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**Deliverable D7.6 - *Second update of the strategy for Addressing the Ethics and Intellectual Property Rights in the Project***

**WP7 – *Project coordination and management***

Version 3.1.0 | December 2024

HORIZON-MISS-2021-OCEAN-02-01- Blueprint demonstration for  
co-created effective, efficient and resilient networks of MPAs



## Document History

Deliverable Title	Second update of the strategy for Addressing the Ethics and Intellectual Property Rights in the Project
Brief Description	This deliverable provides a second update to the strategy for addressing the ethics and Intellectual Property Rights in BLUE4ALL. It aims to identify the key ethical and legal requirements of the BLUE4ALL project in relation to the involvement of research contributors (i.e. stakeholders) for workshops, surveys and interviews, and particularly the identification and recruitment thereof. It also identifies the main Intellectual Property Rights (IPR) issues to consider in BLUE4ALL to ensure compliance with the Grant Agreement and Consortium Agreement. These are identified as copyright and database protection, including confidential information, while following the EC's "Open Science, Open Innovation, Open to the World" agenda and applying the FAIR principles to all project outputs. The project's authorship policy, which has been updated with feedback from the consortium, is also outlined, and the outcomes of the first Ethics Advisory Board meeting are given.
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14/12/2023	2.0	Lawrence Whatley (VLIZ), Lennert Schepers (VLIZ)	D7.5: Added an explanation of the ethical issues encountered when carrying out activities in non-EU countries (section 6.6) and Blue4All's authorship policy (section 8). Minor edits made to sections 2 (Introduction), 3 (Ethical Principles under Horizon Europe), and 4 (Intellectual Property Rights under Horizon Europe), and annex 10.1 (Informed Consent Form).
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25/11/2024	3.0	Lawrence Whatley (VLIZ), Lennert Schepers (VLIZ)	D7.6: Deliverable drafted based on D7.5 with the following additions: an overview of relevant tasks and deliverables (section 2), the outcomes of the first Ethics Advisory Board meeting (section 5.1), a clarification of the anonymisation and pseudonymisation processes for personal data (section 6.4.2), a clarification of the informed consent procedure (section 6.4.5), updates to Blue4All's authorship policy for scientific publications (section 8), examples of adapted versions of the Informed Consent Form (annexes, section 10).
18/12/2024	3.1	Bob Rumes (RBINS), Kaisa J. Raatikainen (SYKE), Kora Dvorksi (WWF Adria)	D7.6: Deliverable edited based on comments received from reviewers



## Abbreviations

CC	Creative Commons
D	Deliverable
DMP	Data Management Plan
DESCA	Development of a Simplified Consortium Agreement
EBSA	Ecologically or Biologically Significant Marine Area
EAB	Ethics Advisory Board
EC	European Commission
EU	European Union
EP	Exploitation Plan
FAIR	Findability, accessibility, interoperability, and reusability
GDPR	General Data Protection Regulation
HEU	Horizon Europe
IPR	Intellectual Property Rights
IS	Information Site
LL	Living Lab
LP	Lead Partner
MPA	Marine protected area
OS	Open Science
SDU	University of Southern Denmark
SEG	Stakeholder Engagement Group
UCD	University College Dublin
WP	Work Package
WU	Wageningen University



## Table of Contents

Document History .....	2
Abbreviations .....	4
1. Executive Summary .....	6
2. Introduction .....	7
3. Ethical principles under Horizon Europe .....	11
4. Intellectual Property Rights under Horizon Europe .....	12
5. Role of the Ethics Advisory Board in BLUE4ALL .....	12
5.1 Outcomes of Ethics Advisory Board meetings .....	13
6. Implementing HEU ethical principles in BLUE4ALL .....	13
6.1 Ethical principles in context .....	13
6.2 Identification and recruitment of research participants .....	14
6.3 Data collection and data protection .....	15
6.3.1 Personal Data .....	15
6.4 Data protection measures .....	16
6.4.1 Data collection .....	16
6.4.2 Anonymisation and pseudonymisation .....	16
6.4.3 Data Security, storage and encryption .....	17
6.4.4 Data Transfer .....	17
6.4.5 Informed consent procedure .....	17
6.5 Website data collection .....	18
6.6 Activities in non-EU countries .....	18
7. Implementing IPR in BLUE4ALL .....	19
8. Authorship Policy for Scientific Publications .....	20
8.1 Authorship Threshold Criteria .....	22
8.2 Order of Authors .....	23
8.3 Corresponding Author .....	23
8.4 Acknowledgement of Equal Contribution of Authors .....	23
8.5 Acknowledgement of Non-Author Contributors .....	23
9. References .....	25



10. Annexes.....	26
10.1 Informed Consent Form.....	26
10.2 Informed Consent Form (UCD WP2 Version, English) .....	28
10.3 Informed Consent Form (UCD WP2 Version, Dutch) .....	31
10.4 Informed Consent Form (WWF-Adria WP4 Stakeholder Engagement Group Version) .....	34
10.5 Informed Consent Form (SDU WP4 Stakeholder Engagement Group Version) .....	37
10.6 Ethics Advisory Board meeting 27/06/2024 – Meeting report .....	40

## 1. Executive Summary

This deliverable focuses on the ethical and legal requirements of the BLUE4ALL project in relation to:

1. Research contributors (i.e. stakeholders) for workshops, surveys and interviews, and particularly the identification and recruitment thereof. The practices and criteria used to identify, and recruit research participants are clearly formulated. Specifically, more detailed practical implementation methods and frameworks are further elaborated upon within D4.1 (Information sites engagement plan) and D6.1 (Dissemination and communication plan). In addition to that, research participants will be provided with informed consent procedures, including an informed consent template for research participation in the Stakeholder Engagement Groups established for each of the 14 Living Labs (D4.3). Matters of data processing are also handled in relation to data management of research participants with further information on GDPR compliance, available within D7.3 (Data Management Plan).

2. The main Intellectual Property Rights (IPR) issues to consider in BLUE4ALL to ensure compliance with the Grant Agreement and Consortium Agreement. These are identified as copyright and database protection, including confidential information, while following the EC’s “Open Science, Open Innovation, Open to the World” agenda and applying the FAIR principles to all project outputs. Further information on processes ensuring IPR compliance and adherence to Open Science principles is available in D7.3 (DMP).

*This deliverable provides an update to D7.5 (First Update of the Strategy for Addressing the Ethics and Intellectual Property Rights in the Project), itself an update of D7.1 (Strategy for Addressing the Ethics and Intellectual Property Rights in the Project). Additions to D7.5 are highlighted in italics; the most significant additions are:*

- *An overview of tasks and deliverables relevant to this deliverable*
- *An outline of the outcomes of the first Ethics Advisory Board (EAB) meeting*
- *A clarification of the anonymisation and pseudonymisation processes for personal data from small communities, addressing concerns raised during the first General Assembly*



- *A clarification of the informed consent procedure, addressing concerns about ethics in surveys and consultations raised during the first General Assembly*
- *Updates to Blue4All's authorship policy for scientific publications, addressing concerns raised during the first General Assembly and first EAB meeting*
- *Examples of adapted versions of the Informed Consent Form*

## 2. Introduction

This report clarifies the roles and procedures for addressing the ethics and Intellectual Property Rights in the project BLUE4ALL to ensure consistent application of legal and ethical frameworks, and assist the full partnership in the appropriate implementation of activities and the monitoring of ethics aspects and IPR protection. *This deliverable is the second update of the original Strategy for Addressing the Ethics and Intellectual Property Rights in the Project (D7.1) and follows up from the first update (D7.5).*

Utilising the ethical self-assessment in accordance with European Horizon Europe guidelines, the following ethical issues were identified for the BLUE4ALL project: humans used in research for non-medical studies, the collection and processing of personal data, and activities carried out in non-EU countries. *The Ethics Advisory Board (EAB) will ensure that BLUE4ALL follows all relevant ethical guidelines concerning data collection involving human subjects and conducts its activities in accordance with ethical standards agreed by social sciences and humanities. Research data collection may be subjected to a separate ethical review by the Human Research Ethics Committee of the project partner leading the research effort.*

This document also addresses BLUE4ALL's general approach to managing IPR. BLUE4ALL will follow the EC's "Open Science, Open Innovation, Open to the World" agenda and apply the FAIR principles to all project outputs. As stated in the DG Research & Innovation's study on Open Science (OS) and Intellectual Property Rights (2022), the OS paradigm poses new challenges to IPR. Here, we address the issue in a general manner, while the deliverables D7.3 (Data Management Plan) and D6.1 (Dissemination and Communication Plan) address the concrete IPR issues to be considered when applying the OS agenda in relation to data management and exploitation and dissemination of results. *An overview of tasks (Table 1) and deliverables (Table 2) whose content and/or actions are relevant to this deliverable is given below.*

*Table 1: Overview of tasks relevant for D7.6 and actions taken to comply with legal and ethical frameworks*

<b>WP</b>	<b>Task</b>	<b>Actions relevant to this deliverable</b>	<b>Actions taken to comply with legal and ethical frameworks</b>
2	<i>T2.2 Social and governance tools for MPA network design and management</i>	<i>Tool testing and validation in LLs.</i>	<i>Ethical principles described in section 6 to be applied.</i>



