# Resilient Water Innovation for Smart Economy

| Deliverable Title | D1.9  Internal Ethical and Gender dimension Guideline |
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| Abstract | The Internal Ethical and Gender dimension Guideline serves as an advisory document to ensure the safety, rights, dignity and wellbeing of each person and related data collection and processing within REWAISE. |

# VERSIONING & CONTRIBUTION HISTORY

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| 3.0 | 31/02/2022 | EC | |
| 4.0 | 20/06/2022 | ENoLL | Review responding to EC comments |

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## Abbreviations

| Abbreviation | Definition |
|---|---|
| **ALLEA** | All European Academies |
| **CA** | Consortium Agreement |
| **DMP** | Data Management Plan |
| **EP** | Ethics Plan |
| **EU** | European Union |
| **GA** | Grant Agreement |
| **GDPR** | European Union General Data Protection Regulation |
| **H2020** | Horizon 2020 |
| **InPA** | Investor Partnership |
| **IPR** | Intellectual property Rights |
| **IT** | Information Technology |
| **LTP** | Linked Third Party |
| **RRI** | Responsible Research and Innovation |
| **TOM** | Technical and Organisational Measures |
| **UNIDO** | United Nations Industrial Development Organization |
| **WP** | Work Package |

## 1. EXECUTIVE SUMMARY

The Internal Ethical and Gender dimension Guideline is a strategic document within REWAISE Project, in the framework of Work Package 1 (WP1) "Coordination, Management and Communication", and more specifically, within Task 1.6 "Ethics and Gender dimension", which aims to describe all the fundamental ethical and gender-related issues relevant to REWAISE Project and define the procedures to be followed by all Consortium partners working in the project and in the different activities that are going to take place.

The goals of this Ethical and Gender dimension Guideline are to:

i) Organise a webinar for participants on Ethical Issues and Gender Dimension with the consortium after the kick-off meeting;
ii) Obtain ethical approvals for the collection of personal data by relevant project partners (consent forms);
iii) Develop internal guidelines for involving humans in innovation actions (informed consent procedures and transparent recruiting);
iv) Support the ethical, the European Union General Data Protection Regulation 2016/679 (GDPR) and gender aspects of data collection and research and define procedures and measures to secure their compliance.

This deliverable, D1.9 Internal Ethical and Gender dimension Guideline, is structured as follows:

Section 4 – describes the purpose of having and Ethics Plan (EP) for Rewaise.

Section 5 – containing the procedures on ethical issues and self-assessment. The ethical checklist template for REWAISE partners can be found in Annex 3.

Section 6 – containing the guidance for applying GDPR in REWAISE Project. The project template for GDPR checklist can be found in Annex 4.

Section 7 – in this section the gender perspective for REWAISE Project is deployed. The Gender Mainstreaming checklist for REWAISE partners can be found in Annex 5.

Section 8 – finally, the conclusions and findings of D1.9 will be described in this section.

## 2. ABOUT REWAISE

REWAISE Project proposes a paradigm shift towards a carbon neutral water cycle, addressing the technological, financial, legal, and social issues to realize the full value of water, considering three key components of the economic and societal value generated by integral water cycles: value from water, value through water, and value in water:

- Value from water: REWAISE will generate value from water, boosting economic activities and service quality, and creating water-centred jobs and business. To achieve this, REWAISE will: i) engage the community in new economic models, creating recurrent activities and jobs, ii) create new market niches and boost businesses related to the new technologies, and iii) develop a common digital framework to improve decision-making on shared criteria.
- Value through water: REWAISE will also generate social well-being and value through water, accomplished by: i) developing new governance models that favour policy and regulatory changes, ii) increasing the sustainability, safety, security and resilience of water systems, to recover from disruption and iii) demonstrating a carbon-free smart water cycle in nine living labs across three European climate zones.
- Value in water: last but not least, REWAISE will extract the value in water, promoting efficient use and reuse, and also recovering energy and materials inherent in raw and used water streams. This will be achieved by: i) reducing freshwater consumption by over 30% with available alternative water sources, ii) achieving a zero-carbon water cycle service and generating value from water nutrients and materials and iii) demonstrating innovative recovery of raw materials, minerals from water desalination and nutrients.

Among the social issues addressed, both the ethical and gender perspectives are key aspects within REWAISE. The Project is structured in 9 Living Labs, through which it will contribute from a citizen-driven perspective to a water-smart society, new business models and governance methods, as well as social engagement to understand the societal context toward water smart community. To do so, the Responsible Research and Innovation (RRI) frames the project. It proposes that all actors (including civil society) co-design actions, transversely integrates the gender perspective, and supports sustainability.

Paying special attention to ethical issues the REWAISE Consortium will develop guidelines that aim to support the ethical, GDPR and gender aspects of data collection and research, and also define procedures and measures to secure their compliance.

Activities carried out within REWAISE must therefore comply not only with ethical principles and relevant national, European Union (EU) and international legislation, such

as the Charter of Fundamental Rights of the EU and the European Convention on Human Rights, but also with the GDPR.

The Consortium will therefore share an Ethics Plan (EP), which is a strategic document describing all the fundamental ethical issues relevant to REWAISE project and defining the procedures to be followed by all Consortium partners working in the project.

The EP may be updated during the lifecycle of the project if needed, introducing further information as Milestone actions get finalised and reported.

## 3. GENERAL PRINCIPLES

For all activities funded by the EU, ethics is an integral part of research from beginning to end, and ethical compliance is seen as pivotal to achieve real research excellence. Therefore, REWAISE Project is deploying a RRI plan which will contemplate several dimensions and indicators, being the Ethics and Gender dimension one of them.

