



TransformAr

Accelerating and upscaling transformational adaptation in
Europe: demonstration of water-related innovation
packages

Guidance for quality
Deliverable 8.5



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EXECUTIVE SUMMARY

The “Guidance for quality” report completes the Deliverable 8.1 “Quality Plan” edited by the coordinator which presents the different quality control process implemented within the consortium. This guidance for quality rather focuses on legal and ethical aspects to be considered within the quality processes and, more widely, within the project activities.

The purpose of this document is to define how and help measure how the project invests in gender equality, women’s empowerment, and social equity on the one hand. On the other hand, this report addresses more widely the Responsible Research and Innovation (RRI) principles to ensure the project is in line with the EC strategy on ethical and legal aspects.

This report therefore gathers the gender marker guidelines and legal and ethical guidelines for the project. The gender marker guidelines are in line with the UNDP Gender Marker Strategy and the requirements from the EC in the field of gender equality as illustrated by the mandatory Gender Equality Plan (GEP) for public organisations applying for fundings.

1.0 Gender marker guideline

The gender marker guidelines for TransformAr aims at ensuring the gender neutrality and sensitivity of all activities conducted under the project. This goal is in line with several initiatives and strategies from the European Commission (EC) and the United Nations (UN).

1.1 Gender equality framework

The TransformAr gender marker guidelines are an initiative that address the builds on several initiatives. The European Commission continuously improve its consideration of gender equality in its processes. Within the different funding programmes and in its strategy, this purpose is well represented notably through:

- The Gender Equality Plan (GEP)¹, now an eligibility criterion for any public organisation applying to Horizon Europe funding;
- More widely, the Article 14 of the general Model Grant Agreement², as well as the Annex 5 “HE rules for gender mainstreaming” in the Annotated Grant Agreement³;
- The Gender Equality in Academia and Research – tool (GEAR-tool)⁴;
- The creation of the European Institute for Gender Equality (EIGE) in 2006 as a central organism to promote gender equality across Europe.

TransformAr, as a Horizon Europe project, is required to address this issue through its Grant Agreement (Article 33 and work plan).

Beyond these European initiatives and framework, TransformAr has also identified the UNDP gender equality strategy as relevant to build on previous experience. This strategy for 2018-2021⁵, is indeed the third of its kind and therefore benefits from lesson learnt on the long term.

Based on these previous works and strategies, TransformAr will assess its activities with regard to the importance of the gender equality. This will lead to better identify where gender issues are and should be tackled.

1.2 TransformAr activities assessment

Many activities from TransformAr are linked to gender equality issues and should contribute to it. An overview of the work packages and their link with gender issues are listed in Table 1. The work packages are ranked by their importance (high-medium-low) to tackle gender equality issues within their activities.

¹ <https://eige.europa.eu/gender-mainstreaming/toolkits/gear/what-gender-equality-plan-gep>

² https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/agr-contr/general-mga_horizon-euratom_en.pdf

³ https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/aga_en.pdf

⁴ <https://eige.europa.eu/gender-mainstreaming/toolkits/gear>

⁵ <https://www.undp.org/publications/undp-gender-equality-strategy-2018-2021#modal-publication-download>

Table 1 Overview of gender equality importance in TransformAr work packages

Title	Importance to address gender issues	Comment
WP1 - Innovation ecosystems for transformational adaptation in demonstrators	High	The involvement of various stakeholders needs to consider gender equality
WP2 - Integrated biophysical/socio-economic framework for modelling multi-sector dynamics	Medium	The different assessments, especially risk and impact modelling should encompass gender consideration
WP3 - Envisioning transformative pathways for the demonstrators	High	In line with the WP1, it will implement the recommendations produced on site
WP4 - Actionable adaptive solutions implementation	Medium	Some solutions have gender at stake, such as the governance schemes
WP5 - Accelerating demonstrators' transformational adaptation	Low	No specific issues identified
WP6 - Acceptance, building and exploitation of innovation packages	Medium	The acceptance of solutions to be assessed should include a gender dimension
WP7 - Structuring an EU transformational adaptation community of practice	High	Great consideration of gender is required in the policy recommendations, identification and building of the community members
WP8 - Project management	Medium	TransformAr, in its organisation and quality processes, will include gender consideration for its partners

