



NEXUS-NESS

NEXUS NATURE ECOSYSTEM SOCIETY SOLUTION

Fair and sustainable resource allocation demonstrator of the multiple WEF E Nexus economic, social and environmental benefits for Mediterranean regions

GRANT AGREEMENT NUMBER 2042

Deliverable D1.4 Ethics issues Management Plan V1.1 30 December 2021

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WPI Leader and Task 1.5 Leader: WARREDOC, Fernando Nardi





**NEXUS-NESS - NEXUS NATURE ECOSYSTEM SOCIETY SOLUTION:
FAIR AND SUSTAINABLE RESOURCE ALLOCATION
DEMONSTRATOR OF THE MULTIPLE WEFE NEXUS ECONOMIC,
SOCIAL AND ENVIRONMENTAL BENEFITS FOR MEDITERRANEAN
REGIONS**

GRANT AGREEMENT NUMBER 2042

Deliverable D1.4

Ethics issues Management Plan

30 December 2021

WP1 Leader and Task 1.5 Leader: WARREDOC, Fernando Nardi

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Deliverable Identification

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Abstract	This deliverable provides the specific procedures and guidelines to be followed by the Consortium partners in order to ensure the NEXUS-NESS compliance with ethical and gender equality principles of the Responsible Research and Innovation, ethical principles for the Horizon 2020 and the EU documents on ethical aspects in research and innovation activities.		
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**Abbreviations**

CA	Consortium Agreement
DDP	Deliverable Development Plan DM: Deliverable Manager Mx: Month number QC: Quality Control QM: Quality Management
DoA	Description of Action (Annex I of the Grant Agreement)
EA	Exploitation Board
EAB	External Advisory Board
EB	Executive Board (EB)
EC	European Commission
EEC	External Ethical Committee
GA	Grant Agreement
GEA	General Assembly
MSUP	Multi-Stakeholder and User Platform
NEL	Nexus Ecosystem Labs
NNS	NEXUS-NESS Service
PC	Project Coordinator
PI	Principal Investigator
PM	Project management
PO	Project Officer
PR	Project Review
RP	Reporting Period
RRI	Responsible Research and Innovation
WP	Work Package of the Project consisting of tasks and subtasks
WPL	Work Package Leader

1. Purpose of the Deliverable

The purpose of this deliverable, the **NEXUS-NESS Ethics Issues Management Plan (EMP)** is to assist the Consortium partners to deal with ethical issues that will or may arise in the context of NEXUS-NESS Project. It is developed primarily for internal use within the Consortium, but it may serve the extended network of NEL stakeholders and all actors involved into the WEFE Nexus mainstreaming strategies in the four countries where case studies (i.e. Living Labs of Nexus-Ness) are developed.

2. Introduction

In line with Responsible Research and Innovation (“RRI”) principles, the project intends to produce socially acceptable outcomes of its innovation processes ensuring fair and sustainable allocation of resources, mitigation of conflicts and inclusive transition towards Water-Energy-Food-Ecosystems (hereinafter – “WEFE”) Nexus approach.

One of the core elements of the NEXUS-NESS project is the co-production and co-testing of the WEFE Nexus management plans in collaboration with local stakeholders engaged in four living labs in Italy, Spain, Tunisia and Egypt.

The Project will engage local stakeholders as important actors and co-creators of NEXUS-NESS solutions by deployment of transdisciplinary and participatory approaches and the RRI Roadmap¹ with its Ethics and Gender dimensions.

The present EMP reflects the Consortium’s commitment to conduct RRI “**With and For society**”. It is designed to ensure the NEXUS-NESS compliance with the ethics requirements and relevant national and European law, international conventions, applicable codes of conduct and the requirements of the Grant and Consortium Agreements.

The EMP identifies and addresses the **main ethical issues** that may arise in the context of the NEXUS-NESS project, in particular, impacting:

- the **decision making and workplan development process** of NEXUS-NESS;
- the **participation of citizens and other stakeholders** in meetings as well as on-site in relation to innovation processes, data collection, processing and storage and personal data protection
- and any **general or specific ethical issue affecting the implementation of the project’s activities** especially in non-EU countries and fair sharing of generated benefits with them, fair allocation of resources, gender balance and other inequality issues relevant for the project, as well as intellectual property rights.

The document is organized as follows:

- Section 3 describes the main ethical principles to be followed by the Project.
- Section 4 provides a summary of the policy and legal framework related to the ethical aspects of the project.
- Section 5 describes the general management procedures adopted within the Consortium to ensure NEXUS-NESS compliance with ethics and legal requirements.
- Section 6 explains how key ethical issues will be addressed during the project implementation.
- Section 7 will be further developed as the project evolves and specific challenges and ethical issues arise within the Nexus Ecosystem Labs (hereinafter - “NELs”).

As a **living document**, it will be updated whenever necessary. From the workplan it is stated for D1.3 “**M6 and periodic updates as needed**”.

Relation to other deliverables and milestones

¹ Schneider, Xenia. (2019). The Responsible Research and Innovation (RRI) Roadmap.

The present EMP relates to other NEXUS-NESS deliverables, including:

- *D1.1 (Project Management Plan)* which describes the management structure of the Consortium, including the role of the External Ethical Committee (hereinafter - “EEC”);
- *D1.3 (Data Management Plan)* which includes information on overall data collection and management procedures within the project;
- *D2.1 (NEL EIA Methodology)*;
- *D2.2 (NEL EIA Report)*;
- *D2.3 (Gender dimension for Nexus Ecosystem Lab Innovation Ecosystem)* which highlights how each NEL handles the gender dimension in the NEL activities and involved organisations;
- *D2.4 and D2.5 both related to the Multistakeholder User Platform (hereinafter - “MSUP”)*;
- *D3.1. Nexus Ecosystem Lab*;
- *D3.5 Pathways to impact and capacity building.*

The milestones which are of particular relevance for this EMP are as follows:

- *M1.1 Governing bodies established and functional*, including the External Ethical Committee (hereinafter - “EEC”);
- *M2.1 NEL Ecosystem Innovation Master Class completed*;
- *M2.2 Satisfaction target for gender inclusion and balance across stakeholder achieved.*

The combination of the aforementioned documents, including the present Ethics issues Management Plan, guarantees that all ethical issues are duly addressed in the project.

3. Ethical Principles

Innovation processes in NEXUS-NESS will be fully compliant with the ethical principles foreseen in Article 19 of *Regulation (EU) 1291/2013 of the European Parliament and of the Council of 11th December 2013, establishing Horizon 2020, - the Framework Programme for Research and Innovation (2014-2020)*², articles 13 and 168 of the Treaty on the Functioning of the European Union (hereinafter - TFEU).

In accordance with the aforementioned articles, NEXUS-NESS pays a particular attention to the following principles and ethical aspects:

- principle of **proportionality**;
- the right to **privacy**;
- the right to the **protection of personal data**;
- the right to the **physical and mental integrity of a person**;
- the right to **non-discrimination**;
- the need to ensure **high levels of human health protection**.

The NEXUS-NESS innovation activities and their results have an exclusive focus on civil applications.

All activities within the NEXUS-NESS project are implemented in line with the basic principles of *reliability, honesty, respect and accountability* envisaged by the European Code of Conduct for Research Integrity (ALLEA - the European Federation of Academies of Sciences and Humanities)³.

The project meets the **reliability principle** by ensuring the quality of research and innovation activities, reflected in the design, the methodology, the analysis and the use of resources.