<b>WP</b>	<b>Task</b>	<b>Actions relevant to this deliverable</b>	<b>Actions taken to comply with legal and ethical frameworks</b>
	<i>T2.3 Tools for valuating benefits from ecosystem services</i>	<i>Tool testing and validation in LLs.</i>	<i>Ethical principles described in section 6 to be applied.</i>
	<i>T2.4 Innovative revenue streams, business models and buy-in models</i>	<i>Tool testing and validation in LLs.</i>	<i>Ethical principles described in section 6 to be applied.</i>
<b>4</b>	<i>T4.1 Benchmarking experiences on governance, socio-economic and ecological processes from MPA/OECM practitioners and stakeholders in project information sites.</i>	<i>Baseline assessment.</i>	<i>Informed Consent collected by SDU for the baseline assessment.</i>
	<i>T4.2 Co-creating and applying socio-economic, governance, ecological and environmental tools in projects Living Labs to validate their effectiveness and build tangible benefits for the involved MPAs and MPA networks.</i>	<i>Establishment of Stakeholder Engagement Groups (SEGs). Co-creation, selection, application, and validation of tools with SEGs, including needs assessment.</i>	<i>Informed consent collected by WWF Adria for the SEGs.</i>
	<i>T4.3 Informing the Blueprint design and optimizing user-friendliness, efficiency and effectiveness in the Living Labs</i>	<i>Co-design, co-development, and co-creation of the Blueprint scheme with SEGs.</i>	<i>Ethical principles described in section 6 to be applied (task starts in month 35).</i>
<b>5</b>	<i>T5.1 Identifying the needs and requirements of the Blueprint</i>	<i>Identification of the needs and requirements of the ultimate blueprint through questionnaires and feedback from actors and stakeholders.</i>	<i>Informed consent collected electronically by IUCN for the Blueprint Platform Questionnaire.</i>
<b>6</b>	<i>T6.3 Local Communication and Acceptance</i>	<i>Engagement with LL local communities, including a</i>	<i>Ethical principles described in section 6</i>



<b>WP</b>	<b>Task</b>	<b>Actions relevant to this deliverable</b>	<b>Actions taken to comply with legal and ethical frameworks</b>
		<i>public satisfaction survey and awareness-raising and networking campaigns.</i>	<i>to be applied to public survey.</i>
	<i>T6.4 Strengthening of the Blue Parks Networks</i>	<i>Mapping key influential actors, powers and barriers, creation of an online Knowledge Transfer Platform.</i>	<i>Ethical principles described in section 6 to be applied to Knowledge Transfer Platform.</i>
<i>7</i>	<i>T7.5 Information and content management</i>	<i>Preparation of ethics deliverables (D7.1, D7.5, D7.6), data management, management of EAB.</i>	<i>Blue4All's ethics guidelines and principles drawn up (D7.1, D7.3) and modified (D7.5, D7.6). EAB meetings organised.</i>

Table 2: Overview of deliverables relevant to D7.6

<b>WP</b>	<b>Deliverable</b>	<b>Relevance to this deliverable</b>
<i>2</i>	<i>D2.2 Robust social and governance tools towards effective, efficient and resilient networks of MPAs</i>	<i>Report including description of co-creating the social and governance tools in the LLs.</i>
	<i>D2.3 Identification and valuation of benefits form marine ecosystem services</i>	<i>Report including description of co-creating the ecosystem services valuation tools in the LLs.</i>
	<i>D2.4 Replicable business and finance models for MPA management and network design</i>	<i>Report including description of co-creating the business and financial tools in the LLs.</i>
<i>3</i>	<i>D3.3 Portfolio of optimized spatially defined ecology-based</i>	<i>Report including description of co-creating the ecology-based tools in the LLs.</i>



<i>WP</i>	<i>Deliverable</i>	<i>Relevance to this deliverable</i>
	<i>tools, and associated supporting information technologies, to support the consolidation and assessment of MPA networks in Living Labs</i>	
4	<i>D4.1 Information sites engagement plan</i>	<i>Guidelines and principles for identifying, mapping, and interacting with stakeholders in Information Sites (ISs) and LLs, including inclusiveness. Includes Informed consent form for the Baseline Assessment.</i>
	<i>D4.2 Living lab testing package</i>	<i>Plan for interactions with the LLs coordinated by WP4. Includes Informed consent form and explains IPR and GDPR aspects of interactions with the LLs.</i>
	<i>D4.3 Establishment of Stakeholder Engagement Groups</i>	<i>Description of establishment of SEGs per LL.</i>
	<i>D4.4 Tool validation reports</i>	<i>Report on the outcomes of tool testing and tool validation in the LLs.</i>
5	<i>D5.1 Report on the needs and requirements of a user-friendly BLUE4ALL blueprint platform</i>	<i>Overview of the co-creation workshop and user-friendliness questionnaire to identify the needs and requirements for the Blueprint Platform.</i>
6	<i>D6.1 Dissemination and communication plan, and visual identity</i>	<i>Strategy, tools, and activities for communication and dissemination.</i>
	<i>T6.3 Local Communication and Acceptance</i>	<i>Engagement with LL local communities, including a public satisfaction survey and awareness-raising and networking campaigns.</i>
	<i>D6.4 Exploitation plan</i>	<i>Strategy for ensuring the exploitation of the project after its termination, including technology transfer and scaling of results.</i>
	<i>T6.4 Strengthening of the Blue Parks Networks</i>	<i>Mapping key influential actors, powers and barriers, creation of an online Knowledge Transfer Platform.</i>

WP	Deliverable	Relevance to this deliverable
7	<i>D7.1 Strategy for Addressing the Ethics and Intellectual Property Rights in the Project</i>	<i>The first version of this deliverable. Ethics guidelines and principles drawn up. First version of Informed Consent Form.</i>
	<i>D7.3 Data Management Plan</i>	<i>Data management principles and practices, making data FAIR, data security, ethical and GDPR aspects of data management.</i>
	<i>D7.5 First update of the strategy for Addressing the Ethics and Intellectual Property Rights in the Project</i>	<i>The second version of this deliverable, and first update of D7.1. Ethics guidelines and principles from D7.1 developed further. Second version of Informed Consent Form.</i>
	<i>D7.7 Updated data management plan</i>	<i>Update of D7.5 (DMP), which will outline the ethical guidelines and principles relating to data implemented throughout the project.</i>

### 3. Ethical principles under Horizon Europe

Ethics is an integral part of research projects, which is also underlined by the European Commission (EC), specifically under Horizon Europe (HEU) research projects. The core of the ethical dilemma in research projects is to find a balance between two (or more) contradicting values. Though there are a number of absolute rules and regulations, the big challenge of ethics is one of judgement. The BLUE4ALL project will follow ethical compliance to respect the legal framework but also to enhance the quality of the research. We will follow existing EU, international and national guidelines. The HEU ethical requirements are anchored in the regulation HE Framework Programme Regulation 2021/695: Eligible actions and ethical principles (Article 18) and Ethics (Article 19). In Article 19 (1) of the regulation it is stated that:

“Actions carried out under the Programme shall comply with ethical principles and relevant Union, national and international law, including the Charter and the European Convention for the Protection of Human Rights and Fundamental Freedoms and its Supplementary Protocols.”

We follow therefore the ethical principles that are stated in this article and how they are applicable in the context of humans used in research, namely the principle of proportionality, the right to privacy, the right to protection of personal data, the right to physical and mental integrity of a person, the right to non-discrimination, and the need to ensure high levels of human health protection.



Some activities will be carried out in non-EU countries, e.g., in the IS located in Brazil and the LL located in Montenegro. BLUE4ALL will therefore ensure that all activities in these countries would be allowed in a Member State in accordance with Article 19 of the [HEU Regulation 2021/695](#), which lays out the ethical principles that all actions carried out under HEU must adhere to.

Personal data might be collected when engaging with stakeholders through interviews, surveys, workshops, or online applications. Data protection measures related to the collection and management of personal data are outlined in section 6.4 and in D7.3 (Data Management Plan).

## 4. Intellectual Property Rights under Horizon Europe

IPR under Horizon Europe are set out in the Grant Agreement art. 16 and Annex 5 (Specific Rules). They are further elaborated in the Data Management Plan (D7.3) and the Consortium Agreement, e.g. as based on the DESCAs template. The grant and consortium agreements define the ownership of and access rights to results, as well as the rules governing joint ownership, exploitation and dissemination of results, confidentiality, access rights to existing background, and Open Science.

Based on the DG Research and Innovation's report study on Open Science and Intellectual Property Rights (2022), considerations should always be made regarding how to balance OS and IPR:

- The concrete application of IPR and OS principles in relation to exploitation and dissemination of results, i.e. this *will* be included in the exploitation plan (D6.4).
- The concrete application of IPR in relation to the FAIR principles (findability, accessibility, interoperability and reusability of data) i.e. this *is* included in the data management plan (D7.3) and there should be a defined process for checking the validity of the consent of the rights holder or whether an exception/limitation applies.

