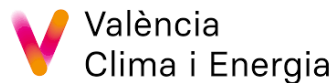




The catalyst for social innovation in the energy market

# Data management Plan



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# Executive Summary

This document aims to support the development and implementation of a data management plan to enable members of the Power Up project to deal with the data generated by the project and in each pilot in a suitable manner. It involves instructions on how the data will be collected, processed, shared, stored, accessed and protected. The deliverable includes information about data management during and after the project, methodology and standards to be used, security and access requirements, and so on. This plan will be updated as the project is implemented. The data management plan also provides information on how the project partners will deal with qualitative and quantitative data, especially as these require different forms of anonymization and protection when it comes to data storage.

This document is the first version of the DMP. It is a living document, which will be updated at each stage of the project.

# Abbreviations

DMP → Data Management Plan

DPO → Data Protection Officer

DPA → Data Protection Authorities

EDPB → European Data Protection Board

EU → European Union

GDPR → Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, and repealing Directive 95/46/EC.

HRM → Human Resources Management

IoT → Internet of Things

WP → Work package

EC → European Commission

CINEA → European Climate, Infrastructure and Environment Executive Agency

FAIR → Findable, Accessible, Interoperable, Reusable

LWGs → Local Working Groups

VHs → Vulnerable Households

MC → Management Committee

**EtComm** → Ethics Committee

**RE** → Renewable Energy

**ENC** → Energy Cities

**AD GES** → Akcionersko Drushtvo za Energetski Dejnosti Gradski Energetski Sistemi-Skopje AD

**MPPS** → Makedonska Platforma Protiv Siromashtija

**HEE** → Gemeente Heerlen

**SEMMO** → Sdruzieni Energetickuch Manazeru Mest a Obci Zs

**UCSA** → Commune di San Giuseppe Vesuviano

**VCE** → Fundacio de la Comunitat Valenciaobseratori Valencia del Canvi Climatic

**LNV** → Fundacion de la Comunitat Valenciana para la Promocion Estrategica el Desarrollo Y la Innovacion Urbana

**EEK** → Stadt Eeklo

**ECO** → Ecopower

**UniMan** → The University of Manchester



# 01

## Introduction

The POWER UP project, the “Project”, is participating in the Horizon Europe framework programme for open science and innovation in the topic “LC-SC3-EC-2-2018-2019-2020 – Mitigating household energy poverty”. This topic is aimed at contributing to the alleviation of energy poverty, developing a better understanding of the types and needs of energy poor households and how to identify them, and to support the set-up of financial and non-financial support schemes for energy efficiency and/or small-scale renewable energy investments for energy poor households.

The overall objective of POWER UP is for cities to go beyond their planning role and sustain the creation of local energy market players with a social agenda. The project centres on six pilot sites across Europe: Eeklo (Belgium), Heerlen (the Netherlands), four cities in the Campania area (Italy), Rožnov pod Radhoštěm (Czech Republic), Valencia (Spain) and Skopje (North Macedonia). The main actions of the project will be threefold. Firstly, the project will implement pilot schemes for households in energy poverty, so that they benefit from renewable energy production and energy efficiency measures, without having to bear the financial risks. Secondly, the project will develop and reinforce local energy market players with a social agenda, based on a long-term perspective to acquire local knowledge and strengthen the local economy. Lastly, the project will disseminate the experience of the consortium members to facilitate replication in European countries.

The project’s multidisciplinary consortium, made up of 12 partners from 9 countries, has been built to guarantee a full coverage of the scientific, social, and environmental competencies, and to gather the viewpoint of different communities, actors and stakeholders necessary to develop, test and evaluate the interventions related to POWER UP in order to maximise its chances of success.

The Data Management Plan (DMP) of the Project describes the data management life cycle including specific standards of the databases in terms of formats, metadata, sharing, archiving and preservation. The DMP also clarifies which data will be open access, and thereby available to others, and the procedure to gain access to these.

This document also includes a section on ethical considerations, as ethics, integrity, and the special protection of vulnerable persons such as children are core values of the project. The



conditions and practices of the research and pilot activities must therefore ensure that the dignity and privacy of households and individuals is fully protected. This Ethics section presents the actions that the consortium will develop to ensure these objectives.

The POWER UP data management will continue to develop during the Project and the DMP will be periodically updated. This document represents a first version of the data management life cycle for all datasets to be collected, processed, or generated by POWER UP.

Energy Cities is responsible for coordinating and animating the management process of the POWER UP data. Each project partner is responsible for managing their data, metadata, and ensuring their conduct meets the standards laid out in this DMP.

# 02

## Data Summary

# 2.1

## Purposes of the data collection and generation in relation to the objectives of the project

The POWER UP project will process different types of data to achieve different purposes. These data can be divided into two types: personal data and non-personal data.

The collection of personal data is necessary for the following purposes:

- the management of human resources (consortium partners)
- the involvement of different categories of people, such as:
  - Local Stakeholders (for instance in the local working groups)
  - General public, vulnerable households and energy poor households
- Communication and dissemination activities (newsletter subscribers, social media profiles, event attendees and participants)
- ethical and regulatory compliance (Informed consents to participate in the activities and the research)
- Project evaluation (e.g. energy consumption).

