



SECONOMICS

D9.6 - First Ethical Monitoring Report

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Document Number	D9.6
Document Title	First Ethical Monitoring Report
Version	0.1
Status	Final
Work Package	WP 9
Deliverable Type	Report
Contractual Date of Delivery	31.07.2013
Actual Date of Delivery	31.07.2013
Responsible Unit	ATOS
Contributors	UNITN, DBL, URJC, ABDN, ISAS CR, NGRID
Keyword List	Ethical issues, Ethics
Dissemination level	PU

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SECONOMICS “Socio-Economics meets Security” (Contract No. 285223) is a Collaborative project) within the 7th Framework Programme, theme SEC-2011.6.4-1 SEC-2011.7.5-2 ICT. The consortium members are:

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Executive summary

This document summarises the main ethical issues of the SECONOMICS project.

Section 1 describes the project scope - the development of a set of policy tools and control instruments that can help to design security policies to protect infrastructures from threats like terrorism or other risks. The principal ethical concern in this project is the safeguarding of sensitive confidential information.

Section 2 describes SECONOMICS' research methodology. The work plan has been distributed in nine workpackages. Due to its special ethical concerns, W1 to WP4 have defined their ethical procedures.

Section 3 analyses separately the ethical issues considered in each one of the main affected workpackages previously mentioned, and describes, when available, the institutional ethical procedures of the project partners in charge or ethical issues in each workpackage. In addition to this, and due to the special characteristics of the project and the importance of the information confidentiality, SECONOMICS has settled down a Security Scrutiny Review Committee (SSRC) which supervises which information can be disclosed and published - depending on the target group of audience.

Finally, an ethical monitoring by an ethics expert has been implemented in SECONOMICS in order to assess the execution of the different ethical requirements within the project in accordance with applicable national legislations.

Section 4 concludes that all the ethical issues have been extensively considered.

1. Project scope and ethical issues

SECONOMICS is a European funded project that will provide researchers with detailed information on the **structural, organizational and informational problems** that the **policy makers must face in designing security policies**.

The ultimate goal of SECONOMICS is the **development of a set of policy tools and control instruments** whose purpose is to guide the evaluation of threats and socially-aware countermeasures. The work to be done is organized in 10 workpackages. Only WP1, 2, 3 and 4 are affected by ethical issues.

In order to reach its goal, SECONOMICS is structured around **three case studies**:

- Airports (Turkey, WP1)
- National Grid Electricity Transmission PLC (UK, WP2)
- Transports Metropolitans de Barcelona SA (Spain, WP3)

In addition to this, the Institute of Sociology of the Academy of Sciences of the Czech Republic is performing a task that will help to identify public perception and attitudes to risk (WP4).

A number of field investigations and interviews will be performed; confidential information will be studied and analysed. The ethical concerns implied by such activities are the focus of this document.

2. Research Methodology

SECONOMICS is a collaborative project about socio-economics and security. The objective is to analyse three industry case studies related to security (airport, public transport, critical power infrastructure) with the objective of achieving a Pan-European vision. A parallel socio-economic study is also helping to identify public perception of risks.

SECONOMICS is being tested with realistic (but not real) user data, in order to test the system capabilities without violating any citizen personal and/or private dimension. The names of actual individuals are not needed except for evidence of contractual obligations with the EC to show that the empirical validation has actually taken place. Only “realistic” data are needed in order to warrant the reliability of experiments without access to private data.

The results of the research will produce policy toolkits that will help policymakers to adapt general socio-economic methodologies to their concrete problems.

Anyone involved in the research must be compliant with the required level of scientific, professional and academic competence for her project role. It is required for everyone to prevent any physical, economic and psychological damage to any of the participants.

The work plan has been organised in nine workpackages. Ethical aspects are special concerned to the WP1-WP4 (data acquisition) but affect the whole project. More details are provided in section 4.1, Ethical Issues of the SECONOMICS DoW. The next sections explain how the project deals with ethical issues.

3. Ethical issues

In SECONOMICS, each ethical-concerned workpackage (WP1-WP4) has defined its own ethical procedure. The first deliverable in these workpackages “Ethical opinion / Authorisation” provides detailed information on privacy/confidentiality and the procedures that should be implemented: data collection, storage, access, sharing policies when third countries are concerned, protection, retention and destruction and confirmation, national and international/EU legislation. This deliverable specifies the data processing, contains the copy of the authorization from the Ethical Committees of the Universities of Trento (for WP1), Aberdeen (for WP2), Madrid (for WP3) and ISAS CR Prague (for WP4).

3.1 WP 1: Airport Security, Italy-Turkey

The Italian-Turkish team is in charge of WP1, which studies the security concerns of **airport security**. DeepBlue (DBL) leads this WP.

