# TRANSITIONS PATHWAYS AND RISK ANALYSIS FOR CLIMATE CHANGE MITIGATION AND ADAPTATION STRATEGIES

## D1.2: Ethics Requirement

**Project Coordinator**: SPRU - Science Policy Research Unit, University of Sussex

**Work Package** 1 **Leader Organization**: SPRU

**Contributing authors**: Guadalupe (Rocio) Alvarez Tinoco (SPRU), Jenny Lieu (SPRU), Gordon MacKerron (SPRU), Wytze van der Gaast, (JIN), Chara Karakosta (UPRC)

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# TRANSrisk

## Transitions pathways and risk analysis for climate change mitigation and adaptation strategies

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| | |
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| **Internal reviewer:** | Wytze van der Gaast, (JIN- WP2 leader), Chara Karakosta (UPRC- WP8 leader), Timothy Suljada (SEI- WP2 leader) |

# Preface

Both the models concerning the future climate evolution and its impacts, as well as the models assessing the costs and benefits associated with different mitigation pathways face a high degree of uncertainty. There is an urgent need to not only understand the *costs and risks* associated with *climate change* but also the *risks, uncertainties and co-effects* related to different *mitigation pathways* as well as *public acceptance* (or lack of) of low-carbon (technology) options. The main aims and objectives of TRANSrisk therefore are to create a novel assessment framework for analysing costs and benefits of transition pathways that will integrate well-established approaches to modelling the costs of resilient, low-carbon pathways with a wider interdisciplinary approach including risk assessments. In addition *TRANSrisk* aims to design a decision support tool that should help policy makers to better understand uncertainties and risks and enable them to include risk assessments into more robust policy design.

# PROJECT PARTNERS

| No | Participant name | Short Name | Country code | Partners' logos |
|---|---|---|---|---|
| 1 | Science Technology Policy Research, University of Sussex | SPRU | UK | |
| 2 | Basque Centre for Climate Change | BC3 | ES | |
| 3 | Cambridge Econometrics | CE | UK | |
| 4 | Energy Research Centre of the Netherlands | ECN | NL | |
| 5 | Swiss Federal Institute of Technology (funded by Swiss Gov't) | ETH Zurich | CH | |
| 6 | Institute for Structural Research | IBS | PL | |
| 7 | Joint Implementation Network | JIN | NL | |
| 8 | National Technical University of Athens | NTUA | GR | |
| 9 | Stockholm Environment Institute | SEI | SE, KE | |
| 10 | University of Graz | UniGraz | AT | |
| 11 | University of Piraeus Research Centre | UPRC | GR | |
| 12 | Pontifical Catholic University of Chile | CLAPESUC | CL | |

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# 1 ETHICS METHODOLOGY

## 1.1 Changes with respect to the DoA

*Note from SPRU:*

D1.2 Ethics Requirements was to be submitted at the end of month 1. However, during the kick-off meeting, Dr Frederick Accoe, our EC project officer suggested that we spend an additional month on the deliverable in order to consider the ethical impacts of the extensive stakeholder engagement in the project. We have written a message on the EC partner portal to document the change and to indicate that we will submit D 1.2 at the end of month 2. Dr Frederick Accoe has acknowledged that he has received our message. We will also document this change in the first periodic technical report.

## 1.2 Introduction to the Ethics Methodology

Deliverable 1.2: "Ethics Requirements" for the TRANSrisk project comprises of three parts. *Part 1* refers to the EC requirements stipulated in Article 34 – Ethics (Grant Agreement page 53). *Part 2* lists the steps needed to satisfy the requirements for the University of Sussex (UoS) ethical review process. Part 3 discusses how the ethics requirements will be addressed considering the EC and UK university requirements. Figure 1 indicates the processes carried out to fulfill the ethics requirements.

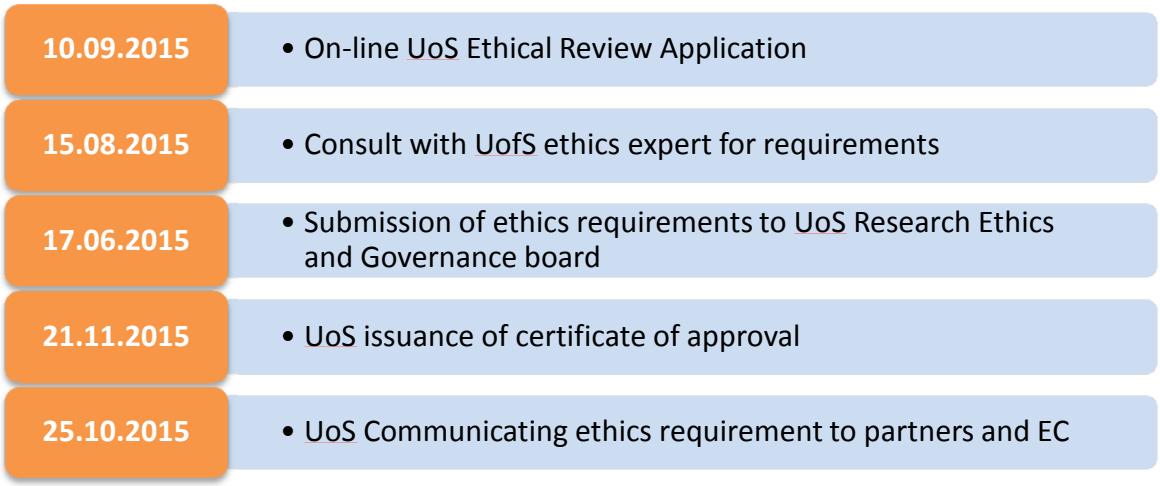


Figure 1: Ethics Requirement Process

## 1.2.1 Part 1: EC requirements review

The ethical standards and guidelines of Horizon 2020 will be rigorously applied, regardless of the country in which the research is carried out. All participant institutions are required to comply with the EU directive 95/46/EC on data protection and with any updates on standards or requirements it might receive during the lifetime of the project.

The EC's requirements are stipulated in Article 34 – Ethics (See below). We address the ethical issues outlined in Article 34.1 and Article 34.2 and also refer to D1.1: "Data Management Plan" to satisfy the ethical issues. Article 34.1 and 34.2 is provided below for easy referencing.