Non-personal data which will be collected and generated will be used for the following purposes:

- The overall management of the project
- The understanding of the local contexts of the pilots, in terms of energy, urban planning, housing, poverty, etc,
- The analysis of national and European policy contexts regarding energy poverty mitigation

- The development of pilot projects to mitigate energy poverty (technical, economic and financial data regarding energy efficiency measures and renewable energy production)
- The performance of communication activities aimed at raising awareness on the topic of energy poverty mitigation and engaging stakeholders in replicating the solutions developed during POWER UP.

# 2.2

## Types and formats of data generated or collected

The personal data indicated in the table below will be collected during the project.

Purpose	Data	Type	Format	Confidentiality level
Management of human resources (consortium partners)	Personal data (Names, emails, phone number...)	Document	Digital spreadsheets	Confidential - only consortium members
	Attendance lists of project meetings	Document	Digital documents	Confidential - only consortium members + CINEA
Involvement of people (stakeholders)	Personal data (Names, emails, phone number...)	Document	Paper and digital documents	Confidential - only accessible by the partners in

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				charge of each LWGs
	Attendance lists of meetings and activities	Document	Paper and digital documents	Confidential - only accessible by the partners in charge of each LWGs
<b>Involvement of people (households)</b>	Personal data (Names, emails, phone number, gender...)	Document	Paper and digital documents	Confidential - only accessible by the partners in charge of each pilot
	Attendance lists of meetings and activities	Document	Paper and digital documents	Confidential - only accessible by the partners in charge of each pilot
	Revenues and energy consumptions of households (before the project actions), disabilities, any factors that make participation in the actions of the	Document	Paper and digital documents	Confidential - only accessible by the partners in charge of each pilot

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	project impossible			
<b>Communication and dissemination activities</b>	Personal data of participants (mainly stakeholders) (Names, emails, phone number...)	Document	Paper and digital documents	Confidential - only accessible by the consortium members
	Attendance lists of meetings and activities	Document	Paper and digital documents	Confidential - only accessible by the consortium members
	Attendance of meetings and activities	Pictures and videos	Audio and video files, pictures	Confidential, unless people give their informed consents to make them public
	Statistics from communication tools (website, social media, etc.)	Figures	Digital documents	Confidential - only aggregated figures are made public
<b>Ethical and regulatory compliance</b>	Informed consent forms	Document	Paper and digital documents	Confidential - only accessible by the partners in

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				charge of each pilot
<b>Evaluation of the actions performed</b>	Energy consumptions, energy production, energy bills of households, elements regarding comfort, social relations, and involvement in the community (before and after the interventions)	Numerical data Questionnaires Interviews recordings	Paper and digital documents Audio files	Confidential - only accessible by the partners in charge of each pilot

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The following **non-personal data** will be collected and analysed for the purposes of the project:

- Data on the energy consumption of the existing building stock (aggregated, non-personal data)
- The distribution of revenues and rental prices at different geographical levels
- Previously published studies on energy poverty
- Policies at European, national and local level, regarding energy, buildings, and social services (energy efficiency, energy communities, energy cooperatives, electricity/gas trends and tariffs, illegal connections, rate of disconnection, social housing, district heating, social aids, vulnerable consumers, energy tariffs and subsidies, etc.)
- Technical, financial and economic data regarding energy production and energy efficiency measures
- Best practises from different projects on energy poverty mitigation measures and engagement and communication strategies with households.

The coordinator ensures that all data the beneficiaries intend to process is relevant and limited to the purposes of the POWER UP project, in accordance with the data minimisation principle. Data collection, curation and preservation will comply with the General Data Protection Regulation. Care will be taken to ensure that the tools used to collect statistics regarding online activities (such as visits on the POWER UP website) will comply with GDPR requirements.

The types and formats of the data collected may evolve during the project, and the Data Management Plan will be updated accordingly.

## 2.3

### Origin of the data

POWER UP will collect data from a variety of different sources. These will include but are not exclusive to: households involved in the actions, public administrations, project partners, academic community and private entities (civil society organisations, local businesses, etc.).

The non-personal data mentioned above will be collected from:

- public administrations,
- universities, think-tanks, research organisations,
- past projects, especially EU-funded projects,
- private entities,
- public databases.

The project will also collect personal data. The categories and sources of the personal data used in the project are:

- **Personal data from stakeholders and consortium partners:** people involved in the activities,
- **Personal data from households:** public administration databases, questionnaires and interviews with households,
- **Energy consumption, energy bills:** energy bills from households, or energy providers (conditional on households' explicit, written consents), self-declaration via surveys.



- **Information on comfort, social relations, and involvement in the community:** interviews and questionnaires with households involved in the project.
- **Statistics from communication tools:** GDPR-compliant tracking tools and tracking functionalities from online communication tools (such as social media).

## 2.4

### Expected size of the data

In POWER UP, we expect 920 households to be directly involved in the different actions. The actions in question are firstly, the development of renewable energies, secondly, the implementation of energy poverty mitigation measures and thirdly, the putting in place of energy efficiency solutions. Although participation in the project should benefit all members of each household, we consider that most probably one person per household will take part in the activities, and that we need to collect information about only one person per household. We will collect information regarding the participation of households in the activities. In terms of evaluation of the actions (e.g., financial benefits, energy savings), surveys will be sent to all the households involved. In addition, analysis of real energy consumption of households (based on smart meters data or bills) will be performed for at least 92 households (10% of the participants). The total number of households involved might be higher than the 920 energy poor households expected, as participation will not be strictly limited to households that are officially designated as being in the situation of energy poverty. However, this should not excessively increase the size of the dataset (which will remain below a number of 2,000 households).