3.1.1 WP1 Ethical issues

The most important ethical issues considered are:

- Respect current European, Italian and Turkish regulations in terms of security, data collection, privacy and communication of results.
- Fully and responsibly inform any participant of the purpose of the research and of the ways in which their data and the information they’ll provide will be used for the purposes of the study itself.
- Favour a correct and rightful use of the results of the research, as well as of the knowledge of the techniques and theories applied.
- Avoid any negative repercussion against the public reputation of each partner and of any other involved entity.
- Maximize the publication of data and results, especially of those obtained with the contribution of public funding.

This study will use different methodologies: interviews, questionnaires, focus groups, ethnographic observation, video-tapes compilation for its later analysis. In order to comply with each participant’s rights on privacy and handling of data, the following measures have been taken:

- A consent form¹ has been prepared with the following statements:
 - Participation in the study is voluntary;
 - No negative consequence will result from declining the consent to proceed;
 - It is the participant right to withdraw from the interview at any time;
 - The data will be collected in a way that the researcher will not impose any of their own bias on the data itself.
- Potential participants will be aware of the purpose of the research, the vehicles for dissemination of the results and people, organisations and stakeholders involved in the research. Participants will be also informed that:
 - Any data, video or audio recording portraying or featuring him or her will be treated as confidential by the researchers;
 - Any recording and data will be securely stored and used only for the purpose of the present research;
 - None of the participants' personal details will be published and or available to the public without their explicit consent;
 - Participants' personal details may be disclosed only in case of ethical investigations concerning this research, and anyway only to concerned and competent entities.
- Data handling: Questionnaires, interviews, audio/video recordings or field observations will be subjected to current European, Italian and Turkish regulations on matters of data handling and privacy. In particular:
 - Anonymity of data will always be guaranteed;
 - Data access will be limited to authorised staff only, and only within the spatial and temporal limits negotiated with the data owners and in no case beyond what prescribed by the current legislation;
 - A previous authorisation from the participant will be needed when anonymity requirements are technically or operationally unfeasible.
- Publication of results. Due to the sensitive nature of the study, any publication of final or intermediate results must comply with the following statements:
 - Data will not be modified or falsified;
 - Everyone who participated in the collection of data will be acknowledged as a co-author or in the acknowledgements section of the publication;
 - Sensitive information will only be presented to competent, responsible and scientifically sound audiences;
 - Political and socio-economic concerns must be carefully considered in presenting the results as any opinion expressed could affect the public opinion feelings about security.

3.1.2 WP1 institutional ethical review

It is also important to remark that the Università degli Studi di Trento (UNITN) counts with its own Ethical Committee and ethical procedures. An authorisation request was made to the authorised representative and the Ethical Committee of the UNITN.

¹ The informed consent form can be found in pages 11-12 of D1.1 Ethical Opinion/authorization for WP1 (Italy-Turkey Airport case study)

D1.1 Ethical Opinion/authorisation for WP1 (Italy- Turkey Airport case study) includes the letter of Approval request (page 6), the original copy of the authorization request to the authorised representative and the Ethical Committee of the University of Trento (Annex A), the approval request form (Annex B) and the Report - in English and Italian versions - containing the Decision of the Committee - Approved.

3.2 WP2: Security problems for critical infrastructure providers (UK)

The UK team is in charge of WP2, which copes with providing an example of **security problems for critical infrastructure providers**. There are neither interviews nor personal data collection issues in WP2.

3.2.1 WP2 Ethical issues

The most important ethical issues considered are:

- The study does NOT involve human subjects or their remains;
- There are NO other ethical issues like potential conflicts of interest, use of artefacts or environmental impact;
- Does NOT involve persons less than 18 years of age;
- Does NOT involve people with learning or communication difficulties;
- Does NOT involve people involved in illegal activities;
- Does NOT involve people belonging to vulnerable groups;
- Does NOT involve people who are clients of the researchers that are performing the investigation;
- People will be interviewed in their own languages, or the interviews will comply with EU FP7 language provision rules;
- Does NOT require access to personal information about participants from other parties, databanks of files;
- Does NOT conceal the researcher own identity during the research;
- Consent procedures, harm to participants and data protection are not applicable in this case as the participation of the SECONOMICS research team in UK is basic theoretical research in risk management.

3.2.2 WP2 institutional ethical review

It is also important to remark that the University of Aberdeen, which participates in this WP, counts with its own Ethical Committee and ethical procedures. An authorisation request has been made to the authorised representative.

D2.1 Ethics Approval for WP2 (UK - power grid case study) includes the Ethical Committee Approval letter from the University of Aberdeen, Arts and Social Science College Section (Annex A, page 7), the ethical approval form submitted by the SECONOMICS team related to WP2 activities (Annex B, pp. 9-13), and the Ethical procedure for the different tasks of the work package (Annex C, pp 16-19).

