



GUIDELINES FOR ETHICS ASSURANCE



This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No. 833496

Six Value-Dimensions of the BuildERS Ethics Framework (1/6)

In BuildERS ethical considerations are taken into account with regard to six value-related Dimensions:

The dimension of *Justice and participation* includes three key aspects: (a) the recognition of whose claims will be heard or not and which people are recognized as needing and wanting help, (b) the distribution and access to resources and (c) the capabilities of those who receive resources, to use them.

Justice and Participation in...	
... <i>the research process</i> :	... <i>the innovation process</i> :
Whose voices are excluded from the research activities? How do we support the ability of those in vulnerable situations in research to improve their situation? How do we reduce the risk from overlooking the vulnerable situations of some persons? What hinders persons from using existing resources?	<ul style="list-style-type: none"> • How is it ensured that those affected by an innovation or recommendation are able to participate or are represented in decisions on or about them? • If unequal treatment follows from an innovation or recommendation or the associated action, on what reasons? • Does an innovation or recommendation ensure that information is communicated in an accessible non-stigmatizing way through various channels to make sure that most people are reached?

Six Value-Dimensions of the BuildERS Ethics Framework (2/6)

In BuildERS ethical considerations are taken into account with regard to six value-related Dimensions:

The dimension of *Responsibility and Accountability* is based on the key premises that in order to be responsible an entity has to be able to fulfil what is expected: Responsibility requires ability, capacity and knowledge, which is very much related to the capability aspect of justice and participation. Key questions to consider here include:

Responsibility and Accountability in ...	
... <i>the research process</i> :	... <i>the innovation process</i> :
What responsibilities of which entity are perceived by whom? Are persons or entities able to fulfil these responsibilities? What responsibilities do we as researchers have towards those in (most) vulnerable situations?	<ul style="list-style-type: none"> • Through which measures are people informed about their responsibilities? • How do innovations or recommendations and associated actions ensure that people are able fulfil to responsibilities that are attributed to them? • Do people have insufficient capacities to fulfill these responsibilities?



Six Value-Dimensions of the BuildERS Ethics Framework (3/6)

In BuildERS ethical considerations are taken into account with regard to six value-related Dimensions:

The dimension of *Freedom of choice and Autonomy* is also an integral aspect of ensuring ethical innovations. As democratic societies build on the respect of individual choice and self-determined action, policies should empower individuals to take well-informed decisions and promote respect for them. Along these lines, key questions to consider include:

Freedom of choice and Autonomy in ...	
... the research process:	... the innovation process:
<p>How is ensured the participation is voluntary and does not have negative side-effects?</p> <p>How do we ensure that participants are able to decide on which data of them is used in which context?</p> <p>How do we allow for withdrawals?</p>	<ul style="list-style-type: none"> • How are people informed about the consequences of their actions (i.e., what does “misbehavior” lead to)? • Do innovations or recommendations take into account that structural pressures might hinder people from acting in their own interest? • How do innovations or recommendations support people in taking autonomous decisions (in their own interests) if they are not capable of taking decisions on their own?

Six Value-Dimensions of the BuildERS Ethics Framework (4/6)

In BuildERS ethical considerations are taken into account with regard to six value-related Dimensions:

The dimension of *Trustworthiness and Transparency*. Against the existing tendency to increase trust, from an ethical point of view to earn trust through being trustworthy is central. A main aspect of becoming trustworthy is transparency about decision making processes. Here, policy makers should consider the following questions:

Trustworthiness and Transparency in ...	
... the research process:	... the innovation process:
<p>How do we inform participants of the BuildERS studies appropriately about the projects and implications of a participation?</p> <p>How do we ensure the participants fully understand their rights?</p> <p>What measures do we take in order to allow feedback and criticism on the studies and participation process?</p>	<ul style="list-style-type: none"> • How do innovations or recommendations ensure that its strategies and actions are made transparent and open for criticism? • How do innovations or recommendations ensure self-reflection when actions are taken, as well as a public involvement in the implementation? • Are there any supervision strategies or corrective mechanisms included in the processes and actions that stem from the innovation or recommendation in order to ensure transparent accountability?



Six Value-Dimensions of the BuildERS Ethics Framework (5/6)

In BuildERS ethical considerations are taken into account with regard to six value-related Dimensions:

The dimension of Non-Maleficence and Beneficence are values usually discussed in the medical context. Nevertheless, also in technology and strategy development it is important to weigh (risk for) harm and (chances for) benefits. This includes considering the following questions:

Non-Maleficence and Beneficence in ...	
... <i>the research process</i> :	... <i>the innovation process</i> :
<p>How do we prevent that harm (e.g. re-traumatisation) is done through the research activities?</p> <p>Are benefits given to those who participate and if not, why?</p> <p>How do we monitor the research activities regarding unwanted side-effects?</p>	<ul style="list-style-type: none"> • What chances of improvement and for whom? • What risks are posed by certain innovations or recommendations and for whom? • What measures are taken to monitor the success of developed innovations or recommendations?

Six Value-Dimensions of the BuildERS Ethics Framework (6/6)

In BuildERS ethical considerations are taken into account with regard to six value-related Dimensions:

The dimension of *Privacy and Data protection* is a key aspect of good research. The use of personal data and the management of these data is of major importance, especially with regard to people in highly vulnerable situations. This includes considering the following questions:

Privacy and Data protection in ...	
... <i>the research process</i> :	... <i>the innovation process</i> :
<p>Is the amount of conducted personal data reduced to a necessary minimum?</p> <p>What measures are used to ensure the conducted personal data is stored and managed appropriately?</p> <p>What time frames are set for the deletion of conducted data?</p>	<ul style="list-style-type: none"> • How are personal data used for innovations and recommendations protected? • If innovations and recommendations involve the use of personal data, does it outline measures to be taken to prevent misuse by third parties (e.g. access regulation)? How are personal data protected? • To what extent might innovations and recommendations and the associated actions lead to limitations on individual privacy and how are they justified?