The communications efforts of the project are expected to reach more than 55 588 energy poor households. The data collected this way will be mostly aggregated data regarding audience indicators of the activities performed and engagement indicators from different tracking features of communication tools.

# 2.5

## **To whom might data be useful ('data utility')?**

The most important data generated during the project will be the data regarding the evaluation of the pilots: these will be both qualitative and quantitative data. Qualitative data will concern the feedback from the persons involved in the activities. Most quantitative data will be shared as aggregated data and will be non-personal data. Indeed, individual data are not particularly relevant for the objectives of the POWER UP project. Aggregated and analysed data will bring insights to evaluate the pilots beyond the cases of individual households or localities. However, to comply with the FAIR principles, some anonymised data regarding individual households will be shared.

The main groups of people who are likely to be interested in the results are:

- local authorities, to replicate POWER UP pilots and get inspiration about the process and the methodology developed during the project.
- energy utilities, energy communities, social organisations to learn from concrete projects.
- citizens and households to know about the interest of the collective approach to support the right to energy and become a driving force for energy poverty mitigation.
- academics, to analyse energy mitigation actions.
- journalists, media and other initiatives, to spread information regarding initiatives like POWER UP.

# 03

## FAIR Data

# 3.1

## **Making data findable, including provisions for metadata**

Collected and produced data, after being processed, will be made available on the project website as the primary publication tool. Then they will be disseminated by other channels. On the project website, data will be made easily findable via the implementation of search keywords and search engines, datasets and publications will contain version numbers.

Definitions, glossary and abbreviations will be provided for all deliverables in order to clarify namings. Naming conventions will be made explicit when publishing datasets, and metadata will be added to the datasets published (description, content, rights, sources, authors, dates, etc.).

# 3.2

## **Making data openly accessible**

**Open availability of data produced and/or used in the Project**  
Particular attention will be brought to data confidentiality and data property. Mechanisms to ensure that only authorised persons can access the data, and that access is legitimate, are described in Part 3 of this document. However, the consortium partners are committed to making data accessible. Data and documents published by the consortium will be accessible free of charge, primarily via the project website. At least one scientific publication is foreseen (Deliverable D7.4 Scientific publication) and a budget is provisioned to ensure open access to this published article.

## Sharing of datasets

Horizon Europe requires research data to be open by default. The development of this data management plan is highly dependent on the legal framework. This means that the Power Up Project must take into account an evolving legal environment and adapt its model to it.

The basic regulations that will contribute to the design of the data sharing model are:

- Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, and repealing Directive 95/46/EC (General Data Protection Regulation).
- Directive (EU) 2019/1024 of the European Parliament and of the Council of 20 June 2019 on open data and the re-use of public sector information.
- Regulation (EU) 2018/1807 of the European Parliament and of the Council of 14 November 2018 on a framework for the free flow of non-personal data in the European Union.

In addition, Power Up partners will apply:

- National Laws developing conditions for use of personal data for research purposes.
- The transposed national versions of the Open Data Directive by Member States.

Finally, Power Up partners will follow and be aligned with any evolutions of the legislation during the project duration. All partners, including partners based in North Macedonia (AD GES Skopje and MPPS), will comply with the EU legislation in terms of data management.

The main relevant dataset will be the one created for the pilots' evaluation based on surveys towards households involved in the project activities and verifications of their data consumptions. Collected data will be stored locally by each individual pilot or project partner. Personal data will be stored in a de-anonymised format but access will be strictly restricted to local personnel directly working on the POWER UP Project. Anonymised data of households will be shared between the project partners. The fields of these datasets will be carefully decided to ensure anonymisation: a balance in the level of details regarding the description of households (number of persons, types of houses, etc.) will be found to really ensure anonymisation. To ensure access to data, this anonymised dataset will be publicly available,

but not until the Evaluation Phase of the project and after verifications of the Ethics committee of the project.

Other datasets of personal information (for instance regarding participation in activities in meetings, contact details of stakeholders, etc.) will not be publicly shared as they are used for internal project management and reporting issues. Only aggregated data regarding these indicators may be shared publicly when relevant, in an anonymised way.

## Accessibility of data

There are two levels of data collection:

- data collected by pilots, for instance regarding local stakeholders and households involved in the project activities,
- data collected by the other partners, which are not personal data with the exception of the ones of people working for the consortium members and of people participating in communication and dissemination actions.

Data collected by pilots is only accessible to pilots' employees. Personal data are only accessible to employees involved in the project, and are stored either physically in locked cabinets or digitally in restricted folders. If these data need to be shared with the other consortium partners, they are completely anonymised or only aggregated data are shared. Consortium partners are in charge of restricting access to the personal data collected.

The same rules apply for the personal data of people participating in dissemination and communication activities collected by other partners. Regarding the personal data of people working for the consortium members, they are accessible to all consortium members on a cloud service system restricted by a password. Access is granted by the coordinator to people who are involved in the projects as active participants. In case of change of people participating in the project, all partners should inform the coordinator as soon as possible, who will then remove the access to people not contributing anymore to the project.

