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SUSTAINABLE JET FUELS FROM CO2 BY MICRO-ALGAL CELL FACTORIES IN A ZERO WASTE APPROACH

ALFAFUELS

D12.3 – Ethics Plan

Lead Beneficiary: RISE Processum AB

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TABLE OF CONTENTS

1. Executive summary	1
2. Introduction	1
2.1. Scope and objective of the deliverable.....	1
3. Ethics and research integrity.....	2
3.1. Ethics.....	2
3.2. Research integrity	2
3.3. RRI principles	3
4. Ethics issues in ALFAFUELS.....	3
4.1. Humans.....	3
4.2. Personal data	3
4.2.1. Procedures regarding personal data	4
4.2.2. Data protection officer	4
4.3. Environment, health and safety	4
5. Legislations.....	5
5.1. General Data Protection Regulation	5
5.2. Charter of the Fundamental Rights of the European Union.....	5
5.3. The European Convention on Human Rights	5
5.4. Horizon Europe Grant Agreement	6
6. Conclusion	6
7. Annex 1	7

1. Executive summary

This document, *D12.3 – Ethics Plan*, is a part of Work Package 12 (WP12 – Project Management) and regards the ethics and research integrity part of the ALFAFUELS project. The deliverable D12.3 will provide documentation to ensure that all beneficiaries are carrying out the action in compliance with ethical principles and applicable EU laws, including the EU Charter of Fundamental Rights and the European Convention for the Protection of Human Rights and Fundamental Freedoms and its Supplementary Protocols. Special consideration is given to ethical concerns related to protection and management of personal data as well as protection of the environment and maintaining high standards of human health protection.

2. Introduction

Ethical considerations play an important role in everything we do, including research. As researchers, it is important to conduct our work fair, transparent and responsible, and that our findings can be trusted. The ethics plan deliverable addresses various ethics issues that can arise during the project, focusing specifically on humans, personal data and environment, health and safety. The deliverable mentions and lists the relevant EU laws and legislations that will be followed. The goal of this report is to demonstrate our commitment to ethical research practices and make sure that ALFAFUELS, during the whole project, respects and follows the ethical regulations and rules stated further down in this document.

2.1. Scope and objective of the deliverable

The purpose of the ethics deliverable D12.3 is to ensure that the project is conducted in an ethically responsible manner and that all the activities of the project are compliant with the ethical principles and relevant legislations. This report aims to formulate the ethical requirements brought up by ALFAFUELS and to report on ethics issues and considerations.

D12.3 describes the action plan and procedures that will make sure that the research is conducted in a responsible and accountable way. This will include good research practices and how to address issues related to environment, health, and safety as well as protection of personal data to the extent necessary.

3. Ethics and research integrity

3.1. Ethics

ALFAFUELS follows the European Commission (EC) definition for Ethics:

“The EC perceives ‘ethics’ as including questions of legal and regulatory compliance as well as a branch of philosophy. It is part of a process of ‘governance’. In this vein, the EC document “A comprehensive strategy on how to minimize research misconduct and the potential misuse of research in EU funded research” asserts that ethics is a “key oversight mechanism” to ensure that EU funded research is not misused.”¹

3.2. Research integrity

RISE Processum AB (RISE), as project coordinator, will follow and respect the fundamental principle of research integrity written in the European Code of Conduct for Research Integrity.² The ethics and research integrity principles are provided by ALLEA (All European Academies) group and aim to guide researchers in conducting research tasks according to best practices, such as promoting openness, reproducibility, and traceability whenever feasible, while also preventing any breaches of research integrity outlined in the Code.

The fundamental principles are:

- **Reliability** in ensuring the quality of research, reflected in the design, methodology, analysis, and 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, research subjects, 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 societal impacts.

¹ [Roles and Functions of Ethics Advisors/Ethics Advisory Groups in EC-funded Projects \(europa.eu\)](#)

² [european-code-of-conduct-for-research-integrity_horizon_en.pdf \(europa.eu\)](#)

3.3. RRI principles

As a part of maintaining high level of research integrity and reflect on the societal impact of the project, ALFAFUELS will implement Responsible Research and Innovation (RRI) principles. RRI is an approach to research and innovation that emphasizes the importance of involving society throughout the entire research and innovation process.³ During the kick-off meeting it was discussed that a publicly available tool (societal readiness thinking tool⁴) will be used to follow the societal readiness of the research. Two meetings with all beneficiaries dedicated in RRI principles will be held during the project; one in the end of the first year, and one during the fourth year of the project.

4. Ethics issues in ALFAFUELS

In the Ethics Summary Report obtained after evaluation of ALFAFUELS, the Ethics Opinion were granted 'Ethics clearance' meaning that the proposal was considered ethics ready, and no further actions had to be taken during the grant preparation phase. Regarding the Ethics Issues mentioned in the Ethics Summary Report, the following ethics issues were considered relevant for the project: *Humans, Personal data, and Environment, health and safety*. While the main ethics issue in ALFAFUELS concerns the environment, health and safety aspect, identification and analysis of potential ethical concerns related to humans and personal data are also covered in this section.

4.1. Humans

All activities involving work with human beings in the project will be performed by the staff of the participants (beneficiaries and subcontractor). There will be no activities involving work with human beings that are not part of the consortium.