²REGULATION (EU) No 1291/2013 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 11 December 2013 establishing Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020) and repealing Decision No 1982/2006/EC (Text with EEA relevance)

https://ec.europa.eu/research/participants/data/ref/h2020/legal_basis/fp/h2020-eu-establact_en.pdf

³ ALLEA - the European Federation of Academies of Sciences and Humanities. (2017). https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/european-code-of-conduct-for-research-integrity_horizon_en.pdf

In accordance with the honesty **principle**, developing, undertaking, reviewing, reporting and communicating of the project and its results will be carried out in a transparent, fair, full and unbiased way.

In addition, NEXUS-NESS ensures **respect** for colleagues, research participants, society, ecosystems, cultural heritage and the environment and **accountability** for the project activities from idea to publication, for its management and organisation, for training, supervision and mentoring, and for its wider impacts.

4. Policy and Regulatory framework

It is important to note that ethics compliance are among contractual obligations of the Consortium partners. As foreseen in *Article 34* of the Grant Agreement (hereinafter – the “GA”) the Consortium members must ensure the project’s compliance with ethical principles, the highest standards of research integrity and applicable international, EU and national law.

Along with ethical principles (see Section 3 of this deliverable) all NEXUS-NESS activities will comply with the Charter of Fundamental Rights of the European Union, the European Convention on Human Rights (and its Supplementary Protocols), EU Regulation 2016/679 on data protection (hereinafter - GDPR)⁴, and the European Code of Conduct for Research Integrity, EU legislation and strategic plans on gender equality and other relevant national, Union and international law.

Respect for cultural, religious and linguistic diversity, non-discrimination, equality between women and men, environmental protection, respect of the rights of persons with disabilities, the right to personal data protection and other human rights specified in the *Charter Of Fundamental Rights Of The European Union*⁵ are crucial for successful implementation of NEXUS-NESS in accordance with the RRI Roadmap.

The human rights envisaged in the *European Convention on Human Rights and its Supplementary protocols*, including the right to respect for private and family life (Article 8⁶), are also of fundamental importance for the project and NEXUS-NESS will respect them, in particular while implementing activities regarding personal data collection and processing during the project capacity building and other NEL workshops, development and exploitation of the multi-stakeholders user platform among others activities.

All the requirements of the *EU Regulation n. 679/2016* (hereinafter – “GDPR”)⁷ applies to the data processing in NEXUS-NESS as well.

NEXUS-NESS will follow good practices specified in the *European Code of Conduct for Research Integrity*⁸. It will also avoid any violations of research integrity, including research misconduct and other unacceptable practices foreseen in the European Code of Conduct for Research Integrity⁹.

⁴ 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) (Text with EEA relevance) <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A02016R0679-20160504>

⁵ CHARTER OF FUNDAMENTAL RIGHTS OF THE EUROPEAN UNION. <https://eur-lex.europa.eu/legal-content/EN/TXT/HTML/?uri=CELEX:12012P/TXT&from=EN#d1e189-393-1>

⁶ European Convention on Human Rights. https://www.echr.coe.int/Documents/Convention_ENG.pdf

⁷ 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) <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=celex:32016R0679>

⁸ ALLEA - the European Federation of Academies of Sciences and Humanities. (2017). https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/european-code-of-conduct-for-research-integrity_horizon_en.pdf

⁹ ALLEA - the European Federation of Academies of Sciences and Humanities. (2017). https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/european-code-of-conduct-for-research-integrity_horizon_en.pdf



The NEXUS-NESS Consortium partners will respect *EU legislation and strategic plans on gender equality*, including the EU Gender Equality Strategy 2020-2025¹⁰.

NEXUS-NESS will also contribute to the achievement of the goals of the United Nations 2030 Agenda for Sustainable Development and the European Green Deal.

In addition to the aforementioned international and EU law and policy documents and guidelines, NEXUS-NESS will respect the requirements of the applicable national law of the countries involved, both EU and non-EU countries (Spain and Italy as well as Tunisia and Egypt respectively), with regard to project's activities carried out on their territory.

5. Procedures to assure Ethics within NEXUS-NESS

The NEXUS-NESS management procedures include the establishment of a consortium body, the **External Ethical Committee (EEC)**, responsible for supporting the NEXUS-NESS governance and partners in monitoring the project's compliance with relevant legal provisions and ethical requirements.

If necessary, the Consortium will seek the approval of the ECC prior to the beginning of relevant innovation activities. In addition, as foreseen in the GA, in case an activity raises an ethical issue, the Consortium partners must obtain:

- any ethics committee opinion required under national law;
- any notification or authorisation required under national and/or European law for the activities that raise the ethics issue.

5.1. External Ethical Committee (EEC)

The NEXUS-NESS governance structure includes the External Ethical Committee (hereinafter - the "EEC") in order to ensure the project's compliance with relevant ethics issues, in particular by providing independent advice to the General Assembly (hereinafter – the "GEA") and the Executive Board (hereinafter – the "EB") to adhere to ethics requirements.

The EEC consists of scientists and professionals with demonstrated expertise in ethical aspects, including gender balance and social inclusion issues, linked to topics and actions related to the NEXUS-NESS Project.

The EEC currently consists of:

- **Johanna Koehler** – Assistant Professor of Environmental Policy & Governance, Vrije Universiteit Amsterdam, The Netherlands;
- **Gulnar Wakim** – Specialist in the Arab Society and in the Situation of Women in the Arab World, Lecturer at the Lebanese American University and the Lebanese University, Lebanon;
- **Sanaa Zebakh** – Researcher and international expert on agricultural research governance and science, Institut Agronomique et Vétérinaire Hassan II: Rabat, Morocco;
- **Margaret Atosina Akuriba** – Department of Applied Economics, School of Economics and Management Sciences, University for Development Studies, Nyankpala Campus, Tamale, Ghana.

The final composition of the EEC was approved by the GEA decision of March 31st, 2022. See GEA minutes in the Project repository.

¹⁰ COMMUNICATION FROM THE COMMISSION TO THE EUROPEAN PARLIAMENT, THE COUNCIL, THE EUROPEAN ECONOMIC AND SOCIAL COMMITTEE AND THE COMMITTEE OF THE REGIONS A Union of Equality: Gender Equality Strategy 2020-2025. <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A52020DC0152>



The members of the ECC will advise NEXUS-NESS on gender and other ethics issues during the project's lifetime. In particular, the EEC will:

- monitor the proper implementation of the present Ethics Issues Management Plan;
- review of the ethics related documents and deliverables;
- advice the Consortium partners and bodies regarding the ethics and gender dimension of interest for any direction, method, activity and outcome of the Project;
- participate in the Project events and provide feedback to the Consortium;
- provide inputs to the EB in relation to gender, social inclusion and other ethical issues related to the project. The project coordinator (UNISTRAPG) supported by partners in charge of tasks that coordinate ethics, NELs and innovation processes (UNIFI, SSSA and XPRO) prepares periodical report, as needed when/if ethical issues arise.

6. Key ethical issues

The key ethical issues that may arise during the NEXUS-NESS implementation are mainly related to:

- Stakeholders participation in Innovation Actions.
- Data collection and management, including the protection of personal data and privacy of the projects participants;
- Implementation of the Projects activities in Non-EU countries, namely Egypt and Tunisia;
- Assuring equal opportunities and addressing inequalities and vulnerabilities, with a particular reference to a gender dimension and fair allocation of resources;
- Intellectual property rights issues, including those related to authoring publications, proper acknowledgement and dealing with plagiarism.