All partners commit not to share these data without having received the explicit authorisations from the other consortium partners.

Other non-personal data are accessible to consortium members on a cloud service system restricted by a password.

Data, reports and documents published on the project website are accessible to everyone.

## Softwares needed to access the data

Only common and widely used softwares will be needed to access the data. pdf will be the main format used for reports and documents published. Media content will be published in standard formats such as .png or .jpeg for pictures. All data will be accessible thanks to free softwares. Quantitative numerical data will be published in .csv format.

# 3.3

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## Making data interoperable

To increase data interoperability of the data produced, POWER UP partners will use common indicators and units used in the field of energy poverty research and in the energy sector. It is not expected that the project will use or generate uncommon or project specific ontologies or vocabularies.

Methodologies used to collect and process the data will be made explicit in the different reports presenting the results. In addition, we will reference the use of other data from the POWER UP project or any other sources in a detailed and appropriate way.

# 3.4

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## Increase data re-use

POWER UP will increase data re-use of processed anonymised data published on the project website by allowing anyone to re-use this data free of charge with the only restriction that users need to reference to "Source: POWER UP H2020 project". No licensing is required. Data can be reused after the end of the project.

The exact methodology of data collection and processing will be included in the deliverable D6.2 'Report to evaluate pilots' performance'. This document will be a report that evaluates the performance of each pilot, thereby also allowing third-parties to verify the sources of the data and to evaluate the quality of the analysis. The datasets regarding the benefits of the project for households will present anonymised data per household and will be public to increase data reuse.

In addition, POWER UP partners will follow the following quality assurance process:

- task leaders and partners involved in data collection and treatment will define methodologies to be used for each task (surveys, interviews, etc.),
- after the collection and treatment of data, a second person from the same organisation will verify the different steps of this process, and correct any calculations or potential mistakes.
- the task leaders will be in charge of analysing results and verifying that the steps of the methodology have been applied to check any potential inconsistencies.
- If the task leaders are the same organisation as the one in charge of the data collection, the WP leaders will be in charge of the above-mentioned verification.

# 3.5

## Other Research Outputs

POWER UP is not a research project primarily. That being said, the learnings from the pilot organisations and the other consortium members will be captured in different deliverables in order to make this knowledge accessible and reusable.

POWER UP will produce high-quality deliverables at different stages of the project. These will provide detail on the overall methodology of the project, outline the questions the consortium members faced, and present their actions and their learnings. The main objective of this is to support capacity and knowledge development in a wide variety of European stakeholders



working on the mitigation of energy poverty. The project learnings and outputs will be disseminated according to deliverable D7.1 - the Communication and dissemination plan.

The main deliverables capturing the consortium partners' experience will be:

- D 2.3 Local state of the art on energy system, energy poverty and assessment of preferred business model options for local energy market players
- D 3.2 Report for each pilot about the governance options studied, the option selected, the reasons why, and the energy poverty mitigation actions planned
- D 5.2 Report on the implementation of renewable energy
- D 5.3 Report on energy poverty mitigation activities
- D 6.2 Report to evaluate pilots' performance
- D 6.4 Six National Guides for a step-by-step approach to set-up social energy market players tackling energy poverty.

To ensure that these outputs are findable, accessible, and re-used, almost all deliverables (25 over 29 deliverables) will be public, published on the project website, accessible free of charge, and can be reused with the only restriction that users need to reference to "Source: POWER UP H2020 project". Quality management, explanations about methodologies, concepts and vocabularies, as well as easy-to-use formats (.pdf) and uses of common indicators and units, will ensure the implementation of the FAIR principles.

# 3.6

## Allocation of Resources

### Duration of the data conservation

Personal and non-personal data collected during the course of the project will be stored for the whole duration of the project and a period of 3-years after the conclusion of the project. This 3-year period will allow for a proper dissemination of non-personal data and project outputs, as well as the access to data to allow for scientific verification. After this 3-year period, all personal data will be deleted. Personal data can be deleted at an earlier point in time upon request of the data subject.

Non-personal data and project outputs may be kept in archive for a longer period if it is deemed to be in the public interest for the reasons of mitigating energy poverty.

## Costs of data management

The costs of making data and other project outputs FAIR are limited and mainly covered by the grant allocated by CINEA. The main costs are:

- staff costs to collect, treat and analyse the data: the main data set produced will be the one to keep track of the involvement of households in the different activities and their impacts. As the number of households involved might be up to 400 persons maximum (including non-vulnerable people, if any) per pilot, the costs of data collection, treatment, and analysis remain low as this doesn't require big data tools and techniques. In addition, in accordance with the data minimisation principle, the data collected about each household is limited (see paragraph 1.b).
- costs to develop the project website (staff costs, costs of the web agency, hosting costs, etc.): these costs are covered by the CINEA grant and are part of the budget of the task T7.2 Project communication materials. Maintenance costs of the project website after the project for at least 3 years will be covered by Energy Cities; the estimated cost is 300€ per year.
- costs to store and archive the data during and after the project: as the dataset is limited and doesn't require specific data treatment tools, the marginal costs for consortium partners to store and archive the data is near zero.

Each partner is responsible to enforce the same procedures and guarantees in terms of security (see paragraph below) and access to data during the 3-years period after the project completion than during the project duration.