*Article 34.1 Obligation to comply with ethical principles*
*"The beneficiaries must carry out the action in compliance with:*
*ethical principles (including the highest standards of research integrity — as set out, for instance, in the European Code of Conduct for Research Integrity23 — and including, in articular, avoiding fabrication, falsification, plagiarism or other research misconduct), and*
*applicable international, EU and national law.*
*Funding will not be granted for activities carried out outside the EU if they are prohibited in all Member States. The beneficiaries must ensure that the activities under the action have an exclusive focus on civil applications.*
*The beneficiaries must ensure that the activities under the action do not:*
*(i) aim at human cloning for reproductive purposes;*
*(ii) intend to modify the genetic heritage of human beings which could make such changes heritable (with the exception of research relating to cancer treatment of the gonads, which may be financed), or*
*(iii) (c) intend to create human embryos solely for the purpose of research or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer."*
*Article 34.2 Activities raising ethical issues*
*"Activities raising ethical issues must comply with the '**ethics requirements**' set out in Annex 1. Before the beginning of an activity raising an ethical issue, the coordinator must submit (see Article 52) to the Agency copy of:*
*(iv) any ethics committee opinion required under national law and*
*(v) any notification or authorisation for activities raising ethical issues required under national law.*
*If these documents are not in English, the coordinator must also submit an English summary of the submitted opinions, notifications and authorisations (containing, if available, the conclusions of the committee or authority concerned).*
*If these documents are specifically requested for the action, the request must contain an explicit reference to the action title. The coordinator must submit a declaration by each beneficiary concerned that all the submitted documents cover the action tasks."*

## 1.2.2 Part 2: University of Sussex (UoS) Ethical Review

UoS, SPRU as coordinator of TRANSrisk will adopt the UoS Ethical Framework This consists of the following steps:

1. Creating and submitting an on-line application for the ethical review for TRANSrisk[1] (see Appendix 1): the UoS Ethical Review requires all the research participants have to fill the Consent Form (see consent forms in Appendix 2), which have to be approved by the School Research Ethics Officer (SREO). The compiled information of individuals and communication within and outside the consortium will be provided in the D1.1. "Data Management Plan" (to satisfy the Grant Agreement stipulations under Article 52- Communication Between the Parties).
2. Drafting a participant information sheet: the information sheet will be printed on UoS headed paper, with full contact details and will contain the information indicated in Appendix 2.
3. Received approval from UoS: The ethics requirement was approved on November 9th, 2015. SPRU received notification of the approval on November 20th, 2015th.
4. Issuance of the Certificate of Approval: the certificate was issued to SPRU on November 21st, 2015, and was sent to Jenny Lieu, the TRANSrisk Scientific Coordinator (see Appendix 3).
5. Communication with consortium partners: UoS will notify all research partners through e-mail and during the regular consortium calls on November 24th, 2015 that the UoS ethics committee has approved the ethics requirements.

## 1.2.3 Part 3: How the Ethics requirements will be addressed

This section discusses how the TRANSrisk project will fulfil the EC and University of Sussex ethical requirements. Six aspects are covered in this part including: a) Procedures to identify/recruit research participants; b) Informed consent procedures; c) Data Protection – requirements for non-European countries; d) Data Protection – personal data; e) Local / Institutional Ethics Review and Policy; and f) Benefit-sharing arrangements with ICPC stakeholders.

**a) Procedures to identify research participants and types of interactions with research participants**

Each stakeholder group has a specific interest in the project (or a component of it), which is related to the stakeholder's key area of expertise, business scope, geographical focus, etc. TRANSrisk will develop a methodology to identify and recruit stakeholders (i.e. policymakers,

[1] On line Application website: http://www.sussex.ac.uk/staff/research/governance/apply.

experts, industry players, academics, NGOs and international community experts, indigenous peoples etc.). A preliminary plan will help to identify in the main topics that are relevant and of interest to each of the stakeholder category groups. The methodology will contain the recruitment methods, criteria of inclusion/exclusion of stakeholders as well as the criteria to select specific sectors to carry out the following research methods:

**i. Identifying research participants (stakeholders):**

The stakeholders' list will be drawn first from institutional contacts and further recommendations from the policy makers interviewed as well as public sources (e.g. internet). The criteria of selecting specific stakeholder will be based on each case study scope. For instance, the UK case study will explore the nuclear power sector; thus stakeholders relevant for the UK nuclear selector will be contacted (the case study scope is specified in D3.1 Matrix of technological innovations systems select for 15 case studies). The stakeholders identified for each study are are generally country (or region) specific but there is a general typology of stakeholders that all case studies will mostly cover. The stakeholder list will include the following groups:

- Government departments
- Private and public sector industries, associations, and distributors
- Electric utilities and regulators
- Private sector low emission technology users and/or suppliers
- Organisations involved in manufacture, import and sale of technologies
- Community Associations (representing households, communities etc.)
- Environmental and social NGOs
- Technical support providers
- Labour unions, consumer groups and media
- Country divisions of international companies
- International organisation/donors
- Key market/business stakeholders, business associations
- Financial experts
- Academics

JIN (WP2 leaders) has drafted a template to identify stakeholders (see Appendix 4), which broadly groups the stakeholders identified in the above list into four categories: 'government (national/subnational)' ; 'research/consultancy', 'business', and 'other'.

**ii. Types of research participants (stakeholder) interactions:**

Face-to-face stakeholder interactions: *In-depth interviews* with stakeholders for work packages: relevant stakeholders will be contacted personally by e-mail and/or phone. Stakeholder inputs will be essential for identifying and refining the parameters for models, understanding the specific context within a country/region case study, identifying risks, barriers and enablers for climate change policies and pathways, and assessing the project impacts. Additionally, sample segmentation is recommended to increase the reliability of results and allow for a better interpretation of data.

*Workshops:* workshop participants will include the policy makers interviewed and stakeholders who we contacted or who responded in surveys. Workshops will be organised throughout the project duration to present and discuss the intermediate results and refine the research design based on the feedbacks collected. It is expected that stakeholders will be actively participating in the workshops thus deciding and acting together with the members of the consortium.

Non-face-to-face stakeholder interaction: surveys within work packages: survey software (e.g. survey monkey) will be used to contact a wider stakeholder group.

The stakeholder engagement tool applied in TRANSrisk will be discussed in further details in D2.4 (Report on stakeholder engagement tools), which was planned for month 6. However, JIN indicated in the Kick-off meeting that D2.4 would be completed earlier in order to help facilitate stakeholder engagement. The D1.2 Ethics requirements methodology will be supplied to the EC in month 2 prior to the start of relevant stakeholder activities.

Figure 2 illustrates the integration of ethics within the TRANSrisk modelling and stakeholder engagement process.

