



Preliminary ethical guidelines, and communication and reporting procedures

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List of Authors and Reviewers

Authors	Reviewers
Beatriz Caitana - CES	Emma Bjorner - IKED
Begoña Dorronsoro - CES	Marie Nicole Sorivelle - DTI
Denise Esteves - CES	Thomas Andersson - IKED
Gonçalo Canto Moniz - CES	
Isabel Ferreira - CES	
Nathalie Nunes - CES	
Sandra Carvalho - CES	
Sheila Holz - CES	
Contributors	
Baïla Sow - ITEMS	
Chloe Friedlander - ITEMS	
Marie Nicole Sorivelle - DTI	
Sébastien Lévy - ITEMS	
Tom Mackenzie - ITEMS	

Executive summary

Deliverable 1.6 corresponds to the preliminary development of ethical and communication and reporting procedures within the project.

This document is composed by a set of preliminary ethical guidelines that should guide the whole project's development and implementation; and by the establishment of general communication and reporting procedures between consortium members/partners, including their frequency, style and the set of rules that must conduct communication practices among partners and the reporting system to the project coordination.

On one hand, the goals of this deliverable are to do a preliminary analysis of ethical principles, procedures and legal framework that are going to be the guiding values for the development and implementation of URBiNAT project.

On the other hand, this deliverable presents the main procedures and a set of guidelines applied to and by members and partners of our consortium for communication and reporting. Communication procedures cover both internal and external communication and dissemination. It establishes the foundations of how the collaborative work of URBiNAT partners is going to be organised, as well as, the ways through which partners will disseminate information within the framework of URBiNAT project.

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Introduction

“Ethics is an integral part of research: it is only by getting the ethics right that research excellence can be achieved”¹.

The avoidance of exploitation, fair distribution of benefits and burden, beneficence, respect for persons, respect for human dignity, scientific validity, social value, the rights and interests of research participants are overarching ethical principles of any scientific research and innovation action.

This guide includes partial results of Tasks 1.4, 1.6 and 1.7 and is dedicated to the preliminary ethical guidelines, as well as the communication and reporting procedures of URBiNAT. The purpose of this Deliverable is to provide: i) the preliminary analysis of ethical issues that should guide the project’s entire development, including a set of principles, procedures and legal framework; and ii) the main procedures applied to and by members and partners of our consortium for communication and reporting, being either fundamentals of partnership or practices and tools for facilitating collaboration.

The spirit of these guidelines reflects URBiNAT’s nature as a methodological strategy. On this basis, in each section initially sets out to introduce concepts and principles related to ethical issues and in the second part, we develop a set of guidelines on procedures to be adopted. More than presenting a prescriptive recipe, however, each stakeholder is expected to adapt this material so as to fit the particular situation and unique specificities that apply on the ground.

This guide should help URBiNAT partners to ensure that ethical guiding principles and communication and reporting procedures are implemented along the project's milestones. Nevertheless, this does not change the obligations under the GA or obligations under applicable international, EU or national law. In so doing, the guide:

- ❑ analyses and manages ethical and social issues and challenges related to active engagement by individuals during the action and, in general, to any kind of participatory and research processes to be applied;
- ❑ ensures that the ethical practices set forth are followed. This will include ensuring that proper procedures are followed with regards to: working with vulnerable groups; explaining voluntary participation and stakeholders’ rights to withdraw from the project; providing information about the project and specific studies to stakeholders; obtaining informed consent; secure data storage, access and disposal of data; data confidentiality and participant anonymity; and the dissemination of data;
- ❑ ensures respect of diversity, inclusiveness and gender balance, paying particular attention to vulnerable categories of individuals such as discriminated persons, persons unable to give consent, elderly persons, persons of dissenting opinion, immigrants and minority communities, etc;

¹ Article “Ethics” - Horizon 2020 Cf. <https://ec.europa.eu/programmes/horizon2020/en/h2020-section/ethics>

- ❑ addresses action and research that may adversely affect the environment, stemming from possible environmental impact due to the undesirable side-effects of technologies and methodologies used (Healthy Corridor or NBS);
- ❑ describes procedures to be implemented to keep researchers and subjects safe, since health and safety of all human participants in URBiNAT are a priority.
- ❑ guidelines regarding communication and reporting procedures and the forms developed, cover both internal and external communication and dissemination processes. Establishing clear procedures on reporting is going to allow communication flow within the consortium and thus, ensuring that all partners receive timely and reliable information. As so, not only facilitates collaborative work among partners, but also implements an effective reporting procedure to the European Commission within the agreed timetable.