As illustrated, gender equality is a significant issue in TransformAr activities, notably through the variety of stakeholders to be involved within:

- The innovation ecosystems to be defined;
- The panel of respondents of different surveys;
- The different boards, internal or external to the consortium.

In addition, the gender dimension needs to be considered throughout the different risks and impact assessments to reveal potential strong gender inequalities in facing these risks. This will lead to address properly this issue in the different recommendations afterwards and propose more relevant adaptive solutions to be implemented on the longer term by local stakeholders.

1.3 Guidelines and indicators for monitoring

To tackle this issue all along the project in the different activities, the following list of recommendations can generally be formulated for the project which commits to:

1. Be transparent and use gender-sensitive language on the identification, selection and interviews of stakeholders in the processes above mentioned;
2. Consider gender dimension in the impact assessment of the policy recommendations and economic scenario;
3. Ensure as much as possible gender parity in every board of stakeholders, either internal or external to the consortium;

The first point will mainly concern the processes to be defined in work packages 1, 6 and 7 which will design the stakeholder's engagement guidelines, conduct surveys through interviews and build a

community gathering various stakeholders. It will require particular attention to Deliverable 1.1. concerning the stakeholder engagement guidelines and monitoring of people to be involved.

The second is more related to the work package 2 which conducts different modelling activities and impact assessment. The socio-economic impacts entailed by climate change are deeply related to gender equality issues which could be strengthened if not considered properly. Therefore, a specific analysis for impact on gender equality needs to be conducted in these activities, also to ensure adapted policy recommendations at the end in work package 7.

Finally, the third point specifically refers to an essential component of the project: the boards of actors. Several internal boards structure the project, as highlighted in the Quality Plan (D8.1). The parity is ensured to the possible extent in each of this board. This endeavour is extended to the external boards or group of stakeholders to be defined during the project.

More concretely, these overall objectives will be assessed using a similar approach as the one adopted by the UNDP, based on the four-fold approach:

1. Gender equality as a principal objective
2. Gender equality as a significant objective
3. Limited contribution to gender equality
4. No contribution to gender equality

During each Consortium Meeting (every 6 months), a review of the different activities achieved on the past 6 months will be conducted by the leader using the 4 markers above. Monitoring these results over the different meetings will give an overview of the contribution of the project to gender equality aiming at the statistics detailed in Table 2. In this perspective, an activity corresponds to each task of subtasks foreseen in the workplan and any additional and clearly defined activity conducted by the partners.

Table 2 Targets of activities contribution to gender equality

TransformAr's activities having ...	% of activities concerned
Gender equality as a principal objective	>10%
Gender equality as a significant objective	>60%
Limited contribution to gender equality	<20%
No contribution to gender equality	<10%

The “low” percentage of actions to be undertaken with gender equality as a principal objective could be interpreted as unambitious. Yet, as detailed above, the gender equality is an important issue but does not represent the sole priority of the project and its activities. Therefore, the project will rather focus on adding a significant place to gender equality in most of the activities. Moreover, the “limited contribution” or “no contribution” does not imply a failure but should consist in activities where gender equality does not represent an issue.

2.0 RRI principles of TransformAr

Gender equality is part of a wider approach supported by the European Commission and now represented through the “Responsible Research and Innovation” (RRI). This initiative aims to help design a more inclusive and sustainable research and innovation, with an emphasis on co-creation and co-

production with society. This is well represented in the motto or rather the initiative ‘Science with and for Society’⁶. These RRI principles encompass several dimensions: gender equality, open access to results, public engagement and promoting science education as well.