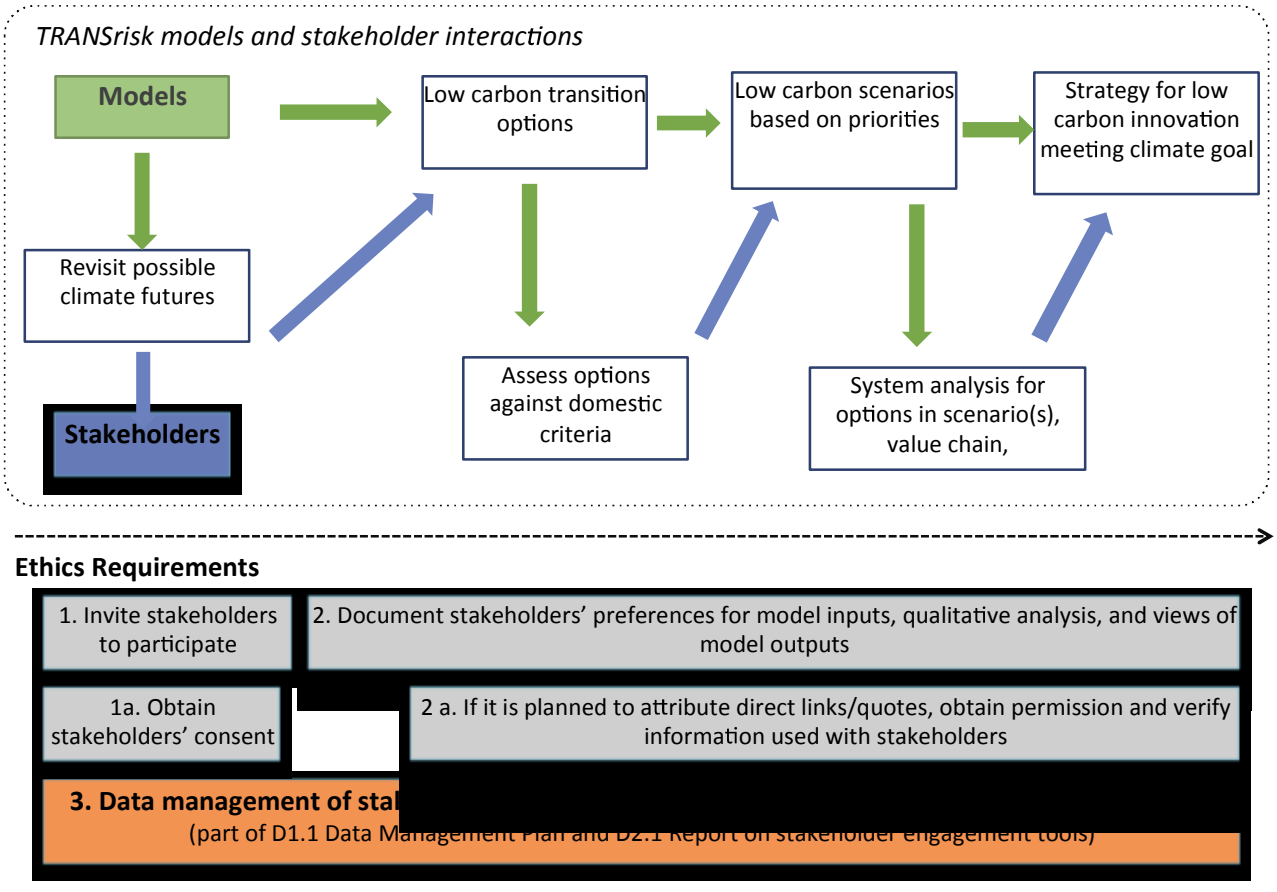


**Figure 2: Integration of ethical requirements for the TRANSrisk modelling and stakeholder engagement process**

**b) Recruiting stakeholders: informed consent procedures for communicating with stakeholders:**

Developing a Stakeholder Engagement Plan is crucial, to:

- Prioritise the main topics/issues to discuss with stakeholders;
- Set the desired outcomes;
- Identify the main communication channels for dialogue and exchange with stakeholders;
- Clarify the right point in time when stakeholders need to be recruited/contacted, and mobilised, in order to be more effective and to maximise the chances of gathering valuable inputs when needed; and
- Develop a communication strategy, including follow-up.

The consent procedures for recruiting/contacting participants for in-depth interviews, surveys and workshops will follow the standard practices/protocols within the research organisations in each country in which a case study will be carried out. In all cases these practices will satisfy all requirements as laid down by the EU in Horizon 2020 and by the UK. For instance, SPRU will lead the project in the UK, which requires fulfilling the University of Sussex standard procedures described in the Guidance Material on applying for an Ethical Review, i.e. (http://www.sussex.ac.uk/staff/research/governance/apply provides the Templates for Consent Form and Information Sheet (see).

Each potential research participant will be contacted via e-mail or phone and asked if they would be interested in participating in the project. If the participant (stakeholder) agrees, the stakeholder will be asked to sign a Consent Form prior to participating in an interview, workshop or a survey.

Stakeholders participating in interviews will be asked to sign a consent form, which will be provided to them at least 24 hours prior to the interview. The form will outline the research intentions and provide details on how the interview information will be used. In general, individual names and organisations will not be identified in the research. If individuals agree to be quoted, we will first verify the accuracy of quotes that are being used with the interviewee.

Stakeholders participating in the survey and/or workshop will be provided an Information Sheet on the research. Participants will be given a minimum of 24 hours to respond to the form prior to participating in the research. If the stakeholders consent to the terms indicated in the Information Sheet, they can proceed to fill in the survey and/or participate in the workshops.

An example Consent Form and Information sheet is listed in Appendix 2.

**c) Addressing vulnerable participants in the study**

We anticipate that there will be relatively low risks when interacting with vulnerable participants in the project. Partners that will potentially contact vulnerable participants (SEI,

JIN and SPRU) have experience working and engaging with vulnerable populations. SEI, JIN and SPRU will communicate regularly to share best practices and learning experiences when dealing with vulnerable populations throughout the project.

Vulnerable participants will include indigenous (Frist Nations) people in Canada and potentially vulnerable people (i.e. economically disadvantaged) in rural areas in Kenya and Indonesia. All partner institutions working with vulnerable populations will be required to ask participants to sign a consent form. If participants are unable to sign consent forms, we will provide alternative methods of obtaining consent (e.g. verbal consent with witness, recording etc.).

We will largely collect non-personal information and will focus on the participants' views related to policy, technology and climate change issues. We will carefully avoid sensitive issues and if any personal information is given we will ensure that the opinions cannot be directly associated to individuals. All partners will also adhere to the data protection requirements stated below in section d.

**d) Data Protection – requirements for non-European countries**

The University of Sussex has a named Data Protection Officer if their expertise is required. As part of ethical review at the University of Sussex compliance with data protection standards and good research data management practice are taken into consideration. Data protection requirements for non-European countries in which case studies will be carried out are indicated below:

(i) China does not have any legislation on data protection

Indonesia

a. Article 6 of Law No. 14 of 2008 regarding Disclosure of Public information

b. Law No. 11 of 2008 regarding Electronic Information and Transaction ('EIT Law')

Kenya Data Protection Bill 2013

Canadian Privacy Act (1983)

Chile

a. Constitution of the Republic of Chile, Art. 19 No. 4: establishes the 'respect and protection of the public and private life, and the honour of the person and its family'. Any person who by arbitrary or illegal act or omission suffers a deprivation, perturbation or threat to this right may file a Constitutional Protection Action.

b. Law 19,628 'On the protection of private life', commonly referred to as 'Personal Data Protection Law' (PDPL): mainly defines and refers to the treatment of personal information in public and private databases. Last modified: Feb. 17, 2012.

c. Law 20,285, 'On the Access to Public Information': sets forth the Public Function Transparency Principle, the individual right to access the information of Public Administration bodies, and the procedures and exceptions thereof.

d. Law 20,575: 'Establishes the Destination Principle on the Treatment of personal data': incorporates additional rules when treating economic and debt-related personal data

**e) Data Protection – personal data**

"Personal data" refers to any information, private or professional, which relates to an identified or identifiable natural person (for the full definition, see Article 2(a) of EU Directive 95/46/EC). All research participants will be responding within their professional capacity – only professional opinions will be collected. Personal data collected will include the name of participants, contact details, and the organisations they are affiliated to, and will be kept confidential unless otherwise agreed upon by the interviewee / participant.