Ethics

URBiNAT's consortium consists of multi-sectoral stakeholders and multi-level actors (General Assembly, CoP, Advisory Board, Scientific Commission, clusters of NBS for urban regeneration, and the Steering Committee) bringing together a cultural and social diversity of ethical issues specific to each country, region and city involved. According to its vision of inclusion and mission of co-creation, the consortium will adopt as preliminary strategic orientations, a set of fundamental ethical principles. These principles will apply to all technical aspects of the project's activities, including interpersonal relations, social relations with citizens of communities where the project actions are implemented, protection of environment/nature, protection of human rights, especially those guaranteeing and promoting the rights of participation.

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. Finally, URBiNAT complies with the national legislations of the countries involved in the project.

The Steering Committee is responsible for ensuring that all consortium members adopt the ethical measures to protect researchers and technicians involved in fieldwork activities and vulnerable persons, including measures to minimise the risk of stigmatisation, and increase the provision of appropriate guidelines and training.

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.

Principles, guidelines, recommendations, methods and procedures related to ethics will be disseminated among all partners, participants, and stakeholders. Additionally, these aspects and contents will be introduced into all project activities, and specific training and material will be provided to partners and participants. Partner/s in charge of an activity will establish appropriate ground rules for discussions and participation to facilitate respect of different opinions and diverse point of views shared. Hence, promoting an open and respectful atmosphere where relevant ethical principles are respected.

These ethical guidelines will be further developed, and modified on the basis of the experience and lessons learnt. In future, it can be aggregated especially in articulation with actions foreseen in WP3 - Citizen Engagement in Support of NBS, and in the development of Deliverable 1.4 - Report with the composition of the Ethics Commission, additional ethical requirement/approval and ethical principles guidelines, which will be submitted in month 6.

URBiNAT commits to keep on file all the relevant documentation that can be monitored by its Ethics Commission, the Steering Committee, and the CES 's Ethics Commission. All URBiNAT works and documents will be stored on cloud data only available to those who have been invited and benefit of valid credentials.

Communication and reporting

The organisational structure for URBiNAT project was conceived to ensure its efficient management, and designed as a participative and collaborative structure, in line with its vision of inclusion and its mission of co-creation.

The ambitious goals of URBiNAT require a continuous and coordinated progress towards the accomplishment of its objectives. The coordinator of the consortium will work closely with all work package leaders within the **steering committee** to ensure appropriate and effective **coordination and monitoring** of the activities implementation.

The coordination and monitoring of activities will rely on the definition of **workflow and standard quality procedures** by the steering committee. This definition will consist of:

- (i) drafting regulations, procedures and process flowcharts and appropriate best practice standards for documentation, methods and tools, including communication and meeting procedures;
- (ii) designing a system for monitoring project aims, deliverables and milestones in order to report on progress towards objectives (efficiency and efficacy), including extranet, online

collaborative documents, format of reports to general assembly, in line with the European Commission's reporting formats;
(iii) formulating policy for mediation of conflict resolution, corrective actions and remedies.

The following guidelines and procedures regarding communication and reporting are included in the first deliverable of the project URBiNAT (D1.6) at month 2 in order to formalize the foundations of this collaboration. These guidelines and procedures will be further developed in a second deliverable, at month 6. This deliverable is a handbook on workflow and standard quality procedures, that will ensure activity coordination and monitoring, as mentioned above (D1.1).

Moreover, communication procedures also cover both **internal and external communication and dissemination**. It establishes the foundations of how the collaborative work of URBiNAT's partners is organised, as well as, the ways through which partners will disseminate information within the framework of URBiNAT project. These guidelines and procedures will also rely on different deliverables to be finalized until month 6: communication and dissemination plan (D6.1), website and newsletter (D6.2), dissemination package (D1.7), data management plan (D1.3).

Part 1. Preliminary ethical guidelines

1. Ethical and social principles of URBiNAT

The ethical and social principles of URBiNAT make up a succinct set of core and fundamental perspectives defined in collaboration with the project partners. However, being a preliminary document and founded in a dynamic and participatory process, it can receive contributions and other insightful inputs in the future, from citizens of the local communities where project activities are implemented. Starting with a clear understanding and agreement among partners, these set of principles provide an opportunity to create a common basis to be shared and adopted by all URBiNAT stakeholders.