There is a clear need to make a thorough ethical evaluation from the conceptual stage of the proposal not only to respect the legal framework but also to enhance the quality of the research. Ethical research conduct implies the application of fundamental ethical principles and legislation to scientific research in all possible domains of research. The process to assess and address the ethical dimension of activities funded under Horizon 2020 (H2020) is called the "Ethics Appraisal Procedure". And the requirements that all partners need to comply with are applicable during both the grant preparation and during the ongoing project.

The EP in REWAISE Project will specify all the ethical issues and how they will be processed during REWAISE actions. Relevant project documents are:

- Grant Agreement (GA) Including Art. 34
- Consortium Agreement (CA). Ethics shall be aligned with CA, which includes Ethics compliance terms and conditions in section 11.1.
- Data Management Plan (DMP) as part of WP1. D1.7 and D1.8 (IPR Methodology and Policy and Data Management Plan).
- European Code of Conduct for Research Integrity of ALLEA (All European Academies)
- Other sources used for developing ethics requirements of REWAISE project:
  - National and EU regulations.
  - H2020 Programme Guidance "How to complete your ethics self-assessment; H2020 regulation No 1291/2013; EU regulation 1290/2013.
  - GDPR.
  - Gender in EU-funded research Toolkit.
  - Project Coordinator's Code of Ethics and Conduct Anti-Corruption Policy. All partners must be aware of FCC Group policies and compliance models https://www.aqualia.com/en/web/aqualia-en/other-policies.

## 4. PURPOSE OF ETHICS PLAN (EP)

The EP is a strategic document containing the procedures to be followed by all the project participants. The objective of the ethical guidelines is to ensure that all REWAISE Consortium partners work in an ethically acceptable way with respect to involving staff members and participants in any of its actions in the project. This plan specifies how the Consortium will maintain security, privacy, and confidentiality norms, as well as common values of autonomy, independence, beneficence, non-maleficence, and justice will be respected.

Furthermore, it will advise all partners in the consortium on how to work with participants, respecting the combined ethical standards of the consortium members, as well as the national regulations.

It discusses ethical issues related to the following topics:

1. Issues on data collection and social consultation (interviews, questionnaires, discussion groups, etc.)
2. Informed consent
3. Anonymity of consulted people
4. Compensation to participants
5. Gender perspective
6. Multifunctional teams and multi-perspective analysis
7. Regular participatory assessments with representatives of all target groups

The EP and other project materials discussing ethical guidelines will be available in English. Each partner organisation will be responsible for ensuring that all involved people are aware and understand the guidelines (i.e., if required they will have to translate the content into the national languages).

# 5. PROCEDURES ON ETHICAL ISSUES AND SELF-ASSESSMENT

The project will set up a series of 'Privacy by Design' rules to guarantee that all research activities address security, ethics, and individuals' liberties. The project will enable mechanisms to avoid any intentional or unintentional use of information that can bring any harm to any participant or being misused in other contexts.

All partners performing research will act according to national and European legislation, and in line with national data protection provisions and the European data protection rules[1]. They will also be required to follow agreed rules for the recruitment of participants, the implementation of activities, recording, analysis, and storage of data collected in the project. The guidelines on these issues are applied by all partners and periodically reviewed by the Ethics and Information Privacy protection committees of the project (see below). Each partner is responsible for compliance in their country and must be able to justify it and prove it to the ethical committee as well as to observe national and EU legislation.

As a first step for the procedure's definition on ethical issues and self-assessment, every partner organization within REWAISE project has identified an Ethics' responsible who will be in charge of the Ethics Appraisal Procedure in the company to perform an ethical conduct/behaviour, if any, and follow the EP.

The organisations below appointed an Ethics' responsible(s).

| Organisation Name | Acronym |
|---|---|
| AQUALIA | AQUA |
| SEVERN TRENT WATER | STW |
| VASYD | VASYD |
| AQUANET | ANET |
| ENOLL IVZW | ENOLL |
| HIDROTEC | HIDRO |
| MALMO | MALM |
| POLYMEN | POLY |
| RESOURSEAS | RESA |
| BLUETECH RESEARCH | BLUE |
| AQUAPORIN | APOR |
| WE&B | WE&B |
| EMS | EMS |
| SOLAR WATER PLC | SOLWA |

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[1] https://ec.europa.eu/info/law/law-topic/data-protection_en

| IETU | IETU |
|------|------|
| UNI. VALENCIA | UVAL |
| Ostrava Tech. University | TUOS |
| UNIZG-FER | UNIZ |
| CETIM | CETIM |
| COVENTRY UNIVERSITY | COVU |
| LUND UNIVERSITY | LUND |
| Poznan University of Technology | PUT |
| INNCOME | INNCO |
| UNIVERSITA DEGLI STUDI DI PALERMO | UNIPA |
| MKB Fastighet | MKB |
| Swedish University of Agricultural Sciences | SLU |
| SWR | SWR |
| P-hus Malmö | P-MALMO |
| WIN | WIN |
| City of Lund | COL |
| Cranfield University | CRAN |
| GAIA | GAIA |

Table 1. REWAISE Ethics Responsible(s)

To explore whether and how ethics and gender dimension are relevant to REWAISE partners, the first step for the elaboration of the EP has been the definition and answer to questions, found in Annex 1 "Survey on Ethics and Gender Dimension", by those appointed responsible for ethics with the aim to best integrate the ethics and gender dimension in research and innovation in the Project.

Results of the survey:

The results of the survey on "Ethics and Gender Dimension" show that:

- 60% of partners DO NOT have an Ethical Plan for research plans in place and 75% of REWAISE Consortium DO NOT have a Gender Plan for research projects;
- 70% of partners already have a GDPR plan;
- Half of REWAISE partners do not have and ethical committee or board within their organisation;
- 35% of participants are not aware of the Code of Conduct for the Recruitment of Researchers;
- 80% of partners are interested in a webinar on ethics compliance in research and almost 70% of them are interested in a webinar on gender in research.