The data – including interview recordings, notes, survey responses and comments from stakeholder workshops – will be stored in accordance with UK data protection requirements and we will ensure that no identifiable data will be stored longer than required. After the completion of the research the data will be destroyed.

Participants in the interview, surveys and workshops will also be asked if they can be contacted again over the duration of the TRANSrisk project (see consent information templates below).

**f) Local / Institutional Ethics Review and Policy**

University of Sussex is committed to promoting and upholding the highest quality academic and ethical standards. The University's approach has been to develop Research Governance policies and procedures that recognize the importance of addressing matters of ethics and integrity, while supporting the achievement of its collective research objectives; this underpins all research, including a proportionate ethical review system.

The Code of Practice and other University policies pertaining to research governance can be found here:

http://www.sussex.ac.uk/staff/research/spg/research-policy

The University of Sussex also has a Research Integrity statement:

http://www.sussex.ac.uk/research/standards

The University of Sussex has a robust policy and process for allegations of research misconduct, to find out more visit the Research Governance and Policy webpages:

http://www.sussex.ac.uk/staff/research/sp2

The University of Sussex complies with UK (Data Protection Act 1998) and EU legislation (Directive 95/46/EC, 1995) and has policies on data protection and a named Data Protection Officer. University level ethics review checks for good data management practice and compliance. The University provides guidance and support for research data management and encourages all research involving data to develop a research data management plan:

http://www.sussex.ac.uk/library/researchdatamanagement/

This project requires a ethical review at a University level; research activity will not commence until the project has received full ethical approval. The study will be reviewed by the Social Sciences and Arts Cross-School Research Ethics Committee.

**g) Benefit-sharing arrangements with ICPC stakeholders**

Benefits-sharing particularly in the context of non-European and low income developing countries (i.e. China, Indonesia, Kenya, Canada, Chile) means ensuring fair sharing of new benefits arising from the research with citizens of these countries. We understand that ensuring benefits-sharing means that citizens of the countries where the research activity is taking place should see that when new benefits are generated these benefits are shared in a fair way between all parties e.g. researchers, funders, sponsors and citizens of the country in which the research took place. A robust ethical framework will be in place in order to safeguard against possible exploitation of research participants, particularly those in low-income countries or third countries.

TRANSrisk promotes reciprocity and co-ownership of the research process and its outcomes (e.g. low-emissions scenarios, toolboxes for adaptation and mitigation policy pathways). Collaboration is an essential component in the project, as each WP requires inputs from both EU and non-EU partners, particularly to contact stakeholders and for gathering context specific information. The high level of stakeholder participation in the modelling inputs creates a mutual dependency between researchers 'on the ground' who are responsible for stakeholder engagement (i.e. researchers located in China, India, Kenya and Indonesia) and the researchers who run the models (mostly located in Europe). This interdependency leads to mutual benefits for contributors in both EU and non-EU countries.

All third parties affiliated with the partners will be paid an agreed research rate and receive a sufficient budget and research support for carrying out country stakeholder workshops as well as a separate budget for travel costs, participation in conferences, and for publications.

Other collaboration and support: non-EU and low-income developing countries will also have full access to the research results produced in other country case studies, which can be a valuable source of lesson learning for all partner institutions. Research results such as the policy handbooks and briefs will be promoted in non-EU and low-income developing countries through the respective affiliated partner organisations. The TRANSrisk core partners will also provide support to carry out stakeholder workshops in the non-EU and low income/developing countries.

Researchers from non-EU and low-income developing countries will also be participating in knowledge creating through participation in developing and/or implementing the methodology and co-authorships in publications. There will also be opportunities to participate in consortium meetings and workshops.

## 1.3 Dissemination and uptake

D1.2 is an internal document detailing the ethics methodology for TRANSrisk. The ethics methodology will be applied by all partner institutions in TRANSrisk when contacting stakeholders during the research.

## 1.4 Short Summary of results

The results from D1.2 include: submitting an ethics requirement report to the University of Sussex; outlining the methodology for ethics and data management of stakeholder information and providing a template for consent forms; and obtaining confirmation from partners to apply the ethics method.

## 1.5 Evidence of accomplishment

We will provide two templates, one for obtaining consent for interviews and one template for obtaining consent form surveys.

We will also ensure that all partners will confirm (in writing) that they have received the Ethical Requirements and that they will adhere to the methodology set out for the project. We will store partners' confirmation in our database.

In order to ensure that all partners comply with the ethics requirements, we will ask all partners to upload the consent forms into an internal secure database. This process will also be reiterated in D1.1 Data Management Plan.

# Appendix 1: Copy of University of Sussex ethical review application submitted on-line

| Ethical Review Application (ER/GDRA21/1) Guadalupe Alvarez Tinoco | |
|---|---|
| **Project Title** | TRANSrisk: Transitions pathways and risk analysis for climate change and mitigation and adaptation strategies |
| **Status** | Review |
| **Department** | SPRU - Science Policy Research Unit |
| **Email** | R.Alvarez-Tinoco@sussex.ac.uk |
| **Applicant Status** | Staff |
| **Phone** | 01274 877599 |
| **Project Start Date** | 01-Sep-2015 |
| **Project End Date** | 31-Aug-2018 |
| **External Funding in place** | Yes |
| **External Collaborators** | Yes |
| **Funder/ Project Title** | |
| **Name of Funder** | European Commission Horizon 2020 |
| **Project Description** | Both the models concerning the future climate evolution and its impacts, as well as the models assessing the costs and benefits associated with different mitigation pathways face a high degree of uncertainty. There is an urgent need to not only understand the costs and risks associated with climate change but also the risks, uncertainties and co-effects related to different mitigation pathways as well as public acceptance (or lack of) of low-carbon (technology) options. The main aims and objectives of TRANSrisk therefore are to create a novel assessment framework for analysing costs and benefits of transition pathways that will integrate well-established approaches to modelling the costs of resilient, low-carbon pathways with a wider interdisciplinary approach including risk assessments. In addition TRANSrisk aims to design a decision support tool that should help policy makers to better understand uncertainties and risks and enable them to include risk assessments into more robust policy design.<br>TRANSrisk project will be carried out by a consortium of 12 research organisations, 11 European partners (UOS, BC3, CE, ECN, IBS Institute for structural research, ETH Zurich, Stitching Joint Implementation Network, SEI, UNI GRAZ, UPRC and NTUA) and one Chilean partner (PUCC), which together will carry out the research. The research will be conducted within the European Union as well as outside the European Union in the following countries: Chile, Canada, Kenya, Indonesia, India and China. |