This set of principles highlights the strategic pillars through which it is envisaged that the project will help navigate the design and implementation of actions which pay out at different levels, in different kinds of contexts and with considerations to different sets of stakeholders. It will be applied to all URBiNAT processes and structures, within a framework which allows for adaptation to different kinds of knowledges, skills, power relations, social rules, and cultural aspects.

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). The following table presents the set of URBiNAT's cross-cutting ethical principles.

CROSS-CUTTING ETHICAL PRINCIPLES	
Democracy	<p>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, (ii) access to public space and forms for effective participation, (iii) promote elimination of barriers and inequalities, 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).</p> <p>(i) The democratic dimension carries economic implications, including in the following four key aspects: the reduction of inequalities as a central debate (even more than questions of poverty); improved access and freedom of choice regarding a range of goods and services; governance and management of public goods, and; a broadened</p>

	<p>capacity among citizens to innovate. These four aspects are key to advancing the inclusive economy perspective professed by URBiNAT.</p> <p>(ii) Furthermore, extended enhanced access to public space brings benefits, in line with the principle that every citizen is capable of making a societal contribution. It is of high importance that citizens be internally free to express their honest opinions without being deprecating or self-deprecating, and there is no source of coercion introduced into the process and procedures of the discourse.</p> <p>(iii) For barriers and inequalities to be addressed effectively, it will be key to adopt instruments for communication and interaction with a view to the influence of cultural identities along with the specificities of each community group. Considering the democraticity principle, URBiNAT aims to help guide the decision-making process so as to become genuinely responsive to citizens’ needs and opportunities in a way that enables them to become active co-creators of solutions to critical outstanding urban challenges.</p> <p>(iv) The access to knowledge and resources for co-creation is based on the plurality of knowledge, as opposed to colonial and monocultural knowledge recognition. The objective is for all participants to be able to access adequate and available information required for this kind of participatory co-creation approach.</p>
Solidarity	<p>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). Regarding the latter perspective, democratic solidarity refers to “<i>freedom of access to the public space for all citizens</i>”, and seeks to deepen and strengthen the conditions of political democracy and participation. Therefore, on the one hand, URBiNAT is guided by the adoption of organizational practices and interpersonal relationships based on the logic of reciprocity and mutual benefit among all citizens directly or indirectly involved in the project. On the other hand, it recognises solidarity as an extension of the conditions for participation and deepening of democracy.</p>
Social inclusion	<p>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. In this regard, it is necessary to permanently recognize the cultural, social and economic differences of each group, to implement actions according to their needs. All social groups and minorities that are part of project communities, are entitled to participate in the process. Inclusion will be permanently activated through initiatives of active citizens engagement in decision-making processes about interventions in public spaces, in co-creation, development, implementation and monitoring of social, solidarity and inclusive economic, technological and territorial solutions. Accordingly, discriminatory situations and processes, or institutional racism, against any group, minority or excluded social group will be repudiated and contrasted.</p>
Territoriality	<p>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. On the other way, territoriality also reflects the effect of spatial organisation on these same persons. In this sense, territoriality takes in consideration an urban planning that responds to a range of</p>

	<p>scales and is adaptable to distinct regional, national and local contexts (UNHABITAT, 2015). Territoriality goes beyond the territory tied to a physical space with limits and borders, giving a more dynamic dimension of organization, mainly because it evokes the relation to the subjectivities, memories and ways of life that explain it. According to Altman (Altman, 1968, apud Skaburskis, 1974, p.39), “human territoriality encompasses temporally durable, preventive and reactive behaviours including perceptions, uses and defense of places, people, objects and ideas, by means of verbal, self marker, and environmental prop behaviour in response to properties of the environment and is geared to satisfying certain primary and secondary motivational states of individual and groups”.</p>
Intersectionality	<p>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. Intersectionality was first conceived and developed by various African-American activists, academics and feminists, especially Kimberlé W. Crenshaw (1991) and Patricia Hill Collins (2000), who considered these social issues as spaces increasingly hyphenated and dialogical, conceptually interstitial. 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. With the overlapping of oppressive factors, more sophisticated mechanisms are combined. For example, gender issues are combined with ethical, racial and economic discriminations to analyze a complex context. In the case of black women, it would not be enough to consider only the sexual differences to explain the challenges they face. In the European context, these aspects and the way how both policymakers and civil society actors articulate them are crucial for questioning existing privileges and power hierarchies, in order to promote greater equality in society, as pointed out by Emanuela Lombardo and Lise Rolandsen Agustín (2016).</p>
Interculturality	<p>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) <i>“we have the right to be equal whenever difference diminishes us; we have the right to be different whenever equality mischaracterizes us”</i>. 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.</p>
Research Subject	<p>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.</p>
Accountability	<p>Accountability is relevant according to the multi-sectoral democratic governance processes that URBiNAT intends to implement. It is linked to the responsibility of the project’s diverse partners, and to conditions for citizen participation. 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</p>

