

D1.3 Ethic and gender issues consideration report

WP1, T1.3

Date of the document: 29th December 2020 (2020/12/29)

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HAPPENING - H2020-LC-SC3-EE-2020-1
GRANT AGREEMENT No. 957007

This project has received funding from the European
Union's Horizon 2020 research and innovation
programme under grant agreement No 957007



Technical references

Project Acronym	HAPPENING
Project Title	HeAt PumpPs in existing multi-family buildings for achieving union's EN ergy and envlro N mental G oals
Project Coordinator	Irantzu Urkola Tecnalia irantzu.urcola@tecnalia.com
Project Duration	1 st October 2020 - 31 st March 2024 (42 months)

Deliverable number	D1.3 Ethic and gender issues consideration report
Dissemination Level	PU
Work Package	WP1 Project management and coordination
Task (s)	T1.3 Ethic issues and gender management
Lead beneficiary	TECNALIA
Contributing beneficiary(ies)	
Due date of deliverable	31 st December 2020 (2020/12/31)
Actual submission date	29 th December 2020 (2020/12/29)



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Versions

No.	Name SURNAME	Partner	Contribution	Date
0.1	Irantzu URKOLA	TECNALIA	Structure of the document and the chapter 1	2020/11/10
0.2	Irantzu URKOLA	TECNALIA	Chapters 2 and 3	2020/11/25
0.3	Jon Ander LANDETA	TECNALIA	Revision of the document	2020/11/26
0.4	Salomé HERCE	GBCe	REVIEW	2020/12/15
	Chiara MANAGO	RINA-C	Support to the review	
1.0	Irantzu URKOLA	TECNALIA	FINAL VERSION	2020/12/28

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Abbreviations and acronyms

Acronym	Description
DHW	Domestic hot water
DoA	Description of Action
EC	European Commission
ESCO	Energy Services COmpany
GA	Grant Agreement or General Assembly, on depend on the context
GHG	GreenHouse effect Gases
PE	Primary energy
PMP	Project Management Plan
PSC	Project Steering Committee
PV	Photovoltaics
QAP	Quality Assurance Plan
WP	Work Package
WPL	Work Package Leader



Abstract of the HAPPENING project

Currently, **buildings are responsible for 40 % of the energy demand and 36% of the CO₂ emissions in Europe**. Decarbonisation of existing buildings plays a key role in order to reach the overall climate protection targets. However, current renovation rates lie in the order of 1%.

Heat pumps are a key technology in bringing renewable shares into heat supply of buildings; especially their combination with onsite renewable electricity production e.g. by PV allows to bring high renewable shares. Their current installation in existing multi-apartment buildings is however still marginal.

The proposed technological solution is based on decentralized heat pumps, in such a way that it results an easy-to-install solution for installers, low-intrusive for the occupants and easily adaptable to a large number of different building situations. This is flanked by developing near-zero planning, implementation and operation processes, in order to facilitate the work during the planning phase, ensure a high-quality installation and effective operation, and reduce the efforts and costs within the whole retrofitting project. The challenge of cost-competitiveness is addressed by developing new financial and business models. Bringing new players (such as financial experts) and financing models to the renovation market is expected to bring the needed paradigm change and boost investments in the residential retrofitting sector. Dissemination of measured performance and system characteristics from HAPPENING will be one of the key results of the project.

Through **3 demo sites (Spain, Italy and Austria)**, the project will demonstrate a highly versatile, scalable and replicable solution package for buildings energy system retrofitting allowing 70-75% of renewable energy fraction, 30-50% of PE and GHG savings, reduction of planning time by 50% and installation/operation time by 30% and payback time for ESCOs and investors of less than 8 years, compared to best available solution existing today.



1. Introduction

1.1 Objective of the deliverable D1.3

The main objective of the **WP1** is to develop an effective, transparent and comprehensive administrative, financial and legal **management** to ensure the successful execution of the project.

This WP1 is led by TECNALIA and participated by the WP Leaders, i.e. EURAC, FRAUNHOFER, TECNOZENITH, RINA-C and GBCe.