Therefore, based on these preliminary results obtained in the survey, it is of interest to design a webinar on Ethics, GDPR and Gender dimension, which will help establish an action plan to be followed by each partner organisation throughout the development of the project in order to comply with H2020 requirements, and help REWAISE Project

define the EP and achieve an added value in terms of excellence, creativity, and business opportunities.

## 5.1. Procedures on ethical issues

To have a clear view and understanding among all Consortium of the main ethical issues in REWAISE as well as the procedures to be followed during the project actions and potential situations to be considered, a webinar on Ethics, GDPR and Gender perspective is going to be organised. Its expected results will be:

- Inform partners about the tasks they will be entitled to do and complete throughout the project in relation to the Ethics and Gender Dimension.
- Identify the most critical activities within REWAISE project in relation to Ethics, GDPR compliance and Gender perspective.
- Give the tools to be able to measure and demonstrate compliance with the GDPR.
- Facilitate the Guidelines on Ethics and Gender Dimension to be followed by all REWAISE partners.

Following on that, an Ethical self-assessment will be shared with the Consortium, which will mainly be a checklist based on the EU Ethics, GDPR and Gender Dimension toolkits which will help REWAISE partners identify any needs and possible areas of improvement at internal and/or external level, as well as areas which have already been improved. Any of those identified areas will help define future webinars, in an ongoing training/ evaluation procedure.

Before the webinar on Ethics, GDPR and Gender perspective, the Ethics Representative of each partner organisation will have to answer a battery of questions, found in Annex 2 of the document.
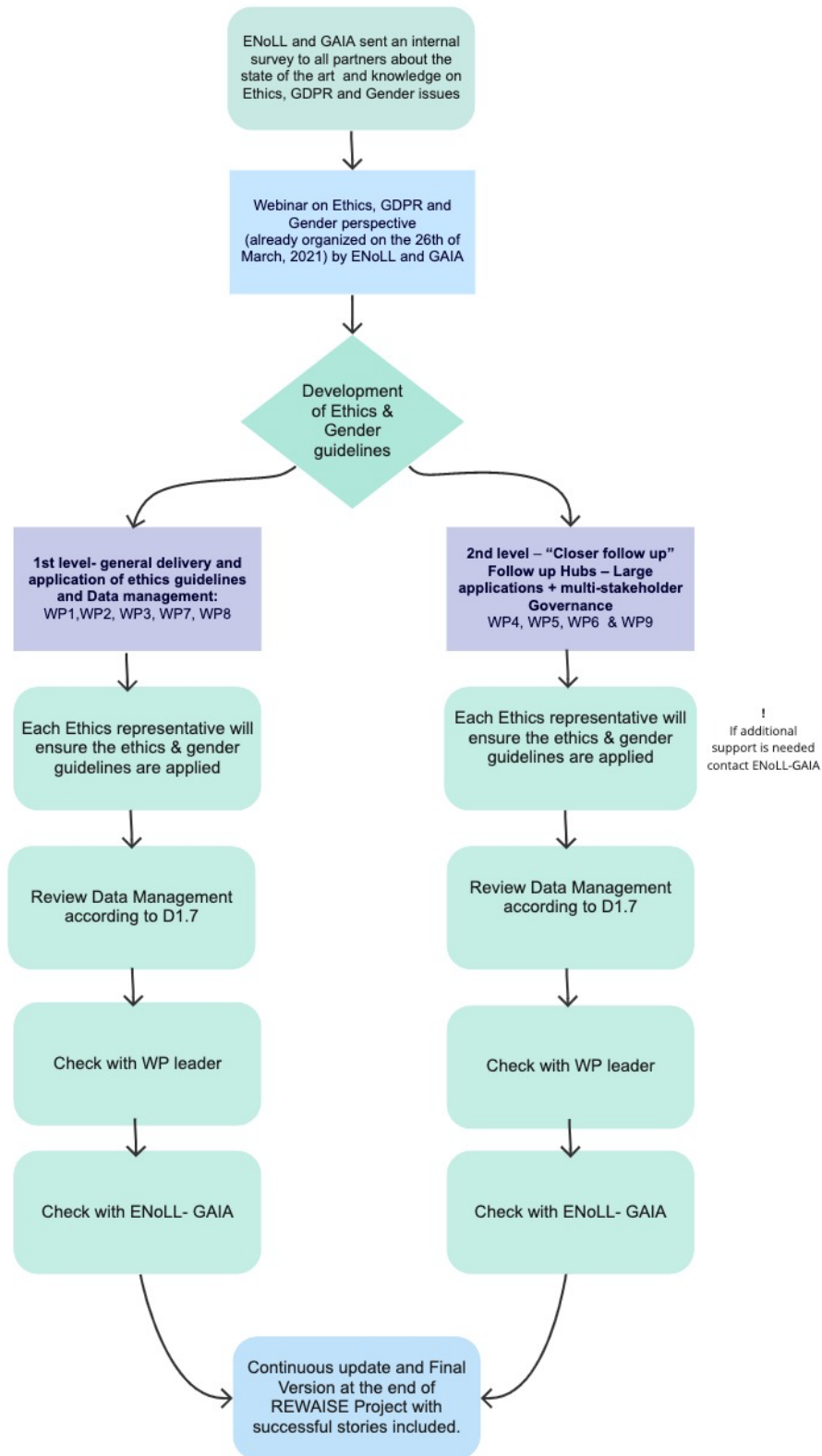
Figure 1. Procedure on Ethical issues

## 5.2. Ethics self-assessment

At the beginning of the REWAISE actions all partners and team members must ensure that they fulfil the Ethical self-assessment of the project that guarantees that our research is relevant to the communities involved and has objectives that are not harmful or prejudicial to participants.

