


# Report with the ethical principles guidelines, composition of the ethics commission and submission of additional requirements/approvals

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# 1. Introduction

This report has the main objectives of reviewing the URBiNAT ethical principles (D. 1.4), presenting the preliminary version of attributes and indicators for monitoring and evaluation, and establishing the composition of the Ethics Commission. Also, includes the articulation with other deliverables of WP 1, as D.1.6, and WP8, namely D.8.1., 8.2, 8.3, and 8.4, dedicated to the ethics requirements/approvals.

The purpose of this Deliverable is to provide: i) the guidelines of ethical issues that should guide the project's entire development, including a set of principles reviewed; ii) additional requirements/approvals, to support the activities; and iii) constitution, goals and functioning of the ethics commission.

The task force of the Steering Committee dedicated to "Ethics Analysis" will monitor all aspects of the project and identify issues that may require additional attention. It will initially provide social, ethical and legal guidelines, recommendations, methods and procedures to be adopted throughout the project and for future reference, including preparation of:

- informed consent forms and information sheet templates and the definition of guidelines and procedures involving human participants in activities, including but not limited to vulnerable groups;
- policy on citizens engagement;
- policy on incidental findings;
- policy on personal data management; and
- environmental impact assessments.

The guidelines will be applied to:

- all the participants and stakeholders in conditions of equality,
- all technical aspects related to the development of activities;
- interpersonal, social and political relations among the different stakeholders;
- engagement of local communities and citizens;
- protection of environment/nature;
- protection of personal data;
- protection of human rights, in particular those guaranteeing the right to participate in a safe and respectful environment; and
- protection of material and immaterial heritage.

All the ethical principles and guidelines must be shared and adopted not only by the consortium members, but also by all stakeholders involved in the project (e.g. citizens, associations, public authorities, private companies, universities, etc).

## 2. The ethics path in URBiNAT

Walking through the way of building, appropriating and implementing the ethical principles/guidelines for URBiNAT project was not and **will not be a simple task**. Firstly, due to the inherent complexity of ethical concepts. Secondly, by the different perceptions and cultural matrices. And thirdly, by the challenges in adopting concrete measures that effectively put them into practice.

The adoption of an open, inclusive and dialogic model is assumed in the project as a strategy to respond to these challenges. We assume that any normative orientation or framework on ethical issues must start from a **bottom-up process** of respect among different levels, different actors and institutions, regardless of their contexts.

In fact, adopting a **collaborative** model has a double objective: to reinforce the **plural perspective** that must be taken, to make **the document as close as possible to reality**, and to promote the adoption of ethical guidelines by individuals and by community institutions. This means that the URBiNAT project expects people to adopt the principles and guidelines not by imposing objective obligations, but **all partners believe that these principles and guidelines are necessary and adequate to the communities, to the citizens and powerful** for the expected results the project model.

With these assumptions, within the scope of deliverable 1.6, submitted in July 2018, dedicated to the preliminary ethical guidelines, and communication and reporting procedures, the URBiNAT project defined the set of principles that will subsidize the course of the project. Now, in this deliverable, part of information provided was revisited and updated. However, this will not be the last opportunity for review some aspects, as we consider that the principles and ethical guidelines will be **constantly updated**, because they **follow the societal changes that are dynamic and fluid**. This does not mean not respecting the proposed framework but adding new elements whenever possible or the local context requires.

The definition of the ethical principles, guidelines and composition of the ethics committee followed the following strategies: elaboration of preliminary document to discuss with partners; mapping other experiences and similar cases; preparation of document to be discussed by the Steering Committee (SC) about Ethics Commission characteristics; identification of additional requirements/approvals to be submitted; consultation with CES Ethics Committee set up for approval and issue of an opinion; selection and invitation of ethics commission members by SC.

The guardian and maximum vigilant of ethical principles is the **Ethics Commission of the project and the SC**. The existence of a focal point in the communities\local team responsible for the ethics will help in the compliance and follow-up of the ethical issues. The Project will act for the rigour in the compliance with all the ethics principles and guidelines established. It will guarantee the adoption of these principles and practices by all project stakeholders, including organizations and people indirectly involved. URBiNAT's reaffirms the respect<sup>1</sup> for the principles and ethical

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<sup>1</sup> URBiNAT's partners respect the Charter of Fundamental Rights of the European Union (2012/C 326/02), in particular, responds to articles 1, 7, 8, 10, 11, 14, 17 22, 23 concerning, respectively, the respect and protection of human dignity; the respect for private and family life; the protection of personal data; the freedom of thought; the freedom of expression and information; the right of education; the right to property; the cultural, religious and linguistic diversity; the right to equality between men and women. Considering article 8, the recent regulation (EU) 2016/679 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, commonly known as GDPR (General Data Protection Regulation), is central in URBiNAT research strategy. The project observes also the Convention for the Protection of Human Rights and Fundamental Freedoms and its protocols, as well as the 2030 Agenda for Sustainable Development.

guidelines defined, the obligations under the Grant Agreement and obligations under applicable international, EU or national law.

## **2.1. Review of the ethical principles**

### **Democraticity**

URBiNAT adopts an extended vision for democracy, including but not limited to the following: (i) access to and use of goods and services supporting social welfare, reduction of inequalities, (ii) access to public space and forms for effective participation, in line with the principle that every citizen is capable of making a societal contribution, (iii) promote elimination of barriers and inequalities, to adopt instruments for communication and interaction with a view to the influence of cultural identities, and (iv) access to knowledge and resources for co-creation based on plurality of knowledge. This approach is based on the notion of democracy as a process, evidencing its dynamic component, and at the same time, the critical dimensions for underpinning it (intensity, extensity).

***Attributes and indicators: access and equity***

### **Solidarity**

The most adequate meaning of solidarity within the framework of URBiNAT is one which articulates forms of mutual assistance in the fulfilling of ethical duties and philanthropic relations in favor of societal welfare, as well as a principle of societal democratization resulting from collective actions (Laville, 2009).

### **Social inclusion**

URBiNAT considers that for appropriate and effective social inclusion, measures should be taken to reduce citizen participation barriers, particularly those of priority groups, under more vulnerable conditions.

### **Intersectionality**

Taking into account URBiNAT's goals and the relation with communities and the context of the public sphere, the intersectionality is more than a principle for the work, it is the approach whereby the work is constituted. The notion of intersectionality to be adopted by URBiNAT considers that the specific modalities of oppression and discrimination act in an integrated manner. Therefore, adequate responses require sophisticated mechanisms capable of capturing the consequences of the interaction of different forms of subordination.

***Attributes and indicators: inclusion***

### **Territoriality**

URBiNAT recognizes social and physical complexity of the territories. Territoriality deals with the impact of human behaviour in the places and physical environment they are in, in order to integrate the diversity of social and cultural contexts as a fundamental principle when acting in housing neighbourhoods.

### **Interculturality**

URBiNAT consists of an intercultural dialogue across the different countries, partners, institutions and civil society involved in various actions and tasks of the project. Therefore, diversity and differences in the project should be seen as elements to be addressed and not as problems to be

solved. According to Boaventura de Sousa Santos (2006) “we have the right to be equal whenever difference diminishes us; we have the right to be different whenever equality mischaracterizes us”. The expertise of the many partners involved and working in such environment will promote the exchange and interaction of experiences between them and across the different places, institutions and persons playing active roles in these actions.

***Attributes and indicators: territoriality and segregation***

**Research Subject**

Under its research component, URBiNAT recognises the humanity, subjectivity and autonomy of all citizens involved in the project. As opposed to the usual terminology of ‘research object, the adoption of “research subject” terminology establishes a direct relation between the researcher and the person he/she is interacting with, and the protection of their individual and social rights. The “research subject” are individuals who decide to participate in research on a voluntary, informed and conscientious basis, to whom URBiNAT recognises the condition of subjects of rights.

***Attributes and indicators: participation and rights***

**Accountability**

In the case of project partners, it refers to the adoption of internal and external project management practices for public reader-friendly dissemination, and the detailed evaluation of attributions, expenses, management of resources and results. At the same time, URBiNAT aims to increase accountability over the implementation of decisions made through the participatory processes. Citizen participation is understood as the way to ensure effectiveness and implementation of project actions and local social policies. The adoption of accountability mechanisms as instruments and practices is a prerequisite for participation. URBiNAT undertakes to adopt measures that promote citizen engagement in different forms of collective action, including building capacities, provision of training and creating awareness of citizens’ rights.