	<p>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. In any research or consultative process, citizens must be informed at the beginning of the research purposes (informed consent), on how their views will be interpreted (validation) and used (process). Citizens are entitled to clear feedback on how their participation influence outcomes. Monitoring and evaluation of the participatory process will be conducted. URBiNAT will then be accountable for the decisions and solutions taken from the scientific and methodological viewpoint.</p>
<p>Open Access</p>	<p>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.</p>
<p>Social Innovation</p>	<p>In the present context, social innovation focuses on the development and diffusion of innovations dedicated to problem resolution within deprived social groups. Its success is tied to an effective linking of economic, social and scientific aspects. Moulaert et al. (2013) defines social innovation as a process to find "possible solutions to a set of problems, including exclusion, privation, alienation, lack of well-being, and also actions that contribute positively to a meaningful human development and progress" (Moulaert et al., 2013, p. 15).</p> <p>The concept of social innovation includes two related dimensions: the product and the process (Moulaert et al., 2013; André; Abreu 2006; Murray et al., 2010). The process in the sense that change and alterations are required in social and power relations at a micro and macro level. The product in the sense of construction of methodologies, artefacts and/or services, specially those dedicated to the strengthening of people's capacities, needs satisfaction and access to rights. Both social innovation and social technology set the introduction of an explicit need, in a scientific field dominated by the idea of impartiality and neutrality, and recenter the social priorities replaced by economic priorities.</p>
<p>Efficiency and effectiveness</p>	<p>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.</p>
<p>Sustainability</p>	<p>Sustainability is a multi-dimensional concept with implications for the environment, society, economy and culture. 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</p>

	<p>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.</p>
<p>Responsible and sustainable commercial use</p>	<p>URBiNAT is founded on the social economy principle of “<i>the primacy of the individual and the social objective over capital</i>”. Under this principle, the NBS solutions and the results of the project may be used by associations, public institutions, governments, social economy organisations, social enterprises, corporations or other for-profit businesses, as long as the use follows these conditions: commercialization or use that is directly intended to generate income for the community, individual members in vulnerable economic situations or individuals organized in collectives; surplus generated is reinvested in organizations and in sustainable activities for the benefit of the community. For this reason, the accumulation and concentration of profits originated by the NBS activities or any other products is not allowed. Most of the surplus is to be used in pursuit of sustainable development objectives, services of interest to members or to the common and the general interest. In any case, users of URBiNAT cannot directly sell or profit individually from URBiNAT or from products derived from it. Charges to recover reasonable maintenance, reproduction and distribution costs may be permitted. Moreover, 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.</p>

2. Overview of ethical issues in the URBiNAT project

2.1. Relation to other Tasks, Deliverables, Milestones and Work Packages

As noted earlier, the current Deliverable covers input from Tasks 1.4 - Ethics Analysis, 1.6 - Administrative and Financial Coordination and 1.7 - Communication with EC, among Partners, and Day-to-Day Point of Contact of WP1. However, ethical issues are also interrelated with a number of other activities, in particular:

Task 1.1. Coordinate and monitor the implementation of activities (WP1)

The Steering Committee will ensure that all Consortium Members, other partners, and all stakeholders adopt the ethical measures, through the proper dissemination of this Guide, holding of internal thematic discussions/meetings to guarantee the same understanding of concepts and procedures, elaboration of communication materials that synthesize information in reader-friendly language, approval and permanent discussion of the theme at the Consortium's General Assembly meeting, and using the Ethics Commission (Deliverable 1.4).

The Steering Committee will report on ethical issues to the General Assembly in its Quarterly Reports, and to the European Commission in its Interim and Final reports. It will also analyse and report on ethical issues if so required by any project partner, with the support of URBiNAT's Ethics Commission.

The Steering Committee will also be supported and advised by CES's Ethics Commission, that addresses social, ethical and legal issues in research activities such as EU and national projects.