Additional costs other than the ones covered by CINEA are provided by each partner to ensure the implementation of the FAIR principles as described in this document for the data the partner in question is responsible.

## Responsible for data management

Each organisation is the primary accountable organisation for the management of the data collected by its employees. Energy Cities, as project coordinator, is in charge of the overall implementation of the data management plan. Each organisation has appointed a Data

Protection Officer to guarantee the implementation of the data management plan in his organisation for what concerns the POWER UP project.

The person in charge of the data management in each organisation for the POWER UP project are:

- ENERGY CITIES/ ENERGY-CITIES ASSOCIATION (ENC): Julien Joubert.
- AD GES-SKOPJE (City Energy Systems - SKOPJE) (AD GES): Katarina Mancheva
- Macedonian Anti-Poverty Platform (MPPS): Biljana Dukovska
- City of Heerlen (HEE): Hans van der Logt
- Association of Energy Managers of Towns and municipalities (SEMMO): Adriana Koblischke
- Joint Office for Environmental Sustainability (UCSA): Luigi Acquaviva
- Valencia Climate and Energy Foundation (VCE): Arturo Zea Falcón & Miranda Bausá
- Las Naves Foundation (LNV): Victoria Pellicer Sifres & Miranda Bausá
- City of Eeklo (EEK): Helena Depaepe
- Ecopower (ECO): Jim Williame
- University of Manchester (MAN): Manon Burbidge
- Sinloc - Sistema Iniziative Locali (SIN): Cristina Boaretto

# 04

## Data security

All partners will follow EU regulations (incl. RGPD) and national laws applicable for their countries and their types of organisations regarding data security of personal data.

# 4.1

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## User roles

Each organisation has the following user profiles defined for the processing of the personal data that they collect and treat:

- staff in charge of the governance of the data repository, incl. access credentials,
- system administrators to keep the tools updated, and monitor IT infrastructures,
- users able to edit and update data.

Individual user profiles are defined and personal credentials are used and are not shared between different persons.

Personal data of the consortium partners are shared on a cloud service. Access is provided by Energy Cities only.

# 4.2

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## Organisational security measures

To ensure the security of data, the following measures are applied:

- personal data from consortium partners: each person from the consortium agreed to share personal data for the good management of the project. These data are stored online in a cloud service, protected by password. Access is only provided by the project coordinator. Access is removed to all persons who are not working anymore on the project.
- data from local stakeholders (personal data, pictures, consent form, etc.):
  - this data is collected by pilot organisations, either via online registration forms or paper forms.

- After their collection, raw data are directly stored on servers of the organisations collecting the information, or in locked cabinets. These data are centralised in either digital folders or locked cabinets, which are dedicated to the POWER UP project, and can't only be accessed by the staff working on the project.
- Treatment of these data to obtain aggregated data is performed only by staff members working on the project. Only aggregated data are shared with the other consortium members.
- Personal data can be deleted at any moment, on the request from the data subjects.
- The same procedures apply for data from households (informed consent forms, personal data, pictures, other data) and data from participants to communication and dissemination activities.
- The same procedures apply as well for households' data regarding the evaluation of the pilots. The only difference is that an anonymised dataset of them will be created to be shared publicly and with the consortium partners. This anonymisation is performed by each pilot organisation according to the guidelines provided by the University of Manchester in charge of the Task 6.2 Evaluation of the pilots. This step of the data treatment is performed by the persons already working on the Project and have access to this personal data for the purpose of the project, i.e. reducing the vulnerability of households.

Each organisation has an IT charter specifying rules and behaviours that their staff need to follow to prevent any attacks or leaks (password, phishing, etc.).

In case of a security breach, each organisation is in charge of identifying the data which could have leaked and will be expected to follow the reporting procedures laid out in Directive 95/46/EC (General Data Protection Regulation), and any other applicable national legislation.

## 4.3

### **Technical security measures (data recovery, secured and long-term storage)**

Each partner is in charge of ensuring the proper maintenance of its IT infrastructures. This also includes the putting in place of up-to-date IT security tools to ensure that data sets are

protected against cyberattack. Each organisation should implement daily back-ups of the data saved on their servers. Regular updates of softwares and IT tools used are done to ensure a high degree of security.

At the end of the project, all data stored on the shared cloud among partners is transferred by Energy Cities to its own servers, and saved for a period of 3 years.

The project website is developed according to the latest security standards regarding web- and IT-security. It is kept up-to-date by Energy Cities.

# 05

## Ethical considerations



The aim of POWER UP is to devise measures that support households in energy poverty. This requires the consortium partners to engage with socio-economically vulnerable households and individuals. To conduct and store this type of, to a large extent, personal data, POWER UP partners must offer trustworthy conditions of data processing and utilisation.

Ethics, integrity, and the special protection of vulnerable persons are core values of the project. The conditions and practises of the research and pilot activities must therefore ensure that the dignity and privacy of households and individuals are fully protected.

To achieve these goals the Project must take into account these guidelines:

- European Commission. Horizon Europe Programme. Guidance. How to complete your ethics self-assessment. Version 2.0. 13 July 2021. <sup>1</sup>
- European Commission. Ethics and data protection. Guidance. 05 July 2021.<sup>2</sup>

# 5.1

## Activities presenting ethical issues

The following components of the project have ethical issues associated with them:

- Task 3.2. Co-creating the pilot schemes with energy poor households (M12 – M22), This is the 1st phase of the engagement approach: involvement of energy poor households in the schemes' co-creation processes including workshops and data collection (energy bills) and, if needed, performing energy audits of households' dwellings.