***Attributes and indicators: accountability***

**Open Access**

URBiNAT will follow the open access principles defined by the EC in Horizon 2020, and also based on Article 29 “Dissemination of results - open access - visibility of EU funding” of URBiNAT’s Grant Agreement (GA). As soon as possible, URBiNAT’s results will be disseminated through appropriate means, taking into account the obligation to protect results, confidentiality, and security and personal data protection, according to Articles 27, 36, 37 and 39 of URBiNAT’s GA.

***Attributes and indicators: open access***

**Efficiency and effectiveness**

URBiNAT’s actions are guided by the premise of achieving results through the most effective means. As usual, the best possible use should be made of available resources, and there should be the greatest possible “value for money”. At the same time, both efficiency and effectiveness must be strived for in tandem. Not only are resources to be used efficiently, but for the most sensible purpose. When innovation enters the picture, one cannot merely speak of optimisation, and that resources are to achieve the highest expected rate of return, but results are to go beyond that, to enter the sphere of the unknown.

***Attributes and indicators: efficiency and effectiveness***

## **Sustainability**

URBiNAT's approach to sustainability includes four dimensions: environmental (resilience, adaptation), social (inclusion, cohesion), economic (market and collective value) and cultural (awareness, interface). By giving visibility to natural capital as a living system, the environmental dimension is valued and integrated in the urban space through technological and territorial solutions. The project's approach to the co-creation of NBS also builds on social challenges to collectively develop and implement a strategy for the regeneration of social housing neighbourhoods. The economic dimension comprises of the potential of NBS markets and public goods, and the solidarity economy approach, contributing to the inclusion of marginalized and low income social groups in the economy. Sustainability requires a comprehensive approach and management of natural and human resources on terms that combine human dignity, ecological responsibility, sound business practice and viable driving forces for innovation. The cultural dimension of each city is a channel and tool to inform, engage, promote dialogue and raise awareness of stakeholders from different backgrounds, and will be mobilized to build collective motivations and nurture a sense of identity and cohesion.

## **Responsible and sustainable commercial use**

URBiNAT is founded on the social economy principle of "the primacy of the individual and the social objective over capital". Adding to the economic value, the responsible and sustainable commercial use also generates social value. Reinforcing this aspect, social economy is recognized as a business model for the future of the EU at the Madrid Declaration (2018). More specific details will be provided in Deliverable 1.3 - Data Management Plan, including formal and technical procedures to be considered.

## ***Attributes and indicators: social innovation and sustainability***

### **2.2. Indicators for monitoring and evaluating of ethical issues**

The task 1.1. (WP1) aim is to coordinate and monitor the implementation of URBiNAT activities, and the definition of workflow and standard quality procedures, including regulations, documentation, methods and tools that will ensure activity coordination and monitoring. It is the responsibility of the Steering Committee (SC) to ensure that all members of the Consortium adopt the ethical measures to protect the researchers and technicians involved in fieldwork activities and vulnerable populations, including measures to minimise the risk of stigmatisation, appropriate guidelines and training.

The task 1.4 is directly related to task 1.1, especially in what concerns the monitoring of ethical issues and the adoption of the necessary measures of evaluation. Considering the articulation between those tasks, the tasks leaders decided to elaborate a common framework of indicators dedicated to the coordination of the activities, as well as for the continuous monitoring and evaluation of ethical issues. For this reason, URBiNAT will present in this section the indicators of ethical issues that will be monitored throughout the project. Officially, these indicators are part of the general "monitoring and evaluation table" in the deliverable D1.1, the "Handbook on workflow and standard quality procedures".

One of the advantages of organizing integrated indicators (ethics, quality procedures, human rights\cross-cutting dimensions) is the proper observation and monitoring of the different aspects in the project as a whole, in order to understand causal relationships among events and different indicators, and thus correct possible deviations. Also, it contributes to the adequacy of



the project's responses to events occurring, such as deviations from the objectives or failure to achieve the expected results. It is also emphasized that the monitoring is situational, and therefore, limited to a certain time and space previously defined in the methodological framework.

The construction and definition of the indicators and units of measurement followed this process: analysis concerning the ethical principles and human rights-based approach of the project while revising the definitions adopted; selection of the key-issue of each principle including the exclusion of repeated elements; for each key-issue a unit of measurement was developed allowing appropriate monitoring and evaluation of the project. Additionally, the means of verification/data collection, reporting format, and the temporality that will be adopted were defined for each indicator. For the adequate operationalization of the indicator, the task coordination considered a set of criteria that will be described next. The project took into account the importance of the indicator, specially to gather information on the main aspects of the project; the conditions for comparability among cities, i.e. it is possible to collect the same information in all cities; the simplicity and intelligibility of the indicators, i.e. simple and clear with a designation easy to understand. If applicable, the reliability of the data source and the representativeness. In relation to the attributes and units of measurement, simple and composed indicators were considered, as well as qualitative indicators.

**Table 1.: General table for Ethics, human rights-based approach and quality procedures - monitoring and evaluation indicators**

Indicators / attributes		Unit/Attributes of measurement	Temporality
<b>ACCESS</b>	<b>i.1.1.</b>	Communication strategies for social mobilization which be diversified and contextualized (widespread disclosure)	On going
	<b>i.1.2.</b>	Proportion of citizen participants in each WP activity	On going
	<b>i.1.3.</b>	Proportion of citizen participants in each activity (planning, monitoring, evaluation and implementation)	On going
	<b>i.1.3.</b>	Frequency of meetings involving citizens as participants	On going
	<b>i.1.4.</b>	Corrective measures taken to mitigate any technical or institutional limitation faced by partners	Ex-post
	<b>i.1.5.</b>	Existence of materials translated in local language	Ex-post
	<b>i.1.6.</b>	Existence of materials available on friendly language	Ex-post
	<b>i.1.7.</b>	Existence of materials available in print and online versions	Ex-post
	<b>i.1.8.</b>	Communication strategies that facilitate the understanding of all (e.g. infographic, visual communication, space ambiance).	On going
	<b>i.1.9.</b>	Flexibility of participation processes schedule, taking into account professional and personal obligations of participants	On going
<b>EQUITY</b>	<b>i.2.1.</b>	Proportion of women, gender diversity and children as participants for each activity	On going

	<b>i.2.2.</b>	Proportion of migrants, religion diversity and elderly as participants for each activity	On going
	<b>i.2.3.</b>	Initial assessment of the main individual difficulties / barriers/inequalities of citizens in participatory processes	Ex-ante
	<b>i.2.4.</b>	Corrective measures taken to mitigate the individual difficulties and barriers (i.2.3)	Ex-post
	<b>i.2.3.</b>	Nominal indicator: list of diversity/ethnic/representation of minorities	On going
	<b>i.2.5.</b>	Availability of babysitting/caretakers, transportation and catering to ensure appropriate participation processes with community / inhabitants	On going
<b>INCLUSION</b>	<b>i.3.1.</b>	At least 10 indicators about education, health and income disaggregated per gender, race-ethnic and citizenship status.	Ex-ante
	<b>i.3.2.</b>	Priority groups identified in each city, based on analysis of local diagnostics results.	Ex-ante
	<b>i.3.3.</b>	Proportion of priority group members involved on co-creation activities	On going
	<b>i.4.1.</b>	Existence of participation protocol for each local community	Ex-ante
	<b>i.4.2.</b>	Existence of materials adapted in sign language or audio description (whenever necessary)	On going
	<b>i.4.3.</b>	Existence of infrastructure adapted for adequate accessibility.	Ex-ante
<b>TERRITORIALITY</b>	<b>i.5.1.</b>	Living labs implemented in each city.	Ex-ante
	<b>i.5.2.</b>	Diversity of civil society involved in Living Labs	Ex-post
	<b>i.5.3.</b>	Activities for interculturality with participants on living labs	On going
	<b>i.5.4.</b>	Frequency of the meetings and attendance on the living labs activities.	Ex-post
	<b>i.5.5.</b>	Activation of the community of practices in each of the cities.	Ex-ante
	<b>i.5.6.</b>	Number of the countries and actors as a CoP members and type/per segment (enterprises, public sector, social sector, private organizations etc etc)	Ex-post
	<b>i.5.7.</b>	Activities carried out in partnership with non-European partners	On going
	<b>i.5.8.</b>	Activities carried out in non-European territory.	On going
<b>SEGREGATION</b>	<b>i.5.9.</b>	Cultural mapping	
	<b>i.5.10.</b>	Spatial analysis	Ex-ante
	<b>i.5.11.</b>	Assessment / analysis on spatial segregation on study area.	Ex-ante

