered in notebooks during fieldwork must be anonymized, and the notebooks kept in a locked drawer, closet or room. If data is stored on mobile entities such as laptops, phones, or recorders, the researcher must inform about this practice to the project ethical committee, and the information must be anonymized. These devices must be password protected and stored in a secured environment (locked drawer/closet/room) with controlled access. In case of recording, this should be done only if informed consent has been given by the participant(s), and only if the situation allows that security and confidentiality



considerations are adhered to. When a recording of interviews/focus groups is considered beneficial, and informed consent has been given freely by the participant(s), participants must get information about how the recording is going to be used. If the researcher uses photo or video documentation during the fieldwork, the guidelines of anonymity should be followed, and the participants must give their informed consent beforehand and based on information about how the material may be used and/or published along with the retention period. In these cases, consent should also be documented in the travel report.

The information gathered from the fieldwork should be anonymized and transferred to an electronic file as soon as possible and uploaded to safe storage. The project will be using the TSD system to store all sensitive data. Documents containing data must be uploaded to the TSD program, and not stored for longer periods on personal computers, external hard disks or memory sticks. Researchers will have controlled access to their data directly from TSD at any time for analysis. This will ensure that researchers do not carry sensitive data on their person, which could compromise the researcher's or participant's safety. It also reduces the danger of losing data in the case of theft of devices. Documents containing analysis, discussions et cetera that do not compromise participants' anonymity can be stored in the password-protected portal of the project database.

In accordance with Article 5 of the GDPR., Any personal data will be stored for the shortest time possible and anonymized as soon as possible.

2.3 Transfer and sharing of data

The research partners will securely share data from this research project in adherence to national and international data protection laws. Moreover, transfers of personal data to third countries or international organizations (Chapter 5 of GDPR 2016) are to be strictly followed if any data is to be transferred. Researchers can only share the sensitive data between them through TSD. Other non-sensitive data will be shared between researchers through a password-protected portal with controlled access. All public data will be stored in the Zenodo data repository and will be available to the public if no embargo period is specified. Currently, no personal data will be transferred outside the EU/Norway.

2.4 Data retention and data destruction

No personal data is planned to be retained after the project period. All personal data will only be kept if it is necessary for the research purpose but no longer than the project period. The specific retention period information will be provided to the research participant along with the explanation of the legitimate basis and purpose for retaining the data, in order to obtain the informed consent (GDPR 2016).

All data will be securely deleted once the retention period has expired (i.e. as soon as there are no longer needed for the research purpose/s) or when the data has been anonymized. The data stored on the TSD cloud will also be securely deleted as well as the data with any partners who have collected the data.



3. Data protection requirement for non-European countries

As described above as project coordinator Norway will strictly adhere to its own national data protection legal requirement as well as the EU requirement. Data protection requirements for non-EU countries; Viz

Turkey and China are the other two countries in the consortium having project showcases and therefore data collection activity will be carried out. The regulation for data protection in Turkey and China is stated below:

China

There is no comprehensive, consolidated data protection law in China. However, there is general legislation that impacts data protection.

- The P.R.C. Constitution establishes an individual's right to dignity, which under relevant rules is further interpreted to include a right of privacy. The P.R.C. Constitution also establishes an individual's right to freedom and secrecy of correspondence.
- The Tort Liability Law explicitly protects the right to privacy and allows private rights of action for invasions of privacy.
- The Ninth Amendment to the P.R.C. Criminal Law establishes criminal liabilities for the sale or provision of personal information to a third party in violation of the law.
- The Decision on Enhancing Internet Information Protection protects personal electronic data that is collected and transferred through the internet.
- A consumer's personal information is protected under the Consumer Rights Protection Law.
- The Cybersecurity Law imposes personal data protection obligations on network operators and providers of network products and services.⁴

Turkey

Law on Protection of Personal Data dated 7 April 2016 No 6698 (Data Protection Law). This is the main law specific to data protection in Turkey. Although there are differences, the Data Protection Law is similar to the EU Directive 95/46/EC on data protection (Data Protection Directive) and is based on the same principles. The purpose of the Data Protection Law is to: put standard practices and procedures in place for the handling of personal data; protect the privacy of individuals.



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