The Steering Committee will be responsible for ensuring that all Consortium Members adopt ethical measures to protect citizens, researchers and technicians involved in fieldwork activities and vulnerable populations, including measures to minimise risks of stigmatisation, providing for appropriate guidelines and training. This key issue will be addressed immediately with the advisory ethics bodies, and developed with partners and stakeholders taking into account that neighbourhoods where the NBS are to be developed currently experience stigmatization of their environment and residents.

The Handbook on workflow and standard quality procedures (Deliverable 1.1) will also include indicators for monitoring and evaluating of ethical issues.

Task 1.3. Innovation, IPR and data management (WP1)

URBiNAT commits to keep on file relevant procedures, guidelines, authorisations and templates to be monitored by its Ethics Commission, CES' Ethics Commission and URBiNAT's Steering Committee.

The Data Management Plan, to be delivered by Month 6 of the project, will detail these procedures.

Task 2.1. Local diagnostics in Frontrunner and Follower (WP2)

With a focus on identified deprived areas in each city, partners will begin by describing the local conditions in these cities. This will be a two stage task. In the first stage, existing data in each city will be collected and analysed according to the goals and objectives of each task. In the second stage, new data will be collected. Data collection will meet ethical guidelines as detailed in this Guide. Furthermore, local diagnostic will also include the assessment of potential risks for the environment (risk-benefit analysis) and human health, including also mitigation measures, compliance with applicable international, EU and national law, in particular precautionary principle, and if necessary and applicable, environmental authorisations. Deliverable 2.1 - Diagnosis Report for each City will present assessment results on potential environmental risks.

Task 6.1. Develop and implement a communication and dissemination plan (WP6)

All dissemination and communication activities will follow policies and procedures defined by URBiNAT's Steering Committee according to its management structure, including ethics. The corresponding dissemination and communication plan of Deliverable 6.1 will address ethical aspects, with special attention given to those described in Part 2 - Communication and reporting procedures of the present Guide and concerning dissemination of the project results by partners.

Work Package 8 - Ethics requirements

This Work Package was included separately in the final phase of the Grant Agreement preparation process. It sets out 'ethical requirements' that the project must comply with, included as Deliverables in this Work Package and delivering the following four inputs related to ethics:

H - Requirement number 1

- (1) The procedures and criteria that will be used to identify/recruit research participants must be kept on file.
- (2) In case children are involved, details on how consent of the legal representatives (and assent, where applicable) was acquired, and which must be kept on file, according to international law (Convention on the Rights of the Child) and CES' Child Protection Policy.
- (3) The applicant must provide measures to protect vulnerable populations involved in the proposed research and minimise the risk of their stigmatisation.
- (4) Copies of opinions/approvals by ethics committees and/or competent authorities for the research with humans [municipal or regional ethics advisory board from frontrunner and follower cities] must be kept on file.

POPD - Requirement number 2

- (1) The applicant must check if a declaration on compliance and/or authorisation is required under national law for collecting and processing personal data as described in the proposal. If so, the declaration on compliance and/or authorisation, must be kept on file.
- (2) If no declaration on compliance or authorisation is required under applicable national law, a statement from the designated Data Protection Officer that all personal data collection and processing will be carried out according to EU and national legislation, must be kept on file.
- (3) In case personal data is transferred from/to a non-EU country or international organisation, confirmation that this complies with national and EU legislation, together with the necessary authorisations, must be kept on file.
- (4) Detailed information on informed consent procedures regarding the collection, storage, and protection of personal data, must be kept on file.

EPQ - Requirement number 4

Further information about possible harm to research participants caused by the research and measures that will be taken to mitigate the risks, must be submitted.

H - POPD - Requirement number 5

Templates of the informed consent/assent forms and information sheets (in language and terms intelligible to the participants) must be kept on file.

Milestone 1 - URBiNAT Theoretical and methodological foundations of the project to support each WP, agreed upon by all partners during the Kick-off Meeting, and integrating Ethics, cross-cutting topics, guidelines for governance and management. URBiNAT's Handbook on the theoretical and methodological foundations of the project (Deliverable 1.2) will be shared with and sent to all partners, via Work Package Leaders, who are responsible for disseminating the Handbook among their team members.