Ethical Review Form Section A (ER/GDRA21/1) (cont.)

| Ethical Review Form Section A (ER/GDRA21/1) | |
|---|---|
| **Question** | **Response** |
| | |
| >> Checklist | |
| A1. Will your study involve participants who are particularly vulnerable or unable to give informed consent or in a dependent position (e.g. people under 18, people with learning difficulties, over-researched groups or people in care facilities)? | Yes |
| A2. Will participants be required to take part in the study without their consent or knowledge at the time (e.g. covert observation of people in non-public places), and / or will deception of any sort be used? | No |
| A3. Will it be possible to link identities or information back to individual participants in any way? | No |
| A4. Might the study induce psychological stress or anxiety, or produce humiliation or cause harm or negative consequences beyond the risks encountered in the everyday life of the participants? | No |
| A5. Will the study involve discussion of sensitive topics (e.g. sexual activity, drug use, ethnicity, political behaviour, potentially illegal activities)? | No |
| A6. Will any drugs, placebos or other substances (such as food substances or vitamins) be administered as part of this study and will any invasive or potentially harmful procedures of any kind will be used? | No |
| A7. Will your project involve working with any substances and / or equipment which may be considered hazardous? | No |
| A8. Will financial inducements (other than reasonable expenses, compensation for time or a lottery / draw ticket) be offered to participants? | No |
| >> Risk Assessment | |
| A9. If you have answered 'Yes' to ANY of the above questions, your application will be considered as HIGH risk. If however you wish to make a case that your application should be considered as LOW risk please enter the reasons here: | We consider our study as low risk even though we will involve participants who are vulnerable. We will focus on collecting non-personal information and will focus on their opinions related to policy, technology and climate change issues. We will carefully avoid sensitive issues and ensure that the opinions cannot be directly associated to individuals.<br>Vulnerable participants will include indigenous people in Canada and potentially vulnerable people in rural areas, e.g. in Kenya and Indonesia.<br>We will ask all partner institutions to sign a consent form if their case study involves vulnerable participants. If participants are unwilling/unable to sign consent forms, we will provide alternative methods of obtaining consent (e.g. verbal consent with witness, recording etc.). |

Ethical Review Form Section B (ER/GDRA21/1) (cont.)

| Ethical Review Form Section B (ER/GDRA21/1) | |
|---|---|
| **Question** | **Response** |
| | |
| >> B.1 Data Collection and Analysis (Please provide full details) | |
| B1. PARTICIPANTS: How many people do you envisage will participate, who they are, and how will they be selected? | Total of approximately 1800 participants:<br>-Personal interaction with 300 Stakeholders (interviews, focus groups/workshops)<br>-Non-personal interaction with 1500 Survey participants |
| B2. RECRUITMENT: How will participants be approached and recruited? | Each interviewee will be contacted via e-mail or phone and asked to sign a Consent Form.<br>Participants will be given a minimum of 24 hours to respond to the form prior to participating in the research. The form will outline the research intentions and provide details on how the interview information will be used. In general, individual names and organisations will not be identified in the research. If for any reason, individuals are quoted, we will first verify the accuracy<br>of quotes that are being used with the interviewee.<br>Those participating in the survey and/or workshop will be provided an Information Sheet on the research. Participants will be given a minimum of 24 hours to respond to the form prior to participating in the research. If the stakeholders consent to the terms indicated in the Information Sheet, they can proceed to fill in the survey and/or participate in the workshops. |
| B3. METHOD: What research method(s) do you plan to use; e.g. interview, questionnaire/self-completion questionnaire, field observation, audio/audio-visual recording? | We will use a mix of methods including: face to face/telephone interviews, electronic surveys, audio recordings (e.g. interview content with consent of participant) |
| B4. LOCATION: Where will the project be carried out e.g. public place, in researcher's office, in private office at organisation? | The project will take place in the country case studies on site: at the researcher's office, private organisations' office space, and public places (workshops) |
| >> B.2 Confidentiality and Anonymity | |
| B5. Will questionnaires be completed anonymously and returned indirectly? | No |
| B6. Will questionnaires and/or interview transcripts only be identifiable by a unique identifier (e.g. code/pseudonym)? | Yes |
| B7. Will lists of identity numbers or pseudonyms linked to names and/or addresses be stored securely and separately from the research data? | Yes |
| B8. Will all place names and institutions which could lead to the identification of individuals or organisations be changed? | Yes |
| B9. Will all personal information gathered be treated in strict confidence and never disclosed to any third parties? | Yes |
| B10. Can you confirm that your research records will be held in accordance with the data protection guidelines (see guidelines on research governance website)? | Yes |
| B11. Can you confirm that you will not use the research data for any purpose other than that which consent is given? | Yes |

Ethical Review Form Section B (ER/GDRA21/1) (cont.)

| | |
|---|---|
| B11a. If you answered NO to any of the above (or think more information could be useful to the reviewer) please explain here: | In most cases the answer is yes. However in a small minority of cases if needed we will contact stakeholders that we would like to use direct attributable quotes. In such cases, we will undertake robust procedures to ensure consent and accuracy, including sending these stakeholders a draft of their quote before we release the data to any party, including other project partners |
| >> B.3 Informed Consent and Recruitment of Participants | |
| B12. Will all respondents be given an Information Sheet and be given adequate time to read it before being asked to agree to participate? | Yes |
| B13. Will all participants taking part in an interview, focus group, observation (or other activity which is not questionnaire based) be asked to sign a consent form? If you are obtaining consent another way, please explain under 15a below. | Yes |
| B14. Will all participants self-completing a questionnaire be informed that returning the completed questionnaire implies consent to participate? | Yes |
| B15. Will all respondents be told that they can withdraw at any time, ask for their data to be destroyed and/or removed from the project until it is no longer practical to do so? | Yes |
| B15a. If you answered NO to any of the above (or think more information could be useful to the reviewer) please explain here: | |
| >> B.4 Context | |
| B16. Is Criminal Records Bureau clearance necessary for this project? If yes, please ensure you complete the next question. | No |
| B17. Are any other ethical clearances or permissions required? | Yes |
| B17a. If yes, please give further details including the name and address of the organisation. If other ethical approval has already been received please attach evidence of approval, otherwise you will need to supply it when ready. | We will require clearance from the European Research Commission. |
| B18. Does the research involve any fieldwork - Overseas or in the UK? | Yes |
| B18a. If yes, where will the fieldwork take place? | Direct responsbilities of SPRU researchers: Canada, China, and India<br>Some travel to other countries to oversee the case studies conducted: Spain, Greece, Switzerland, Sweden, Netherlands, Austria, Poland, Hungary, Chile, Kenya, Indonesia |
| B19. Will any researchers be in a lone working situation? | Yes |