## 5. Role of the Ethics Advisory Board in BLUE4ALL

The project has established the Ethics Advisory Board (EAB) involving all WP leads and some of the Advisory Board participants. *Other partners may be invited to attend EAB meetings on a case-by-case basis if they have knowledge of or expertise in the ethical issues to be discussed.* The EAB will ensure compliance with fundamental ethical principles present in the Nuremberg Code, European Textbook on Ethics in Research, and EC Ethics Appraisal Procedure, and consistent application of the legal and ethical frameworks referenced in this document. The EAB will also assist the full partnership in the appropriate implementation of activities and the monitoring of ethics aspects including the 'do no significant harm' principle and IPR protection. The EAB will specifically *provide guidance on ethical matters to the tasks and deliverables mentioned in this strategy if ethical issues arise (see Table 1 and Table 2).* Generally, the EAB will be involved by the LP (RBINS) as soon as any ethical or IPR related question arises beyond the issues already identified.



## 5.1 Outcomes of Ethics Advisory Board meetings

*During the first meeting of the EAB, held in month 18 (June 2024), the role of the EAB in BLUE4ALL, BLUE4ALL's authorship policy, and BLUE4ALL ethics guidelines in surveys and consultations were discussed. It was decided that UCD and WU, as partners with relevant expertise in acknowledging ethics and implementing ethical procedures in collaborative endeavours, specifically social scientists representing partners of the project, will join future EAB meetings. The project's authorship policy was modified to the version found in section 8 based on the outcomes of the first EAB meeting. The second EAB meeting, which will be held in month 25 (January 2025), will include a discussion of any issues raised by this deliverable. The complete meeting report is found in annex 10.6.*

## 6. Implementing HEU ethical principles in BLUE4ALL

During the BLUE4ALL project, surveys, workshops and interviews with several stakeholders will be conducted. Participation thereof will be entirely voluntary. An informed consent procedure will be used to inform participants of the voluntary nature of their involvement, project aims, use of data, and data protection regulation and implications of the research participation. This chapter describes the procedures and criteria that will be used to identify/recruit research participants with reference to the relevant HEU ethical principles, the informed consent procedure and the data and sampling collection of research participants. These principles will apply to all activities carried out under BLUE4ALL, whether in an EU Member State or a non-EU country.

### 6.1 Ethical principles in context

Ethical principles under Horizon Europe can be applied to the context of research participation:

- The principle of proportionality, meaning that cause and effect or action and consequences should be proportional. Questions posed during interviews and surveys should be proportional to the project aims.
- The right to privacy, meaning the absence of public attention. Information collected during interviews, *workshops*, and surveys will be treated confidentially.
- The right to protection of personal data. Resulting data from interviews, surveys and workshops will be protected and stored securely in compliance with latest GDPR 2016/697 regulations, which are further specified in D7.3 (DMP)
- The right to physical and mental integrity of a person. No physical or mental pressure will be applied in any form during the recruitment procedure and the informed consent procedure
- The right to non-discrimination. No discrimination during the identification and recruitment of research participants will take place. Meaning, no discrimination based on colour, race, gender, religion, political preference, age, nationality or marital status. The BLUE4ALL consortium has an international character with partners with a headquarters in over 13 different countries and people from many nationalities are represented within the consortium



- The need to ensure high levels of human health protection. We ensure that research participants will only participate in interviews, surveys and workshops under high levels of human health protection.

The above principals will be adhered to throughout the BLUE4ALL project and applied in the communication and dissemination activities, recruitment and building of ISs, SEGs in LLs, as well as the identification, recruitment, data gathering, and processing of survey and workshop participants. They will in particular be addressed in the specific contexts of *the tasks and deliverables outlined in Tables 1 and 2*.

Furthermore, *general* guidelines on safety and protection in relation to the activities to be carried out in the *workplace in the context of the project (including any activities in the field, at sea, or in laboratories)* will be adhered to, providing robust ethical standards to those working within the project.

## 6.2 Identification and recruitment of research participants

The identification and recruitment of research participants for interviews, surveys and workshops is further elaborated upon within the efforts of WP4: Deliverable 4.1 (Information sites engagement plan), and Deliverable 4.2 (Living Lab testing package) and Deliverable 4.3 (Stakeholder Engagement Groups in Living labs).

In general, participants are recruited from existing networks and approached during conferences and workshops. Such networks include the existing scientific, professional, and industrial connections, working groups, and initiatives for which BLUE4ALL partners and the consortium as a whole is involved with. Requests for research participants may also be communicated through the project website and the project newsletter to engage with and utilise the community interested in the developments of the project. Furthermore, additional recruitment procedure may be developed in order to fulfil gaps existing in the already accessible pool of candidates, these can include directed queries to governance and research networks cited as of high relevance, advice on networks and participants from the ISs and SEGs in LLs from task deliverables 4.1 and 4.3 respectively.

When identifying and recruiting research participants (i.e. stakeholders), all partners of the BLUE4ALL project will comply with the ethical principles. Stakeholders will be identified and grouped in a stakeholder register that is internal to the BLUE4ALL project. The register allows to visualise e.g. relative power and interest of stakeholders on a relative scale, however, this will not be done on a specific user by user basis but rather the power structure of generalised groupings of potential and identified stakeholder groups, thereby not utilising personalised data from any of the research participants and nullifying any concerns towards personal information protection as this will not be applicable. As stated in D4.2, all members of SEGs will sign a Letter of Intent, thereby agreeing to be involved in the BLUE4ALL project and to contribute to the project's objectives. If necessary, for instance if their personal data will be collected, SEG members will also sign the Informed Consent Form (Annex 10.1).

## 6.3 Data collection and data protection

This paragraph describes the GDPR directive, its principles and how the BLUE4ALL project adopts protection measures to assure fair adequate and informed research participation.

For data collection during interviews, surveys and workshops, we comply to the latest GDPR regulation (GDPR 2016/697). In Article 4(1) it is stated that personal data means

“any information relating to an identified or identifiable natural person (‘data subject’); 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.”

In Article 4(2) it is stated that processing means

“any operation or set of operations which is performed on personal data or on sets of personal data, whether or not by automated means, such as collection, recording, organisation, structuring, storage, adaptation or alteration, retrieval, consultation, use, disclosure by transmission, dissemination or otherwise making available, alignment or combination, restriction, erasure or destruction.”

According to the EC’s guidance on ethics and data protection (2021), data protection should be included by design and default in the context of research and development by applying the following measures when relevant:

- Pseudonymisation and anonymisation of personal data;
- data minimisation;
- applied cryptography (e.g. encryption and hashing);
- using data-protection focused service providers and storage platforms; and
- arrangements that enable data subjects to exercise their fundamental rights (e.g. as regards direct access to their personal data and consent to its use or transfer).

### 6.3.1 Personal Data

Personal data collected for the purposes of the BLUE4ALL project, will only be stored, analysed and used *internally in pseudonymised form*. Personal data will not be made public and will have restrictions for usage (i.e., only within the project and for the purposes of the defined tasks). *Therefore, datasets containing personal data, even in pseudonymised form, must be anonymised before being made publicly available in accordance with GDPR.*

This document focuses on the processes related to involvement of stakeholders in research. Further specification of the GDPR compliance in relation to all storage and processing of personal data is covered by D7.3 (Data Management Plan), which will be updated throughout the project.



## 6.4 Data protection measures

The data collection considerations detailed in section 6.3 can be translated to data protection measures. These will be followed and applied where possible.

### 6.4.1 Data collection

Data resulting from surveys, workshops and interviews will be collected according to the minimisation principle. This means that we only collect data that is adequate, relevant and limited to what is necessary in relation to the project aims. Thus, the only information collected via interviews, meetings/workshops related to the ISs & SEGs in WP4 and WP2. An informed consent statement should inform all research participants of the terms and conditions. Interactive webinars will also be sources of information collection serving general knowledge exchange between the MPA managers, planners, industry and researchers. Information may be collected in an audio-visual format (e.g. video of the webinar) and explicit agreement will be required from each participant for the recording and publishing of the material.

### 6.4.2 Anonymisation and pseudonymisation

Any data will be anonymised, where possible, and else data will be pseudonymised. The Data Protection Working Party, which is an independent European advisory body on data protection and privacy, published a document on Anonymisation techniques (Opinion 05/2014 on Anonymisation Techniques, 2014). Here generalisation, randomisation techniques are discussed. Also, pseudonymisation, which is different from anonymisation is considered here. For anonymisation, the data must be stripped until the point where the data subject is no longer identifiable. Anonymisation techniques like aggregation will be applied if relevant. Here data is displayed only in total scores, omitting individual responses. For example, age 25 will be grouped in the category age 20-30. If anonymisation is not achievable, pseudonymisation techniques can be applied, so that the source of information cannot be traced back to the data. Direct identifiers (e.g. names) will be replaced with indirect identifiers (e.g. numbers). Data masking could be applied, where some personal identifiers are stripped out, while others remain.

*During the first General Assembly, a concern was raised that it may be possible to identify the subject of even fully anonymised data (i.e., a dataset from which all personal data has been removed) in some cases. This may happen when a survey or interview collects data from a small group of participants or from a small community, and some data allows certain participants to be identified. For example, if the dataset contains information such as participants' job positions and locations, this may allow participants to be identified in certain contexts. In these cases, the partner collecting the data should either remove this information or aggregate the data before making it publicly available. The partner should aim to maintain as much information as possible in the data while ensuring that participants cannot be identified; this should be assessed on a case-by-case basis for each dataset.*



### 6.4.3 Data Security, storage and encryption

Practical data security, storage and encryption measures provided by the European University Institute (EUI, 2019) that will be used where possible:

- User authentication: verify user by a password, considering length, a mix of letters and no ties to your personal information;
- Access control: a mechanism to allow or deny access to certain data;
- Storage security: storing data in a way that prevent unauthorised access, for example by operating system controls, use of passwords to access electronic files, local encrypted storage, database encryption;
- Data retention will cover the duration of the project and not longer;
- Communication security: safe electronic communication for transferring data: encrypted communications (SSL/TLS, safe URLs starting with https://); firewall systems and access control lists; anti-virus and anti-malware systems; protect data when physically transferred.