6.1. Stakeholder engagement in Innovation Actions

6.1.1. Protocol for stakeholder engagement in Innovation Actions

NEXUS-NESS foresees the creation of four Nexus Ecosystem Labs (hereinafter - "NELs") located in Italy, Spain, Egypt and Tunisia and built on the Living Labs and RRI principles. Through the NELs, relevant regional and local stakeholders from all WEFE sectors (policy-makers and policy implementers, scientists, managers and technicians, farmers and food industry representatives, citizens as consumers) will be engaged following the RRI Roadmap, World Café and other participatory methodologies.

The stakeholders will be engaged in NEXUS-NESS through Mobilization and Mutual Learning participatory workshops (hereinafter - "MML") that will be organised face-to-face and online.

The main goal of the MML workshops is to collect information on the stakeholders' needs, goals and ideas about the current state of WEFE Nexus in their respective river basin and what is their vision for the future state WEFE Nexus.

In order to effectively engage all stakeholders, including the private sector and create long-lasting Innovation Ecosystems based on collaboration among academia, industry, different levels of the public sector and citizens, the Multi-stakeholder User Platform (hereinafter - "MSUP") will be also developed.

Thus, the stakeholders will contribute to the project mainly as:

- MML and other participatory workshops participants;
- MSUP users.

The following guidelines must be respected by each Consortium partner dealing with the stakeholders engagement:



- Participation of the NELs stakeholders in the NEXUS-NESS innovation activities must be on a *voluntary basis* and with a possibility to withdraw at any point. This is highlighted in the Informed consent template (Annexes 1-2) signed by project participants and stakeholders.
- *Gender responsive and socially inclusive approach* must be adopted while recruiting participants of the NEXUS-NESS workshops, in order to ensure the interests and guarantee equal opportunities to participate of every stakeholder. The Consortium will ensure that the stakeholders' engagement procedure is fair and that the diversity and non-discrimination principles are respected.
- *All four sectors (water, energy, food and ecosystems)* must be represented and engaged in the same workshops, including agencies and CSOs dealing with the preservation and management of ecosystems to fully cover each of the four dimensions of the WEF Nexus.

The project activities and workshops are designed and implemented in such a way to ensure a trusting, respectful and equal environment for all stakeholders involved, none of the workshops will include any sensitive topics which might cause psychological stress, anxiety or humiliation, deception, or any potential increased danger to participants.

All project participants (including citizens and representatives of the organisations involved) must be provided with detailed information about the NEXUS-NESS project, its objectives and innovation activities, including the World café methodology, as well as the contact details of the Consortium team member responsible for the activity (a respective NEL Leader).

Specific procedures must be implemented to obtain *informed consents*¹¹ to the terms and conditions of the project from participants of the surveys and other project activities, including the MML workshops. In particular, before the beginning of the MML workshops all participants will be asked to sign an informed consent form (Annexes 1-2), after being duly informed of the NEXUS-NESS project's activities and its objectives.

Participants will normally give their consent in writing (e.g. by signing the informed consent form and information sheets specified below). In accordance with the European guidance on Ethics¹², if consent cannot be given in writing, for example due to illiteracy, non-written consent will be formally documented and independently witnessed.

The informed consent form will explain the type of research and innovation activities and the entirely voluntary basis of the participation; therefore, no negative consequences are related to a withdrawal of the consent. Through the informed consent, all participants will be also informed on the use of their data, both personal and other data they contribute to the project, within the Project (For more details please see Section 6.2. of this Deliverable).

The informed consent form is accompanied with an *information sheet* which is an integral part of the informed consent form specified in Annexes 1-2. The informed consent explains in more detail the role of a person or an organisation in the project, the time required for participation in the project and other relevant information in order to make informed decision on whether joining the project or not, in particular:

- the list of the Consortium partners;
- expected outcomes of the project and overall workplan;
- risks and benefits of joining the project;
- storage and use of participant's data and information;

¹¹ According to the definition used by the European Commission, informed Consent is “*the decision, which must be written, dated and signed, to take part in research, taken freely after being duly informed of its nature, significance, implications and risks*” (European Commission (2013). Ethical Review in FP7. Guidance for Applicants: Informed Consent. https://ec.europa.eu/research/participants/data/ref/fp7/89807/informed-consent_en.pdf)

¹² European Commission, Directorate-General for Research & Innovation (2019). Horizon 2020. Guidance “How to complete your ethics self-assessment”. https://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/ethics/h2020_hi_ethics-self-assess_en.pdf

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- confidentiality and anonymity issues;
 - information on how to withdraw the project.

The information sheet is thought to be informative but brief in order to make the potential participants read it in full and understand it. It is intended to verify if participants understand that i) they are free to withdraw the project at any stage and their participation is voluntary, ii) they are free to ask any questions to the responsible project's representative(s), iii) the ways their data will be collected, processed, used and stored, and who will have access to the data they provided, iv) the data they shared will be de-identified.

To ensure better understanding of the project's activities, expected outcomes and the stakeholder's roles, the brochures will be developed specifically for each NEL in the **stakeholder's languages** (*not only native languages but also considering multi-sector and multi-actors involved, thus using the local language and the technical level that is clear for anyone reading/using it*). The textual part of the brochures has a visual support with pictures and illustrations not only guaranteeing the visual identity of the project but also enhancing the informative function of the brochures and facilitating the understanding of the project by stakeholders.

The template for informed consent with information sheets for MML and other NEL workshops participants and interviewees is provided in Annexes 1-2 to the present EMP and in its future updates.

Additionally, the project will use **questionnaires** asking the stakeholders involved (farmers, water managers, food sector businesses, local policy-makers and implementers) to provide information needed for the project successful implementation, in particular on farming agronomic practices, technology and personnel involvement. Any survey, including online one, in NEXUS-NESS should be accompanied by information presenting the Consortium and explaining the project, its purpose and potential benefits in a foreword to the questionnaires.

A specific informed consent form will be developed for the MSUP, Open Geoportal and NNS users and published at the respective websites.

All the informed consent forms developed for the purposes of the project must be fully compliant with the GDPR requirements from the point of view of data processing (see more details on this in the Section 6.2 "Ethics issues related to data processing" of this deliverable).

The project will not directly involve children, youngsters or other people unable to give informed consent, though their interests will be ensured through the engagement of the civil society organisations working in the field of youth and social inclusion.

6.2. Ethics issues related to data processing

The data collected in the project will be wide-ranging, in particular environmental, socio-economic and institutional as well as related to personal data/information.

NEXUS-NESS has opted for the Open Research Data Pilot (please see Deliverable 1.3 "Data management plan" for more details), which aims to open most of the data produced by the project with minimal restrictions possible, while protecting sensitive and confidential data from unauthorized access and use.

The specific requirements regarding confidential information and the protection of personal data and privacy, including the GDPR provisions, will be duly applied in the project.

Therefore, there are 2 main ethical issues related to data management that potentially may arise during the project: i) *confidentiality of the information and data* contributed to the project by stakeholders and ii) *protection of personal data and privacy* of the project's participants acting on their own behalf or representing their organisations. The issues are analysed in Sections 6.2.1 and 6.2.2. respectively.



For details on overall data management and processing within NEXUS-NESS, see D.1.3 (Data Management Plan).