Ethical Review Form Section B (ER/GDRA21/1) (cont.)

| | |
|---|---|
| B19a. If yes, briefly describe the location, time of day and duration of lone working. What precautionary measures will be taken to ensure safety of the researcher(s)? | Some researchers will be working alone for their component in the project. However, this will be within their usual working hours and conditions as stipulated with their employers.<br>In the event where a researcher does not have support within their organisation to carry out workshops and other activities that require interactions with particpants, SPRU, JIN or SEI researchers will travel to the case study country to support the individual researcher. |
| >> B.5 Any further concerns | |
| B20. Are there any other ethical considerations relating to your project which have not been covered above? | No |
| B20a. If yes, please explain: | |

*TRANSrisk Logo* *Insitutional Logo*

**Draft Template **

## CONSENT FORM FOR PROJECT PARTICIPANTS

**TITLE OF PROJECT:** TRANSrisk: Transitions pathways and risk analysis for climate change mitigation and adaptation strategies

XXXX Country Case Study Research

**SPONSOR:** European Union HORIZON 2020: The EU Framework Programme for Research and Innovation

**RESEARCHER:** xxx

**CONTACT DETAILS:** xxx

**DATE:** xxx

---

**BACKGROUND PURPOSE OF THE STUDY:**

The main aims and objectives of TRANSrisk is to create a novel assessment framework for analysing costs and benefits of transition pathways that will integrate well-established approaches to modeling the costs of resilient, low-carbon pathways with a wider interdisciplinary approach including risk assessments. In addition TRANSrisk aims to design a decision support tool that should help policy makers to better understand uncertainties and risks and enable them to include risk assessments into more robust policy design.

You have been selected to participate in the study due to your expertise about relevant issues and/or because you had personal involvement with the specified case (either directly or indirectly) allowing you to provide first-hand knowledge of events.

**WHAT WILL I BE ASKED TO DO?**

We anticipate that the interview will last for approximately between 30-60 minutes. We will take written notes and will be making a digital recording of the interview. We may be accompanied by a student research-assistant who will also takes notes in order to ensure the accuracy and completeness of the information we use. The following precautions will be taken to protect your anonymity and confidentiality.

You are under no pressure to participate in the interview. You are free to decline to answer questions on topics that you do not wish to discuss. You are free to break off the interview at any time or to withdraw from the interview altogether at any point of time. Any information collected to that point will be destroyed if you do not wish of us to use the information.

**WHAT TYPE OF INFORMATION WILL BE COLLECTED?**

You will not be identified in the research findings either directly or indirectly unless we have your permission to do so. Even after receiving your permission, we will not identify or quote you in any publication (e.g. direct quote or paraphrase your comment) without allowing you to verify the accuracy of quotes that are being used. Information collected will be restricted to questions relevant to your official role (length of time in this position,

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responsibilities, prior relevant experience).

Please put a check mark on the line corresponding to your willingness to be identified:

You may quote me and use my name: Yes___ No___

**CAN WE CONTACT YOU FOR FURTHER RESEARCH?**

You may contact me in the future for further research related to the TRANSrisk project:

Yes___ No___

**ARE THERE RISKS OR BENEFITS IF I PARTICIPATE?**

Since confidentiality is being provided, no risks are foreseen in relation to participation. Benefits would be restricted to the contributions of the study to knowledge of the policy-making process in XXX Country, which may have the potential to improve the quality of policy-making.

**WHAT HAPPENS TO THE INFORMATION I PROVIDE?**

All information collected will be kept in institutional servers (where available), or if institutional servers are not available, in password-protected electronic files on the hard drive of their secured computers. Data collected will be retained in secure filing cabinets for XXX years after the completing of the. All data with your personal information (e.g. full name and contact details) will be destroyed after the research study is completed unless you have agreed for us to contact you at a later date. Summaries of some interview content may be provided to other researchers in the team, but this will be provided in a format that will ensure that your identity cannot be ascertained.

**WHO IS ORGANISING AND FUNDING THE RESEARCH?**

TRANSrisk is funded by the European Union HORIZON 2020: The EU Framework Programme for Research and Innovation xxxxxx.

The Arts and Social Sciences cross-School Ethics Committee of the University of Sussex has approved the study and XXXX researcher will be carrying out the research for the XXX country case study

**SIGNATURES (WRITTEN CONSENT)**

Your signature on this form indicates that you:

1) Understand to your satisfaction the information provided to you about your participation in this research project,

2) Understand that your participation is voluntary, that you can choose not to participate in part or all of the project, and that you can withdraw at any stage of the project without being penalised or disadvantaged in any way

3) Consent to the processing of your personal information for the purposes of this research study. You understand that such information will be treated as strictly confidential and handled in accordance with the UK Data Protection Act 1998.

*TRANSrisk Logo* *Insitutional Logo*

**Participant's Name: (please print)**

_____

Participant's Signature

_____

Date:

_____

**Researcher's Name: (please print)**

_____

Researcher's Signature:

_____

Date:

_____

**QUESTIONS/CONCERNS**

If you have any further questions or want clarification regarding this research and/or your participation, please contact:

TRANSrisk Project Maanger: XXXXXXX transrisk@sussex.ac.uk

or

Isla Morris*: rgoffice@sussex.ac.uk at XXX* The University of Sussex, Research and Enterprise Services

University of Sussex
SPRU – Science Policy Research Unit

*TRANSrisk Logo* *Insitutional Logo*

A copy of this consent form has been given to you to keep for your records and reference.
The investigator has kept a copy of the consent form.

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**Draft Template**

**PARTICIPANT INFORMATION SHEET TEMPLATE**
**FOR SURVEYS AND WORKSHOP PARTICIPANTS**

**RESEARCHER**: xxx

**CONTACT DETAILS:** xxx

**TITLE OF PROJECT:** TRANSrisk (Transitions pathways and risk analysis for climate change mitigation and adaptation strategies) Research Project

XX Country Case Study Research

**SPONSOR:** European Union HORIZON 2020: The EU Framework Programme for Research and Innovation

**DATE:** xxx

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**INVITATION PARAGRAPH**

You have been selected to participate in the study due to your expertise about relevant issues and/or because you had personal involvement with the specified case (either directly or indirectly) allowing you to provide first-hand knowledge of events. A total of XXX people have been invited to participate in the XXX Country Case Study and XXXX in the whole project.

**WHAT IS THE PURPOSE OF THE STUDY?**

The background and the aim of the study xxxxx

**DO I HAVE TO TAKE PART?**

You are under no pressure to participate in the research. *If* you decide to take part you can proceed to fill out the survey provided in the link : XXXXXXXXX or respond to invitation to attend the workshop(s). The survey will take around XXX minutes/the workshop will take place on XXX date from XXX to XXX

When filling out the survey/attending the workshop, you are free to decline to answer questions on topics and questions that you do not wish to answer/discuss.