### 6.4.4 Data Transfer

Regarding the data collected for the purposes of the communication and dissemination activities of the project, they will not be transferred to third parties either in the original form or in copies. Data might be published in reports, scientific publications, and other forms of publication, however, in anonymised form only.

The EB, including legal experts at various partner institutes, will guarantee that this process, including the information for the individuals about data protection issues, fully complies with national and EU laws.

### 6.4.5 Informed consent procedure

Individuals participating in any form of stakeholder engagement activities that involve the collection of data, will be informed comprehensively about the intended use of the information collected from them and have to agree to the data collection for scientific purposes with their active approval in form of a written consent. In addition, individuals will be informed about data security, anonymity and use of data as well as asked for accordance. *Records of participants' consent to data processing must be kept, as they may be requested by data subjects, funding agencies or data protection supervisory authorities.* The Informed Consent Form template is attached in Annex 10.1 of this document. Certain partners have adapted this form to meet the requirements of their task or institute. *For example, an expanded form was developed by UCD under WP2 to meet their institute's accessibility, ethical, and formatting requirements (Annexes 10.2 (in English) and 10.3 (in Dutch)). Under WP4, WWF-Adria added a signature list to collect consent from multiple partners in SEGs in one form (Annex 10.4), and SDU further adapted this form to include a section on the use of personal data (Annex 10.5). In specific cases such as the Baseline Assessment in the Baltic MPA network organized by HELCOM, participants' consent was collected verbally in accordance with [Ethics and Data Protection \(2021\)](#). Collecting participants'*



*verbal consent in this case was discussed in the Ethics Advisory Board meeting and justified in written form.*

*Some questions and concerns about the informed consent procedure were raised during the first EAB meeting. The phrase "None of the data will be transferred to third parties" appears in the Informed Consent Form; therefore, raw data collected using the form cannot be publicly shared, but fully anonymised, aggregated, or summarised data can in accordance with GDPR. Personal data should not be collected unless it is necessary, in which case it should be pseudonymised before being shared internally and anonymised before being made publicly available.*

*The purposes of the data collection should be clearly explained in the Informed Consent Form (see Annex 10.1); several purposes can be specified in the same form to avoid the possibility of having to obtain informed consent multiple times from the same stakeholder. If informed consent must be sought a second time from the same stakeholder, stakeholder fatigue can be minimised by obtaining informed consent through electronic means such as an email or an online form ([Ethics and Data Protection, 2021](#)). Records of such acquisition of informed consent must be securely kept by the partner collecting the informed consent.*

## 6.5 Website data collection

The BLUE4ALL website should serve as a source of information on the project. The following personal data might be stored while using the website: name of internet domain, IP address of the accessing computer, pages visited and actions performed throughout the website.

The data may be processed in order to optimise the website by improving the quality of the available information, website ergonomics, website management, website navigation and to generate statistics from this information. The collected data will not be provided to any third party or processed in a manner inconsistent with the purposes for which they have been initially collected, without prejudice to any applicable legal provision of any kind, particularly in the matter of data retention, as will also be specified in Deliverable 7.3 (DMP).

The website is anticipated to store cookies. These are small text files that are saved on the computer, which the browser can access. They increase the user-friendliness of the website. In case the website uses cookies, a pop-up will ask for permission first.

## 6.6 Activities in non-EU countries

BLUE4ALL conducts certain activities in the following non-EU countries, none of which are low or lower-middle income countries:

- Montenegro (Platamuni, Katič, and Stari Ulcinj Living Lab)
- Brazil (Parque Nacional Marinho de Fernando de Noronha Information Site)

Since BLUE4ALL is an EU-funded project, the EU's ethics requirements, outlined in section 6.1, apply to all project activities irrespective of where they take place. The activities carried out in the three non-EU countries identified above are not foreseen to raise any ethical issues in addition to those already identified (human *subjects* in research for non-medical studies, the collection and



processing of personal data). No local resources from these countries will be used, and no non-data materials will be transported from the EU to these countries or vice-versa. Furthermore, there are no specific safety measures which are required to carry out any Blue4All-related activities in these countries. Future activities may also take place in other non-EU countries; in this case the same ethical requirements described in this section and 6.1 will apply and any ethical issues raised by this will be addressed by the EAB.

Personal data may be collected during the project's activities in these non-EU countries, namely interviews, surveys and workshops carried out by WP4. If this is the case, all data collection and protection procedures must be in accordance with (1.) the laws of the country in which the data was collected, and (2.) EU law. The GDPR applies to all data-processing procedures carried out by Blue4All, both within and outside of the EU. Any partner(s) who collect and/or process data in non-EU countries should determine what legal obligations apply based on local and EU laws and take whatever action is necessary to comply with them. Partners must also be able to demonstrate compliance upon request.

When personal data collected from non-EU countries is exported to the EU, research participants must understand and provide their consent by signing the Informed Consent Form (Annex 10.1). In this case, the data protection measures outlined in section 6.4 will be implemented, including pseudonymisation and anonymisation where appropriate. To ensure that personal data are transferred securely, the appropriate organisational and technical measures described in sections 6.4.3 and 6.4.4 should be taken.

## 7. Implementing IPR in BLUE4ALL

To ensure that all knowledge and intellectual property generated by BLUE4ALL is managed correctly and adequately protected, the BLUE4ALL Consortium Agreement addresses the ownership and management of both project results and pre-existing rights (i.e., background included), as well as access rights and confidential information. Results are owned by the partner that generates them, including the case of joint ownership and the principles governing this.

The main IPR issues to consider in BLUE4ALL are copyright and database protection in relation to datasets and publications, while following the EC's "Open Science, Open Innovation, Open to the World" agenda and applying the FAIR principles to all project outputs. As stated in the DG Research & Innovation's study on Open Science (OS) and Intellectual Property Rights (2022), the OS paradigm poses new challenges to IPR, but the two are in no way incompatible.

In BLUE4ALL, the knowledge co-elaboration and open science approach is reflected in several inclusive practices and co-creation methods applied (e.g. T4.2, T4.3 and WP5: the development of an online blueprint). The BLUE4ALL research will be made openly available unless otherwise explicitly specified, and under the conditions that no confidential information is involved and that appropriate identification of origin and conditions of reuse is applied (e.g. CC licenses).

The BLUE4ALL project will follow the FAIR principles:



- **Findable:** The data and metadata can be found by the community after their publication, using search tools.
- **Accessible:** (Meta)data are accessible and can therefore be downloaded by other researchers using their identifiers.
- **Interoperable:** Both the data and the metadata should be described following the rules of the community, using open standards, in order to allow for their exchange and reuse.
- **Reusable:** (Meta)data can be reused by other researchers, since their origin and conditions of reuse are clear.

D6.1 further addresses the dissemination and communication strategy.

D6.4 will further address the means of exploitation applied in the project

D7.3 (DMP) further addresses the protection of IPR in relation to the findability, accessibility, interoperability and reusability of data produced under BLUE4ALL. *The DMP will be updated at the end of the project as D7.7.*

## 8. Authorship Policy for Scientific Publications

An appropriate authorship policy for scientific publications produced in BLUE4ALL will ensure that authors (1.) receive the academic credit they deserve and (2.) are responsible and accountable for the published work. This policy may differ from the authorship policy for deliverables. Partners involved in a task or research activity should start discussing the authorship of the scientific publication(s) as early and openly as possible before writing the publication and continue this discussion throughout the timeframe of the work. The authorship policy was partly adapted from the [criteria](#) developed by the Internal Committee of Medical Journal Editors. *The first version of the policy, included in D7.5, was discussed in plenary during the General Assembly in Lecce (month 13, January 2024), and during an EAB meeting in month 18 (June 2024). During both the General Assembly and the EAB meeting partners raised concerns and gave feedback, which was used to update the first version and create the version presented here. Substantial contributions to the tasks described by the four subcriteria of criterion 1 are defined based on the [CRediT framework](#).*