The management WP consists of four tasks, that last the whole duration of the project:

- T 1.1 Project coordination and quality assurance
- T 1.2 Communication, reporting and monitoring
- T 1.3 Ethic issues and gender management
- T 1.4 Data management plan

This **deliverable D1.3** is related to the task T1.3 and is aimed at **defining the methodology or procedure with ethical and gender aspects in relation to the project work plan** related to the HAPPENING project.

1.2 Deliverable description

The deliverable D1.3 is structured into several chapters explaining the following key aspects related to gender and ethics issues in the project:

- Considerations on ethics
- Gender issues

1.3 Contribution of partners

The task “T 1.3 Ethic issues and gender management” in WP1 is led by TECNALIA. Being such a crucial topic, TECNALIA, as the lead beneficiary of the deliverable is the main contributor of the content provided in this report and all the partners and mainly the WP Leader partners are asked to integrate and consolidate the principles and values established in this deliverable into the working procedures of the project.



1.4 Relation with other activities in the project

This deliverable is related with each and all activities, tasks and work-packages in the project as **gender and ethics issues are key pillars or basis to be followed in the execution of the project** to guarantee the success and the accomplishment of the challenging objectives.



2. Considerations on ethics

The HAPPENING Consortium must deal with ethical aspects in relation to the project work plan, including the screening of reports for ethical-related issues and the ethical request that could appear after the ethics review. The consideration on ethics is crucial in order to guarantee both the protection of fundamental human rights and the need of privacy of all the participants to the project activities. In order to achieve this, the partners involved will ensure that appropriate procedures are in place and in compliance with all the relevant local and national guidelines and legislation. To perform the project in accordance with these key ethical principles, the consortium will provide in WP8 core the ethical requirements that the project must comply with.

The ethical aspects and research integrity are regulated under the article 34 of the Grant Agreement. The partners must carry out the action in compliance with ethical principles (including the highest standards of research integrity) and applicable international, EU and national law.

The partners must respect the fundamental principle of research integrity – as set out, for instance, in the European Code of Conduct for Research Integrity¹. This code establishes good practices to be applied in research activities and sets up the next principles:

- *“Reliability in ensuring the quality of research, reflected in the design, the methodology, the analysis and the use of resources.*
- *Honesty in developing, undertaking, reviewing, reporting and communicating research in a transparent, fair, full and unbiased way.*
- *Respect for colleagues, research participants, society, ecosystems, cultural heritage and the environment.*
- *Accountability for the research from idea to publication, for its management and organisation, for training, supervision and mentoring, and for its wider impacts.”*

In short, in the HAPPENING project all the research will be done following the best research practices, performing a correct data protection of sensible information gathered during the project.

On specific regard to the HAPPENING project, the solution for buildings energy system retrofitting will be implemented at 3 demo sites in Ispaster (Spain), Verzuolo (Italy) and Graz (Austria), affecting the residents. Related to this, data from the demos

¹ European Code of Conduct for Research Integrity (Revised version) published by ALLEA - All European Academies - https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/european-code-of-conduct-for-research-integrity_horizon_en.pdf



sites dwellings will be collected for carrying out techno-economic assessments (task 4.4) while surveys and interviews to the occupants and tenants may be used for assessing social and market acceptance of innovations (subtask 6.1.1). Interviews and surveys are also envisaged to different stakeholders' experience to get their feedback related to HAPPENING retrofitting solutions (task 7.1).

In the Grant Agreement, on one hand, it is defined the Research involving work with humans' beings and protection of personal data, including:

- Criteria to identify user groups.
- Informed consent procedures, to guarantee voluntary and consent participation of people.
- Protection of personal data, no request of any kind of personal sensitive data (health, sexual lifestyle, ethnicity, political opinion, religious or philosophical conviction).
- Data collection, storage, protection, retention and destruction, complying with ethical principles and with applicable international, European and national law, in particular the General Data Protection Regulation (GDPR).
 - Deeper details in the deliverable "D1.4 Data Management Plan".
- Security and organizational measures (appropriate technical and organizational measures, internal controls and information security routines) aimed at protecting the data of the interested parties against accidental, unlawful or unauthorized access, disclosure, alteration, loss or destruction acts.