<b>PARTICIPATION</b>	<b>i.7.1.</b>	Number of citizens involved at the strategic levels and active in the general assembly of the project	Ex-ante
	<b>i.7.2.</b>	Number of the actions between researchers, citizens and practitioners.	On-going
	<b>i.7.3.</b>	Number of the actions developed by the citizens or number of the actions	Ex-post
	<b>i.7.4.</b>	Recognition of citizens as co-creation practitioners or the active participation	Ex-post
<b>RIGHTS</b>	<b>i.8.1.</b>	Proportion, type and frequency of claims by populations of URBINAT's neighborhoods	On-going
	<b>i.8.2.</b>	Proportion, type and frequency of discriminations complaints	On-going
	<b>i.8.3.</b>	Capacity building and training workshops on rights and ethical issues.	On-going
<b>ACCOUNTABILITY</b>	<b>i.11.1.</b>	Reports available and accessible to the public in a timely manner.	On-going
	<b>i.11.2.</b>	Internal monitoring process including ombudspersons and external bodies	On-going
	<b>i.11.3.</b>	Participation in public events.	On-going
	<b>i.11.4.</b>	Citizens-led social accountability mechanism (social audits, scorecards and participatory budget monitoring)	On-going
	<b>i.11.5.</b>	Budget analysis and monitoring based on longitudinal results	On-going
<b>OPEN ACCESS</b>	<b>i.12.1.</b>	Type of deposits in open access repository for research data generated in the project	On-going
	<b>i.12.2.</b>	# of peer-reviewed scientific publications relating to the projects' results	On-going
	<b>i.12.3.</b>	# and type of deposits in open access repository for scientific publications relating to the projects' results	On-going
<b>EFFICIENCY</b>	<b>i.15.1.</b>	Comparison between actions taken and planned actions	On-going and ex-post
	<b>i.15.2.</b>	Responsive and participatory approach for the monitoring and evaluation	
	<b>i.15.3.</b>	Comparison between objectives achieved and planned objectives	On-going and ex-post
	<b>i.15.4.</b>	Comparison of target audience involved and target audience planned	On-going and ex-post
	<b>i.15.5.</b>	Type and frequency of training, meetings, information and materials provided to participants	On-going and ex-post
	<b>i.15.6.</b>	Type and frequency of non-compliance	On-going
	<b>i.15.7.</b>	Type and frequency of measures and/or solutions	On-going

	<b>i.15.8.</b>	Type and frequency of exchange of resources and knowledge, collaboration and synergies	On-going
<b>EFFECTIVENESS</b>	<b>i.16.1.</b>	Type and frequency of activities not sufficiently covered	On-going and ex-post
	<b>i.16.2.</b>	Comparison of performed activities versus resources used	On-going and ex-post
	<b>i.16.3.</b>	Comparison of planned resources versus resources used	On-going and ex-post
	<b>i.16.4.</b>	Comparison of objectives achieved versus resources used	On-going and ex-post
	<b>i.16.5.</b>	Total cost versus number of individuals covered by the action	On-going and ex-post
	<b>i.16.6.</b>	Measures adopted regarding these activities	On-going
	<b>i.16.7.</b>	Type and frequency of expenses	On-going
	<b>i.16.8.</b>	reasons for the resulting expenses	On-going
	<b>i.16.9.</b>	Type and frequency of corrective measures adopted	On-going
	<b>i.16.10.</b>	Type and perspectives for these activities, outputs or outcomes	

## 3. Ethical guidelines<sup>2</sup>

### 3.1 Ethical issues and citizens involvement

URBiNAT is a people-centred project. For this reason, participation is a fundamental aspect to develop the tasks and achieve its goals. To ensure adequate protection of the participants, the URBiNAT project uses a set of ethical principles and guidelines.

#### 3.1.1 URBiNAT's groups of participants

Although the project draws on social and cultural specificities to define the most vulnerable groups involved in the participatory processes, our intention is based on the relation between inequalities and differences. In the other words, it is based on the greater premise of the importance of recognizing the differences when they de-characterize people, thus disaggregating the specificities of citizenship that prioritize in their actions and characterize the most vulnerable groups. It also recognizes that equality must be revindicated when differentiation for some reason undermines people.

**Childhood:** URBiNAT commits to actively foster material and immaterial conditions and environment for the progressive autonomy of children. URBiNAT is committed to actively engaging children as part of the broad citizenship process. Children will be involved in NBS activities along with their families, within local groups or educative spaces. Children in the context of URBiNAT are persons who, based on their age, are unable to give informed consent. While persons as from age six possess the ability to give verbal assent, URBiNAT will nonetheless provide information on ethical principles, informed consent and activities to the guardian/legal representatives to obtain approval, and verbal assent of the children. URBiNAT will adopt relevant national legislation in each participating country and the Convention on the Rights of the Child. Moreover, URBiNAT will adopt the International Child Protection Policy of UNICEF and CES Child Protection Policy to protect children's rights and to guarantee that participants are not subject to any form of coercion while safeguarding the child's best interest.

**Gender:** gender issues are addressed in an intersectional perspective, which include different aspects related to identity, equal rights, possibilities and obligations. Reference to gender includes not just man and woman, but also equality of gender minorities and diversity. URBiNAT is committed to integrating gender perspective into all stages of project activities and, accordingly, improve the quality and effectiveness of the results. URBiNAT is based on non-discrimination, balanced participation and equitable opportunities principles. A goal is to promote the involvement of "all persons" at all stages and structures of the project, including at coordination, strategic or operational level, and, at project' activities level. The project assumes as an indicator of its development a gender balance at the governance structures, and the adoption of specific

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<sup>2</sup> These guidelines are partially inspired in the "Guidelines for Research Ethics in Social Sciences, Humanities, Law and Theology" of the National Committee for Research Ethics in the Social Sciences and the Humanities (The Norwegian National Research Ethics Committees).

measures to achieve this goal.

**Elderly:** Healthy Corridors and NBS implementation have the main objective of improving well-being and health in communities. Having lived and possibly worked in their communities/cities, many elderly residents possess knowledge and experience, which may be invaluable to their communities. These specific characteristics give the elderly an important role in the co-decision process, and their active participation will be encouraged throughout the project. Their diverse life-experiences may improve dialogue on community expectations and discussion on health and well-being, as much as on their own needs and ambitions. In addition, it will provide opportunities to establish and/or improve links of solidarity and collaboration within communities, promote or create intergenerational relationships, and help to bridge generation gaps frequently present in modern society. This involvement, and their inclusion in social and solidarity economy activities, could combat poverty, social exclusion and loneliness among the elderly.

**Race and ethnicity:** inequalities based on ethnic-racial differences are, in many societies, linked to processes of asymmetric power relations. These processes are sometimes difficult to identify due to its subtle nature. URBiNAT adopts the strategy of recognition of ethnic-racial differences, seen them as a positive feature, and will act to integrate all citizens in the participatory process, building a open space for inclusion and solidarity, aiming to create a welcoming environment. The project will provide an opportunity to dismantle barriers that may exist, putting all inhabitants together to discuss their neighbourhood and to generate and strengthen social bonds.

**Functional diversity:** citizens with functional diversity face a number of difficulties in contemporary societies, creating unequal access to basic public services and “normal” daily life, conducting to social exclusion. URBiNAT recognizes the importance of involving person with functional diversity in the discussions concerning the HC concept as they will be future users. The project will be guided by the principle of accessibility, including conditions that facilitate mobility. Furthermore, activities will be implemented having as references the Convention on the Rights of Persons with Disabilities (UNCRPD) and the European Disability Strategy for 2010-2020.