6.2.1. Confidentiality

It is expected that most of the required data is publicly available free of charge from governmental and non-governmental sources, including Open data repositories. In the unlikely event that any data compiled is not intended for public use, it will be kept confidential by the project. In this case Article 36 of the GA applies.

With regard to the NELs' workshops, the confidentiality of information and data provided by stakeholders and their anonymity will always be respected, if requested by the stakeholders.

As a general rule, in order to create a trusted environment the project will apply the Chatham House Rule with the following guiding principle: “*share the information you receive, but do not reveal the identity of who said it*”¹³.

The Rule states as follows: “*When a meeting, or part thereof, is held under the Chatham House Rule, participants are free to use the information received, but neither the identity nor the affiliation of the speaker(s), nor that of any other participant, may be revealed*”¹⁴.

In line with the aforementioned rule, stakeholders participating in the NELs and sharing information using the MSUP (i.e. Nexushare as renamed in related deliverable/milestone reports) will be duly informed of the rule and that no statements will be attributed. In workshops and meetings statements of participants may be quoted or attributed only with their permission.

The participants will be provided with draft documents for their prior approval before any publication and be given the opportunity both in advance and after meetings to decide if they wish their comments to be attributed or not.

6.2.2. Protection of personal data and privacy

NEXUS-NESS pays a particular attention to the protection of personal data and privacy of the project's staff and participants.

In accordance with Article 8 of the *Charter Of Fundamental Rights Of The European Union*, everyone has the right to the protection of personal data concerning him or her and such data must be processed fairly for specified purposes and on the basis of the consent of the person concerned or some other legitimate basis laid down by law.

The project will respect this fundamental right through adoption of the specific technical and organizational security measures compliant with the GDPR requirements (Article 32¹⁵) in relation to the collection and processing of personal data in meetings, workshops, surveys, interviews, web-based solutions and digital platforms, capacity building, dissemination and other activities within NEXUS-NESS.

¹³ Chatham House. Chatham House Rule. <https://www.chathamhouse.org/about-us/chatham-house-rule>

¹⁴ Chatham House. Chatham House Rule. <https://www.chathamhouse.org/about-us/chatham-house-rule>

¹⁵ 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) (Text with EEA relevance) <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A02016R0679-20160504>



The project might use personal data generated or processed by electronic networks (e.g. data relating to ‘cookies’, internet usage or electronic network traffic), in such case, the compliance with the EU Directive on privacy and electronic communications must be ensured¹⁶.

The Consortium partners must ensure that “the data are properly protected, minimized, and destroyed when no longer needed”¹⁷. NEXUS-NESS will avoid unauthorized collection and/or (mis)use of personal data.

The GA also contains the Consortium partners’ obligation to respect the requirements of applicable EU and national law on data protection while processing personal data (Article 39.2 of the GA). In accordance with the GA, all the personnel whose personal data are collected and processed within the project and by the PRIMA Foundation or the Commission will be duly informed.

For further details on data collection and processing in non-EU countries involved in NEXUS-NESS see also Section 6.3.3 of this deliverable.

Definition of personal data

The project will protect personal data, i.e. “any information relating to an identified or identifiable natural person” (Article 4(1) of the GDPR), against unauthorized access, modification and loss.

In accordance with the GDPR, “an identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person”¹⁸ (Article 4 (1)).

It is important to take into consideration Recital 26 of the GDPR which specifies that “to determine whether a natural person is identifiable, account should be taken of all the means reasonably likely to be used, such as singling out, either by the controller or by another person to identify the natural person directly or indirectly”¹⁹.

In particular, “personal data which have undergone pseudonymisation, which could be attributed to a natural person by the use of additional information, should be considered to be information on an identifiable natural person”.

At the same time, the data protection principles envisaged by the GDPR does not “apply to anonymous information, namely information which does not relate to an identified or identifiable natural person or to personal data rendered anonymous in such a manner that the data subject is not or no longer identifiable”²⁰.

Types of personal data collected and processed by NEXUS-NESS

¹⁶ Consolidated text: Directive 2002/58/EC of the European Parliament and of the Council of 12 July 2002 concerning the processing of personal data and the protection of privacy in the electronic communications sector (Directive on privacy and electronic communications) <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A02002L0058-20091219>

¹⁷ European Commission, 2018. Ethic and Data protection

¹⁸ 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) (Text with EEA relevance) <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A02016R0679-20160504>

¹⁹ 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) (Text with EEA relevance) <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A02016R0679-20160504>

²⁰ 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) (Text with EEA relevance) <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A02016R0679-20160504>

The project's activities may require collection of personal data from the NELs participants. Particularly, they may be asked the following information: name, contacts, type of employment, age, sex, type and level of education, work qualification, interests regarding the WEF Nexus and project's activities and services. No personal data that is not necessary to achieve the goals of the innovation activities tasks will be collected.

The project does not collect or process any data related to special categories indicated in Article 9 of the GDPR, i.e. *data on racial or ethnic origin, political opinions, religious or philosophical beliefs, or trade union membership, genetic data, biometric data for the purpose of uniquely identifying a natural person, data concerning health or a natural person's sex life or sexual orientation*).

Additionally, the project does not foresee the processing operations related to profiling, automated decision-making, data-mining techniques, big-data analytics and artificial intelligence, which pose higher risks to the rights and freedoms of data subjects.

It is important to note that the project's activities do not include any tracking of participants (e.g. localization data and/or WAN data, such as IP or MAC addresses, etc.). However, "cookies" might be used in the project's website, the MSUP (including the Open Geoportal) and the NNS to help analyse how users use them. NEXUS-NESS may use services like Google Analytics in order to track how many people access the project's website and its digital solutions (the MSUP (including the Open Geoportal) and the NNS). All the project's web platforms will be compliant with the GDPR.

Technical and organisational measures to protect personal data

In accordance with the Article 32 of the GDPR, a set of measures will be adopted for different types of the NEXUS-NESS project activities and digital solutions to ensure:

- (a) the **pseudonymisation and encryption of personal data** collected and processed during the project;
- (b) measures ensuring the ability to ensure the ongoing confidentiality, integrity, availability and resilience of processing systems and services;

Protection of personal data and privacy will be ensured for functioning of the NNS, the MSUP websites and the Open Geo-information portal as well as for the NEXUS-NESS capacity building activities (Summer/Winter schools and MOOCs).

When choosing the specific measures, NEXUS-NESS will assess and take into account the risks of varying likelihood and severity for the rights and freedoms of natural persons. The detailed information on the measures will be reported in Section 7 in future updates of the EMP.

As a general rule, NEXUS-NESS will adopt anonymous codes for the personal identification and registration of correspondence between identity and code on a dedicated computer with limited access.

As foreseen in Article 39.2 of the GA, the Consortium partners will grant their personnel access only to data that is strictly necessary for implementing, managing and monitoring the project and the GA.

Where applicable in accordance with the Article 37 of the GDPR, Consortium partners will appoint a Data Protection Officer responsible for the project's compliance with GDPR rules on behalf of the partner.

Informed consent and privacy statements

Informed consent for data processing for the purposes of the project will be obtained from the participants of the project's NEL workshops, other events, and interviews. It also will be included in questionnaires with personal data published on the NEXUS-NESS website and the MSUP.