2.2. Dedicated provisions in the Grant Agreement

The Grant Agreement between URBiNAT's partners and the European Commission includes specific provisions related to ethics, more specifically **Article 34** - Ethics and Research Integrity and the following terms and conditions:

34.1 Obligation to comply with ethical and research integrity principles

The beneficiaries must carry out the action in compliance with:

- (a) ethical principles (including the highest standards of research integrity) and
- (b) applicable international, EU and national law.

Funding will not be granted for activities carried out outside the EU if they are prohibited in all Member States or for activities which destroy human embryos (for example, for obtaining stem cells).

The beneficiaries must ensure that the activities under the action have an exclusive focus on civil applications.

The beneficiaries must ensure that the activities under the action do not:

- (a) aim at human cloning for reproductive purposes;
- (b) intend to modify the genetic heritage of human beings which could make such changes heritable (with the exception of research relating to cancer treatment of the gonads, which may be financed), or
- (c) intend to create human embryos solely for the purpose of research or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer.

The beneficiaries must respect the highest standards of research integrity — as set out, for instance, in the European Code of Conduct for Research Integrity².

This means that beneficiaries must ensure that persons carrying out research tasks:

- present their research goals and intentions in an honest and transparent manner;
- design their research carefully and conduct it in a reliable fashion, taking its impact on society into account;
- use techniques and methodologies (including for data collection and management) that are appropriate for the field(s) concerned;

² The European Code of Conduct for Research Integrity of ALLEA (All European Academies) and ESF (European Science Foundation) of March 2011. http://ec.europa.eu/research/participants/data/ref/h2020/other/hi/h2020-ethics_code-of-conduct_en.pdf

- exercise due care for the subjects of research - be they human beings, animals, the environment or cultural objects;
- ensure objectivity, accuracy and impartiality when disseminating the results;
- allow - in addition to the open access obligations under Article 29.3 as much as possible and taking into account the legitimate interest of the beneficiaries - access to research data, in order to enable research to be reproduced;
- make the necessary references to their work and that of other researchers;
- refrain from practicing any form of plagiarism, data falsification or fabrication;
- avoid double funding, conflicts of interest and misrepresentation of credentials or other research misconduct.

34.2 Activities raising ethical issues

Activities raising ethical issues must comply with the 'ethics requirements' set out as deliverables in Annex 1.

Before the beginning of an activity raising an ethical issue, each beneficiary must have obtained:

- (a) any ethics committee opinion required under national law and
- (b) any notification or authorisation for activities raising ethical issues required under national and/ or European law needed for implementing the action tasks in question.

The documents must be kept on file and be submitted upon request by the coordinator to the Agency (see Article 52). If they are not in English, they must be submitted together with an English summary, which shows that the action tasks in question are covered and includes the conclusions of the committee or authority concerned (if available).

34.3 Activities involving human embryos or human embryonic stem cells

Activities involving research on human embryos or human embryonic stem cells may be carried out, in addition to Article 34.1, only if:

- they are set out in Annex 1 or;
- the coordinator has obtained explicit approval (in writing) from the Agency (see Article 52).

34.4 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43) and the Agreement or participation of the beneficiary may be terminated (see Article 50).

Such breaches may also lead to any of the other measures described in Chapter 6.

3. URBiNAT ethical policy on citizens engagement

Ethics Issues - Humans	
Does this research involve human participants?	Yes
Are they volunteers for social or human sciences research?	Yes
Are they vulnerable individuals or groups?	Yes
Are they children/minors?	Yes

3.1. URBiNAT's methodologies for citizens participation

The co-creation approach in URBiNAT is applied to the urban regeneration of the city's/neighbourhood's, and aims at producing urban solutions collectively imagined, planned, implemented and evaluated. Collectively means to bring together the beneficiaries of the project, the neighbourhoods' communities, with the main actors intervening at the urban regeneration process that URBiNAT will promote, namely citizens, municipal staff and politicians, local actors and researchers. The goal is to locally activate a new legitimacy to citizens engagement in the urban regeneration process, by both creating new codes of conduct for individual and collective dialogues, initiatives and decisions in and for public space, and new social, territorial and economic solutions that are the result of shared visions elaborated within different formal and informal experiences, ideas and competences.

Co-creation is also the main methodological approach adopted by URBiNAT for the participation process itself. Specific participatory solutions and methodologies will be chosen according to the participatory phase of the project (1st preparation and diagnostic; 2nd co-design; 3rd co-implementation; 4th co-monitoring and co-evaluation). These participatory solutions and methodologies will also be co-created in the terms described below.