**Citizenship status (Migrant/ Refugee/ Asylum seeker condition):** URBiNAT recognizes and appreciates the migrants rights to become part of the community of practices. Their life experience and knowledge will be integrated in a positive way and will play an important role in the participatory process, where solidarity and bonds between the community will be strengthened. The active inclusion of migrants in the participatory process intends to bridge cultural gaps and discourage social exclusion.

**Religious diversity:** in times of global migrations, cultural diversity, and particularly religious diversity, is often at the core of intolerance and major social conflicts. URBiNAT is mindful of religious freedoms and pluralism and perceives religious diversity as a positive feature. In this sense, URBiNAT intends to take most advantage of religious diversities within participatory processes and during the entire research process, giving space for new ideas to emerge from different religious and spiritual backgrounds.

*Ethical procedures:* URBiNAT is respectful of diverse religious beliefs and elements of spirituality,

including irreligion, atheism, agnosticism among others. Religious diversity in each neighbourhood will be explicitly nominated and welcomed. The project aims to facilitate inter-religious dialogue and tolerance, and in cases of intolerance and/or religious discrimination, URBiNAT Ethics Commission will establish and apply strict rules to curb and prevent such behaviors during project's activities.

### **3.1.2. Respect for individuals**

Researchers and partner institutions of the URBiNAT project must base their work on a fundamental **respect for human dignity**. This means that the individuals' interests and integrity cannot be set aside in any situation. Researchers and partner institutions must protect participant's integrity, preserve their freedom and self-determination, respect privacy and family life, and safeguard against any possible risk of harm, including in the moment of publishing research results.

Researchers and partner institutions of the URBiNAT project must **respect the participant's autonomy, freedom and right** of self-determination. In practical terms, this means that the research has to be conducted in accordance with the legislation on data protection, in particular, with the new General Data Protection Regulation (GDPR) and URBiNAT Data Management Plan.

Researchers and partner institutions of the URBiNAT project must **provide participants with the basic information** regarding the project, including its purpose, funding agency, who will have access to the information, the intended use of the results, the consequences of participating in the project, and the participant's rights. All this information is available on the informed consent. When collecting and processing personal data, researchers will provide all the previous information (adapted to the participant's background and language) in order to obtain the necessary *informed consent* from the participant.

Researchers and partner institutions of the URBiNAT project are obliged to **properly inform the individuals and obtain their consent to participate** in the research. Thus, the consent must be informed, freely given, and in an explicit form, meaning that the participants clearly state, in a written document (a signed consent form), that they understand what it actually means to take part in the research project. They also must be fully aware that they can withdraw their participation at any time without any consequences. When the participants are children, their parents or guardian will receive the information regarding their participation and should sign the informed consent. The children will also be informed about their participation in friendly language, to help them to understand the activities and goals of its involvement, in respect of its right to participate and progressive autonomy. When disabled adult children are involved in the project's activities, their legal guardian will receive the information in order to be aware to consent on its participation. The researchers and facilitators working with them must guarantee a plain language and adequate methodologies to ensure its involvement and adequate level of participation.

Researchers and partner institutions of the URBiNAT project will **assure that data related to identifiable individuals will be stored responsibly and for a reasonable** period of time, meaning no longer than what is necessary to achieve the objective for which it was collected. For that storage, a consent must be obtained.

Researchers and partner institutions of the URBiNAT project are **responsible for ensuring that participants are not exposed** to serious physical harm or other severe or unreasonable strain as result of the research. If any problem arises, professional follow-up will be provided by the project.

Researchers and partner institutions of the URBiNAT project should consider and anticipate effects on third parties that are not directly involved in the project. Sometimes the project and research gets access to information out of the its focus and that might have an impact on individuals (or groups) that are not included in the research. In that case, measures to protect their privacy should be taken.

Researchers and partner institutions of the URBiNAT project should **pay particular attention to children (and adolescents)** who take part in the research and protect them. Their specific needs and interests must be protected in ways supplementary to the general treatment of adults. Also, if a child is under 15, researchers must obtain consent from their parents or guardians. In addition to the parents or guardian formal consent, it is also necessary that the child accepts participation to the extent that they are able to do so.

URBiNAT commits to actively foster material and immaterial conditions and environment for the progressive autonomy of children. URBiNAT is committed to actively engaging children as part of the broad citizenship process. Children will be involved in NBS activities along with their families, within local groups or educative spaces. Children in the context of URBiNAT are persons who, based on their age, are unable to give informed consent. While persons as from age six possess the ability to give verbal assent, URBiNAT will nonetheless provide information on ethical principles, informed consent and activities to the guardian/legal representatives to obtain approval, and verbal assent of the children. URBiNAT will adopt relevant national legislation in each participating country and the Convention on the Rights of the Child. Moreover, URBiNAT will adopt the International Child Protection Policy of UNICEF and CES Child Protection Policy to protect children's rights and to guarantee that participants are not subject to any form of coercion while safeguarding the child's best interest.

Researchers and partner institutions of the URBiNAT project must **respect individuals' privacy and family life**. Researchers should avoid questions regarding intimate matters and putting pressure on participants. What participants perceive as sensitive information may vary from one individual to another. Also the distinction between private and public sphere might not be easy to identify. Researchers should be sensible to these situations.

Researchers and partner institutions of the URBiNAT project must show respect for the values and views of participants, not least when they differ from those generally accepted by society at large. Special documentation and argumentation are required for providing accounts of actions that ascribe unworthy motives to participants or motives other than those they invoke themselves.

Researchers and partner institutions of the URBiNAT project are responsible for explaining to the participants the limitations, expectations and requirements associated with their role as



researchers . In situations where researchers, or partners, relate to participants, they are responsible for defining the limits of their role and responsibility.

### **3.1.3. Respect for groups and institutions**

Researchers and partner institutions of the URBiNAT project must **respect the legitimate motives** that private companies, interest groups or other institutions involved may have for not wanting information about themselves, their members or their plans to be published. If private companies, interest groups or other institutions refuse to give access to certain types of information, this must be respected.

Researchers and partner institutions of the URBiNAT project have a special responsibility to **respect the interests of vulnerable groups** throughout the development of the entire project. A particular attention should be given to the requirements regarding information (that should be clear) and consent (that should be obtained). Researchers collecting information concerning the characteristics or behaviors of individuals (or groups) should be cautious about using classifications or designations that allow unreasonable generalization, and which in practice result in the stigmatization of particular social groups. In the URBiNAT project this is a major concern and classifications and designations of this kind will be avoided.

## **3.2. Ethical issues in the research process<sup>3</sup>**

### **3.2.1. Ethical principles and research**

This section is based on the “preliminary ethical guidelines” presented in deliverable D1.6, particularly section 4 dedicated to the ”guidelines for the research process” which included: 1. research principles; 2. URBiNAT’s research process; 3. considerations related with personal data; and 4. considerations related with publications and dissemination.

As mentioned in D1.6, researchers must comply with recognized norms and behave responsibly, openly and honestly towards their colleagues and the public. The project’s activities will follow the four principles of research integrity<sup>4</sup>:

- ❑ **Reliability** in ensuring the quality of research, reflected in the design, methodology, analysis and use of resources;
- ❑ **Honesty** in developing, undertaking, reviewing, reporting and communicating research in a transparent, fair, full and unbiased way;

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<sup>3</sup> Moreover, URBiNAT has as reference principles the human rights-based approach to data collection and use as identified by the UN Human Rights Office applied in the measurement of the implementation of the 2030 Development Agenda: the participation of population groups, in particular the marginalized in the data collection process; the disaggregation of data to prevent discrimination based on sex, age, ethnicity, disability, sexual orientation or religion, which is prohibited by international human rights law; self-identification, without reinforcing further discrimination of these groups; transparency to guarantee the right to information; respecting the privacy of respondents and the confidentiality of their personal data; and accountability in data collection and use.

<sup>4</sup> Present in the European Code of Conduct for Research Integrity.

- ❑ **Respect** for colleagues, research participants, society, ecosystems, cultural heritage and the environment;
- ❑ **Accountability** for the research from idea to publication, management and organisation, training, supervision and mentoring, and wider impacts.

Good research practices described in the European Code for Research Integrity will be adopted by all partners concerning: 1) research environment; 2) training, supervision and mentoring; 3) research procedures; 4) safeguards; 5) data practices and management; 6) collaborative working; 6) publication and dissemination; 7) reviewing, evaluating and editing.