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<sup>1</sup><https://www.horizon-europe.gouv.fr/la-procedure-d-examen-ethique-des-projets-horizon-europe-28004> and [https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/how-to-complete-your-ethics-self-assessment\\_en.pdf](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/how-to-complete-your-ethics-self-assessment_en.pdf)

<sup>2</sup> [https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/ethics-and-data-protection\\_he\\_en.pdf](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/ethics-and-data-protection_he_en.pdf)

- Task 5.1. Communication campaigns to enlarge the pilots' communities (M27 – M36). This is the 2nd phase of the engagement approach, in order to involve a large number of households.
- Task 5.2. Implementation of renewable energy production pilots (M27 – M40). This includes the signatures of contracts with suppliers and customers.
- Task 5.3. Implementation of energy poverty mitigation measures (M27 – M40). This includes workshops with vulnerable households (e.g. understanding energy bills), energy audits.
- Task 6.2. Evaluation of the pilots (M38 – M41). This involves evaluation of financial and social capacity of households, relations and emotional well-being of affected citizens.

## 5.2

### **Ethics committee**

The Ethics Committee will monitor the project implementation to ensure the implementation of ethical procedures. The ethics committee is composed of:

- ENERGY CITIES/ ENERGY-CITIES ASSOCIATION (ENC): Julien Joubert.
- AD GES-SKOPJE (City Energy Systems - SKOPJE) (AD GES): Katarina Mancheva
- Macedonian Anti-Poverty Platform (MPPS): Biljana Dukovska
- City of Heerlen (HEE): Hans van der Logt
- Association of Energy Managers of Towns and municipalities (SEMMO): Tereza McLaughlin Váňová
- Joint Office for Environmental Sustainability (UCSA): Luigi Acquaviva
- Valencia Climate and Energy Foundation (VCE): Arturo Zea Falcón
- Las Naves Foundation (LNV): Victoria Pellicer Sifres
- City of Eeklo (EEK): Fien Vanderbeke
- Ecopower (ECO): Jim Williame
- University of Manchester (MAN): Saska Petrova
- Sinloc (SIN): Gabriele Fregonese.

# 5.3

## **Measures to minimise the risk of stigmatisation of households**

The Project partners recognise that some of the data collected and handled as part of the project may expose participants to social stigmatisation within their local communities. Consequently, as mentioned above, POWER UP partners will adhere to a strict code of conduct when handling and storing sensitive categories of data. Data will be handled by as few personnel as possible and password-protected from being accessed by personnel not involved in the project.

Firstly, the project will be communicated by all partners to households using positive, neutral or non-stigmatising narratives, e.g. 'the Right to energy' or 'Energy Justice'. The targeted populations will be identified or welcomed by social workers and civil society organisations already previously committed to communities and composed by persons trusted by individuals. This measure will avoid patronization and tokenism. Besides, as much as possible, the same persons will be in contact with vulnerable households to avoid the use of inadequate terms and misconceptions about energy poverty, to ensure the protection of privacy and the acquisition of skills for working with deprived communities in a participatory framework.

The consortium partners will receive additional training on stigma, structural vulnerabilities, discrimination and social inequalities, during the task T3.1 Knowledge transfer on engagement with vulnerable households, prior to the intervention with vulnerable households.

# 5.4

## **Informed Consent**

POWER UP Partners will always acquire explicit informed consent from individuals in the form of a Participant Consent Form or 'PCF' (a prototype of which is in Annex 1 in this document) when approaching potential participants. To ensure that participants can make informed decisions on participation, potential participants will receive a Participation Information Sheet (or 'PIS') before signing the Participant Consent Form. The PIS will inform about the purpose, aims, methods and expected outcomes of the project to ensure that participants make informed decisions when deciding to agree or decline to participate.

This PIS will be adapted to every pilot, however, a prototype is included in Annex 2 in this document. It describes the aims, methods and implications of the project activity, the nature of the participation and any benefits, risks or discomfort that might ensue.

The PCFs and PIS are written in an accessible way, and are translated in the language of the participants.

# 5.5

## **Selection and Exclusion Criteria**

The households participating will be identified and invited to join the project activities by consortium members or their local stakeholders (with the agreement of the consortium pilots' members) such as social service departments of the pilots' cities, and NGOs working with vulnerable groups (faith organisations, associations of retired and disabled people, etc.). Recognising that certain persons are unable to give informed consent, minors, as well as persons with severe difficulties to communicate, very poor health conditions, or severe

intellectual disabilities will not be invited to participate. In addition, in view of their physical safety, people living in buildings illegally connected to energy grids or unhealthy and unsafe buildings requiring major works (for which the proposed mitigation measures are thus inappropriate) will also be excluded. Other criteria of exclusion might be considered in the course of the project.

# 5.6

## **Gender Balance and Social Inclusion**

At the same time, recognising the importance of social inclusion and the need to amplify the voice and representation of under-represented groups, such as women, people from under-represented ethnic and other minority groups, the POWER UP project partners will aim for socially representative participant samples. Consequently, project partners will be encouraged to choose participants with a special regard for ensuring gender parity and equal participation.