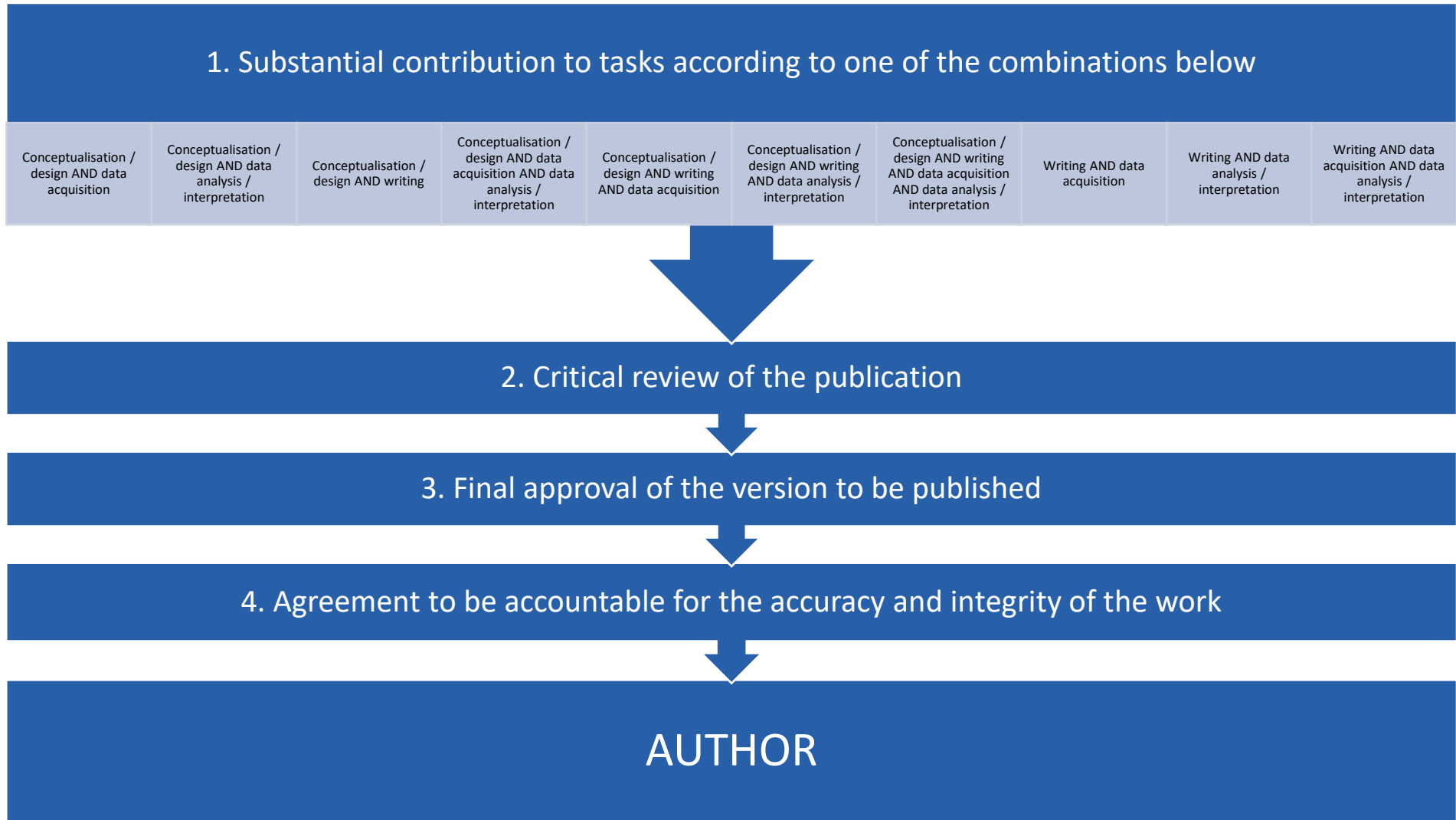


Figure 1: Blue4All's authorship threshold criteria. Partners who meet between one and three of these criteria are not authors but must be acknowledged.



## 8.1 Authorship Threshold Criteria

Partners must meet all four of the following criteria to be considered authors of scientific publications, and must therefore be identified as authors in the publication:

1. Substantial contributions to at least *two* of the following tasks, *at least one of which is conceptualisation/design (1.a.), or writing (1.d.)*:
  - a. The conceptualisation or design of the publication (*i.e. indispensable involvement in the overall [conceptualisation](#) or development of the [methodology](#)*)
  - b. The acquisition of data (*i.e. participation in or facilitation of the collection of multiple data units through [investigation](#), or [data curation](#)*)
  - c. Data analysis and interpretation (*i.e. participation in [formal analysis](#) or data [visualisation](#)*)
  - d. Writing the publication (*i.e. contribution to writing the [original draft](#)*)
2. Critically reviewing the publication for important intellectual content
3. Final approval of the version to be published
4. Agreement to be accountable for all aspects of the work in ensuring that questions related to the accuracy or integrity of any part of the work are appropriately investigated and resolved.

All those who meet these four criteria (*contributions, review, approval, agreement*) must be identified as authors (*Figure 1*). Partners who meet between one and three of the criteria must be acknowledged (see section 8.5) but not identified as authors. In addition to being accountable for the parts of the work done, an author should be able to identify which co-authors are responsible for specific other parts of the work. The [CRediT framework](#) should be used as a default to adhere to the latest standards for acknowledging an author's specific contributions, although publishers may require the use of alternative frameworks. Authors should have confidence in the integrity of the contributions of their co-authors.

All partners who meet the first criterion should have the opportunity to participate in the review, drafting, and final approval of the manuscript (*i.e.*, the opportunity to meet criteria 2, 3, and 4) to avoid disqualifying partners from authorship by preventing them from meeting all criteria. Therefore, the co-authors of a deliverable from which a scientific publication is derived must be invited to contribute to the derived publication; however, they can only be identified as co-authors of the derived scientific publication if they meet the four threshold criteria described above. *Furthermore, all partners who meet one of the first criterion's subcriteria should have the opportunity to meet enough of the other subcriteria to fulfil criterion 1. Consequently, any partner who has contributed to one of the tasks described under this criterion must be invited to also contribute to the other three tasks.*

The partners who conduct the work are responsible for identifying who meets these criteria and should do so when planning the work and as the work progresses. It is the collective responsibility of the authors to determine that all people named as authors meet all four criteria; journal editors are not responsible for determining authorship or arbitrating authorship conflicts. If agreement



cannot be reached about who qualifies for authorship, the *Blue4All Coordination Team* should be asked to investigate. *The EAB can also advise and mediate in the event of a dispute among partners over authorship of a publication.*

## 8.2 Order of Authors

The criteria used to determine the order in which authors are listed on the byline may vary but are usually based on the contributions of each author. The order should be decided collectively by the author group and not by editors. If authors request removal or addition of an author after manuscript submission or publication, the listed authors and the author to be removed or added should provide the journal editors with an explanation and signed statement of agreement for the requested change.

## 8.3 Corresponding Author

The corresponding author is the partner who takes primary responsibility for communication with the journal during the manuscript submission, peer-review, and publication process. The corresponding author typically ensures that all the journal's administrative requirements, such as providing details of authorship, ethics committee approval, and disclosures of relationships and activities are properly completed and reported, although these duties may be delegated to one or more co-authors. The corresponding author should be available throughout the submission and peer-review process to respond to editorial queries in a timely way. They should also be available after publication to respond to critiques of the work and cooperate with any requests from the journal for data or additional information should questions about the paper arise after publication.

## 8.4 Acknowledgement of Equal Contribution of Authors

If multiple authors have contributed equally to the work this should be decided by the author group and not by editors, and this can be mentioned during submission. Equally, if the work has more than one senior (usually last) author this should be decided by the author group, and this can be mentioned during submission. Examples of acknowledgement of shared responsibility of the work can be: "These authors contributed equally to this work and share first authorship", "These authors contributed equally to this work and share senior authorship".

## 8.5 Acknowledgement of Non-Author Contributors



Contributors who meet 1-3 of the threshold criteria for authorship (see section 8.1) should be acknowledged but not listed as authors. Examples of activities that alone (without other contributions) require acknowledgement but do not qualify a contributor for authorship are acquisition of funding; general supervision of a research group or general administrative support; and writing assistance, technical editing, language editing, and proofreading. Those whose contributions do not justify authorship may be acknowledged individually or together as a group under a single heading (e.g., “Participating Investigators”). Their contribution should be specified (e.g., “served as scientific advisors”, “reviewed the study proposal”, “collected data”, “participated in writing or technical editing of the manuscript”, “provided access to research infrastructure”). In non-deliverable publications, Blue4All must be acknowledged as the project under which the research was carried out using a phrase *which includes at least the name and ID of the project, such as the following*:

This study was funded by the EU HORIZON project Blueprint demonstration for co-created effective, efficient and resilient networks of MPAs (Blue4All, Project ID 101094014).

Because acknowledgment may imply endorsement by acknowledged individuals of a study’s data and conclusions, it is recommended that the corresponding author obtain written permission to be acknowledged from all acknowledged individuals.