Researchers will seek to ensure that their activities produce good consequences and that any adverse consequences are within the limits of acceptability. With these practices in place, URBiNAT expects to refrain from violations of research integrity specified in the Code.

Moreover, as previously described, URBiNAT complies with the following cross-cutting ethical principles: democraticity, solidarity, social inclusion, territoriality, intersectionality, interculturality, research subject, accountability, open access, social innovation, efficiency and effectiveness, sustainability, and responsible and sustainable commercial use.

### **3.2.2. General procedures for data collection, protection, storage and processing**

For procedures of data collection, protection, storage and processing, each consortium partner agrees to comply with all respective EU regulations and main Data Protection Principles, individually and jointly. These principles consider, but are not limited to:

- ❑ **Proportionality principle / Data minimization:** Only use adequate, relevant and no more data than strictly necessary;
- ❑ **Purpose limitation principle:** Limit data to the specified/pre-defined/explicit/legitimate initial purpose; prohibition of secondary use/use for purposes not compatible with the initial purpose;
- ❑ **Assessment:** Analysis of the proportionality between public and private interests to be protected, means to be used and prevent invasion/harm resulting from data collection;
- ❑ **Accuracy/Reliability:** Clear distinctions between 1) personal data from i) survey participants, ii) pilot participants and iii) third parties; and 2) degrees of accuracy and reliability of personal data (evidence, assessment, etc.);
- ❑ **Time-limited identifiable information:** Data kept in a form that allows identification of data subjects for no longer than it is necessary, for the purposes for which the personal data are processed;
- ❑ **Security of storage and access rights:** Design and implementation of appropriate measures and processes.

Regarding personal data collection and processing, URBiNAT will take into consideration EU Directives 95/46/EC, 2002/58/EC, 2006/24/EC and the recent Regulation (EU) 2016/679 (GDPR). Additionally, URBiNAT's Ethics Commission will monitor any changes in the legislation and evaluate required changes to the project.

In this context, the informed consent to participants is very important and must be obtained. The informed consent is composed of an information sheet and the consent form, which will be

included in the Ethics requirements deliverables of WP8. It is also important to note that the researcher responsible for the activity will provide, whenever necessary, an additional verbal explanation about the informed consent contents. Additional infographic materials to support the decision to participate will be provided by the Project Coordinator. Finally, all the signed informed consent forms will be archived by the local partner responsible for the activity, who will scan them whenever possible, and also by the Project Coordinator on the general URBiNAT database. Also, all procedures adopted in the informed consent follow GDPR regulation and URBiNAT's Data Management Plan.

### **3.2.3. The research community**

Concerning co-authorship, researchers and partner institutions of the URBiNAT project must follow good publication practices, respect the contributions of others, and observe recognized standards of authorship and cooperation. Co-authorship is related with the distribution of responsibilities among different contributors. In this sense, the Guidelines for Research Ethics in Social Sciences, Humanities, Law and Theology, following the International Committee of Medical Journal Editors (ICMJE), propose the following set of 4 criteria to define rightful authorship: 1) substantial contribution to the conception and design or data acquisition or the data analysis and interpretation; and 2) drafting the manuscript or critical revision of intellectual content; and 3) approval of final version before publication; and 4) acceptance of responsibility for and be accountable for the work as whole (but not necessarily all technical details) unless otherwise specified. In short, authorship must be given to those who have provided significant intellectual input to the publication. It is advisable to establish a prior agreement, as early as possible, as to who will be listed as co-author and define the distribution of responsibilities among the authors of a publication.

Also, researchers and partner institutions of the URBiNAT project must follow good citation practices. It is an obligation to provide accurate references of the used literature (primary and secondary). References should specify chapters, pages and all the relevant information, so that it is possible to check the quotes and references. URBiNAT project will disseminate a booklet on good citation practices among its researchers and partner institutions.

Researchers and partner institutions of the URBiNAT project will prevent plagiarism since it is an unacceptable conduct that constitutes a serious breach on research integrity. Researchers must cite their sources in accordance with good citation practices.

Researchers and partner institutions of the URBiNAT project will make sure the research material is available to other researchers for secondary analysis and further use. Data sharing raises ethical issues related to privacy and confidentiality. Thus, this norm should be balanced against other considerations and ethical requirements.

Researchers and partner institutions of the URBiNAT project are obliged to report and consider possible conflicts of interest and of roles. In other words, impartiality requirements are mandatory.

Researchers and partner institutions of the URBiNAT project will promote an environment of openness, fairness and self-criticism, contributing to a culture of dialogue within the project. Openness will be stimulated, fairness will be maintained and criticism will not be silenced. Colleagues will read each other work and give one another constructive criticism. It constitutes a breach of ethical norms if researchers keep serious criticism to themselves and do not present it in relevant circles.

### **3.2.4 Autonomy of research**

URBiNAT is a five-year Research funded by the European Commission under the Horizon 2020 programme, topic SCC-02-2016-2017 - Demonstrating innovative nature-based solutions in cities, Grant Agreement n° 776783.

Researchers and partner institutions of the URBiNAT project must ensure that the ethic and scientific values addressed in the GA will be respected and followed according to the principle of autonomy and independence of research. This autonomy of research will be defended by the consortium even if the European framework or the European/National institutions change its urban, social and economic policies. The members of the consortium will also be coherent in principles and practices with their own institutional and scientific mission and values, including the aspects related to autonomy and independence of research.

Researchers and partner institutions of the URBiNAT project must ensure that the funding and organization of research is not conflicting with the norms of open, reliable and independent research. Transparency with respect to terms of contract, ownership, confidentiality and the right to publish will be fostered.

Researchers in the URBiNAT project have a shared responsibility for the project, however the individual contributions should be clear. If researchers experience conflict between loyalty to the project and an ethical acceptable approach, the basic principle is that the individual has a responsibility for their own participation. Researchers may also be held responsible for disclosing situations that are ethically not acceptable.

Researchers and partner institutions of the URBiNAT project have the duty to make public who is funding the research. Transparency regarding funding protects researchers against undue pressure and fosters freedom, autonomy and independence of research.

Researchers and partner institutions of the URBiNAT project must ensure the research results are presented in an appropriate way. It is unethical to manipulate results in order to produce a certain view, desirable results, or particular conclusions. In certain situations it is possible to invoke the right to withdraw from research. It is particularly important to discuss alternative interpretations of findings, or point out scientific uncertainty.

### **3.2.5 Publication and dissemination of project's results**

Researchers and partner institutions of the URBiNAT project have the responsibility to publish the research results. This allows results to be critically examined and/or re-used. However, in special cases (such as privacy considerations) results should not be published.

For publications and dissemination of the project's results, researchers will be guided by the following principles: (1) equal access to scientific goods, respecting intellectual property rights, (2) adopt a scientific public compromise for global social justice to privilege contributes regardless of race, nationality, culture, or gender, (3) adopt a honest attitude regarding peers and society, (4) adopt a responsible use of the research results which should benefit common needs instead of individual interests, (5) scientific claims must be exposed to societal critical scrutiny especially by

the involved communities, (6) whenever possible, the community should have the opportunity to validate and express their opinion about all the research results.

The publication and dissemination of the project's results must also comply with:

- 1) provisions present in Article 29 of the GA (on Dissemination of results - Open access - Visibility of EU funding);
- 2) specifications made on deliverable D1.6 regarding dissemination and exploitation of results (Part 2, section 1.2.1) and the Code of ethics for communication and dissemination of project's activities and results by partners (Part 2, section 1.2.4);
- 3) specifications made on the URBiNAT's DMP, particularly those related with FAIR data - Findable, Accessible, Interoperable, Re-usable (section 2).

### **3.3. Ethical issues related with cultural heritage and the territory**

#### **3.3.1 Respect for material and immaterial heritage**

URBiNAT project will implement solutions that respect, protect and value the material and immaterial heritage, according to international conventions, such as the UNESCO 2003 Convention for the Safeguarding of the Intangible Cultural Heritage and the 2018 Declaration of Davos.

In this sense, researchers and partner institutions of the URBiNAT project will respect the need to preserve all types of cultural monuments and remains. The need for preservation is based on the value and interest of cultural heritage for present and future generations.