The project is committed to ensure that the general benefits of its activities will warrant the involvement and efforts of their participant individuals, limiting any disturbance to them, especially in terms of protecting their identity and integrity. The project will be based on deliberative co-creation of activities and representatives of all interested stakeholders will be involved in these field activities.

The project will enable mechanisms to avoid any intentional or unintentional use of data that can bring any harm to any participant or being misused in other contexts. All partners performing research will act according to national and European legislation, and in line with national data protection provisions and the European data protection rules. They will be required to follow agreed rules for the recruitment of participants, the implementation of activities, recording, analysis and storage of data collected in the project.

Any survey, interview or workshop participation will happen on a voluntary basis with sufficient information to all partners. The information on the rights of interviewees and participants to workshops will be given verbally before the research activity starts. Agreement will be reached with organisations that provide information through documents or interviews, on the disclosure of that information and the protection of confidentiality.

Data storage will be aligned with the CA requirements in section 11.1. In terms of data storage, REWAISE uses SharePoint and follows Microsoft Office 365 Service. In addition, FCC Group data storage policies are also based on Office 365 framework.

All beneficiaries signed a document titled "Access And Use Policies For Pkf Attest's Office 365 Data Sharing Services".

## 5.3. Ethical checklist

This checklist has been developed to promote good practice and to assure the quality of the REWAISE project work. It covers both legal and ethical issues, such as data protection and informed consent.

The checklist is a self-assessment form which is designed to help REWAISE partners.

(Partners can download and print the checklist template from the annexes).

| Question | Answer | If Yes, please provide details; if No, please justify |
|---|---|---|
| Have you ensured that this work has not been done before? | Yes/No/NA | |
| Are there any expected benefits to participants? | Yes/No/NA | |
| Have you considered risks to the research team? | Yes/No/NA | |
| Have you considered risks to the participants (for example, harm, deception, impact of outcomes)? | Yes/No/NA | |
| Have you considered risks to data collected (for example, storage, considerations of privacy, quality)? | Yes/No/NA | |
| Have you considered risks to the research organisations, project partners, and funders involved? | Yes/No/NA | |
| Have any potential hazards been minimised, including unwitting disclosure of private condition or personal circumstance? | Yes/No/NA | |
| Might anyone else be put at risk as a consequence of this research? | Yes/No/NA | |
| Will participants be assured that participation is voluntary and that they can refuse or withdraw at any time? | Yes/No/NA | |
| Have you ensured that no participant is excluded on the grounds of sexual orientation, age, gender, religious belief, ethnic group or disability? | Yes/No/NA | |
| Will vulnerable people be recruited (for example children, people with learning disabilities, the elderly)? | Yes/No/NA | |
| Will potential participants receive verbal or written information about the project? | Yes/No/NA | |
| Will information be provided in languages other than English? | Yes/No/NA | |
| Will information be provided in formats other than standard type (eg Braille, large font)? | Yes/No/NA | |
| If using secondary data, does the consent from the primary data cover further analysis? | Yes/No/NA | |
| Will informed consent be obtained – either verbal or written? | Yes/No/NA | |
| Has the competence of participants to give informed consent been determined? | Yes/No/NA | |
| Will you ensure that all identifying data is removed and that all records (paper and computer) are anonymised? | Yes/No/NA | |
| Will data be kept in accordance with the EU General Data Protection Regulations (GDPR)? | Yes/No/NA | |
| Will you protect your data at the research site and away from the research site? | Yes/No/NA | |
| Is there an intention to publish or disseminate this work? | Yes/No/NA | |
| Have you considered ethics within your plans for dissemination/impact? | Yes/No/NA | |
| Will participants receive feedback? | Yes/No/NA | |

| | | |
|---|---|---|
| Will results be presented in a way that does not identify individuals? | Yes/No/NA | |
| Will any unequal relationships exist between anyone involved in the recruitment and the potential participants? | Yes/No/NA | |
| Will you be collecting information through a third party? | Yes/No/NA | |
| Will the ethics aspects of the project be monitored throughout its course? | Yes/No/NA | |

Table 2. Ethical checklist

## 5.4. Project Coordinator's Code of Ethics and Conduct Anti-Corruption Policy.

All partners must be aware of FCC Group policies and compliance models. This Code of Ethics includes the following guiding principles:

**Honesty and Respect**

1. We observe legislation and ethical values.
2. Zero tolerance for bribery and corruption.
3. We prevent money laundering and the financing of terrorism.
4. We safeguard free competition and best market practices.
5. We exemplify ethical conduct in the securities market.
6. We avoid conflicts of interest.

**Diligence and Professionalism**

7. We are diligent in terms of control, reliability and transparency.
8. We safeguard the reputation and image of the Group.
9. We use the company's resources and assets efficiently and safely.
10. We oversee the ownership and confidentiality of data and information.

**Loyalty and Commitment**

11. Our clients are the focal point.
12. Health and safety are paramount.
13. We promote diversity and fair treatment.
14. We are committed to our environment.
15. We are transparent in our relations with the community.
16. FCC Group extend its commitment to FCC Group's business partners.

In this sense, the last principle extends this commitment to FCC Group's **partners**, collaborators, and providers based on the previous principles. The aim is to establish a balanced and transparent collaboration framework. For this all partners must:

- Demonstrate ethical conduct
- Protect human rights
- Display a high level of commitment
- Respect the environment in all their activities

# 6. GDPR FOR PARTNERS

The GDPR, which has been in force since 25th May 2018, obliges every organisation operating in the EU to protect data. It is the most important of all data protection regulations in Europe, the implementation of which the project partners must comply with by taking appropriate measures.

The GDPR imposes comprehensive obligations on all those responsible within the meaning of the ordinance. Those responsible must not only ensure that they meet the requirements of the GDPR but must also be able to prove this as outlined in Article 5 GDPR. This means that companies and organisations must be able to prove that they implement suitable data protection guidelines and appropriate data protection precautions. Otherwise, there is a risk of fines, claims for damages and other disadvantages.