## 9. References

- Article 29 Data Protection Working Party. (2014). Opinion 05/2014 on Anonymisation Techniques. (retrieved from: <https://www.pdpjournals.com/docs/88197.pdf>) office (retrieved from: <https://ico.org.uk/media/fororganisations/documents/1061/anonymisation-code.pdf>)
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- Defining the Role of Authors and Contributors (retrieved from: <https://www.icmje.org/recommendations/browse/roles-and-responsibilities/defining-the-role-of-authors-and-contributors.html>)
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- EU Grants: How to complete your ethics self-assessment: V2.0 – 13.07.2021 (retrieved from: [https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/how-to-complete-your-ethics-self-assessment\\_en.pdf](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/how-to-complete-your-ethics-self-assessment_en.pdf))
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- 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 (GDPR). REGULATION (EU), 679, 2016. [https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv:OJ.L\\_.2016.119.01.0001.01.ENG](https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv:OJ.L_.2016.119.01.0001.01.ENG)
- Regulation (EU) 2021/695 of the European Parliament and of the Council of 28 April 2021 establishing Horizon Europe – the Framework Programme for Research and Innovation, laying down its rules for participation and dissemination, and repealing Regulations (EU) No 1290/2013 and (EU) No 1291/2013 (Text with EEA relevance) <https://eur-lex.europa.eu/legal-content/EN/ALL/?uri=CELEX:32021R0695>
- European Commission, Directorate-General for Research and Innovation, *Open science and intellectual property rights : How can they better interact? : state of the art and reflections : executive summary*, Publications Office of the European Union, 2022, <https://data.europa.eu/doi/10.2777/347305>



## 10. Annexes

### 10.1 Informed Consent Form

PROJECT TITLE	BLUE4ALL
START DATE OF THE PROJECT	01-01-2023
END DATE OF THE PROJECT	31-12-2026
PROJECT WEBSITE	<a href="http://www.blue4all.eu">www.blue4all.eu</a>

You have been invited to participate in research under the Blue4All project in the form of a survey, workshop or an interview. Before participation, please read the information below carefully. If statements in the document are unclear to you, do not hesitate to ask the contact researcher for clarification.

#### 1. Project summary

Blue4All will align top-down regulatory demands about European (networks of) MPAs with bottom-up societal expectations to achieve effective, efficient and resilient MPAs and networks of MPAs which meet EU Biodiversity Strategy 2030 objectives. By mobilizing stakeholders from Blue4All's 25 Information Sites and Living Labs, i.e., locations across the Mediterranean Sea, the Baltic Sea and the North-East Atlantic regions where (networks of) MPAs have been established and from which lessons learned can be drawn about success and failure relative to how challenges were tackled, we will co-create robust and replicable social, governance, ecological and environmental tools to meet conservation and/or restoration objectives in socially sustainable and acceptable ways. These science-based tools will be tested in Living Labs, i.e., locations where (networks of) MPAs are in the process of establishment and where these tools can be fed into the ongoing MPA process. The operationalized and tested frameworks will ultimately be generalized into a Blueprint Platform for the co-creation of effective, efficient and resilient (networks of) MPAs. This scheme will separate generically encountered challenges and applied solutions from MPA (network) specific challenges and solutions and develop guidance in a user-friendly manner to end-users (i.e., MPA (network) managers and authorities). This guidance will take the shape of an interactive web-based Blueprint Platform directing the end-users to those challenges and solutions most applicable to their site(s). User-friendliness and applicability will be maximized by cross-checking the Blueprint Platform development with the actors and stakeholders of the Living Labs throughout the whole process of its development. Knowledge transfer and interaction with stakeholders and society-at-large at local to regional scales will lead to the development of a platform for MPA networking to interact with communities of practice and boost the Blue4All legacy to restore our oceans and waters.

#### 2. Purpose of data collection



You have been invited to participate in an interview, survey or workshop. Resulting data will be specifically used to

.....

3. Benefit of participation

Participation is on an entirely voluntary basis and you may not directly benefit. However, you will make a substantial contribution to the Blue4All project aims.

4. Risks of participation

There are no risks foreseen in participation

5. Compliance with ethical and legal regulations

We comply with EU and national ethical and legal regulations, including the GDPR (General Data Protection Regulation 2016/680) framework of the EU.

6. Privacy and data protection

Data resulted from surveys and interviews will be recorded and stored on secure servers. This data will not include any personal identification, so that data cannot be traced back to you as the source of the data. Data might be processed and analysed for publication in reports, scientific journals and other forms of project outputs, only in anonymized form. None of the data will be transferred to third parties. Data collected in non-EU countries may be exported to Blue4All partners in the EU. Retention time of the original research data is the same as the project duration, although the anonymized resultant data may be stored for longer periods of time to be used in future research.

7. Withdrawal of participation

At any point you may withdraw from participation by stopping the interview, survey or workshop.

8. Researcher contact

In case of any issues or questions you can contact:

Name: ..... and contact: .....

9. Consent statement

By signing this form, I state that I have read all information on this document of informed consent, I understand the information provided, and I agree with the terms and conditions provided on the informed consent document.

.....	.....	.....
Research Participant	Signature	Date
.....	.....	.....
Researcher	Signature	Date



## 10.2 Informed Consent Form (UCD WP2 Version, English)

### Information sheet

Thank you for your interest in the Blue4All project.

#### *Who is leading this research?*

This study is led by researchers based at University College Dublin (Ireland) and Wageningen University & Research (The Netherlands). To get in touch with the team, please contact Tomas Buitendijk at [tomas.buitendijk@ucd.ie](mailto:tomas.buitendijk@ucd.ie).

#### *What is this research about?*

We are organising discussion groups with stakeholders in Co. Louth to understand their connection to the Dundalk Bay Special Area of Conservation and/or Special Protection Area. Following this, we want to bring together members of different stakeholder groups to discuss potential overlap in the way they interact with Dundalk Bay. We do this research to develop better methods for recognising stakeholders and including them in decisions about Marine Protected Areas such as Dundalk Bay.

#### *What will happen if you decide to take part in this research?*

You are asked to take part in a discussion group with 4 to 8 participants, lasting around 60 minutes. The discussion group is led by a researcher. Participation in the discussion group is on the basis of consent and you are not obliged to answer any particular questions.

#### *How will your data be used?*

With your permission, the discussion group will be audio-recorded and transcribed. Audio recordings are permanently deleted after transcription, and in any case within three months after the discussion group has taken place. Transcriptions will be analysed to understand different stakeholder connections to Dundalk Bay and how they overlap.

Results from the study may be used to inform further research efforts, educational events, scientific presentations and publications, and policy briefs. They will not be used for commercial purposes.

#### *Can I change my mind at any stage and withdraw from the study?*

You have the right to withdraw from the study at any time.



### *How will we protect your privacy?*

Your contribution to the discussion group will be anonymised during transcription. Study data are securely stored on a cloud server located within the European Union that can only be accessed by the project team. The team consists of researchers based at University College Dublin and Wageningen University & Research. After the study is completed, a summary of the anonymous dataset will be archived indefinitely in the Blue4All repository. This summary may be shared with third parties.

If at any stage you have concerns about your rights as a participant in this study, you can contact the Data Protection Officer (DPO) at University College Dublin (via [gdp@ucd.ie](mailto:gdp@ucd.ie)) or Wageningen University & Research (via [dpo@wur.nl](mailto:dpo@wur.nl)). If you are not satisfied with the DPO's response or believe we are not processing your data in accordance with the law, you can complain to the Irish Data Protection Commission (<https://www.dataprotection.ie/>) or the Dutch Data Protection Commission (<https://www.autoriteitpersoonsgegevens.nl/>).

### *How will I find out what happens with this project?*

Blue4All regularly posts updates on <https://blue4all.eu/>. You can also follow us on X (formerly known as Twitter): @BLUE4ALLproject.

### *Who supports this study?*

This study was funded by the EU HORIZON project Blueprint demonstration for co-created effective, efficient and resilient networks of MPAs (BLUE4ALL, Project ID 101094014).

## DECLARATION OF CONSENT

I have read this information sheet and have had time to consider whether to take part in this study. I understand that my participation is voluntary (it is my choice) and that I am free to withdraw from the research without disadvantage. I agree to take part in this research.

I understand that as part of this research project, I will take part in a discussion group. I understand that my contribution will be audio-recorded, and that the written text of this recording will be included in the study data. I understand that my contribution to the discussion group will be anonymised.

I agree that study data can be used to inform further research efforts, educational events, scientific presentations and publications, and policy briefs. I understand that study data will not be used for commercial purposes.

I understand that a summary of the anonymous dataset will be archived indefinitely in the Blue4All repository.



Name of Participant (in block letters): \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_



### 10.3 Informed Consent Form (UCD WP2 Version, Dutch)

#### **Informatieblad**

Bedankt voor uw interesse in het Blue4All project.

#### *Wie voert dit onderzoek uit?*

Deze wetenschappelijke studie wordt uitgevoerd door onderzoekers van University College Dublin (Ierland) en Wageningen University & Research (Nederland). De contactpersoon voor het onderzoeksteam is Tomas Buitendijk, te bereiken via [tomas.buitendijk@ucd.ie](mailto:tomas.buitendijk@ucd.ie).

#### *Waar gaat dit onderzoek over?*

Wij organiseren discussiegroepen met belanghebbenden in de provincie Zeeland om beter te begrijpen hoe zij betrokken zijn bij de Vlake van de Raan. Daarnaast willen we verschillende groepen belanghebbenden in gesprek brengen om te zien hoe hun relaties met de Vlake van de Raan zich tot elkaar verhouden. Wij doen dit onderzoek omdat we betere methoden willen ontwikkelen om belanghebbenden te erkennen en ze te betrekken bij de besluitvoering over natuurgebieden op zee, zoals de Vlake van de Raan.

#### *Wat gebeurt er als u besluit mee te doen aan dit onderzoek?*

U wordt gevraagd om mee te doen aan een discussiegroep met circa 4 tot 8 deelnemers, die ongeveer 60 minuten duurt. De discussiegroep wordt geleid door een onderzoeker. Deelname in de discussiegroep is op vrijwillige basis en u bent niet verplicht om specifieke vragen te beantwoorden.