#### **3.3.2 Research on other cultures**

Researchers and partner institutions of the URBiNAT project will respect local traditions, traditional knowledge and local social issues. A dialogue with local inhabitants, representatives and authorities will be promoted. Also in this context, researchers will avoid using classifications and designations which stimulate stigmatization.

Researchers and partner institutions of the URBiNAT project must find a balance between the recognition of cultural differences and the recognition of other fundamental values and general human rights. Respect for and loyalty to the cultures in study do not mean that aspects like discrimination or abuse must be accepted.

### **3.4. Environment**

URBiNAT will assess potential risks for the environment and human health through the technical evaluation included under task 2.1 (Deliverables D2.1 - Diagnosis report for each frontrunner city and D2.6 Diagnosis report for each follower city) and will establish a plan to avoid, or minimise, those risks. The project will also request and provide the necessary environmental and safety authorisations when applicable (and any other relevant national authorisation), particularly in the NBS implementation and the research process. The discussions, assessment and mitigation measures will be shared with relevant authorities.

### **3.5. Health and safety**

Concerning Humans, URBiNAT will keep on file the procedures and criteria that will be used to identify/mobilize research participants, copies of opinions/approvals by Ethics Committees and/or competent authorities for the research with humans. The Steering Committee (task 1.1.) will also be responsible for ensuring that all members of the consortium adopt and provide the measures to protect vulnerable groups involved in the proposed research and protect the researcher in the field. This will be a key issue to be addressed immediately with the Ethics Commission, and developed with stakeholders taking into account that the neighbourhoods where the NBS will be developed already suffer from the stigmatization of their areas and populations.

For the research in the field, URBiNAT is considering several procedures to help keeping researchers, participants and third parties safe, which will be included in the report with guidelines for fieldwork (task 1.4.), such as: a) use of mobile phones to keep in touch with the researchers in the field; b) formal notification of authorities on the research being conducted in a specific area; c) authorised identification must be carried by researchers in the field; d) researchers preparation and training covering techniques for handling conflict, threats, abuse or compromising situations; e) debriefing after field research with an assessment of field work safety; f) reporting any health and/or safety incident during the participatory and research processes<sup>5</sup>.

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<sup>5</sup> Horizon 2020 Programme - Guidance How to complete your ethics self-assessment. Cf. [http://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/hi/ethics/h2020\\_hi\\_ethics-self-assess\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/ethics/h2020_hi_ethics-self-assess_en.pdf)

## 4. Ethics Commission

### 4.1. Members

The Ethics Commission, which constitutes an independent advisory body, is part of the multi-stakeholder advisory board, composed also by the Scientific Commission, which members were previously invited among scholars, researchers and professionals, as well as European research project coordinators.

URBiNAT's Steering Committee approved the representation in the Ethics Commission of one member from each country of the cities involved in the project, totalizing seven members, plus one *ad hoc* member, in case of any conflict of interests occur.

Therefore, in order to ensure the equality of members representation from each country, new indications and invitations were necessary. This was done by the Steering Committee members, in accordance with the following criteria: 1) relevant experience on ethics issues; 2) knowledge of ethical issues in social science and humanities; 3) international professional and research trajectory; 4) academic experience, and knowledge on human rights. Finally, the members were invited considering also their gender, race, ethnicity, country and Europe region of origin in order to promote balance at all levels.

Then, the Project Coordinator sent the formal invitation which included an acceptance letter (see annexes) to be signed and sent back by the potential member. .

The final composition of the Ethics Commission will be approved during the General Assembly to be held in January 23th-25th, in Sofia, Bulgaria. Once this process is completed, before starting the activities, each member will sign a non-disclosure agreement provided by the Project Coordination.

### 4.2 Goals and Functioning

The Ethics Commission goals are to support the Steering Committee activities, focusing compliance of ethical principles (such as gender, equity, the best interest of the collective, intellectual freedom, human dignity, transparency), and resolution and intermediation of conflicts. The Ethics Commission is itself supported by the CES's Ethics Committee, articulated with the interdisciplinary Ethics Committee from the University of Coimbra, in case of need of advice in specific fields. Both gather experts in addressing social, ethics and legal issues in research activities such as EU and national projects.

Its goals are also to assist and facilitate the Steering Committee consultations, providing advice whenever requested on ethical requirements, in case of conflicts of interests, or any other situation during the project activities. As well as, it supports periodic and regular reports on ethical issues and provide recommendations to the General Assembly.

The Ethics Commission will meet once a year in-person, consisting of a one-day discussion, however it may meet through online tools whenever necessary. It will provide advices up to 30 calendar days after a request has been submitted.

The Ethics Commission also supports the dissemination among partners, participants, and stakeholders of the principles, guidelines, recommendations, methods, and procedures related to ethics in the project research and activities. These aspects and contents will be introduced into all activities, and specific training and material will be provided to partners and participants.

The preliminary version of the Ethics Commission Regulation, described below, will also be analysed and discussed for approval in the General Assembly. This Regulation transposes the

commitment presented in the project proposal regarding the Ethics Commission contributions and presents detailed information related to the Ethics Commission characteristics, general rules, assignments, formation, functioning and other issues. The template forms will be prepared by Project Coordinator and Ethics Commission after its approval.

Is also an important attribution to the Ethics Commission to develop a Code of Conduct for the project. This document will be delivered within a deadline agreed with the Steering Committee.

Finally, the Project Coordinator supports the administrative and management functioning of the Ethics Commission, as well as the expenses related to travel and accommodation for in-person meetings.

## **4.2. Regulation - preliminary version**

The preliminary version of the Ethics Commission Regulation is presented below. As explained above, it will be analysed and discussed in the General Assembly to be held in Sofia (Bulgaria) in January 2019.

### **Ethics Commission Regulation of the URBiNAT project**

#### **Article 1. Characteristics of the Ethics Commission**

**1.1 Objectives.** The objectives of the Ethics Commission shall be to maintain ethical conduct by URBiNAT's partners and researchers at the highest professional level;

**1.2 Nature.** The Ethics Commission is an independent and multidisciplinary advisory body, whose activity is governed by this Regulation;

**1.3 Mission.** This advisory body supports the Steering Committee activities, focusing compliance of ethical principles (gender equity, the best interest of the collective, intellectual freedom, human dignity, transparency, among others), intermediation and resolution of conflicts or where necessary, to support project local teams to activate local protection systems.

#### **Article 2. General rules**

**2.1 Applicable laws and regulations.** The Ethics Commission shall base its actions on applicable national laws and regulations, URBiNAT's Ethical Guidelines and Ethics Code, and the Data Management Plan when applicable;

**2.2 Applicable Ethics Code.** The Ethics Commission applies the URBiNAT's Ethics Code in effect at the time the conduct occurred. If conduct continued over a period of time during which more than one Ethics Code was in effect, each Ethics Code will be applicable to conduct that occurred during the time period it was in effect;

**2.3 Default regime.** When interpreting and integrating gaps or omissions in these regulations, the following will be applicable by default: 1. CES' Statutes; 2. University of Coimbra Ethical Commission Regulations; 3. The Ethical Code(s) of the professional and scientific, national and international associations in the fields of activities of the researchers at CES;

**2.4 Rules and Procedures.** These rules and procedures are applicable to all the partners and researchers involved in the URBiNAT project. The Ethics Commission may amend these Rules and Procedures if any lacunae or loopholes are identified. The amend procedure request two-thirds



vote of the Steering Committee members. The amendment cannot affect the rights of a respondent if a process is in course. Changes to the Rules and Procedures must be ratified by the Steering Committee.

### **Article 3. Assignments**

**3.1 Regulative.** The Ethics Commission will develop the URBiNAT Code of Conduct and the URBiNAT Ethics Code;

**3.2 Consultative.** The Ethics Commission assists and facilitates the work of the Steering Committee, which shall consult this body for receiving advice and recommendations on ethics issues;

**3.3 Advice.** The Ethics Commission provides advice, whenever requested by the Steering Committee, on ethical requirements contained in project documents, on declared conflict of interest situations, and on any occurrences during the project, of practices of non-compliance with the ethical principles;

**3.4 Dissemination.** The Ethics Commission promotes dissemination to the partners and stakeholders of URBiNAT's procedures and ethical principles;

**3.5 Support.** The Ethics Commission supports the Steering Committee quarterly reports on ethical issues to the General Assembly (GA) and progress and final reports to the European Commission (EC);

**3.6 Analysing and reporting.** The Ethics Commission shall support the Steering Committee on analysing and reporting on ethical issues raised by any project partner;

**3.7 Recommendations.** The Ethics Commission shall assist and facilitates decisions made by the General Assembly through recommendations on ethical issues;

**3.8 External Consultancy.** The Ethics Commission shall be advised by CES' Ethics Committee, that may articulate the advisory with the interdisciplinary Ethics Committee of the University of Coimbra, whenever an issue is in need of another advisor in specific fields.