3.3 WP3: Public transportation (Spain)

The Spanish team is in charge of WP3, which copes with security in **public transportation**. WP3 will involve a number of people from different organizations whose expertise will be needed to assure the scientific and ethic value of the study. The names

of these experts are identified in pp. 14-15 of D3.1 Ethical Opinion/ authorisation (Spain - public transport). Given the exploratory nature of the study, interaction with domain stakeholders and front end operators within the case study will be needed.

3.3.1 WP3 Ethical issues

The most important ethical issue is related to privacy and confidentiality of some sensitive pieces of collected information about vulnerabilities of critical infrastructures.

The ethical issues considered in the Spanish case are:

- The study does NOT involve human subjects or their remains;
- The study does NOT involve genetic information;
- The study does NOT include psychological or behavioural research in humans;
- The study does NOT involve animal testing;
- The study does NOT involve biological agents;
- The study does NOT involve GMOs (genetically modified organisms);
- No personal data will be used for the project;
- Issues related to current European, Spanish and Madrid regulations in terms of security, data collection, privacy and communication of results;
- Issues related to the respect to similar requirements that the case provider, TMB, might require, in particular in relation with document OR-ASIP-04-01.03 delivered by the CNPIC (Centro Nacional para la Protección de las Infraestructuras Críticas, Spanish National Centre for the Critical Infrastructure Protection);
- Issues related to the fully and responsibly information to any participant of the purpose of the research and of the ways in which their data and the information they will provide will be used for the purposes of the study itself;
- Issues oriented to favour a correct and rightful use of the results of the research, as well as of the knowledge of the techniques and theories applied;
- Issues oriented to avoid any negative repercussion against the public reputation of each partner and of any other involved entity, and in particular that of the case provider, TMB.

A consent form will be required when necessary with the following statements:

- Participation in the study is voluntary;
- No negative consequence will result from declining the consent to proceed;
- It is the participant right to withdraw from the interview at any time.

Potential participants will be aware of the purpose of the research, the vehicles for dissemination of the results and people, organisations and stakeholders involved in the research. Participants will be also informed that:

- Any data, video or audio recording portraying or featuring him or her will be treated as confidential by the researchers;
- Any recording and data will be securely stored and used only for the purpose of the present research;
- None of the participants' personal details will be published and or available to the public without their explicit consent;
- Participants' personal details may be disclosed only in case of ethical investigations concerning this research, and anyway only to concerned and competent entities.

Data handling: Questionnaires, interviews, audio/video recordings or field observations will be subjected to current European, Spanish and Madrid regulations on matters of data handling and privacy, including Organic Law 15/1999 for Personal Data Protection and Royal Decree 1720/2007. In particular:

- Anonymity of data will always be guaranteed;
- Data access will be limited to authorised staff only, and only within the spatial and temporal limits negotiated with the data owners and in no case beyond what prescribed by the current legislation;
- A previous authorisation from the participant will be needed when anonymity requirements are technically or operationally unfeasible.

Publication of results: Due to the potentially sensitive nature of the study, any publication of final or intermediate results must comply with the following statements

- Data will not be modified or falsified;
- Everyone who participated in the collection of data must be acknowledged as co-author or in the acknowledgements section of the publication;
- Sensitive information about the studied infrastructures is to be presented to competent, responsible and scientifically sound audiences;
- Political and socio-economic concerns must be carefully considered in presenting the results.

3.3.2 WP3 institutional ethical review

It is also important to remark that Rey Juan Carlos University, which participates in this WP, counts with its own Ethical Committee and ethical procedures.

D3.1 Ethical Opinion/ authorisation (Spain - public transport) includes the Information Sheet for the participants' consent form (Appendix 1, page 19), the model for the consent form (Appendix 2, pp. 20-21), and the Application to comply with Data Protection requirements (Appendix 3, pp. 21-22).

3.4 WP4: Security and Society (Czech Republic)

The Czech team is in charge of WP4, which copes with the conceptualisation of security and risk as a social phenomenon, identifies public perception and attitudes to risk, and estimates the risk influence in public opinion and attitudes. The WP concentrates on policy interactions between policy makers, industry (stakeholders) and citizens (consumers). ISAS CR is in charge of this WP.

3.4.1 WP4 Ethical issues

The most important ethical issue considered in WP4 is privacy and confidentiality of the information that will be needed for the composition of reports and papers.

3.4.2 WP4 institutional ethical review

It is also important to remark that ISAS CR, which leads this WP, counts with its own Ethical Committee and ethical procedures.

Staff members contracted by the ISAS CR are obligated to familiarize themselves with the Act No. 101/2000 Coll., on Personal Data Protection at the Personnel Department

and confirm this fact with their signature. Any external operator working for the institution must also sign an agreement with the institution about this point. There is also an established procedure for the familiarisation of new staff with the mentioned act and with Order No. 2 / 2005 Compulsory instructions for the processing of personal data at the Institute of Sociology of the Academy of Sciences of the Czech Republic.