You will also be asked if you can be contacted for follow up questions, clarifications or further participation over the duration of the project.

**WHAT ARE THE POSSIBLE RISKS ABD BENEFITS OF TAKING PART?**

Since confidentiality is being provided, no risks are foreseen in relation to participation. Benefits would be restricted to the contributions of the study to knowledge of the policy-making process in XXX Country which may have the potential to improve the quality of policy-making.

**WILL MY INFORMATION IN THIS STUDY BE KEPT CONFIDENTIAL?**

All information collected will be kept in institutional servers (where available), or if institutional servers are not available, in password-protected electronic files on the hard

*TRANSrisk Logo* *Insitutional Logo*

drive of their secured computers. Data collected will be retained in secure filing cabinets for XXX years after the completing of the. All data with your personal information (e.g. full name and contact details) will be destroyed after the research study is completed unless you have agreed for us to contact you at a later date. Summaries of some interview content may be provided to other researchers in the team, but this will be provided in a format that will ensure that your identity cannot be ascertained.

**WHAT WILL HAPPEN TO THE RESULTS OF THE RESEARCH STUDY?**

The results of the survey/workshops will be used to help formulate assumptions and what-if conditions for the quantitative models to assess *the extent* of synergies, conflicts, and risks associated with different low-carbon technological pathways.

**WHO IS ORGANISING AND FUNDING THE RESEARCH?**

TRANSrisk is funded by the European Union HORIZON 2020: The EU Framework Programme for Research and Innovation xxxxxx.

The Arts and Social Sciences cross-School Ethics Committee of the University of Sussex has approved the study and XXXX researcher will be carrying out the research for the XXX country case study

**CONTACT FOR FURTHER INFORMATION**

If you have any further questions or want clarification regarding this research and/or your participation, please contact:

TRANSrisk Project Maanger: XXXXXXX transrisk@sussex.ac.uk

or

Isla Morris*: rgoffice@sussex.ac.uk at XXX* The University of Sussex, Research and Enterprise Services

University of Sussex
SPRU – Science Policy Research Unit

# Appendix 2: Draft of consent forms for stakeholder engagement

*[Partner Logo]*

****Draft Template****

## PARTICIPANT INFORMATION SHEET TEMPLATE FOR SURVEYS AND WORKSHOP PARTICIPANTS

**RESEARCHER**: XXX

**CONTACT DETAILS:** XXX

**TITLE OF PROJECT:** TRANSrisk (Transitions pathways and risk analysis for climate change mitigation and adaptation strategies) Research Project

XX Country Case Study Research

**SPONSOR:** European Union HORIZON 2020: The EU Framework Programme for Research and Innovation

**DATE:** XXX

### 1. INVITATION PARAGRAPH

*You have been selected to participate in the study due to your expertise about relevant issues and/or because you had personal involvement with the specified case (either directly or indirectly) allowing you to provide first-hand knowledge of events. A total of XXX people have been invited to participate in the XXX Country Case Study and XXXX in the whole project.*

### 2. WHAT IS THE PURPOSE OF THE STUDY?

The background and the aim of the study xxxxx

### 3. DO I HAVE TO TAKE PART?

You are under no pressure to participate in the research. *If you decide to take part you can proceed to fill out the survey provided in the link : XXXXXXXXX or respond to invitation to attend the workshop(s). The survey will take around XXX minutes/the workshop will take place on XXX date from XXX to XXX*

*When filling out the survey/attending the workshop, y*ou are free to decline to answer questions on topics and questions that you do not wish to answer/discuss.

You will also be asked if you can be contacted for follow up questions, clarifications or further participation over the duration of the project.

### 4. WHAT ARE THE POSSIBLE RISKS ABD BENEFITS OF TAKING PART?

Since confidentiality is being provided, no risks are foreseen in relation to participation. Benefits would be restricted to the contributions of the study to knowledge of the policy-making process in XXX Country which may have the potential to improve the quality of policy-making.

## 5. WILL MY INFORMATION IN THIS STUDY BE KEPT CONFIDENTIAL?

All information collected will be kept in institutional servers (where available), or if institutional servers are not available, in password-protected electronic files on the hard drive of their secured computers. Data collected will be retained in secure filing cabinets for XXX years after the completing of the. All data with your personal information (e.g. full name and contact details) will be destroyed after the research study is completed unless you have agreed for us to contact you at a later date. Summaries of some interview content may be provided to other researchers in the team, but this will be provided in a format that will ensure that your identity cannot be ascertained.

## 6. WHAT WILL HAPPEN TO THE RESULTS OF THE RESEARCH STUDY?

The results of the survey/workshops will be used to help formulate assumptions and what-if conditions for the quantitative models to assess *the extent* of synergies, conflicts, and risks associated with different low-carbon technological pathways.

## 7. WHO IS ORGANISING AND FUNDING THE RESEARCH?

TRANSrisk is funded by the European Union HORIZON 2020: The EU Framework Programme for Research and Innovation xxxxxx.

The Arts and Social Sciences cross-School Ethics Committee of the University of Sussex has approved the study and XXXX researcher will be carrying out the research for the XXX country case study

## 8. CONTACT FOR FURTHER INFORMATION

If you have any further questions or want clarification regarding this research and/or your participation, please contact:

TRANSrisk Scientific Coordinator: Dr. Jenny Lieu j.lieu@sussex.ac.uk or transrisk@sussex.ac.uk

or

Isla Morris*: rgoffice@sussex.ac.uk at XXX* The University of Sussex, Research and Enterprise Services

*[Partner Logo]*

**Draft Template **

## CONSENT FORM FOR PROJECT PARTICIPANTS

**TITLE OF PROJECT:** TRANSrisk: Transitions pathways and risk analysis for climate change mitigation and adaptation strategies

XXXX Country Case Study Research

**SPONSOR:** European Union HORIZON 2020: The EU Framework Programme for Research and Innovation

**RESEARCHER:** xxx

**CONTACT DETAILS:** xxx

**DATE:** xxx

---

### 1. BACKGROUND PURPOSE OF THE STUDY:

The main aims and objectives of TRANSrisk is to create a novel assessment framework for analysing costs and benefits of transition pathways that will integrate well-established approaches to modeling the costs of resilient, low-carbon pathways with a wider interdisciplinary approach including risk assessments. In addition TRANSrisk aims to design a decision support tool that should help policy makers to better understand uncertainties and risks and enable them to include risk assessments into more robust policy design.

You have been selected to participate in the study due to your expertise about relevant issues and/or because you had personal involvement with the specified case (either directly or indirectly) allowing you to provide first-hand knowledge of events.

### 2. WHAT WILL I BE ASKED TO DO?

We anticipate that the interview will last for approximately between 30-60 minutes. We will take written notes and will be making a digital recording of the interview. We may be accompanied by a student research-assistant who will also takes notes in order to ensure the accuracy and completeness of the information we use. The following precautions will be taken to protect your anonymity and confidentiality.