TransformAr aims at following RRI principles in every activity foreseen in the project. All the key dimensions above listed are indeed essential issues, making RRI a cross-cutting priority of this project.

2.1 RRI dimensions in TransformAr

First considerations of RRI dimensions within the project have been highlighted in the Table 3. These dimensions are at the heart of the project which aims to co-create and co-design solutions along the project with various stakeholders, from policymakers or research experts on climate change to local citizens.

Table 3 RRI dimensions represented in TransformAr

Public engagement is an important consideration that will be achieved thanks to a multi-stakeholders and multi-level methodology.
Gender dimension: tackled in the dedicated part above.
Science Education will be enhanced through cross-learning workshops, which will sustain the network of demonstrators and will cultivate the exchange of knowledge, experiences, and best practices.
To foster Open Science , the main project outputs will be provided in Open Access, with user-friendly format and content, made available through the CSA platform guaranteeing their accessibility.
Concerning Ethics , the partners will propose a detailed Data Management Plan ensuring an ethical treatment of the personal data collected all along the project. The influence of societal, ethical and legal issues arising throughout the project will be done with respect to the fundamental rights and highest ethical societal standards.
Governance Research and innovation centres and policymakers will collaborate all along the project duration, supported by EU experts and solution providers, to prevent any bad situations regarding mentioned aspects.

2.2 Guidelines and methodology to ensure RRI compliance

To ensure a full and transparent compliance with EC RRI principles, TransformAr will first build on previous initiatives and tools developed within European Funding framework. For example, it will be supported by the great work done by the RRI Tools project (Grant agreement ID: 612393)⁷. In addition to the community built across Europe (more than 2400 members today), the project has developed useful guidelines and best practices in terms of RRI. Moreover, a RRI toolkit has been developed to help stakeholders to concretely implement its principles.

TransformAr, through its quality board, joined the RRI-Tools community and will make full use of the content to:

⁶ <https://cordis.europa.eu/programme/id/H2020-EU.5>.


⁷ <https://rri-tools.eu/>



- Help relevant work package or task leader to refine their engagement methodology, when necessary, *e.g.*, organise dedicated workshop to ensure the methodology to be developed is in line with RRI principles and complete the foreseen strategy;
- Advise the different solution providers by analysing ethical or legal dimensions of their development and implementation, especially in work package 4 activities (Actionable adaptive solutions implementation);
- Ensure ethical issues are well identified collectively and tackled before, during and after the different workshops to be organised;

To assess the fulfilment of such objectives, the project and person in charge of RRI will need to:

- Carefully list the different participants to its activities and their roles. Any legal and ethical issues related to these data are addressed in the data management plan that is foreseen to be updated along the project.
- Review relevant deliverables according to the process described in the Quality Plan (D8.1) paying attention to the RRI dimension;
- Conduct, when necessary and/or requested by an activity leader, specific ethical and legal analysis of the process/methodology/technical solution to be implemented.



Climate change impacts are here and now. The impacts on people, prosperity and planet are already pervasive but unevenly distributed, as stated in the new EU Blueprint strategy (European Commission-EC, 2019). To reduce climate-related risks, the EC and the IPCC agree that transformational adaptation is essential. The TransformAr project aims to develop and demonstrate products and services to launch and accelerate large-scale and disruptive adaptive process for transformational adaptation in vulnerable regions and communities across Europe.

The 6 TransformAr lighthouse demonstrators face a common challenge: water-related risks and impacts of climate change. Based on existing successful initiatives, the project will develop, test and demonstrate solutions and pathways, integrated in Innovation Packages, in 6 territories.

Transformational pathways, including an integrated risk assessment approach are co-developed by means of 9 Transformational Adaptive Blocks. A set of 22 tested actionable adaptive solutions are tested and demonstrated, ranging from nature-based solutions, innovative technologies, financing, insurance and governance models, awareness and behavioral change solutions.



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