A **privacy policy** will be published on the project's, the MSUP and other websites (if any) developed for the purposes of the project regarding the use of Google Analytics services (or similar), "cookies" or other data generated or processed by electronic networks (if any). A dedicated service (e.g. Iubenda, Termly, TermsFeed) will be used for adhering to international/national standards for privacy policy.

Related templates of the Privacy policy will be presented in the Annexes in the updates of the present EMP.

Through the **informed consent templates**, according to the GDPR, each project's participant is duly informed of his/her rights to:

- i) access his/ her personal data (Article 15 of the GDPR);
- ii) rectification of inaccurate personal data concerning him / her (Article 16 of the GDPR);
- iii) request the personal data to be erased from the database (Article 17 of the GDPR);
- iv) restrict processing of personal data for certain purposes (Article 18 of the GDPR).

In accordance with Article 4 of the GDPR, **data controller** means the natural or legal person, public authority, agency or other body which, alone or jointly with others, determines the purposes and means of the processing of personal data. The data controller within NEXUS-NESS is the Project Coordinator.

In order to ensure fair and transparent processing of personal data and provide data subjects with necessary information at the time when personal data are obtained, the Informed Consent template contains the information listed in the Article 13 GDPR, in particular:

- i) the identity and the contact details of the data controller,
- ii) the contact details of the data protection officer, where applicable;
- iii) the purposes and the legal basis for personal data processing;
- iv) the recipients or categories of recipients of the personal data, if any;
- v) the period for which the personal data will be stored;
- vi) the existence of the data subjects rights to withdraw consent at any time, to request from the controller access to and rectification or erasure of personal data or restriction of processing concerning the data subject or to object to processing as well as the right to data portability;
- vii) the right to lodge a complaint with a supervisory authority.

Personal data protection shall be guaranteed also in the case of data transfer in non-EU (third) countries (see section 6.3.3. on this issue).

At the current stage of the project, there are two types of the informed consent template compliant with the GDPR rules: (i) for the **NEL workshops participants (Annex 1 to this deliverable)** and (ii) for **interview participants (Annex 2 to this deliverable)**.

For more information please see Section 6.1 and the Annexes 1-2 of this Deliverable.

6.3. Non-EU countries

Countries involved in the NEXUS-NESS project are Italy, Cyprus, France, Germany, Spain, Egypt, Tunisia.

NEXUS-NESS created 4 Nexus Ecosystems Lab (NELs) linked to real case studies that will work as WEFE Nexus living laboratories. Two out of 4 NELs will be set up in Italy and Spain and two in non-EU-countries, namely Egypt and Tunisia.

6.3.1. Ethics requirements for non-EU countries

All activities carried out in Egypt and Tunisia will have the same ethical and legal standards required for the European NELs, while respecting national laws and local culture.

6.3.2. Fair benefit-sharing with non-EU countries

Co-creation is the cornerstone of the NEXUS-NESS project. The success of the project highly depends on collaboration with the stakeholders, located both in and outside the EU, and their inputs, knowledge and data.

The benefits and results of the project's innovation processes and capacity building activities will be shared in a fair way with the non-EU project partners and local stakeholders (local authorities, researchers, civil society organisations, farmers and private sector and others) from Egypt and Tunisia.

All Consortium partners, including the partners from Egypt and Tunisia, are invited to participate in the partner's meetings, conferences and other events organised by NEXUS-NESS (both online and in person), including the General Assembly meetings.

For the purposes of face-to-face meetings and events, all the partners have a budget for travel and accommodation. Besides, NEXUS-NESS partners from non-EU countries must be provided with necessary assistance with visa related issues (invitations) by the organisation hosting a face-to-face meeting or event.

6.3.3. Transfer of data between EU and non-EU countries

The Consortium partners from Tunisia and Egypt will be in charge of data collection within the NELs and, when needed, of its transfer to the EU partners.

NEXUS-NESS activities within the Tunisia and Egypt NELs may require collection of personal data. However, no personal data will be transferred to or from Tunisia and Egypt as far as **all personal data will be de-identified before transfer of any data between EU and non-EU countries**.

6.4. Equal opportunities and addressing inequalities

As highlighted in UN WOMEN report "Turning promises into action: Gender Equality In The 2030 Agenda For Sustainable Development"²¹, gender equality is crucial for sustainable development and all the sustainable development goals (SDGs). Moreover, globally, women are key actors in water and food systems of the project's interest, and they are particularly exposed to the use of unsafe energy sources and to the degradation of ecosystems.

Recognising it, the project adopts a *gender responsive and socially inclusive approach* and addresses context-specific aspects of inequality and exclusion in the different EU and African NELs.

Along with the gender dimension, NEXUS-NESS will pay a particular attention to the issues related to *youth* and social inclusion, considering that gendered inequalities are *crosscut by intersectional disparities by class, caste, ethnicity, age, religion as noted in the IWMI's Gender and Inclusion Strategy 2020-2030*²².

²¹ UN Women (2018). TURNING PROMISES INTO ACTION: GENDER EQUALITY IN THE 2030 AGENDA FOR SUSTAINABLE DEVELOPMENT. <https://www.unwomen.org/sites/default/files/Headquarters/Attachments/Sections/Library/Publications/2018/SDG-report-Gender-equality-in-the-2030-Agenda-for-Sustainable-Development-2018-en.pdf>

²² International Water Management Institute (IWMI). 2020. IWMI Gender and Inclusion Strategy 2020-2023: new landscapes of water equality and inclusion. Colombo, Sri Lanka: International Water Management Institute (IWMI). 16p. doi: <https://doi.org/10.5337/2020.205>, https://www.iwmi.cgiar.org/About_IWMI/PDF/iwmi-gender-and-inclusion-strategy-2020-2023.pdf

NEXUS-NESS addresses *gender related issues* in the NELs through Task 2.3 “Integrating gender dimension into NEL Innovation Ecosystem” aimed at guaranteeing that a gender responsive and socially inclusive approach based on NEL Ecosystem Innovation is implemented in the NELs. Additionally, all components of the WP2 (“Multi-actor Innovation Ecosystem Approach and RRI”) will have a focus on tackling and transforming deep-rooted gender norms, as well as other exclusion barriers and challenges.

The Project is aimed at providing solutions for *fair allocation of natural resources*, while ensuring environmental protection. NEXUS-NESS intends to collect WEF E Nexus needs, goals and ideas of relevant stakeholders, with an aim to further co-design and co-construct project activities with the stakeholders and the consortium partners, in accordance with the RRI Roadmap methodology through MML participatory workshops, providing the stakeholders with science-informed information and knowledge on how uneven use of resources can be mitigated.

In particular, the project foresees the development of an integrated socio-environmental and economic assessment of the multiple benefits of transitioning towards a WEF E Nexus approach with specific focus on methodologies for accounting for (in)equality and distributional impacts.

6.4.1. Gender dimension

Aim for *gender equality* is a contractual obligation of all the Consortium members. As foreseen in Article 33.1 of the GA the Consortium members must take all measures to promote equal opportunities between men and women in the implementation of the project.

These measures go in two directions: the achievement of a gender balance at all levels of personnel assigned to the action, including at the supervisory and managerial level and the inclusion of the gender dimension into the actions carried out at NELs level, as foreseen in Task 2.3.

With regards to gender balance, following the European Commission’s Gender Equality Strategy 2020-2025²³ and the Strategy on gender equality in research and innovation policy (Horizon 2020) (hereinafter – “Strategy on gender equality in Horizon 2020”), gender balance is fostered in the NEXUS-NESS project team and the decision-making structure.

