



ForestAgri **GREENNUDGE**

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D7.1 OEI – H – Requirement No1 (Ethics)

M02/December 2024



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Abstract	To monitor our commitment to ethical standards and transparency, an Independent Ethics Advisor has been appointed. This role will be pivotal in ensuring that our practices align with the ethical principles related to research involving human participants, the deployment of AI techniques and data management. The advisor will provide impartial guidance, oversee compliance with ethical guidelines, and foster a culture of integrity within the ForestAgriGreenNudge project.

Version History

Version number	Implemented by	Description	Date
1	N. Georgantzis	First draft of the deliverable	11/12/2024
2	I. Barreda	Quality Check	12/12/2024
3	C. Schweitzer and M. Ramsden	Proofreading and revision	16/12/2024
4	N. Georgantzis and I. Barreda	Final version	17/12/2024

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Appointment of an independent ethics advisor

1. Introduction

As part of developing the ForestAgriGreenNudge project, a number of potential ethical issues were identified regarding contacting, surveying and experimenting with people across Europe. This includes collecting personal data from various groups in EU and non-EU countries, as well as the use of Artificial Intelligence (AI) to analyse data and report summary outputs. The ForestAgriGreenNudge consortium is committed to address these issues using the appropriate methods, and to safeguarding individuals within, and interacting with project activities.

All matters relating to ethics will be managed within Work Package (WP) 7, including the appointment by month 2 (M02) of an independent ethics advisor that will monitor the ethics of ForestAgriGreenNudge for the entire period of the project. The Independent Ethics Advisor, in close collaboration with participants of task 1.4. and the Coordinator, will address the points raised in the ForestAgriGreenNudge Ethics Summary Report provided by the European Research Executive Agency (REA). Considering a research methodology involving human participants, the deployment of AI techniques and the participation and data transfer with non-EU countries, particular focus will be on demonstrating adherence to the AI Act and the HLEG guidelines and ensuring compliance with the General Data Protection Regulation (GDPR - Regulation (EU) 2016/679).

Overall, the consortium members are aware of, and will be regularly updated on, the ethics issues and use appropriate methods to address these issues. More specifically, the project undertakes research involving human participants (surveys using questionnaires and/or interviews, field experiments in decision-making in the context of economic, social individual and group choices). Furthermore, the behavioural interference itself under the key concept of the project, “nudging”, increases the necessity of strong ethical awareness and commitment not to manipulate the farmers and foresters securing their individual integrity and interests.

The entire project is committed to deliver its outputs paying special attention to the guidance for Ethics in Social Science and Humanities provided by the European Commission and including ethics committee approval together with informed consent of the data-providing subjects. Also, the suggested deployment of AI techniques is undertaken with attention to the principles of robustness and compliance with the related norms, guaranteeing that the project activities should demonstrate adherence to the AI Act and the HLEG guidelines.

Having all the above in mind, together with the participation and data transfer to non-EU countries, it was considered necessary to appoint an Independent Ethics Advisor. The Ethics Advisor was appointed from the beginning of the project (complying with the deadline of M02 according to the Grant Agreement and the DoA in Annex 1), in consultation with the Project Officer.

2. The Independent Ethics Advisor

Dr. Ivan Barreda Tarrazona, was appointed as the Independent Ethics Advisor to the ForestAgriGreenNudge project on 1 November 2024. Dr Barreda is the Deputy Vice-rector of Planning and Quality, Responsible for the System of Institutional Quality of the Universitat Jaume I, and Co-Leader of the Research Group and member of the internal Ethics Committee of the *Laboratorio de Economía Experimental¹ y Computacional* of the same University. He was selected based on these valuable aspects of his CV (Annex), with special expertise in the ethics issues associated with surveying and experimentation in the Social Sciences, including the use of AI for research purposes and Data Management. Furthermore, Dr. Barreda has published work in the Journal of Business Ethics, a top outlet in the domain of ethics in human sciences. A further advantage of this appointment was considered that the Laboratorio de Economía Experimental of the Universitat Jaume I has in place processes for its members to provide independent advice and consultancy at a regulated price, as part of their main academic tasks, which provides for an institutional guarantee that the tasks in WP7 will be delivered, minimizing the risk of late or no delivery due to any unforeseen personal circumstances.