POWER UP will address the gender dimension in different ways: in the co-creation process with energy poor households, an equal number of women and men will be involved to ensure that both positions are taken into account. The design of the participative process will ensure the same possibility of expression for both. The local communication campaigns to engage with vulnerable households will deliver messages to empower all people equally, combating stereotypes. Specific communication channels and organisations, like social organisations working with vulnerable women and non-binary people, will be preferred when possible. And the pilots will strive to ensure parity in the LWGs.

# 5.7

## Participation Withdrawal Protocols

Participation in the project is strictly voluntary and can be withdrawn at any point. Anyone has the right to refuse to participate and to withdraw their participation, or data at any time — without any consequences. This is specified in the Participation Information Sheet.

In line with Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, and repealing Directive 95/46/EC (General Data Protection Regulation), participants will be able to contact a designated person at the relevant project partner to request the updating or deletion of their data. Should such a request be made, the relevant project partner will update or delete the data at the earliest opportunity, with the exception of cases when the data cannot be identified, chiefly in the cases when data was collected anonymously or anonymised.

To facilitate the withdrawal of the participants and the update or deletion of their personal data, participants or any person from whom data has been collected can use the following contact details:

- ENERGY CITIES/ ENERGY-CITIES ASSOCIATION (ENC): [webmaster@energy-cities.eu](mailto:webmaster@energy-cities.eu) or [dpo@energy-cities.eu](mailto:dpo@energy-cities.eu)
- AD GES-SKOPJE (City Energy Systems - SKOPJE) (AD GES): [ges@ges.mk](mailto:ges@ges.mk)
- Macedonian Anti-Poverty Platform (MPPS): [mppsmk@gmail.com](mailto:mppsmk@gmail.com)
- City of Heerlen (HEE): Isabelle Ploumen, [i.ploumen@heerlen.nl](mailto:i.ploumen@heerlen.nl)
- Association of Energy Managers of Towns and municipalities (SEMMO): Adriana Koblischke, [koblischke@semmo.cz](mailto:koblischke@semmo.cz)
- Joint Office for Environmental Sustainability (UCSA): [info@ucsa.eu](mailto:info@ucsa.eu)
- Valencia Climate and Energy Foundation (VCE): [canviclimatic@dpoexterno.com](mailto:canviclimatic@dpoexterno.com) & [arturo.zea@climaienergia.com](mailto:arturo.zea@climaienergia.com)
- Las Naves Foundation (LNV): [lasnaves@dpoexterno.com](mailto:lasnaves@dpoexterno.com)
- City of Eeklo (EEK): Helena Depaepe - [informatieveiligheid@oost-vlaanderen.be](mailto:informatieveiligheid@oost-vlaanderen.be)

- Ecopower (ECO): [info@ecopower.be](mailto:info@ecopower.be)
- University of Manchester (MAN): Manon Burbidge, [manon.burbidge@manchester.ac.uk](mailto:manon.burbidge@manchester.ac.uk)
- Sinloc - Sistema Iniziative Locali (SIN): [info@sinloc.com](mailto:info@sinloc.com)

# 06

## Annexes



# Annex 1

## Model of Participant Consent Form

Reminder: This annex is only a model. All partners need to translate it and to adapt it before providing it to households. Adaptation may concern the language level used in the document, according to the common practices in your country and region, or the people who are going to distribute it to households, etc. Nonetheless, it should be written in an accessible and non-stigmatizing language and all the main elements should remain. This model needs to be adopted according to the actions of the project in which you want to involve households and the specificities of your pilot.

### Participant Consent Form POWER UP Project [INSERT PILOT NAME]

*Information about the POWER UP project, please read this along with the enclosed Participant Information Sheet:*

The POWER UP project, the "Project", is a project developed by several European organisations, including [INSERT PARTNER NAME]. The goal of this project is to support households in accessing affordable renewable energy and reducing their energy consumption, while reducing the financial risks for households of the development of renewable energy. The project also aims at developing community energy projects improving the quality of life in their neighbourhoods, as well as supporting structures to support citizens in these projects.

## Consent Form

1. I confirm that I have read the attached information sheet on the above project and have had the opportunity to consider the information and ask questions and had these answered satisfactorily
2. I understand that my participation in the study is voluntary and that I am free to withdraw at any time without giving a reason and without detriment to any treatment/service.
3. I understand that the interviews will be audio/video-recorded *[delete if not applicable]*
4. I agree that pictures of me are used for the communication around the project by the project partners
5. I agree to the use of anonymous quotations

I agree to take part in the above project.

Name of participant

Date

Signature

Name of person taking  
consent

Date

Signature

# Annex 2

## Model of Participant Information Sheet

Reminder: This annex is only a model. All partners need to translate it and to adapt it before providing it to households. Adaptation may concern the language level used in the document, according to the common practices in your country and region, or the people who are going to distribute it to households, etc. Nonetheless, it should be written in an accessible and non-stigmatizing language and all the main elements should remain. This model needs to be adopted according to the actions of the project in which you want to involve households and the specificities of your pilot.