## 6.1. Guidance for applying GDPR

 – The GDPR applies to the completely or partially automated processing of personal data which are stored in a file system or are to be stored.
 – Personal data is any information relating to a natural person who is identified or identifiable, directly, or indirectly, with reference to an identifier e.g., ID number, location data, or any other information in relation with his/her identity.

| Nature | Content | Format |
|---|---|---|
| Personal data can be:<br><br>Objective- factual in nature.<br><br>Subjective-includes opinions, assessments about the data subject. | Personal data can be directly about the subject, or it may be related to an individual's activities. | Alphabetical, Numerical, Graphical, Photographical, Acoustic. |
| E.g.:<br>Objective:<br>A researcher from x institution has published X & Y papers over the last year.<br><br>Subjective:<br>The supervisor thinks the researcher is ready to become a professor in X place. | E.g.:<br>Directly:<br>Individual's name, personal email address.<br><br>Individual's activities:<br>Bank statements showing what the individual has purchased. | |

Table 3. Scope of personal data

- Processing is a comprehensive term for the contact with personal data. It includes the collection (acquisition, collection), storage, modification, use, and transfer of data.
- Principles of the processing of personal data according to Article 5 (GDPR) are:
  - Lawfulness, fairness, and transparency: lawful grounds for processing personal data, Contractual necessity; Legal obligation necessity; Vital interest necessity; Public interest necessity; Legitimate interests.
  - Purpose limitation: survey only for specified, explicit and legitimate purposes.
  - Data minimization: collection and processing must be proportionate and relevant to the purpose and limited to what is necessary for the purposes of the processing.
  - Accuracy: personal data must be correct.
  - Storage limitation: personal data may be processed only in such a way as to ensure adequate security of such data.
  - Integrity and confidentiality: the person responsible must be able to demonstrate compliance with the principles.

## 6.2. Legitimacy of data processing

According to Article 6 of the GDPR, personal data processing is not allowed but under certain circumstances. One such condition is the so-called principle of informed consent. This means that personal data of third parties may be collected, stored, or passed on if the data processors do have an explicit permission according to the GDPR.

Partners need to be sure that they have a legitimate reason for processing personal data. The most common reasonings are:

1. Consent of the person has been received (Article 6 I a).
2. The personal data processed is necessary for the fulfilment of a contract (Article 6 I b).
3. Processing of personal data is necessary to safeguard the legitimate interests of the data controller, unless the interests or fundamental rights of the data subject prevail (Article 6 I f).

### 6.2.1. REWAISE' COMPLIANCE WITH PROTECTION OF PERSONAL DATA

REWAISE strives to protect personal data throughout the life of the project. Information about the tasks in which personal data collection, data management and storage are going to be involved can be found in D1.7 Data Management Plan.

## 6.3. Information Technology (IT) Security

Those responsible for data protection must also safeguard IT security. Just as data protection focuses on the protection of individuals regarding the processing of personal data, IT security primarily aims to protect data from misuse by third parties.

## 6.4. Confidentiality

As stated in the REWAISE Grant Agreement Agreement Article 36 - Confidentiality (36.1), REWAISE will ensure all partners keep confidential any data, documents, or other material (in any form) that is identified as confidential at the time it is disclosed ('confidential information').

Confidential information could include all technical, commercial, financial, business, or strategic information and/or data, in whatever form, relating to one of the partners, its group, business, affairs or products and communicated to or otherwise disclosed to another partner. This includes, for example, the use of passwords on computers, data storage in remote servers, and the storing documents with personal data in locked cabinets. Specific actions regarding the Data management and Digital data management, please review D1.7.

### 6.4.1. INTEGRITY OF INFORMATION

Integrity is intended to protect the integrity of information. This integrity is lacking when data is intentionally or unintentionally manipulated or altered.

### 6.4.2. AVAILABILITY OF DATA

The IT goal of availability is to ensure that existing data can be used as required, i.e., is available.

### 6.4.3. IMPLEMENTATION OF DUTIES

Each project partner needs to check whether their organisation complies with all the necessary data protection obligations and, if necessary, make the according adjustments.

## 6.5. Data protection requirements in H2020 Projects

In case personal data are processed in the framework of a H2020 project, Project partners will follow all the guidelines exposed in this deliverable.

## 6.6.  Data processing and Ethics risk

While working on a research project, there are also some indicators of data processing operations that may entail higher ethics risks and that must be taken into consideration by all partners.

Below we provide some examples.

| Topic | Indicators |
|---|---|
| Types of personal data used in the research | * Racial or ethnic origin<br>* Political opinions, religious or philosophical beliefs<br>* Genetic, biometric or health data<br>* Sexual orientation<br>* Trade union membership |
| Data subjects involved in the research | * Children<br>* Vulnerable persons<br>* Persons who have not given their explicit consent to participate in the research project |
| Scale or complexity of data processing | * Large-scale processing of personal data<br>* Systematic monitoring of publicly assessable area on a large scale<br>* Involvement of multiple datasets and/or service providers, or the combination and analysis of different datasets (i.e., "big data"). |
| Data collection or processing techniques involved in the research | * Privacy-invasive methods or technologies (e.g., the covert observation, surveillance, tracking or deception of individuals)<br>* The use of camera systems to monitor behaviour or record sensitive information<br>* "Data-mining" (including data collected from social media networks), "web-crawling" or "social network analysis"<br>* The profiling of individuals or groups (particularly behavioural or psychological profiling)<br>* The use of "artificial intelligence" to analyse personal data;<br>* The use of automated decision-making which has a significant impact on the data subject(s) |
| Involvement of non-EU countries | * Transfer of personal data to non-EU countries<br>* Collection of personal data outside the EU |

Table 4. Indicators of data processing operations

## 6.7.  GDPR Checklist

The following checklist gives an overview of the most critical issues each project partner needs to verify for itself in relation to compliance with GDPR. The authors hereby emphasise that each project partner is responsible for compliance with the data protection rules.