3. Role and responsibilities

The role of the Independent Ethics Advisor is to ensure compliance to legislation, review and sign off surveys/informed consent/guidelines etc. Specifically, the Independent Ethics Advisor will:

- ensure compliance with the ethical principles and the applicable EU, international, and national laws for the ethics issues identified in the Ethics Summary Report and any additional ethics issues that may emerge in the course of the project;
- provide continuous advice and recommendations for the implementation of all tasks related to the contact with humans and AI use, and provide their expert opinion on the deliverables containing the ethics requirements;
- submit three (3) reports of activities in English at the end of each reporting period (M18, M30 and M42).

4. Basic considerations and commitments

During the kick off meeting of ForestAgriGreenNudge (19/20 November 2024), Dr Barreda specified some of the rules to which his advice will be based, in order for the project to deliver its outputs under the appropriate ethics standards:

- All research must be conducted within an appropriate ethical framework and in accordance with the requirements of ethics and integrity in Article 14 of the Model Grant Agreement of Horizon Europe, which includes specific measures for research that involve humans.
- Also, following article 15 of the same Model, all data processed during the project should be protected according to the provisions of the GDPR: get informed consent, minimize amount and duration, protect (no dropbox), guarantee rights. Once pseudonymized, they can be shared within the team in the appropriate way for good delivery of outputs.

¹ Founded in 2003, the LEE is the infrastructure which hosts the Experimental and Computational Economics research group of the Universitat Jaume I in Spain. It is one of the largest economic laboratories in Europe with a long tradition in the use of controlled experiments in different areas such as individual decision making, industrial organization, environmental economics and finance, mainly for academic research but also for consulting. The research team of the LEE (047-Experimental and Computational Economics) has a strong multidisciplinary character, since its 16 full time researchers, 2 part-time researchers, 2 pre-doctoral researchers, and 2 support members, come from very varied fields encompassing Economics, Computer Science, Mathematics and Physics. They publish regularly in academic journals and are active in the participation in regional, national and European projects.

- All relevant activities will have to respect European and national laws.
- Ethics approval will be obtained from the relevant institutional and/or national parties prior to starting any task.
- Conflicts of interest will be acknowledged in case they exist and persons incurring in them should preferably not participate in that particular activity.
- Publish open access.
- Promote Equality.
- Acknowledge use of AI, when relevant.

These points will underpin the formal Project Management Guide, Data Management Plan, and Scientific Publications Guide, defined in the first 6 months of the project, which will each be agreed with the Dr Barreda. These guides will be living documents and will each be reviewed at least annually to ensure they reflect project activities and remain in line with appropriate ethics standards throughout the project.

ANNEX: CURRICULUM VITAE IVAN BARREDA

- Nationality: Spanish, married, 2 children
- Institution: Universitat Jaume I
- Faculty: Facultad de Ciencias Jurídicas y Económicas (Law and Economics Faculty)
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- POSITION: Deputy Vice-Rector of Planning and Quality and Profesor Titular de Universidad acreditado a Cátedra
- EDUCATION
BA in Business Administration (Universitat Jaume I de Castellón, Spain – 1995)
PhD in Economics (Universitat Jaume I de Castellón, Spain – 2001)

REPRESENTATIVE PUBLICATIONS:

- Authors: Iván Barreda-Tarrazona, Aurora García-Gallego, Jaume García-Segarra and Alexander Ritschel
Title: A gender bias in reporting expected ranks when performance feedback is at stake.
Ref.: Journal of Economic Psychology (2022), vol. 90, 102505.
- Authors: Marina Pavan and Iván Barreda-Tarrazona
Title: Should I default on my mortgage even if I can pay? Experimental Evidence.
Ref.: Journal of Economic Dynamics and Control (2020), vol. 110, 103733.
- Authors: Sascha Behnk, Iván Barreda-Tarrazona and Aurora García-Gallego
Title: Deception and reputation -an experimental test of reporting systems.
Ref.: Journal of Economic Psychology (2019), vol. 71, 37-58.
- Authors: Sascha Behnk, Iván Barreda-Tarrazona and Aurora García-Gallego.
Title: Punishing liars—How monitoring affects honesty and trust.
Ref.: PLOS One (2018), 13(10): e0205420.
- Authors: Iván Barreda-Tarrazona, Juan Carlos Matallín-Saez and M^a Rosario Balaguer-Franch.
Title: Measuring investors' socially responsible preferences in mutual funds
Ref: Journal of Business Ethics (2011), vol. 103, 305-330.

RECENT PROJECTS:

- Title: Características individuales y creencias en entornos estratégicos: experimentos con agentes humanos y artificiales.
Financing Institution: Ministerio de Ciencia e Innovación (PID2021-123053OB-I00)
Main Researcher: Iván Barreda Tarrazona and Gerardo Sabater Grande
Duration: From 01/09/22 To 31/08/25
- Title: Estudios experimentales sobre cooperación, confianza y honestidad.
Financing Institution: Universitat Jaume I (UJI-B2021-23)
Main Researcher: Iván Barreda Tarrazona and Gerardo Sabater Grande
Duration: From 01/01/22 To 31/12/24

- Title: Exploring expace: the complementarities between experimental economics and agent-based computational economics.
Financing Institution: Generalitat Valenciana (AICO/2021/005)
Main Researcher: Simone Alfarano and Alberto Russo
Duration: From 01/01/21 To 31/12/23
- Title: Características individuales en entornos estratégicos y formación de expectativas: experimentos y simulaciones.
Financing Institution: Ministerio de Ciencia, Innovación y Universidades (grant RTI2018-096927-B-I00)
Main Researcher: Aurora García Gallego

PHD SUPERVISOR:

- Marios Bisilkas, “The economics of sustainability for a company: New product development, innovation and sustainability”, Universitat Jaume I, 14/12/2012. Co-supervised with Aurora García-Gallego. First employment: Unilever, Switzerland.
- Adriana Breaban, “Behavior and asset markets: individual decisions, emotions and fundamental value trajectories”, Universitat Jaume I and Tilburg University, 04/07/2014. Co-supervised with Charles Noussair. First employment: Tilburg University, Holland.
- Sascha Behnk, “On the reduction of deception in principal-agent relationships”. Universitat Jaume I, 23/10/2015. Co-supervised with Aurora García-Gallego. Extraordinary Prize. First employment: University of Zürich, Switzerland.

PRIZES:

- Prize to research excellence as a member of the Experimental and Computational Economics Research group, awarded by the Social Council of the University Jaume I of Castellón (Spain), 2014.
- Prize to teaching excellence awarded by the Social Council of the University Jaume I of Castellón (Spain), 2013.
- Young Entrepreneurs Prize awarded by the Bancaja Foundation to the “Experimentia” Business Project, Valencia (Spain), 2007.
- Academic Entrepreneurs Prize as a member of the Laboratory of Experimental Economics (LEE) from the Universitat Jaume I awarded by the Everis Foundation to the “Experimentia” business project, Madrid (Spain), 2006.

OTHER:

- Co-founder and Project Manager of Experimentia Consulting S.L. since 2006.
- Elected Member of the University Cloister since 18-06-2006.
- Co-Leader of the Research Group and member of the internal Ethics Committee of the *Laboratorio de Economía Experimental y Computacional*
- Co-founder and Vice-president of the Alumni Association from the Universitat Jaume I de Castellón (SAUJI) since 01-03-1999.
- LANGUAGES: English, French, German, Italian, Spanish and Catalan.