The decision-making structure within NEXUS-NESS complies with the targets indicated in the Strategy on gender equality in Horizon 2020, being the exploitation and the executive board formed by three male and three female members each.

Regarding the inclusion of the gender dimension into the activities of the NELs, the project will seek to capture and measure gender impacts with regard to WEF E dimensions. The project will generate data and information on challenges to and opportunities for more gender-responsive WEF E implementations by drawing on indicators outlined in the UN WOMEN Turning Promises into Action report and the UN Expert Group Meeting recommendations, respectively.

Following the recommendations of the “Interim Evaluation: Gender equality as a crosscutting issue in Horizon 2020²⁴”, NEXUS-NESS considered the improvement of gender knowledge as a strategic objective for gender equality as a cross-cutting issue. This led to the implementation of a specific gender capacity-building, aimed

²³ COMMUNICATION FROM THE COMMISSION TO THE EUROPEAN PARLIAMENT, THE COUNCIL, THE EUROPEAN ECONOMIC AND SOCIAL COMMITTEE AND THE COMMITTEE OF THE REGIONS A Union of Equality: Gender Equality Strategy 2020-2025. <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A52020DC0152>

²⁴ European Commission, Directorate-General for Research and Innovation, Interim evaluation : gender equality as a crosscutting issue in Horizon 2020, Publications Office, 2018, <https://data.europa.eu/doi/10.2777/054612>



to avoid a lack of knowledge on gender issues among the project's team during the implementation of the action.

Understanding how to consider a gender perspective and perform gender and sex analysis is crucial to identify critical issues and raising awareness of gender equality among the stakeholders.

To summarize, *gender balance measures* within NEXUS-NESS include:

- gender balance monitoring;
- training for NEL Leaders, Task leaders and stakeholders on gender equality and social inclusion issues relevant to their role in the project, so they consciously identify and address these gaps in every population groups' capacities.
- The Consortium partners responsible for Gender dimension activities and tasks work directly with NEL Leaders encouraging them to adopt gender balanced approach in selecting stakeholders and organising workshops in the NELs.
- The NELs communities are being facilitated to incorporate gender balance approach. In particular, during NEXUS-NESS workshops it will be ensured that all participants of the NELs have an equal voice, thus, relevant facilitation measures will be taken to this end.

Gender balance monitoring will be implemented in the second half of the project through the identification of a set of quantitative and qualitative indicators related to:

- Gender representation in the consortium and its decision making structure;
- Vertical (gender representation at various levels of leadership) and horizontal (gender distribution across sectors of project work) participation of women in the project;
- Frequency of participation in project meetings;
- Gender composition of internal project governance structures;
- Gender balance in the public representation of the project at outreach events.

6.5. Intellectual Property Rights issues

All issues regarding the innovation management and intellectual property rights of the Consortium partners are addressed in the CA based on DESCA (Consortium Agreement Model) H2020 model and the GA.

All the Consortium partners must respect the rules specified in Section 8 and Attachment 1 of the CA as well as Articles 30 and 31 of the GA related to transfer of ownership and licensing of the results of the project and access rights to them respectively.

Section 9 of the CA regards Background and related Access rights.

Article 8.1 of the CA specifies that project's results are owned by the party that generates them. In case of joint ownership, the rules specified in Article 8.2. of the CA and Article 26.2 of the GA apply.

Most outputs, in particular those based on open data, are open access through a Creative Commons License. Proper citation of the project's public documents is requested. See the D1.3 Data Management Plan for more information.

The graphical materials (photos and illustrations) generated within the project are available to the PRIMA Foundation and the European Commission for reuse.

The NEXUS-NESS project will respect the European Code of Conduct for Research Integrity and avoid any violations of the research integrity related to intellectual property, including plagiarism.

Respect for the intellectual property rights of third parties and due acknowledgement of the project's contributors will be guaranteed by the following means:



- The publications process within the project will follow the **Vancouver protocol on publishing ethics** (e.g. on authorship) or the editorial guidelines such as in **PNAS** which states that “*Authorship should be limited to those who have contributed substantially to the work*”.
- Before using materials protected by copyright or other intellectual property rights of third parties the Consortium partners must properly inform the Project Coordinator about it and obtain all necessary permissions to be able to use the materials within NEXUS-NESS. The respective obligations must be imposed to the partner’s employees and suppliers.

7. Ethics challenges within the NELs

At the current stage of the project, NEXUS-NESS project team can provide first insights on challenges and issues regarding Gender dimension of the project that are reported in the Deliverable 2.3.

Furtherly, this section will report on the specific ethics challenges and issues in the NELs’ development, related to:

- NEL Stakeholders engagement;
- Data Management within the NELs;
- Protection of personal data and privacy within the NELs;
- NELs in Egypt and Tunisia;
- Equal opportunities and fair allocation of resources;
- Gender dimension in the NELs.

Next updates of this deliverable will include the following table with the fields that will be filled in as the ethics challenges in the NELs are encountered:

Category of ethics issue	NEL Spain	NEL Italy	NEL Tunisia	NEL Egypt
NEL Stakeholders engagement				
Data Management within the NELs				
Protection of personal data and privacy within the NELs				
NELs in Egypt and Tunisia				
Equal opportunities and fair allocation of resources				
Gender dimension in the NELs				

8. References

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3. Chatham House. Chatham House Rule. <https://www.chathamhouse.org/about-us/chatham-house-rule>
4. COMMUNICATION FROM THE COMMISSION TO THE EUROPEAN PARLIAMENT, THE COUNCIL, THE EUROPEAN ECONOMIC AND SOCIAL COMMITTEE AND THE COMMITTEE OF THE REGIONS A Union of Equality: Gender Equality Strategy 2020-2025. <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A52020DC0152>
5. Consolidated text: Directive 2002/58/EC of the European Parliament and of the Council of 12 July 2002 concerning the processing of personal data and the protection of privacy in the electronic communications sector (Directive on privacy and electronic communications) <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A02002L0058-20091219>
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10. European Commission, Directorate-General for Research and Innovation, Interim evaluation : gender equality as a crosscutting issue in Horizon 2020, Publications Office, 2018, <https://data.europa.eu/doi/10.2777/054612>
11. European Convention on Human Rights. https://www.echr.coe.int/Documents/Convention_ENG.pdf
12. International Water Management Institute (IWMI). 2020. IWMI Gender and Inclusion Strategy 2020-2023: new landscapes of water equality and inclusion. Colombo, Sri Lanka: International Water Management Institute (IWMI). 16p. doi: <https://doi.org/10.5337/2020.205>, https://www.iwmi.cgiar.org/About_IWMI/PDF/iwmi-gender-and-inclusion-strategy-2020-2023.pdf
13. 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) <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=celex:32016R0679>
14. REGULATION (EU) No 1291/2013 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 11 December 2013 establishing Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020) and repealing Decision No 1982/2006/EC (Text with EEA relevance) https://ec.europa.eu/research/participants/data/ref/h2020/legal_basis/fp/h2020-eu-establact_en.pdf
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9. Annex 1 – The informed consent form for the NEL Workshops of the NEXUS-NESS Project

Informed Consent Module

Participation in the Nexus Ecosystem Laboratory (NEL) of “**INSERT NEL-NAME**”

INSERT: “INSERT THE TITLE OF THE WORKSHOP”

NEXUS-NESS - NEXUS NATURE ECOSYSTEM SOCIETY SOLUTION: FAIR AND SUSTAINABLE RESOURCE ALLOCATION DEMONSTRATOR OF THE MULTIPLE WEFU NEXUS ECONOMIC, SOCIAL AND ENVIRONMENTAL BENEFITS FOR MEDITERRANEAN REGIONS

Grant Agreement number: 2042, NEXUS-NESS, Call 2020 Section 1 Nexus IA

Introduction

You have been invited to take part in the Mobilisation and Mutual Learning (NEL) workshop specified below.