You are under no pressure to participate in the interview. You are free to decline to answer questions on topics that you do not wish to discuss. You are free to break off the interview at any time or to withdraw from the interview altogether at any point of time. Any information collected to that point will be destroyed if you do not wish of us to use the information.

### 3. WHAT TYPE OF INFORMATION WILL BE COLLECTED?

You will not be identified in the research findings either directly or indirectly unless we have your permission to do so. Even after receiving your permission, we will not identify or quote you in any

publication (e.g. direct quote or paraphrase your comment) without allowing you to verify the accuracy of quotes that are being used. Information collected will be restricted to questions relevant to your official role (length of time in this position, responsibilities, prior relevant experience).

Please put a check mark on the line corresponding to your willingness to be identified:

You may quote me and use my name: Yes____ No____

**4. CAN WE CONTACT YOU FOR FURTHER RESEARCH?**

You may contact me in the future for further research related to the TRANSrisk project:

Yes____ No____

**5. ARE THERE RISKS OR BENEFITS IF I PARTICIPATE?**

Since confidentiality is being provided, no risks are foreseen in relation to participation. Benefits would be restricted to the contributions of the study to knowledge of the policy-making process in XXX Country, which may have the potential to improve the quality of policy-making.

**6. WHAT HAPPENS TO THE INFORMATION I PROVIDE?**

All information collected will be kept in institutional servers (where available), or if institutional servers are not available, in password-protected electronic files on the hard drive of their secured computers. Data collected will be retained in secure filing cabinets for XXX years after the completing of the. All data with your personal information (e.g. full name and contact details) will be destroyed after the research study is completed unless you have agreed for us to contact you at a later date. Summaries of some interview content may be provided to other researchers in the team, but this will be provided in a format that will ensure that your identity cannot be ascertained.

**7. WHO IS ORGANISING AND FUNDING THE RESEARCH?**

TRANSrisk is funded by the European Union HORIZON 2020: The EU Framework Programme for Research and Innovation xxxxxx.

The Arts and Social Sciences cross-School Ethics Committee of the University of Sussex has approved the study and XXXX researcher will be carrying out the research for the XXX country case study

**8. SIGNATURES (WRITTEN CONSENT)**

Your signature on this form indicates that you:

1) Understand to your satisfaction the information provided to you about your participation in this research project,

2) Understand that your participation is voluntary, that you can choose not to participate in part or all of the project, and that you can withdraw at any stage of the project without being penalised or disadvantaged in any way

3) Consent to the processing of your personal information for the purposes of this research study. You understand that such information will be treated as strictly confidential and handled in accordance with the UK Data Protection Act 1998.

**Participant's Name: (please print)**

_____

Participant's Signature

_____

Date:

_____

**Researcher's Name: (please print)**

_____

Researcher's Signature:

_____

Date:

_____

**QUESTIONS/CONCERNS**

If you have any further questions or want clarification regarding this research and/or your participation, please contact:

TRANSrisk Scientific Coordinator: Dr. Jenny Lieu j.lieu@sussex.ac.uk or transrisk@sussex.ac.uk

or

Isla Morris*: rgoffice@sussex.ac.uk at XXX* The University of Sussex, Research and Enterprise Services

A copy of this consent form has been given to you to keep for your records and reference. The investigator has kept a copy of the consent form.

# Appendix 3: Certificate of Approval for UoS ethics requirement

University of Sussex

| Certificate of Approval | |
|---|---|
| **Reference Number** | ER/GDRA21/1 |
| **Title Of Project** | TRANSrisk: Transitions pathways and risk analysis for climate change and mitigation and adaptation strategies |
| **Principal Investigator (PI):** | Guadalupe Alvarez Tinoco (applicant) |
| **Student** | N/A |
| **Collaborators** | Funded by European Commission Horizon 2020<br>Consortium of 12 research organisations, 11 European partners (UOS, BC3, CE, ECN, IBS Institute for structural research,ETH Zurich, Stitching Joint Implementation Network, SEI, UNI GRAZ, UPRC and NTUA) and one Chilean partner (PUCC.) |
| **Duration Of Approval** | n/a |
| **Expected Start Date** | 01-Sep-2015 |
| **Date Of Approval** | 09-Nov-2015 |
| **Approval Expiry Date** | 31-Aug-2018 |
| **Approved By** | Jayne Paulin |
| **Name of Authorised Signatory** | Janet Boddy |
| **Date** | 21-Nov-2015 |

*NB. If the actual project start date is delayed beyond 12 months of the expected start date, this Certificate of Approval will lapse and the project will need to be reviewed again to take account of changed circumstances such as legislation, sponsor requirements and University procedures.

**Please note and follow the requirements for approved submissions:**

Amendments to protocol

* Any changes or amendments to approved protocols must be submitted to the C-REC for authorisation prior to implementation.

Feedback regarding the status and conduct of approved projects

* Any incidents with ethical implications that occur during the implementation of the project must be reported immediately to the Chair of the C-REC.

Feedback regarding any adverse and unexpected events

* Any adverse (undesirable and unintended) and unexpected events that occur during the implementation of the project must be reported to the Chair of the Social Sciences C-REC. In the event of a serious adverse event, research must be stopped immediately and the Chair alerted within 24 hours of the occurrence.

21/11/2015 Page 1 of 1

# Appendix 4: Template for identifying and classifying stakeholders

**National stakeholders**
Country

*Please fill in the boxes below with the contacts you envisage that can participate in Transrisk and your estimates on their needs and benefits/ Please note that this is a preliminary check*

| No. | Name | Organisation | Position within organisation | Type | | | | Economic sector (working in sector or work relevant for sector e.g. Ministry of Economic Affairs -> Energy) | | | | | | | POTENTIAL CONTRIBUTION TO TRANSRISK (BOTH QUALITATIVE AND QUANTITATIVE) | | | | | Potential benefits from joining Transrisk | | | | | Input for Transirsk models | | Envisaged frequency of communication | | | | Preferred means of communication | Partner contact | Email | Other contact options (e.g. tel., mobile) |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | Government (national / subnational) | Research / consultancy | Business | Other (write) | Energy | Industry | Transport | Environment | Agric. / Forest | Financial / trader | Other (write) | Understanding policies and their impacts | Assistance in implementing policies | Knowledge on costs of policies from scenarios | Knowledge on technologies' specificities and market potential | Other (please specify) | Involvement in decision making process | Business possibilities | Enhance planning via reduced uncertainty | Involvement in technology selection for market uptake | Other (please specify) | Input on calculation values, assumptions and model constraints | Input on scenarios outcomes, public acceptance and reality check | Monthly | Six months | Yearly | Once | Email/Telec onference/ Online survey/Wo rkshops/Int erviews | | | |
| 1 | John Smith | Ministry of Economics | Policy advisory climate technology R&D | x | | | | x | x | x | | | | | | | | | | | | | | | | | | | | | Graz (Andreas Tuerk) | johnsmith@example.whoknowswere | |
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