4.2. Personal data

Personal data refer to information relating to an identified or identifiable natural person. As stated in Article 4.1 of the General Data Protection Regulation (GDPR), an identifiable individual is someone who can be directly or indirectly distinguished, notably through identifiers such as a

³ [About RRI - RRI Tools \(rri-tools.eu\)](http://About RRI - RRI Tools (rri-tools.eu))

⁴ <https://www.thinkingtool.eu/>

name, ID number, location data, online identifier, or through specific factors related to their physical, physiological, genetic, mental, economic, cultural, or social identity.⁵ Personal data that discloses racial or ethnical origin, political opinions, religious or philosophical beliefs, trade union membership and the processing of genetic data, biometric data for the purpose of uniquely identifying a natural person, data concerning health or data concerning a natural person's sex life or sexual orientation falls within special categories of personal data (formerly known as sensitive data). In ALFAFUELS, no such personal data will be collected, and processing of special categories of personal data will be prohibited.⁶

4.2.1. Procedures regarding personal data

In ALFAFUELS no activities will involve methods for processing personal data (e.g. interviews, surveys, questionnaires, direct online retrieval etc.). Personal data such as names, identification numbers or online identifiers will be processed according to the ethics provisions and the ethical standards set out in the Grant Agreement.

4.2.2. Data protection officer

RISE as coordinator has an appointed Data Protection Officer (DPO) who is responsible for advising RISE on how to act in the project with regard to compliance with the GDPR. Due to the nature of the project's work, and since the project's core activities neither involve processing of sensitive data on a large scale, nor involve large scale, regular and systematic monitoring of individuals, DPOs for the other partners are not listed in this deliverable.

As the coordinator, RISE will also use the data protection policy of RISE as guiding documents for the project. For further information about RISE's policies, see Annex 1.

4.3. Environment, health and safety

The following measures will be taken to mitigate environmental, health and safety issues during the project: All workers in the project, working in biotechnology and chemistry laboratories, including pilot facilities, will use personal protective equipment like masks, gloves, glasses, boots and

⁵ [Art. 4 GDPR - Definitions - GDPR.eu](#)

⁶ [Art. 9 GDPR - Processing of special categories of personal data - GDPR.eu](#)

clothes during the handling of engineered materials to remove hazardous conditions. Where necessary, adequate protective filtered masks and vapor extraction systems are used, according to the technical data sheets from providers. Partners will always consider when applicable MSDS (Material Safety Data Sheet) or any other information about materials necessary to handling them without risks safeguarding the health of the workers. Finally, the partners follow standards management systems (ISO, OSHAS, etc) for environment or safety and health issues.

5. Legislations

In ALFAFUELS, all members of the consortium will carry out the work complying with the relevant legislations listed below:

5.1. General Data Protection Regulation

GDPR is a comprehensive EU regulation that governs the processing of personal data and enhances individuals' rights regarding their personal information. All beneficiaries are required to comply with the European Union General Data Protection Regulation (EU) 2016/679 (GDPR) regarding data protection, as well as any subsequent updates on standards or requirements received during the project's duration.⁷

5.2. Charter of the Fundamental Rights of the European Union

The Charter of Fundamental Rights of the European Union is a legally binding document that enshrines the fundamental rights protected within the European Union. The EU Charter applies to all EU institutions and bodies, as well as to member states when they are implementing EU law. The Charter provides a framework for protecting individuals' rights within the EU's legal system. The ALFAFUELS project will respect and uphold the principles outlined in the EU Charter of Fundamental Rights (2000/C, 364/01).⁸

5.3. The European Convention on Human Rights

The European Convention on Human Rights (ECHR) is an international treaty established by the Council of Europe in 1950. It serves as a

⁷ [General Data Protection Regulation \(GDPR\) Compliance Guidelines](#)

⁸ [text_en.pdf \(europa.eu\)](#)

foundational instrument for the protection of human rights and fundamental freedoms in Europe.⁹ The ALFAFUELS project shall comply with the European Convention on Human Rights (ECHR) throughout the project.

5.4. Horizon Europe Grant Agreement

The Horizon Europe (HORIZON) Grant Agreement includes specific clauses related to ethics, and projects must comply with these contractual obligations. ALFAFUELS will apply with the ethical standards and guidelines of the Horizon Europe.

6. Conclusion

The purpose of D12.3 has been to answer the specified ethics requirements regarding ethics considerations as outlined by the Grant Agreement. The relevant ethical considerations for ALFAFUELS are outlined in this deliverable, considering aspects such as Humans, Personal Data, and Environment, Health, and Safety. No particular concerns were identified regarding these topics. The consortium is dedicated to follow the ethics principles and procedures mentioned in this document. The project management team will have the responsibility of monitoring the compliance to these principles throughout the project.

⁹ [European Convention on Human Rights \(coe.int\)](https://www.coe.int)

7. Annex 1

RISE Data Protection Policies:

Policy	Address
RISE Data protection policy	https://www.ri.se/en/about-rise/sustainability/data-protection-policy
Personal data processing	https://www.ri.se/en/about-rise/sustainability/policy-documents/personal-data-processing
Processing of personal data – research project	https://www.ri.se/en/about-rise/sustainability/policy-documents/personal-data-processing/processing-of-personal-data-3
Project partner/clients data protection	https://www.ri.se/en/about-rise/sustainability/policy-documents/personal-data-processing/processing-of-personal-data-1