### **4. Formation**

**4.1 Composition.** The Ethics Commission is composed of seven external experts members of the Advisory Board from the countries of the front-runner and follower cities involved in the project plus one external member (*ad hoc*);

**4.2. Criteria for members' invitation:** The Ethics Commission's members are invited considering their relevant experience on ethics issues, knowledge of ethical issues in social science and humanities, international professional and research trajectory, as diverse as possible, among them, the academic experience and knowledge on human rights.;

**4.3. Equity.** The Ethics Commission's members are invited considering their gender, race, ethnicity, country and Europe region of origin in order to promote balance at all levels;

**4.4. Focal point.** The Steering Committee will designate one of its members to be the focal point in charge of the ethical issues;

**4.5 Local focal point.** Each city team will choose a representative to act as a local focal point responsible for reporting any events involving ethical issues to the Steering Committee;

**4.6 Implementation.** The Project Coordinator's representative shall be present in each meeting, write the minutes of the Ethics Commission meetings and prepare for implementation of its recommendations.

## **5. Functioning**

**5.1 Confidentiality term.** The Project Coordinator will ensure that a non-disclosure agreement is signed by each member of the Ethics Commission stating that they treat as confidential all information under its analysis and advisory;

**5.2 In-person Meetings.** The Ethics Commission will meet once a year with each meeting consisting of a one-day discussion;

**5.3 Online Meetings.** The Ethics Commission shall follow the questions and discussions through online tools whenever necessary and if it is not possible to meet in-person;

**5.4 Deadlines.** The Ethics Commission will provide its advice within 30 calendar days after a request has been submitted;

**5.5 Consensus.** The Ethics Commission will make decisions by consensus;

**5.6 Formats.** All requests for Ethics Commission analysis must be submitted through forms provided by the Project's Coordinator;

**5.7 Quorum.** The Ethics Commission may only take actions at meetings where a quorum exists. A quorum at such meetings shall consist of the simple majority of the nominated members of the Ethics Commission;

**5.8 Participation in the General Assembly.** The Ethics Commission's members may participate in the General Assembly meetings upon invitation but will possess no voting rights;

**5.9. Project Coordinator role.** The Ethics Commission will be supported on its administrative and management activities by the Project Coordinator;

**5.9 Other activities.** The Ethics Commission will support preliminary activities on training in ethical issues specific to URBiNAT procedures, to be developed in the first year of the project implementation.

## **6. Other issues**

**6.1 Conflict of interest.** The Ethics Commission's members must take all measures to prevent any situation where the impartial and objective implementation of this Regulation is compromised for reasons involving economic interest, political or national affinity, family or emotional ties or any other shared interest (conflict of interests). They must formally notify the project's coordinator within 48 hours any situation constituting or likely to lead to a conflict of interests;

**6.2. Partners commitment.** All consortium members involved in the field activities of the project should present a Statement of Commitment with scrupulous compliance with URBiNAT's ethical principles, guidelines and confidentiality conditions in a proper form;

**6.3 Templates.** The Project Coordinator and the Ethics Commission’s members will provide the final versions of the Statement of Commitment; and validate the final version of the a) Information Sheet; and b) Informed Consent Form.

#### 4.3.1. Biography of the members

All nominated and invited members have met the criteria described in section 4.1. In result, seven members plus one *ad-hoc* member were invited. By the delivery date of this deliverable, we received six confirmations. The other confirmations will be held until the General Assembly in Sofia (2019), where it will also be the official approval of the URBiNAT Ethics Commission.

<b>PORTUGAL</b>	
<b>Antonio Tavares</b>	Associate Professor at the School of Economics and Management of the University of Minho; Adjunct Associate Professor at United Nations University EGOV
<p>António Tavares is Associate Professor w/ Habilitation at the University of Minho. He is co-editor of the Urban Affairs Review. His research has been published in a wide range of journals in political science and public administration. Tavares received his Ph.D. in Public Administration from the Askew School of Public Administration and Policy at Florida State University.</p>	

<b>FRANCE</b>	
<b>Yves Cabannes</b>	Emeritus Professor of Development Planning at the Bartlett Development Planning Unit of the University College London
<p>Yves Cabannes is an urban planner and Emeritus Professor of Development Planning since 2015, Chair of Development Planning [2006-2015] at Bartlett Development Planning Unit (DPU), University College London. He was previously lecturer in Urban Planning at Harvard University Graduate School of Design and the regional Coordinator of the UN Habitat/UNDP Urban Management Program for Latin America and the Caribbean and worked for many years with local governments, NGOs and social movements in various countries. He was awarded the United Nations Best practices award in 1996, along with other partners’ institutions for their long-standing work on low-income housing and income generation in Fortaleza Metropolitan Region in Northeast Brazil.</p>	

<b>BELGIUM</b>	
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**Annalisa Casini**

Professor at the Université Catholique de Louvain

Annalisa Casini (PhD) is Doctor in psychological sciences (2008). She is Professor (Assistant) of work and occupational health psychology at the Université catholique de Louvain. She is member of the Work and Organizational Psychology Laboratory (WOP Lab) and of the Interdisciplinary Research Center on Work, State and Society (CIRTES). She conducts research in work, social and health psychology. Her research focus on the gendered dimension of work and its implications on men's and women's career choices and evolutions, and their well-being at work, as well as on the association between the recent evolution of working conditions and workers' well-being, with a focus on the notion of professional recognition. She is member of the board of Sophia, the Belgian gender study network.

**BULGARIA****Maya Grekova**

Professor at Department of Sociology, University of Sofia

Dr. Habil. Maya Grekova is a professor in Sociology at Sofia University 'St. Kliment Ohridski'. The main topics in her research involve human/social similarities and differences, communities and minorities, rights and discrimination, Roma isolation and integration. Among her books are: *I and the Other (Dimensions of Strangeness in Posttotalitarian Society)*. Sofia: Sofia University Press, 1996. (in Bulg.), *Minority: Social Construction and Experience. Sofia: Critique and Humanism*, 2001. (in Bulg.), *Roma in Sofia: from Isolation to Integration? (With V. Dimitrova, D. Kjuranov, N. Germanova, J. Markova.)*. Sofia: East/West, 2008. (in Bulg.), *Discrimination as a Social Practice (Bulgaria 2008-2010)*. (With M. Kosseva, I. Kjurkchieva, O. Avramov) Sofia: IMIR, 2010. (bilingual edition).

**ITALY****Patrizia Messina**

Professor of Political Science, University of Padova

Patrizia Messina currently works at the Department of Political and Juridical Sciences and International Studies - SPGI, University of Padova. Patrizia does research in Policies for Local Development, Network Governance and Intergovernmental Relations. The most recent

publication is 'Modi di regolazione dello sviluppo locale. Una comparazione per contesti di Veneto ed Emilia Romagna' (2012).

**SLOVENIA**

**Lucija Ažman Momirski** Assoc. Prof. Faculty of Architecture, University of Ljubljana

[http://www.fa.uni-lj.si/filelib/4\\_profil/lucka\\_azman/biografija\\_azman.pdf](http://www.fa.uni-lj.si/filelib/4_profil/lucka_azman/biografija_azman.pdf)

## **ANNEXES**

## Annex 1 - Template invitation letter



Coimbra, X October 2018

Dear Sir/Madam,

We are very pleased to invite you to be part of URBiNAT's Ethics Commission.

URBiNAT is a five-year research and innovation action funded by the European Commission under the Horizon 2020 programme, Grant Agreement n°. 776783, coordinated by Centre for Social Studies, at University of Coimbra. The project began in June 2018 and will come to an end by May 2023.