Title: **INSERT “THE TITLE OF THE WORKSHOP”**

Held in: **INSERT FULL ADDRESS OF THE WORKSHOP**

Date: From **INSERT START TIME** on **INSERT DATE** till **INSERT END TIME** on **INSERT DATE** for a total duration of **INSERT NUMBER** hours.

Short Description: This is one of the NEL workshops organised in the framework of the project “NEXUS-NESS” The workshop will involve [state here the stakeholder types]. In particular, this workshop will hold a discussion on **INSERT: “TITLE OF THE WORKSHOP”**

Before making a decision on whether you want to participate or not in the NEL workshop described below, please read this document carefully. Ask all questions that you may have to be sure that you have understood all proceedings of the NEL workshop and results/ outcomes uses including risks and benefits.

This informed consent document may include words that you do not understand. If this is the case, please ask the NEL workshop contact person to fully explain to you the meaning of a word or a piece of information that you do not understand. We ensure the compliance with the current informed consent legislation at national and EU level.

NEL workshop contact person: **INSERT NAME**, e-mail: **INSERT E-MAIL ADDRESS**



PURPOSE OF THE NEXUS-NESS PROJECT

The NEXUS-NESS project aims to prototype a comprehensive data-driven technology – a WEF Nexus Service, namely Nexus Ness Service (NNS) – a solution to pressing needs and issues of stakeholders that shall be co-designed, co-developed, co-tested by multiple actors of the WEF Nexus. NNS shall work as a “funnel” conveying science-informed data, knowledge, and tools into “stakeholder’s language” to operationalize the WEF Nexus in the Mediterranean regions.

The NEXUS-NESS project in the **NEL** aims at **INSERT MAIN OBJECTIVES WITHIN THE RESPECTIVE NEL**.

In particular, the project will generate joint vision and a transformation plan for achieving Water-Energy-Food-Ecosystem NEXUS in order to improve **INSERT MAIN EXPECTED IMPROVEMENTS WITHIN THE RESPECTIVE NEL**.

This will be achieved through:

The overarching goal of the “Fair and Sustainable Resource Allocation Demonstrator of WEF Nexus Economic, Social and Environmental Benefits in the Mediterranean Region” project - namely NEXUS Nature Ecosystem Society Solution (NEXUS-NESS) - is linked to the following objectives:

- 1) Co-Produce and co-test with stakeholders WEF Nexus management plans for fair and sustainable allocation of resources by applying WEF Nexus data, knowledge and tools into real case conditions by:
- 2) Operationalize the adoption of the WEF Nexus by co-defining short- to long-term resource management plans and hands-on guidance through testing in the four NELs
- 3) Implement a WEF Nexus Innovation Ecosystem Approach by applying the Responsible Research And Innovation principles in the NEL and to engage the NEL Stakeholders through a Multi Stakeholder and User Platform.

The project is funded by the PRIMA Foundation for Partnership for Research and Innovation in the Mediterranean Area Programme under the European Commission’s Horizon 2020 and includes 13 partners in Italy, Spain, Cyprus, Germany, France, Tunisia and Egypt.

DURATION OF THE RESEARCH and INNOVATION ACTIVITIES

The NEXUS-NESS project will last 36 months from 01/06/2021 to 30/04/2024.

The NEL workshop **name** will be organised in **xxxxxx** from **xxx to xxx**. Each workshop may have a duration from a half day to 1 day in **NEL-location**.

The NEXUS-NESS Multi-User Platform will be co-conceptualized during the workshop(s) starting fall of 2022 and bring to operational use in the next phases of the project. MSUP development and operational use will continue for the whole duration of the project and after the project ends, for a period of at least five years.

The workshop entitled **INSERT: “Title of the workshop”** will start at **INSERT TIME** on **INSERT DATE** and end at **INSERT TIME** on **INSERT DATE** for a total duration of **INSERT NUMBER** hours.

RISKS OR INCONVENIENCES

No risk is foreseen. You are only requested to be available to participate in the workshop and the subsequent activities agreed by and with you.

BENEFITS

It is likely that you will not receive any personal benefit, besides learning about RRI and societal issues, from participating in the workshop and on the platform.

Your participation will provide a substantial contribution to:

- a common understanding and mutual learning about the topics and issues discussed in the NEL workshop,
- sharing knowledge with other stakeholders (researchers, local and regional authorities, farmers and farmer associations, Civil Society Organisations, citizens, industry, policy makers) at local, national and European levels,
- improving Responsible Research and Innovation.

PRIVACY AND CONFIDENTIALITY

- The data and images provided before, during and after the NEL workshops, on the Multi-Stakeholder User Platform (MSUP) and in any other participatory event in the framework of the NEXUS-NESS project will be stored (Videos on YouTube and the NEXUS-NESS Website, while personal data on the NEXUS-NESS Multi-User Platform).
- Stored data will include personal data: first name, family name, e-mail, organization, type of stakeholder, gender, age, interest in the WEFE-Nexus issues and NEXUS-NESS activities, services and web platforms.
- None of the provided personal data will be handed out to third parties.
- When using on-line services that require a registration on a third party's website, the data collected by this third party will be directly managed by them according to the privacy and informed consent that each user and the involved third party will agree upon. The user can refuse her or his registration with this third party, and consequently she or he cannot use those services.

A photographer and/or a film crew may be present in the workshop/conference room to film the event for illustration and information non-commercial purposes related to the activities of the NEXUS-NESS project and/or of the workshop organizing institution. The event may also be web streamed and recorded. Recordings may be visible to the public. The video and audio recordings made before, during and after the NEL workshops will be uploaded on the NEXUS-NESS Website, YouTube and Google Drive.

For disclosing data, further participant consent will be requested, if necessary.

The authorization to use and access your information will be valid unless you decide to cancel it.

In accordance with the *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)*, with



respect to your personal data, you provided within the interview, you have the **rights to:** i) access your personal data; ii) rectify inaccurate personal data concerning you, iii) request your personal data to be erased from the NEXUS-NESS database; iv) restrict processing of personal data for certain purposes.

Should a participant decide to deny her or his consent, she or he will contact the NEL workshop contact person and let them know about their intention to leave the NEL workshop or the platform.

Your decision about whether or not to authorise the use and dissemination of the information provided by you is completely voluntary. However, if you do not want to authorise the NEL workshop organisers to use your data now or if you cancel it in the future, you will not be able to participate in any workshop and activity organised in the framework of the NEXUS-NESS project.