1. Appointment of a data protection officer: Each organisation is responsible for compliance with data protection requirements (GDPR and national laws), and this may include the appointment of a data protection officer.

2. Directory of processing activities: Each organisation must keep a register of all data processing activities (see Article 30, GDPR). This list includes responsibilities, describes the purposes of the data processing, and defines deletion periods.

3. Privacy policy: All persons whose data are processed must be informed about the data processing activities. For example, every website owner is obliged to embed a data protection declaration on their website.

4. Obligation of confidentiality: All employees who work with personal data must declare in writing to respect confidentiality, i.e., the secrecy of all company-related data.

5. Data processing agreement: a) Each REWAISE partner signed an individual data access agreement related to INNCOME's Share Point as REWAISE Project repository; b) All partners signed the CA. The CA includes terms and conditions related to Dissemination (art 8.4), Access Right (art. 9), Non-disclosure of information (Art. 10), and Ethics compliance terms and conditions (art. 11.1).

6. Thus, data management legal commitment is accepted and signed by each partner. Technical and Organisational Measures (TOM): TOM is a concept for handling personal data. They can include items such as employee user accounts, authorisation concepts, video surveillance, or lockable cabinets for files.

# 7. GENDER MAINSTREAMING CHECKLIST

Current research suggests that there is differentiated access to use of and control over infrastructure facilities and services by men and women, linked to inequalities in intrahousehold relations, property rights, and cultural restrictions (Doran 1990).

Infrastructure projects are often gender insensitive because it is assumed that women and men will automatically equally benefit from new infrastructure, without due acknowledgement of the full range of social and economic impacts, whether positive or negative. Too often, the positive outcomes experienced by women through infrastructural projects have been unintended and unplanned. Well-designed, appropriately located and affordably priced infrastructure can be a powerful tool in the pursuit of gender equality.

Therefore, gender mainstreaming should not only be regarded as a factor requiring attention in infrastructure projects but rather as a critical factor in ensuring the project's success and sustainability by ensuring that women do not become worse off both absolutely and in relation to men (World Bank, 2008).

The objective of a Gender Mainstreaming Checklist is to provide REWAISE partners a tool for effective mainstreaming of gender to:

- Guide partners, task managers and implementation teams to plan, design, implement, monitor and evaluate gender-sensitive and responsive activities.
- Assist each Living Lab responsible to become both agents for ensuring effective gender analysis and mainstreaming of gender in the interventions or actions to be developed and/or implemented.

In addition, as stated in the GA Annex I part B section 1.3.6, "REWAISE will implement a Gender Action and Equality Plan led by AQUA and STW. While WP9 will perform a i diagnosis of the gender dimension in the water cycle within the Competency Groups in selected Living Labs, and WP8 the WINcubator (SME accelerator) will also encourage women entrepreneurship, through proactive financial incentives set up by a well-balanced Investor Partnership (InPa)".

The following Checklist is based on the Gender Mainstreaming Checklist for Projects produced by the United Nations Industrial Development Organization (UNIDO), which provides a template for recording when gender is integrated in projects and can provide inspiration for users on where they can support the gender integration throughout the project cycle. Project components covered include analysis/justification, data & statistics, results framework, budget, stakeholders & participation, gender capacities, project implementation, and monitoring & evaluation.

| GENDER MAINSTREAMING CHECKLIST FOR PROJECTS | | | | | |
|---|---|---|---|---|---|
| Project Component | Question | Yes | No | Partially | Comments* |
| Analysis/ Justification | 1. Does the project explicitly address a gender issue or issues? If so, please describe how and if not, please provide explanation. | | | | |
| | 2. Does the background/context analysis of the project examine: a) the different situations of women and men b) the impacts the project will have on different groups | | | | |
| Strategy | 3. Does the project approach specifies how it will address the gender issues identified in the analysis? If not, please provide explanation. | | | | |
| Data & Statistics | 4. Will the project collect and use sex disaggregated data and qualitative information to analyse and track the gender issues? | | | | |
| Results Framework | 5. Are outcomes, outputs and activities designed to meet the different needs and priorities of women and men? | | | | |
| | 6. Does the results framework include gender responsive indicators, targets and a baseline to monitor gender equality results? | | | | |
| Budget | 7. Have adequate financial resources been allocated for the proposed gender activities (vis-à-vis % of total budget)? | | | | |
| Stakeholders & Participation | 8. Are women/gender focused groups, associations, or gender units in partner organisations consulted/included in the project? | | | | |
| | 9. Does the project ensure that both women and men can provide inputs, access, and participate in project activities (target at least 40 % of whichever gender is underrepresented)? | | | | |
| Gender Capacities | 10. Has a gender expert been recruited OR does the project staff have gender knowledge and have gender related tasks incorporated in their job descriptions? | | | | |
| | 11. Will all project staff be sensitized to gender (e.g., staff will complete basic online course; I Know Gender Course on UN Women's eLearning Campus https://trainingcentre.unwomen.org)? | | | | |

| | | | | | |
|---|---|---|---|---|---|
| Project Implementation | 12. Is there gender balanced recruitment of project personnel and gender balanced representation in project committees? | | | | |
| Monitoring & Evaluation | 13. Will the monitoring and evaluation of the project cover gender issues and monitor behavioural changes towards greater gender equality? | | | | |

\* Comments are mandatory for each question answered "No" or "Partially".