In the course of 5 years, the project will research, develop and implement what it calls «Healthy Corridors», through an innovative and inclusive catalogue of Nature-Based Solutions (NBS), that cross-sectoral partners have been developing in recent years (universities, public institutions, laboratories and companies - see list attached). This catalogue includes territorial and technological solutions of environmental impact, innovative methodologies of democratic participation and inclusion; and economic alternatives through social and solidarity economy solutions.

«Healthy Corridors» will be built through participatory processes in the cities of Porto (Portugal), Nantes (France) and Sofia (Bulgaria) and, later on, replicated in the cities of Brussels (Belgium), Siena (Italy), Høje-Taastrup (Copenhagen, Denmark) and Nova Gorica (Slovenia), in partnership with local municipalities and universities. The consortium is complemented by international Iranian and Chinese partners as well as observers from Brazil, Oman, Japan and China, which ensures the widespread sharing of best practices and the replication of solutions designed in other contexts.

URBiNAT's organisational structure comprises, among other bodies, an Ethics Commission composed of external experts from the countries of the cities involved in the project. This advisory body contributes with the coordination activities of the Steering Committee, focusing on compliance of ethical principles (such as gender equity, best interest of the collective, intellectual freedom, human dignity, transparency), and intermediation and conflict resolution.

The Ethics Commission provides opinion/advice, whenever requested, on ethical requirements contained in the project's documents, on declared conflict of interest situations, and if practices of non-compliance with the ethical principles occur during the project. For this, CES team will provide administrative and technical support to the Commission.

If necessary, URBiNAT's Ethics Commission will have the support of CES' Ethics Commission and Coimbra University Interdisciplinary Ethics Commission.

URBiNAT's Ethics Commission will meet once a year, each meeting consisting of a one-day discussion. The meeting can be presencial or online. There may also be some follow-up

questions/discussions by email, as well as a report at the end of the 5th year of the project. The project's Coordinator shall write the minutes of the Ethics Commission meetings and prepare the implementation of its recommendations. All the expenses of the members participation will be supported by the project.

The project's Coordinator will ensure that a non-disclosure agreement is celebrated with each member of the Ethics Commission. The Ethics Commission members shall be allowed to participate in the General Assembly meetings upon invitation but will possess no voting rights.

Hoping to have your favorable answer.

Yours sincerely,

Gonçalo Canto Moniz

URBiNAT Project Coordinator

On behalf of the URBiNAT Steering Committee



## Annex 2- Acceptance letters



Louvain-la-Neuve (BE), 21 November 2018

Dear Gonçalo Canto Moniz,

According to the invitation letter to be part of URBINAT's Ethics Commission, I would like to confirm my acceptance and availability to participate as member of the Commission.

I'm aware of the objectives and responsibilities of the URiNAT Ethics Commission and that I agree with its ethical principles.

I also confirm availability to act during the 5 years of the project, and any alteration will be communicated in advance to the coordination of the URBINAT.

Please find attached my short CV (300 words) and here my personal data, for internal communication:

Name: Annalisa CASINI

Institutional affiliation: Faculté de psychologie et des sciences de l'éducation/IPSY

Address: Place Cardinal Mercier 10 bte L3.05.01 B-1348, Louvain-la-Neuve

Phone number: +32 (0)10 47 88 89

E-mail: annalisa.casini@uclouvain.be

Best regards,

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Signature



Braga, 25 November 2018

Dear Gonçalo Canto Moniz,

According to the invitation letter to be part of URBiNAT's Ethics Commission, I would like to confirm my acceptance and availability to participate as member of the Commission.

I am aware of the objectives and responsibilities of the URBiNAT Ethics Commission and that I agree with its ethical principles.

I also confirm availability to act during the 5 years of the project, and any alteration will be communicated in advance to the coordination of the URBiNAT.

Please find attached my short CV (300 words) and here my personal data, for internal communication:

Name: António Fernando Freitas Tavares

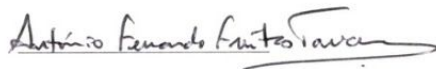
Institutional affiliation: Universidade do Minho

Address: Escola de Economia e Gestão, Universidade do Minho, Campus de Gualtar, 4710-057

Phone number: +351-253604510

E-mail: [atavares@eeg.uminho.pt](mailto:atavares@eeg.uminho.pt)

Best regards,



Signature





London, 21 November 2018

Dear Gonçalo Canto Moniz,

According to the invitation letter to be part of URBiNAT's Ethics Commission, I would like to confirm my acceptance and availability to participate as member of the Commission.

I'm aware of the objectives and responsibilities of the URBiNAT Ethics Commission and that I agree with its ethical principles.

I also confirm availability to act during the 5 years of the project, and any alteration will be communicated in advance to the coordination of the URBiNAT.

Please find attached my short CV (300 words) and here my personal data, for internal communication:

**Name:** Prof. Yves Cabannes, Emeritus Professor of Development Planning

**Institutional affiliation:** The Bartlett Development Planning Unit / University College London

**Address:** 34 Tavistock Square / London WC1H 9EZ / United Kingdom

**Mailing Address:** Avenida Duque de Loulé 105-3º, 1050-089 Lisboa

**E-mail:** y.cabannes@ucl.ac.uk

Best regards,

Signature



Sofia, 26 November 2018

Dear Gonçalo Canto Moniz,

According to the invitation letter to be part of URBiNAT's Ethics Commission, I would like to confirm my acceptance and availability to participate as member of the Commission.

I'm aware of the objectives and responsibilities of the URiNAT Ethics Commission and that I agree with its ethical principles.

I also confirm availability to act during the 5 years of the project, and any alteration will be communicated in advance to the coordination of the URBiNAT.

Please find attached my short CV (300 words) and here my personal data, for internal communication:

Name: Maya Grekova

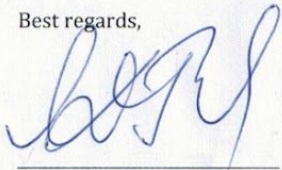
Institutional affiliation: Sofia University "St. Kliment Ohridski"

Address: 125 Tzarigradsko shosse Bulv., Block 4, Sofia 1113, Bulgaria

Phone number: 00359 885 855 499

E-mail: [grekova@phls.uni-sofia.bg](mailto:grekova@phls.uni-sofia.bg) [m\\_grekova@yahoo.com](mailto:m_grekova@yahoo.com)

Best regards,



Signature





Via del Santo,28  
35123 Padova  
tel +39 049 8278354 - 8389  
fax +39 049 8278355  
CF 80006480281  
P.IVA 00742430283

Padova, 30<sup>th</sup> November 2018

Dear Gonçalo Canto Moniz,

According to the invitation letter to be part of URBiNAT's Ethics Commission, I would like to confirm my acceptance and availability to participate as member of the Commission.

I am aware of the objectives and responsibilities of the URiNAT Ethics Commission and that I agree with its ethical principles. I also confirm availability to act during the 5 years of the project, and any alteration will be communicated in advance to the coordination of the URBiNAT.

Please find attached my short CV (300 words) and here my personal data, for internal communication:

**Name:** PATRIZIA MESSINA

**Institutional affiliation:** University of Padua – Department of Political Science, Law and International Studies

**Address:** via del Santo 28 - 35123 PADOVA – IT

**Phone number:** 00 39 049 8274250; 0039 3394132354

**E-mail:** [patrizia.messina@unipd.it](mailto:patrizia.messina@unipd.it)

Best regards,

Signature





Ljubljana, 26 October 2018

Dear Gonalo Canto Moniz,

According to the invitation letter to be part of URBINAT's Ethics Commission, I would like to confirm my acceptance and availability to participate as member of the Commission.

I'm aware of the objectives and responsibilities of the URiNAT Ethics Commission and that I agree with its ethical principles.

I also confirm availability to act during the 5 years of the project, and any alteration will be communicated in advance to the coordination of the URBINAT.

Please find attached my short CV (300 words) and here my personal data, for internal communication:

Name: Lucija Aman Momirski, PhD  
Institutional affiliation: Assoc.Prof. at University of Ljubljana, Faculty of Architecture  
Address: Zoisova 12, 1000 Ljubljana, Slovenia  
Phone number: +386 41 62 33 02  
E-mail: Lucija.azman@fa.uni-lj.si

Best regards,  
Lucija Aman Momirski

Signature