Staff members at the IS AS CR may:

- process only categories of personal data stated in the registration;
- process personal data for scientific purposes only;
- process personal data only with the written consent of the relevant data subjects;
- keep personal data only for the duration absolutely necessary for the purpose of the data processing.

Staff members at the ISAS CR are obligated to:

- depending on their job title, define the means and manner of personal data processing or use for personal data processing only such means and manners defined by one's direct superior;
- protect personal data against unauthorized or accidental access;
- protect personal data against their alteration, destruction or loss;
- protect personal data against unauthorized transfers, unauthorized processing and other types of misuse;
- anonymise the data as soon as possible;
- destroy personal data as soon as the purpose for which they have been processed, elapses;
- keep confidentiality of the personal data processed and their protection;
- keep documents in writing and CD ROMs with data files containing personal data in a specifically designated space, the access to which is subject to special conditions.

Any failure to conform to these ISAS CR directives constitutes a breach of work discipline, and sanctions are foreseen.

D4.1 Ethics Approval for WP4 includes: the ethical committee approval letter from Institute of Sociology, Academy of Sciences of the Czech Republic (ISAS CR) (Annex A, page 7), the Director's Order No. 2 / 2005 - Compulsory instructions for the processing of personal data at the Institute of Sociology of the Academy of Sciences of the Czech Republic (Annex B, pp. 9-16), Director's Order No. 2/2012 - Compulsory instructions for the processing of personal data at the Institute of Sociology of the Academy of Sciences of the Czech Republic (Annex C, pp. 18) and Czech Social Science Data Archive (CSDA) Ethical and legal presumptions (Annex D, pp. 20-23).

3.5 Final revision of all the procedures

3.5.1 SECONOMICS Security Scrutiny Review Committee (SSRC)

In the SECONOMICS project, security of the outputs is covered by a special project committee called the Security Scrutiny Review Committee (SSRC) which will cover

potential issues in releasing all data and information collected from case studies and case study partners for the SECONOMICS project. NGRID is the partner in charge of the SSRC. The composition, structure, functions and procedures of the SSRC are defined in section 2.1.2 (pp. 47-49) of the SECONOMICS DoW. This committee is in charge of filtering the documents and providing the SECONOMICS dissemination team within the material that can be used for dissemination purposes for each target group.

The research teams in all workpackages are subject to the SSRC which will watch that the disclosure of any sensitive detail or observation that could be useful to other research groups or the European Commission can overcome the security measures in SECONOMICS in order to be made public with no damage to the participants.

3.5.2 Ethics Monitor

Finally, an ethical monitoring by Blanca Jordán, ethics expert from ATOS - the exploitation coordinator - has been implemented in SECONOMICS in order to assess the execution of the different ethical requirements within the project in accordance with applicable national legislations.

Blanca Jordan is the Area Manager of Healthcare within Atos Research and Innovation group. She is a Master Engineer in Telecommunications from the Polytechnic University of Madrid. She also has a degree on Sociology in the Universidad Nacional de Educación a Distancia and has started a degree in Psychology in the same university. She worked for Atos from September 2000 dealing with IST European projects in technical and managerial tasks for different research projects of the European Commission. Blanca Jordán is working as Ethical Reviewer for the European Commission since 2007.

4. Conclusion

After the revision of all the procedures in SECONOMICS, the conclusion is that the ethical issues have been extensively taken into account. Privacy of information is being preserved. Consents for participation in studies are being asked when necessary and the ethical procedures are being followed.

REFERENCES

- SECONOMICS DoW (Description of Work);
- SECONOMICS D1.1 Ethical Opinion/ authorisation for WP1 (Italy- Turkey Airport case study);
- SECONOMICS D2.1 Ethics Approval for WP2 Case Study (UK - critical power infrastructure);
- SECONOMICS D3.1 Ethical Opinion/ authorisation (Spain - public transport);
- SECONOMICS D4.1 Ethics Approval for WP4 (Czech Republic - socio economic study);
- Ley Orgánica de Protección de Datos (LOPD) 15/1999 (December 13st 1999);
- Real Decreto 1720/2007 de Desarrollo de la LOPD (December 21st 2007);



- Documento CNPIC OR-ASIP-04-01-03;
- Czech Act No. 101/2000 Coll., on Personal Data Protection;
- Order No. 2 / 2005 Compulsory instructions for the processing of personal data at the Institute of Sociology of the Academy of Sciences of the Czech Republic and rules governing the storage of documents and CD ROMs containing personal data at the IS AS CR.

All of these documents are available at the BSCW collaborative repository of the SECONOMICS project.