Table 5. Gender Mainstreaming Checklist for Projects

## 8. CONCLUSION

Ethics and data management are of high importance for quality assurance in REWAISE Project, therefore the EP is a strategic document that will aim to describe all the fundamental ethical issues relevant to the project and present all the procedures to be followed by all Consortium partners.

The Consortium shall carry out the project actions in compliance with ethical principles and applicable international, EU and national laws, and develop its own guidelines, procedures and measures aiming to support the protection of ethical aspects of research. The EP will be measured based on the results obtained from the checklists included in the guidelines that will have to be completed by the assigned partners.

The EP will be monitored and review throughout the whole duration of the Project, and a final version will be delivered at the end of it.

## 9. BIBLIOGRAPHY

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- United Nations Industrial Development Organization (UNIDO) https://www.unido.org/sites/default/files/2015-09/GM_Checklist_for_Projectspdf_0.pdf
- https://www.afdb.org/sites/default/files/documents/policy-documents/checklist_for_gender_maintstreaming_in_the_infrastructure_sector.pdf

# 10. ANNEXES

## 10.1. Annex 1 – Survey on Ethics and Gender Dimension

| Marca temporal | 1.Do you have an ethical | If yes, who is responsible | 3.Do you have a GDPR pl | If yes, who is responsible | 5.Do you have an ethical | 6.Are you aware of The C | 7.Are you interested in a | 8.Do you have a gender p | If yes, who is responsible | 10.Are you interested in a | Are ther |
|---|---|---|---|---|---|---|---|---|---|---|---|
| 15/01/2021 9:51:55 | No | | Yes | Data Protection Officer | Yes | Yes | Yes | No | | Yes | |
| 15/01/2021 15:50:10 | No | | No | | No | Yes | Yes | No | | | |
| 18/01/2021 11:55:43 | Yes | Henrik Aspegren, henrik.a | Yes | Maria.Petersen, maria.pet | No | No | Yes | No | | Yes | |
| 18/01/2021 12:36:34 | Yes | Ethics Comission of the U | Yes | Delegation for Data Prote | Yes | Yes | Yes | Yes | Equality Unit. Amparo Ma | Yes | |
| 20/01/2021 0:07:33 | No | | No | | No | No | Yes | No | | Yes | |
| 21/01/2021 8:51:12 | Yes | sara.blomberg@chemeng | Yes | sara.blomberg@chemeng | Yes | Yes | Yes | Yes | sara.blomberg@chemeng | Yes | |
| 22/01/2021 10:06:53 | Yes | cumplimientoaqualia@fcc | Yes | protecciondatos@aqualia | Yes | Yes | Yes | No | We have the equality plan | Yes | |
| 22/01/2021 11:55:31 | Yes | We have a general strateg | Yes | our Chief Secretary Mr. G | Yes | No | Yes | No | | Yes | |
| 22/01/2021 13:40:39 | No | Guy Reavley , guy@solar | No | Guy Reavley , guy@solar | Yes | Yes | No | Yes | Guy Reavley , guy@solar | No | NO |
| 25/01/2021 19:35:50 | No | We have a general code c | Yes | Prof. Ilenia Tinnirello is re | Yes | Yes | Yes | No | The statute of the Univers | Yes | No |
| 28/01/2021 21:49:45 | No | We have a general code c | Yes | Prof. Ilenia Tinnirello is re | Yes | Yes | Yes | No | The statute of the Univers | Yes | No |
| 29/01/2021 17:58:05 | No | | No | | No | Yes | Yes | No | | Yes | |
| 1/02/2021 7:58:48 | No | | Yes | HR is reponsible for that | No | No | Yes | No | | No | |
| 1/02/2021 15:50:02 | No | | Yes | Patrik Johansson | No | No | No | No | | No | no |
| 2/02/2021 10:48:59 | No | | Yes | m.korcz-olejek@ietu.pl | No | Yes | No | No | | No | |
| 3/02/2021 19:52:55 | Yes | Ann-Marie Brady annmari | No | | No | Yes | Yes | No | | Yes | |
| 4/02/2021 20:52:44 | Yes | | Yes | | Yes | Yes | Yes | Yes | | No | |
| 8/02/2021 10:26:19 | No | | No | | No | No | Yes | No | | Yes | |
| 8/02/2021 16:37:44 | Yes | Adrian Evans will act as o | Yes | Coventry University Group | Yes | Yes | Yes | Yes | For ReWaise - Adrian Eva | Yes | |
| 22/02/2021 13:44:10 | No | | Yes | dataskyddsombud@malm | No | No | No | No | | No | |

## 10.2. Annex 2 - Questions on GDPR, Ethics and Gender issues for the Webinar preparation:

1. Do you take data protection into account, from the moment you begin developing a product to each time you process data?
2. Do you have an internal security policy for your team members, and build awareness about data protection?
3. Do you have up-to-date records of all data processing activities?
4. Do you know when to conduct a data protection impact assessment, and have a process in place to carry it out?
5. Do you have/ or do we have as a project the processes and resources in place to support access requests from individuals to delete data in accordance with the GDPR?
6. Are you aware that detailed information about informed consent must be provided to potential participants?
7. Does your research respect the integrity and dignity of persons?
8. Does your research involve the use of elements that may cause harm to the environment, to animals or plants?
9. Do you know what the principle of proportionality is?
10. When drafting a proposal, do you pay attention to balance between women and men in the research teams who will implement your project?
11. Have you ever considered differentiated outcomes and impacts of the research on women and men?