### PARTICIPANT INFORMATION SHEET POWER UP [PROJECT PARTNER]

#### What is the Project about?

This project is called POWER UP - Social Energy Market Players to Tackle Energy Poverty, developed in the cities of Eeklo (Belgium), Heerlen (the Netherlands), Palma Campania, San Gennaro Vesuviano, San Giuseppe Vesuviano and Striano (IT), Rožnov pod Radhoštěm (Czech Republic), Skopje (North Macedonia), and Valencia (Spain). It is funded by the European Commission.

The goal of this project is to support households in accessing affordable renewable energy and reducing their energy consumption, while reducing the financial risks for households of the development of renewable energy. The project foresees the development of community energy schemes improving the quality of life in their neighbourhoods, and of structures to support citizens in these schemes. It will build the skills of people to develop participatory schemes which will benefit the local economies and raise awareness on the right to access energy for everyone. The project also aims at the replication of these schemes across Europe. Its results are expected to improve local, national, EU and global policies to address questions of environmental sustainability and social justice in relation to energy consumption and production.

What do we want to do in [Eeklo / Heerlen / Palma Campania, San Gennaro Vesuviano, San Giuseppe Vesuviano and Striano / Rožnov pod Radhoštěm / Skopje / Valencia]?

*[please provide more information on what you want to do in your pilot, without being too prescriptive as well, keeping room for co-creation]*

**Who will conduct the project?**

In [Eeklo / Heerlen / Palma Campania, San Gennaro Vesuviano, San Giuseppe Vesuviano and Striano / Rožnov pod Radhoštěm / Skopje / Valencia], the project is led by [INSERT NAME OF PILOT ORGANISATIONS] with the support of [INSERT PARTNERS NAME if relevant].

**Why have I been invited to take part?**

You are invited to take part in this project as part of a broader process to identify people who could benefit from the development of affordable renewable energy, the reduction of their energy bills or the decrease of their energy consumption. You might be interested in a project with other people from your district to improve energy access and develop renewable energy.

**What would I be asked to do if I took part?**

*[to be fine-tuned according to the specific actions you want households to be involved - below an example for the co-creation task]*

The POWER UP project is based on a co-creation process between the citizens and the pilot organisation [INSERT NAME]. The goal is to discuss with you the project ideas in order to get your views on this project, and understand what you would like to do and benefit during this project.

As part of this project, participants are asked to join short meetings or discussions (either online or in-person, depending on the sanitary situation). At least three of them are planned for this co-creation process. You may also be asked to share your energy bills with the pilot organisation and agree to energy audits of your homes.

**What are the expected benefits and the potential risks for you?**

*[to be fine-tuned according to the specific actions you want households to be involved in - below an example for the co-creation task]*

The benefits of taking part in the first phase of the project is to be a pioneer in its development and to be able to design it according to what you think is best for you and other citizens in the district. You might also learn new information about energy production and energy use in general. No risk or discomfort is envisaged at this stage of the project.

*[For other tasks and the project in general, please consider to inform participants regarding the following risks:*

- *Financial risks, in case of investment,*
- *Increase of energy prices, in case of energy supplier change,*

- *Technical risks in case of works performed on their homes*
- ...]

### **What happens to the data collected?**

All personally identifiable information will be stored and used in line with the requirements of the EU's Regulation (EU) 2016/679 (General Data Protection Regulation) or 'GDPR'.

Collected data will be stored by [INSERT RELEVANT PILOT], in locked cabinets or in secured servers. All data stored in a de-anonymised format will only be accessible for personnel working on the POWER UP project and will be password-protected from all other personnel of [INSERT PROJECT PARTNER/PILOT]. No personally identifiable data will be shared with the European partners. When indicated, anonymised or aggregated data sets may be shared between project partners.

Data will be stored for the duration of the POWER UP Project (2021-2025) and another 3-year period upon the completion of the project. Participants have the right to request the deletion of all their de-anonymised data at any point.

These data will be solely used for the purposes of the project. Any quoted views will not be attributable to you in the publicly available outputs of the project, unless you have given explicit consent for that to happen.

### **What happens if I do not want to take part or if I change my mind?**

Participation in the project is voluntary and consent can be revoked at any time, without any consequences. If you change your mind and would no longer want to participate, you should inform the contact indicated below.

If you express it, we can remove all of your personal data related to this project from our records.

### **Will I be paid for participating in the project?**

No, participation in the POWER UP project is voluntary and no payment will be made for participation.

### **What is the duration of the project?**

The POWER UP project runs from September 2021 until August 2025.

The [INSERT RELEVANT PILOT ACTIVITY] component of the project runs between [MONTH, YEAR] and [MONTH, YEAR].

### **Will the outcomes of the project be published?**

Yes, the outcomes of the project, including lessons learnt during the project development and its impacts, will be published. Most of these results will be published at the end of the project, in 2024 and 2025.

You may find out more about the results of the project on its website: [www.socialenergyplayers.eu](http://www.socialenergyplayers.eu). The website will be regularly updated as the research results become available.

### What if something goes wrong?

In case you encounter any issue about your involvement in the project, you can contact the following persons:

*[Insert designated contact person's details of your pilot in the format below]*

In charge of the supervision of the project:

- First Name SURNAME
- e-mail:
- Phone:
- Postal address:

For minor issues, you can contact:

- First Name SURNAME
- e-mail:
- Phone:
- Postal address:

Thank you very much for your time and attention.



[www.socialenergyplayer.eu](http://www.socialenergyplayer.eu)



*#EUPowerUp #socialenergyplayers*



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