On the other hand, environment, health & safety issues will also be considered in the project: *"All the applicants confirm that appropriate health and safety procedures conforming to relevant local and national guidelines and legislation will be followed by the staff involved in this project, keeping on file copies of relevant authorizations"*.

To end up, in this D1.3 a summary of the identified ethical issues is provided, and this topic will be addressed in deeper details in the deliverables "D1.4 Data Management Plan" (Public) and "D8.1POPD - Requirement No. 2" (Confidential, only for members of the consortium (including the Commission Services)), both planned to be submitted by the month 6 of the project, i.e. in March 2021.



3. Gender issues

The promotion of gender equality in research and innovation is a commitment of the European Commission, in fact gender is a cross-cutting issue in Horizon 2020. The Guide "Gender Equality in Horizon 2020" (European Commission, 2014²), mentioned three objectives underpin activities on gender equality in Horizon 2020, in details:

1. Gender balance in decision making
2. Gender balance in research teams at all levels
3. Integrating the gender dimension in the content of R&I

The HAPPENING project is and will be implemented accordingly with these principles.

Gender aspects in HAPPENING project were considered under different perspectives in the proposal preparation stage, concluding that no gender-related dimension could be found in the research or technical content of the project, as its findings do not appear to affect individuals or groups of persons according to their gender.

Moreover, in accordance with Article 33 in the Grant Agreement, *"the beneficiaries must take all measures to promote equal opportunities between men and women in the implementation of the action. They must aim, to the extent possible, for a gender balance at all levels of personnel assigned to the action, including at supervisory and managerial level."*

In addition to this obligation established in the Grant Agreement, the HAPPENING Consortium is committed to gain a real equality among people regardless of their gender (or sexual orientation, religion, or any other unlawful discrimination, although these aspects are out of the scope of this deliverable) as a key aspect to build up a better, fairer and more equalitarian society. Being so, some gender-related aspects, such as gender balance and equality are considered in the HAPPENING project.

The HAPPENING project wishes to contribute to the equality by promoting a balanced participation of women and men in the management, research, innovation and all the aspects of the project, paying particular attention to the role of women by encouraging their active involvement and participation.

The equality in gender balance within the management structures of the project will also be promoted. At the beginning of the project, this is the current gender balance situation on the management layer of the governance structure of the project:

² View webpage: <http://www.ncpacademy.eu/wp-content/uploads/2016/03/20151113-Training-Slides-for-NCPs-Gender-Equality-in-H2020.pdf>



	Female	Male	Non-binary
Project Coordinator	1	0	0
WP Leader	5	3	0
WP Deputy Leader	2	6	0
TOTAL	8	9	0

Table 3.1: Gender balance in the management layer in the project (situation December 2020)

This gender balance situation may vary during the project life. However, the Project Coordinator, the General assembly and the Project Steering Committee commit to work together to assure an adequate gender balance and the absolute respect among people in all the activities in the HAPPENING project.

The gender balance will be addressed by the partners as part of the internal reporting process (explained in the deliverable D1.2).

In the same line, all the partners involved in HAPPENING are committed to give equal opportunities to women and men, specifically encouraging women to participate in all activities of the project.

In general, all the partners involved in the HAPPENING project are expected and encouraged to act in accordance with the following principles:

- Encouragement of the gender balance of the team working in the project
- Promotion of equality between women and men in decision-making
- Provision of equal and fair working conditions for both men and women
- Opposition to all forms of unlawful and unfair discrimination
- Promoting inclusiveness and preventing any form of sexism, prejudice or discrimination based on sex; implicit sexism; and sexual harassment or assault

In case of a partner breaches its obligations regarding the gender equality under the Article 33 in the Grant Agreement, the Agency may apply any of the measures described in Chapter 6 of the Grant Agreement.