#### *Hoe wordt uw bijdrage gebruikt?*

Met uw toestemming maken wij een audio-opname van de discussiegroep die we vervolgens overschrijven. Audio-opnames worden permanent verwijderd nadat ze zijn overgeschreven, en hoe dan ook binnen drie maanden nadat de discussiegroep heeft plaatsgevonden. De overgeschreven tekst wordt door ons geanalyseerd om te begrijpen hoe belanghebbenden zich verhouden tot de Vlake van de Raan en hoe de verschillende relaties overlappen.

De resultaten van dit onderzoek kunnen worden gebruikt als basis voor verder onderzoek, onderwijs, wetenschappelijke presentaties en publicaties, en beleidsaanwijzingen. De resultaten zullen niet worden gebruikt voor commerciële doeleinden.



*Kan ik me bedenken en mijn deelname beëindigen?*

U kunt zich op elk moment terugtrekken uit de studie.

*Hoe beschermen wij uw privacy?*

Uw bijdrage aan de discussiegroep wordt anoniem overgeschreven. Onderzoekresultaten worden veilig opgeslagen op een cloudserver binnen de Europese Unie, die alleen toegankelijk is voor het projectteam. Het team bestaat uit onderzoekers van University College Dublin en Wageningen University & Research. Na afronding van de studie wordt een samenvatting van de anonieme onderzoekresultaten voor onbepaalde tijd opgeslagen in het Blue4All-archief. Deze samenvatting kan worden gedeeld met derden.

Mocht u vragen hebben over uw rechten als deelnemer aan deze studie, dan kunt u contact opnemen met de functionaris voor gegevensbescherming van University College Dublin (via [gdpr@ucd.ie](mailto:gdpr@ucd.ie)) of Wageningen University & Research (via [dpo@wur.nl](mailto:dpo@wur.nl)). Als u niet tevreden bent met het antwoord van de functionaris voor gegevensbescherming, of als u van mening bent dat wij uw persoonlijke gegevens onwettelijk gebruiken, dan kunt u een klacht indienen bij de Ierse Data Protection Commission (<https://www.dataprotection.ie/>) of de Nederlandse Autoriteit Persoonsgegevens (<https://www.autoriteitpersoonsgegevens.nl/>).

*Hoe weet ik wat er verder met het project gebeurt?*

Blue4All plaatst regelmatig updates op <https://blue4all.eu/>. U kunt ons ook volgen op X (voorheen Twitter): @BLUE4ALLproject.

*Wie ondersteunt dit onderzoek?*

Dit onderzoek wordt gesteund door het EU HORIZON project Blueprint demonstration for co-created effective, efficient and resilient networks of MPAs (BLUE4ALL, Project ID 101094014).

## **TOESTEMMINGSFORMULIER**

Ik heb kennisgenomen van het informatieblad en ik heb voldoende tijd gehad om te besluiten of ik mee wil doen aan dit onderzoek. Ik begrijp dat ik op vrijwillige basis meedoe aan dit onderzoek (het is mijn eigen keuze) en dat ik mijn deelname op elk moment kan



beëindigen zonder daar nadeel van te ondervinden. Ik ga akkoord met deelname aan dit onderzoek.

Ik begrijp dat ik voor deze studie zal meedoen aan een discussiegroep. Ik begrijp dat er een audio-opname van mijn deelname zal worden gemaakt en dat de geschreven tekst van deze opname onderdeel zal worden van de onderzoeksresultaten. Ik begrijp dat mijn bijdrage aan de studie zal worden geanonimiseerd.

Ik ga ermee akkoord dat de onderzoeksresultaten kunnen worden gebruikt als basis voor verder onderzoek, onderwijs, wetenschappelijke presentaties en publicaties, en beleidsaanwijzingen. Ik begrijp dat de resultaten niet zullen worden gebruikt voor commerciële doeleinden.

Ik begrijp dat een samenvatting van de anonieme onderzoeksresultaten voor onbepaalde tijd wordt opgeslagen in het Blue4All-archief.

**Naam deelnemer (in blokletters):** \_\_\_\_\_

**Handtekening:** \_\_\_\_\_ **Datum:** \_\_\_\_\_



## 10.4 Informed Consent Form (WWF-Adria WP4 Stakeholder Engagement Group Version)

PROJECT TITLE	BLUE4ALL
START DATE OF THE PROJECT	01-01-2023
END DATE OF THE PROJECT	31-12-2026
PROJECT WEBSITE	<a href="http://www.blue4all.eu">www.blue4all.eu</a>

You have been invited to interact with representatives of the Blue4All project as a participant of the Stakeholder Engagement Group in your Living lab. The interactions can take place for a duration of the project, until 31 December 2026 and can include interviews, surveys or workshops. Before your participation, please read the information below carefully. If statements in the document are unclear to you, do not hesitate to ask the contact person for clarification.

### 1. Project summary

BLUE4ALL will align top-down regulatory demands about European (networks of) MPAs with bottom-up societal expectations as a guarantee for achieving effective, efficient and resilient MPAs and networks of MPAs which meet EU Biodiversity Strategy 2030 objectives. By mobilizing stakeholders from BLUE4ALL's 25 Information sites and Living labs, i.e. locations across the Mediterranean Sea, the Baltic Sea and the North-East Atlantic regions where (networks of) MPAs have been established and from which lessons learned can be drawn about success and failure relative to how challenges were tackled, we will co-create robust and replicable social, governance, ecological and environmental tools to meet conservation and/or restoration objectives in socially sustainable and acceptable ways. These science-based tools will be tested in Living Labs, i.e. locations where (networks of) MPAs are in the process of establishment and where these tools can be fed into the ongoing MPA process. The operationalized and tested frameworks will ultimately be generalized into a Blueprint Platform for the co-creation of effective, efficient and resilient (networks of) MPAs. This scheme will separate generically encountered challenges and applied solutions from MPA (network) specific challenges and solutions and develop guidance in a user-friendly manner to end-users (i.e. MPA (network) managers and authorities). This guidance will take the shape of an interactive web-based Blueprint Platform directing the end-users to those challenges and solutions most applicable to their site(s). User-friendliness and applicability will be maximized by cross-checking the Blueprint Platform development with the actors and stakeholders of the Living labs throughout the whole process of its development. Knowledge transfer and interaction with stakeholders and society-at-large at local to regional scales will lead to the development of a platform for MPA networking to interact with communities of practice boosting the BLUE4ALL legacy to its ultimate goal to restore our oceans and waters.

### 2. Purpose of data collection

As a participant of the Stakeholder Engagement Group, you will participate in the Needs Assessment to identify the needs in your Living lab, which will be followed by a loop of interactions that will result in the development of the Blueprint Platform. The data resulting from these interactions will be used to inform the processes within the various project's work packages (WPs), including the WP1, WP2, WP3, WP4, WP5



and WP6. WP1 - *State of the art knowledge to underpin the Living labs and development of the Blueprint Platform*, WP2 - *Science-based tools for socio-economic and governance solutions*, WP3 – *Science-based tools for ecological and environmental solutions*, WP4 - *Learning and testing in Living Labs: Optimizing blueprint generator to deliver conservation results and socio-economic benefits*, WP5 - *BLUE4ALL Blueprint Platform* and WP6 - *Communication, Dissemination and Exploitation*.

3. Benefit of participation

Participation is on an entirely voluntary basis and you may not directly benefit. However, you will make a substantial contribution to the BLUE4ALL project aims.

4. Risks of participation

There are no risks foreseen in participation.

5. Compliance with ethical and legal regulations

We comply with EU and national ethical and legal regulations, including the GDPR (General Data Protection Regulation 2016/680) framework of the EU.

6. Privacy and data protection

Data resulting from surveys and interviews will be recorded and stored on secure servers. This data will not include any personal identification, so that data cannot be traced back to you as the source of the data. Data might be processed and analysed for publication in reports, scientific journals and other forms of project outputs, only in anonymized form. None of the data will be transferred to third parties. Data collected in non-EU countries may be exported to BLUE4ALL partners in the EU. Retention time of the original research data is the same as the project duration, although the anonymized resultant data may be stored for longer periods of time to be used in future research.

7. Withdrawal of participation

At any point you may withdraw from participation by stopping the interview, survey or workshop.

8. Contact person (Contact Point)

In case of any issues or questions you can contact:

Name: ..... and contact email: .....

9. Consent statement

By signing this form, I state that I have read all information on this document of informed consent, I understand the information provided, and I agree with the terms and conditions provided on the informed consent document.

**Contact point:**

.....



Contact Point

Signature

Date

**Participants:**

Participant (Name, surname)	Signature	Date



## 10.5 Informed Consent Form (SDU WP4 Stakeholder Engagement Group Version)

PROJECT TITLE	BLUE4ALL
START DATA OF THE PROJECT	01-01-2023
END DATE OF THE PROJECT	31-12-2026
PROJECT WEBSITE	www.BLUE4ALL.eu

You have been invited to interact with representatives of the Blue4All project as a participant of the Stakeholder Engagement Group in your Living lab. The interactions can take place for a duration of the project, until 31 December 2026 and can include interviews, surveys or workshops. Before your participation, please read the information below carefully. If statements in the document are unclear to you, do not hesitate to ask the contact person for clarification.