Participants who do not agree to photographing, filming and use of their image, voice and data have to inform the NEL responsible contact person, before they complete their registration, at the following email addresses:

NEL workshop responsible contact person: **INSERT NAME**, e-mail: **INSERT E-MAIL ADDRESS**

CONTACT PERSONS

In case of any issue involving you in your role as participant of this NEL workshop, you are invited to inform the:

NEL workshop responsible contact person: **INSERT NAME**, e-mail: **INSERT E-MAIL ADDRESS**

Data Controller: WARREDOC, Università per Stranieri di Perugia, Italy - Piazza Fortebraccio 4, 06123 Perugia - warredoc@unistrapg.it (Project Coordinator)

CONFIRMATION

Participation in this NEL workshop is only possible if the participant freely and independently has signed this consent to authorize NEXUS-NESS partner organisations to use the data that she or he will provide. If the participant does not wish to do so, she or he cannot participate in this NEL workshop or in the MSUP.

Hereby each participant to the NEL workshop will declare, fill in and accept the conditions of this “Informed Consent Form”

Declaration

- I am 18 years or older and am competent to provide consent;
- I have been fully informed about the aims and purposes of the NEXUS-NESS project and the above cited NEL workshop;
- I have been fully informed about the aims and purposes of the NEXUS-NESS project;
- I understand that there is no compulsion to participate in the NEXUS-NESS project and in the above cited NEL workshop and, if I choose to participate, I may at any stage withdraw my participation;



- I have read, or had read to me, a document providing information about the research and innovation activities within the project and this consent form. I have had the opportunity to ask questions and all my questions have been answered to my satisfaction. I understand the description of this project, its activities and objectives.
- I agree that my data will be used during the NEL workshops and in the NEXUS-NESS Multi-User Platform. The procedures regarding confidentiality have been clearly explained (e.g. use of names and personal data, etc.) to me. I have been fully informed about my rights regarding my personal data provided during the interview in accordance with the 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).
- Select only one of the following:
 - I would like my name used and understand that what I have said or written in the framework of the NEXUS-NESS project, will be used in reports, publications and other research outputs so that anything I have contributed to this project can be recognised.
 - I do not want my name used in this project.
- I freely and voluntarily agree to be part of the the research and innovation activities within the NEXUS-NESS project, though without prejudice to my legal and ethical rights;
- I understand that I may refuse to answer any question and that I may withdraw at any time without penalty;
- I have received a copy of this agreement.

This consent form is made pursuant to the relevant national, European and international data protection laws and regulations and personal data treatment obligations. Specifically this consent document complies with the following laws and regulations:

- *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),*
- *the Directive (EU) 2016/680 of the European Parliament and of the Council of 27 April 2016 and*
- *the national law on data protection*

.....
 Name and Family name of participant



Gender of participant

.....

Age of participant

.....

E-mail of participant

By ticking this box, you confirm that you have read the conditions of participating in the NEXUS-NESS event, the privacy statement and copyright information and you agree that the NEXUS-NESS project and/or organisers use your data, image and voice collected within the context of the event, as described.

YES, I agree

Statement of investigator's responsibility

I have explained the nature and purpose of this research and innovation activities within the project, the procedures to be undertaken and any risks that may be involved. I have offered to answer any questions and fully answered such questions. I believe that the participant understands my explanation and has freely given informed consent.

.....

Name and Family name of the researcher

.....

Place, date and signature of the researcher



10. Annex 2 - The informed consent form for participation in Interviews of the NEXUS-NESS Project

Informed Consent Form

Consent for Participation in Interviews

carried out in the Project:

NEXUS-NESS - NEXUS NATURE ECOSYSTEM SOCIETY SOLUTION: FAIR AND SUSTAINABLE RESOURCE ALLOCATION DEMONSTRATOR OF THE MULTIPLE WEFE NEXUS ECONOMIC, SOCIAL AND ENVIRONMENTAL BENEFITS FOR MEDITERRANEAN REGIONS

PRIMA Grant Agreement number: 2042, NEXUS-NESS, Call 2020 Section 1 Nexus IA

PURPOSE OF THE INTERVIEW

[Please, specify the purpose of the interview]

DURATION OF THE INTERVIEW

- The interview will last approximately [specify the duration]. Notes will be written during the interview.
- For the purpose of the accurate information, the interview may be audio or video recorded.
- Should you feel uncomfortable at any stage of the interview, or should you feel uncomfortable answering any of the interview question, please let the interviewer know immediately. You have the right to decline to answer any interview question or to end the interview.

RISKS OR INCONVENIENCES

No risk is foreseen. You are only requested to answer the pre-prepared interview questions.

BENEFITS

It is likely that you will not receive any personal benefit. However, you will contribute to the better understanding of the Responsible Research and Innovation topic, and the importance of the WEFE Nexus transition.

PRIVACY AND CONFIDENTIALITY

- Stored data could include the following personal data: first name, family name, e-mail, organization, role, type of stakeholder, gender, age group, your particular interest(s) in the Water-Energy-Food-Ecosystem Nexus.
- None of the provided personal data will be handed out to third parties.
- The decision about whether or not to authorise the use of the information provided during the interview for the purpose of the NEXUS-NESS Project dissemination is completely voluntary.
- In accordance with the *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)*, with respect to your personal data, you provided within the interview, you have the rights to: i) access your personal data; ii) rectify inaccurate personal data concerning you, iii) request your personal data to be erased from the NEXUS-NESS database; iv) restrict processing of personal data for certain purposes.
- The authorization to use and access your personal data will be valid unless you decide to cancel it.

CONFIRMATION

I accept the conditions of the Informed Consent Module.

DECLARATION

- I am 18 years or older and am competent to provide consent;
- I have been fully informed about the aims and purposes of the interview;
- I have been fully informed about the aims and purposes of the NEXUS-NESS Project;
- I volunteer to participate in the interview activity conducted by Dr. [Name of the Main Investigator] from [organization name] in the framework of the project NEXUS-NESS.
- My participation in this project is voluntary. I understand that I will not be paid for my participation.
- The procedures regarding the interview confidentiality have been clearly explained to me (e.g. the use of my name, contact details and other personal data indicated above).
- I have been fully informed about my rights regarding my personal data provided during the interview in accordance with the 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).
- I may withdraw and discontinue participation at any stage of the interview, without a penalty. If I decline to participate or withdraw from the study, no one will be told.
- I agree that my contact details will be used during the activities of the NEXUS-NESS Project, including the RRI progress reports and updates, information about



the upcoming conferences, and the subscription to the NEXUS-NESS Project Newsletter.

- Please select/check only one of the following boxes:
 - I would like my personal data to be used, and I understand that what I have said or written in the framework of the NEXUS-NESS Project will be used in reports, publications and other research outputs, so that anything I have contributed to this project can be recognised.
 - I do not want my personal data to be used in the NEXUS-NESS Project.
- The NEXUS-NESS Project Newsletter will be released and sent by e-mail 3 times a year. Please select/check one of the following boxes:
 - I would like to receive the NEXUS-NESS Project Newsletter
 - I do not want to receive the NEXUS-NESS Project Newsletter

Thank you for your collaboration with the NEXUS-NESS Project!

Signature of person interviewed

Date

Name and Family Name of person interviewed

Signature of the Principal Investigator

For further information, please contact: Dr. [Name of the Principal Investigator] [Contact Information of the Principal Investigator]

This consent form is made pursuant to the relevant national, European and international data protection law and regulations and personal data treatment obligations. Specifically this consent document complies with the following laws and regulations:

- *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),*
- *The Directive (EU) 2016/680 of the European Parliament and of the Council of 27 April 2016 and*
- *the national law on data protection*



Data Controller: Università per Stranieri di Perugia, Italy - Piazza Fortebraccio 4, 06123 Perugia - warredoc@unistrapg.it (Project Coordinator)