## 10.3. Annex 3 - Ethical checklist

| Date: | Partner: |
|-------|----------|
| WP: | Action: |

| | | If Yes, please provide details; if No, please justify |
|---|---|---|
| Have you ensured that this work has not been done before? | Yes/No/NA | |
| Are there any expected benefits to participants? | Yes/No/NA | |
| Have you considered risks to the research team? | Yes/No/NA | |
| Have you considered risks to the participants (for example, harm, deception, impact of outcomes)? | Yes/No/NA | |
| Have you considered risks to data collected (for example, storage, considerations of privacy, quality)? | Yes/No/NA | |
| Have you considered risks to the research organisations, project partners, and funders involved? | Yes/No/NA | |
| Have any potential hazards been minimised, including unwitting disclosure of private condition or personal circumstance? | Yes/No/NA | |
| Might anyone else be put at risk as a consequence of this research? | Yes/No/NA | |
| Will participants be assured that participation is voluntary and that they can refuse or withdraw at any time? | Yes/No/NA | |
| Have you ensured that no participant is excluded on the grounds of sexual orientation, age, gender, religious belief, ethnic group, or disability? | Yes/No/NA | |

| | | |
|---|---|---|
| Will vulnerable people be recruited (for example children, people with learning disabilities, the elderly)? | Yes/No/NA | |
| Will potential participants receive verbal or written information about the project? | Yes/No/NA | |
| Will information be provided in languages other than English? | Yes/No/NA | |
| Will information be provided in formats other than standard type (e.g., Braille, large font)? | Yes/No/NA | |
| If using secondary data, does the consent from the primary data cover further analysis? | Yes/No/NA | |
| Will informed consent be obtained – either verbal or written? | Yes/No/NA | |
| Has the competence of participants to give informed consent be determined? | Yes/No/NA | |
| Will you ensure that all identifying data is removed and that all records (paper and computer) are anonymised? | Yes/No/NA | |
| Will data be kept in accordance with the General Data Protection Regulations (GDPR)? | Yes/No/NA | |
| Will you protect your data at the research site and away from the research site? | Yes/No/NA | |
| Is there an intention to publish or disseminate this work? | Yes/No/NA | |
| Have you considered ethics within your plans for dissemination/impact? | Yes/No/NA | |
| Will participants receive feedback? | Yes/No/NA | |
| Will results be presented in a way that does not identify individuals? | Yes/No/NA | |
| Will any unequal relationships exist between anyone involved in the recruitment and the potential participants? | Yes/No/NA | |
| Will you be collecting information through a third party? | Yes/No/NA | |
| Will the ethics aspects of the project be monitored throughout its course? | Yes/No/NA | |

## 10.5. Annex 4 - GDPR Checklist

| Date: | Partner: |
|-------|----------|
| WP: | Action: |

| | | If Yes, please provide details; if No, please justify |
|---|---|---|
| Appointment of a data protection officer: Each organisation is responsible for compliance with data protection requirements (GDPR and national laws), and this may include the appointment of a data protection officer. | Yes/No/NA | |
| Directory of processing activities: Each organisation must keep a register of all data processing activities (see Article 30, GDPR). This list includes responsibilities, describes the purposes of the data processing, and defines deletion periods. | Yes/No/NA | |
| Privacy policy: All persons whose data are processed must be informed about the data processing activities. For example, every website owner is obliged to embed a data protection declaration on their website. | Yes/No/NA | |
| Obligation of confidentiality: All employees who work with personal data must declare in writing to respect confidentiality, i.e., the secrecy of all company-related data. | Yes/No/NA | |

| | | |
|---|---|---|
| Data processing agreement: If a service provider processes personal data on behalf of and on the instructions of a responsible person, a data processing agreement must be signed in certain cases, which specifies the duties and responsibilities of both parties. | Yes/No/NA | |
| Technical and Organisational Measures (TOM): TOM is a concept for handling personal data. They can include items such as employee user accounts, authorisation concepts, video surveillance or lockable cabinets for files. | Yes/No/NA | |

## 10.6. Annex 5 - Gender Mainstreaming Checklist

| Date: | Partner: |
|---|---|
| WP: | Action: |

| GENDER MAINSTREAMING CHECKLIST FOR PROJECTS | | | | | |
|---|---|---|---|---|---|
| Project Component | Question | Yes | No | Partially | Comments* |
| Analysis/ Justification | 1. Does the project explicitly address a gender issue or issues? If so, please describe how and if not, please provide explanation. | | | | |
| | 2. Does the background/context analysis of the project examine: a) the different situations of women and men b) the impacts the project will have on different groups | | | | |
| Strategy | 3. Does the project approach specify how it will address the gender issues identified in the analysis? If not, please provide explanation. | | | | |
| Data & Statistics | 4. Will the project collect and use sex disaggregated data and qualitative information to analyse and track the gender issues? | | | | |
| Results Framework | 5. Are outcomes, outputs and activities designed to meet the different needs and priorities of women and men? | | | | |
| | 6. Does the results framework include gender responsive indicators, targets and a baseline to monitor gender equality results? | | | | |
| Budget | 7. Have adequate financial resources been allocated for the proposed gender activities (vis-à-vis % of total budget)? | | | | |
| Stakeholders & Participation | 8. Are women/gender focused groups, associations, or gender units in partner organisations consulted/included in the project? | | | | |
| | 9. Does the project ensure that both women and men can provide inputs, access, and participate in project activities (target at least 40 % of whichever gender is underrepresented)? | | | | |
| Gender Capacities | 10. Has a gender expert been recruited OR does the project staff have gender knowledge and have gender related | | | | |

| | | | | | |
|---|---|---|---|---|---|
| | tasks incorporated in their job descriptions? | | | | |
| | 11. Will all project staff be sensitized to gender (e.g., staff will complete basic online course; I Know Gender Course on UN Women's eLearning Campus https://trainingcentre.unwomen.org)? | | | | |
| Project Implementation | 12. Is there gender balanced recruitment of project personnel and gender balanced representation in project committees? | | | | |
| Monitoring & Evaluation | 13. Will the monitoring and evaluation of the project cover gender issues and monitor behavioural changes towards greater gender equality? | | | | |