### 1. Project summary

BLUE4ALL will align top-down regulatory demands about European (networks of) MPAs with bottom-up societal expectations as a guarantee for achieving effective, efficient and resilient MPAs and networks of MPAs which meet EU Biodiversity Strategy 2030 objectives. By mobilizing stakeholders from BLUE4ALL's 25 Information sites and Living labs, i.e. locations across the Mediterranean Sea, the Baltic Sea and the North-East Atlantic regions where (networks of) MPAs have been established and from which lessons learned can be drawn about success and failure relative to how challenges were tackled, we will co- create robust and replicable social, governance, ecological and environmental tools to meet conservation and/or restoration objectives in socially sustainable and acceptable ways. These science-based tools will be tested in Living Labs, i.e. locations where (networks of) MPAs are in the process of establishment and where these tools can be fed into the ongoing MPA process. The operationalized and tested frameworks will ultimately be generalized into a Blueprint Platform for the co-creation of effective, efficient and resilient (networks of) MPAs. This scheme will separate generically encountered challenges and applied solutions from MPA (network) specific challenges and solutions and develop guidance in a user-friendly manner to end-users (i.e. MPA (network) managers and authorities). This guidance will take the shape of an interactive web-based Blueprint Platform directing the end-users to those challenges and solutions most applicable to their site(s). User-friendliness and applicability will be maximized by cross-checking the Blueprint Platform development with the actors and stakeholders of the Living labs throughout the whole process of its development. Knowledge transfer and interaction with stakeholders and society-at-large at local to regional scales will lead to the development of a platform for MPA networking to interact with communities of practice boosting the BLUE4ALL legacy to its ultimate goal to restore our oceans and waters.

### 2. Purpose of data collection

As a participant of the Stakeholder Engagement Group, you will participate in the Needs Assessment to identify the needs in your Living lab, which will be followed by a loop of interactions that will result in the development of the Blueprint Platform. The data resulting from these interactions will be used to inform the processes within the various project's work packages



(WPs), including the WP1, WP2, WP3, WP4, WP5 and WP6. WP1 - State of the art knowledge to underpin the Living labs and development of the Blueprint Platform, WP2 - Science-based tools for socio-economic and governance solutions, WP3 – Science-based tools for ecological and environmental solutions, WP4 - Learning and testing in Living Labs: Optimizing blueprint generator to deliver conservation results and socio-economic benefits, WP5 - BLUE4ALL Blueprint Platform and WP6 - Communication, Dissemination and Exploitation.

### 3. Benefit of participation

Participation is on an entirely voluntary basis and you may not directly benefit. However, you will make a substantial contribution to the BLUE4ALL project aims.

### 4. Risks of participation

There are no risks foreseen in participation.

### 5. Compliance with ethical and legal regulations

We comply with EU and national ethical and legal regulations, including the GDPR (General Data Protection Regulation 2016/680) framework of the EU.

### 6. Privacy and data protection

Data resulting from surveys and interviews will be recorded and stored on secure servers. This data will not include any personal identification, so that data cannot be traced back to you as the source of the data. Data might be processed and analysed for publication in reports, scientific journals and other forms of project outputs, only in anonymized form. None of the data will be transferred to third parties. Data collected in non-EU countries may be exported to BLUE4ALL partners in the EU. Retention time of the original research data is the same as the project duration, although the anonymized resultant data may be stored for longer periods of time to be used in future research.

### 7. Use of personal data

According to the EU's General Data Protection Regulation (GDPR), with Your signature You give permission to the Lead Partner of BLUE4ALL project "RBINS-Royal Belgian Institute of Natural Sciences" to use Your personal data (name, surname, institution, e-mail address) for the purposes of Your attendance at the meetings organised in the framework of BLUE4ALL project (project has received funding from the European Union's Horizon Mission Ocean under Grant Agreement No 101094014) and all the relevant activities (attendance evidence, meeting reports, publishing of the reports on the BLUE4ALL web site, sending information regarding the meetings, etc.). The project complies with EU and national ethical and legal regulations, including the GDPR (General Data Protection Regulation 2016/680) framework of the EU. The said data will be used only for the above purposes and will not be made available to third parties, and will be used until the revocation. With Your signature You declare that You are aware of Your right to request from RBINS access to Your personal data, correction, deleting of data, limiting of data processing, right to object to processing, right to transferability of data, right to submit a complaint to the relevant



body (Agency for the Protection of Personal Data). Correction of data and/or revocation of the given permission to process personal data have to be submitted in writing by electronic mail to the addresses: brumes@naturalsciences.be and is@submariner-network.eu. The data will be kept until revocation. BLUE4ALL project partners and project management team reserve the right to use any photograph/video taken at any BLUE4ALL event without the expressed written permission of those included within the photograph/video. Project partners and project management team may use the photograph/video in publications or other media material produced, used or contracted by BLUE4ALL including but not limited to: brochures, invitations, books, newspapers, magazines, television, websites, etc.

8. Withdrawal of participation

At any point you may withdraw from participation by stopping the interview, survey or workshop.

9. Contact person (Contact Point)

In case of any issues or questions you can contact:

Name: \_\_\_\_\_ and contact email: \_\_\_\_\_

10. Consent statement

By signing this form, I state that I have read all information on this document of informed consent, I understand the information provided, and I agree with the terms and conditions provided on the informed consent document.

Contact point:

.....

Contact Point                      Signature                      Date

Participants:

Participant (name, surname)	Signature	Date



## 10.6 Ethics Advisory Board meeting 27/06/2024 – Meeting report

### 1) Action points from this meeting

27/06	Who?	What?
AP1	RBINS	Invite additional BLUE4ALL partners with specific expertise to join the EAB
AP2	RBINS	Inform BLUE4ALL's consortium of the EAB meeting (send meeting report + annex) and issues discussed.
AP3	ALL	Organize a follow-up meeting of the EAB in January 2025

### 2) Agenda 27/02/2024

1. Role of the Ethics Advisory Board in Blue4All (RBINS)
2. Blue4All's authorship policy (VLIZ)
3. Blue4All ethics guidelines in surveys and consultations (VLIZ)
4. Ethics Advisory Board questions and comments
5. AOB

### 3) Notes

Attendance:

RBINS: Steven Degraer, Bob Rumes, Laurence Vigin, VLIZ: Lawrence Whatley, Fien De Raedemaecker, WWF Adria: Kora Dvorsky, SYKE: Raatikainen Kaisa, CMCC: Sergio Scanu, SDU: Myriam Johanna Perschke, UTARTU: Francisco R. Barboza, Submariner: Franziska Drews-von Ruckteschell

External advisory board: Helen Ding

Meeting presentation: see [Link](#) (BLUE4ALL sharepoint)

### Role of the Ethics Advisory Board in Blue4All

RBINS clarified the organization and role of BLUE4All's Ethics Advisory Board (EAB) as explained in BLUE4ALL's project description, as well as in Deliverables 7.1 and 7.5. In brief, the EAB will:

1. Ensure compliance with fundamental ethical principles
2. Ensure consistent application of legal and ethical frameworks
3. Assist the partnership in the appropriate implementation of activities and the monitoring of ethics aspects
4. Review documents, tasks and deliverables (on request)



### **Blue4All's authorship policy**

Lawrence presented the Blue4All's authorship policy as described in D7.5 and discussed at the general assembly in Lecce. There is broad agreement on the general principle: authors should be given the opportunity to receive academic credit and are responsible and accountable for the work. Their authorship will depend on meeting several authorship threshold criteria (see meeting presentation). There was a discussion on how many threshold criteria need to be met and to which extent. Lawrence will use the feedback from this meeting to update the authorship policy in the upcoming deliverable 7.6 (second update of the ethics strategy – December 2024).

### **Blue4All ethics guidelines in surveys and consultations**

Lawrence presented Blue4All's ethics guidelines in surveys and consultations as well as the issues encountered when conducting the surveys and interviews.

### **Ethics Advisory Board questions and comments**

To deal with the above-mentioned issues, BLUE4All's EAB was asked to provide advice on the following issues:

- Sharing data collected using the Informed Consent Form
- Posthumous informed consent
- Alternative Informed Consent Forms

The phrase "None of the data will be transferred to third parties" in the Informed Consent Form means that raw data collected using the form cannot be publicly shared, although aggregated or summarised data can. We can justify this as following GDPR. Personal data should not be collected unless it is necessary, and in this case, it should be anonymised before being shared. Data collectors should also be aware that some information could be considered as personal data even if it is not obvious, e.g. the background/position of a respondent in a small country or a small field. We will discuss this, and protocols for sharing data within the consortium and publicly, in the upcoming weeks as we start work on the management of the information packages.

We discussed the issue with the Baltic Sea SEG's Informed Consent Form. The form they signed appears to mention all the WPs, so it probably covers data collected from the baseline assessment. There was an agreement to ask Venla (the data collector), and check with the PO.

Some alternative Informed Consent Forms were presented (see slide 15). These will be included as annexes in D7.6.

### **AOB**

Next steps.



1. Invite additional BLUE4ALL partners to join the EAB as the current membership does not include those social scientists with most experience in ethical issues.
2. Inform BLUE4ALL's consortium of the EAB meeting and issues discussed. \*
3. Organize a follow-up meeting of the EAB in January 2025 (includes discussion of D7.6)

\* Taken up on 28/06/2024 at the BLUE4ALL interim GA