Having in advance a catalogue of solutions to be applied for the regeneration of public space, the co-creation methodology will certainly not include a **co-initiation** process, in which the problematics and priorities are created from the beginning of the process. Public space, citizens engagement, social and solidarity economy and human rights are already set as the core intervention approaches to urban regeneration within URBiNAT' cities according to this catalogue.

Having the context already set, the co-creation methodology will certainly include a **co-design** process, in which communities and stakeholders will come up with ideas to mature, filter the current solutions and introduce new or reformulated solutions (under **T 4.1 Review of URBiNAT NBS catalogue**). The "living catalogue", continuously being adjusted to each neighbourhood's culture, features, needs and ambitions, will be transformed and monitored by new proposals and reformulations either coming from the Consortium' partners or from the living labs dynamics.

Local diagnostics will review and map the participatory culture of each city, its resources, assets and weaknesses as well as opportunities and needs. It will help to build an understanding of who is involved in community activities and how, as well as what concerns and potentialities are of key importance in each specific neighbourhood. More than giving information to design a successful community-driven process (that will be designed according to each participatory culture at **T 3.2 -**

Design of community-driven processes), workshops or digital content and communication tools, URBiNAT aims at identifying which citizens and actors are usually engaged in each particular community.

As an important objective, URBiNAT aims to identify those citizens and actors that are not easily or usually involved in participatory processes or other related community activities, in order to determine mechanisms for promoting their inclusion. This may lead to focus on particular groups with particular specificities, on gender, age, ethnic, social and/or citizenship related issues. The intention is not merely to promote a consultation process, nor education in participation, or even to raise awareness of the importance of participation, but to mobilize citizens in a process of co-creation.

On this basis, URBiNAT's methodologies have been devised for the purpose of increasing the co-design of solutions and mobilizing collective motivations and imaginaries. This will bring together individual and social dimensions of the community, in a process that empowers citizens and community's actors to behave as key in the whole process of NBS implementation. Likewise, methodologies will be adapted to face the different societal challenges such as the emergence of the digitalized society, knowledge society and the inclusive society in combination with a functional and architectural flexibility.

Co-creation will also include **co-implementation**, where communities and stakeholders will actively participate in putting into practice the necessary arrangements for the solutions implementation throughout their lifetime. This collaborative process will strengthen and legitimate the NBS implementation.

Co-monitoring and **co-evaluation** are also part of the overall co-creation process. The community will collectively discuss policy alternatives from a problem-solving-oriented perspective, making the evaluation more democratic, ensuring public accountability and transparency, and enabling valid conclusions where there may be conflicting views. It will also evaluate the project and program improvement by focusing the direction of work towards more fully shared visions and explicitly valued directions. Co-monitoring and co-evaluating the implementation process will increase civic education and the empowerment of citizens through knowledge sharing.

The participatory solutions already included in URBiNAT's NBS Catalogue are broadly aligned with this co-creation methodology, but they will certainly be reviewed according to their ability to integrate this co-creation approach in (adapted from CoSIE, 2018): 1) having citizens and community beneficiaries at the core of the co-creation process; 2) having each voice fully heard; 3) the experience of citizens is vital to the design, implementation, monitoring and evaluation of solutions; 4) actively encouraging citizens to be part of the co-creation processes; 5) tailoring solutions to meet individual needs; 6) encouraging dialogue among citizens, municipal staff, policymakers and other relevant stakeholders, but even more importantly among citizens themselves; 7) addressing discussions on solutions in ways that citizens can relate to and take ownership; 8) undertaking the public deliberation in a clear and transparent agenda where solutions are co-created by the public for the public.

3.2. URBiNAT's groups of participants

Considering the relevance of active citizenship in URBiNAT, human participation³ is transversal to all stages of URBiNAT's implementation. People have different roles and active participation in stakeholders' groups and NBS implementation processes, including management structure, meetings, workshops, local conferences and forums, interviews, questionnaires for market and participatory assessment, and questionnaires for diagnostics and project evaluation.

URBiNAT will keep on file the procedures and criteria used to identify/mobilize research participants, copies of opinions/approvals by Ethics Committees and/or competent authorities for people-based research.

Addressing the complex concentration of social problems leading to exclusion in poor neighbourhoods, URBiNAT cannot reinforce the stigmatisation of such exclusion. Inclusive and empowerment approaches must be addressed cautiously, following and addressing specific ethical requirements and risk mitigation. The key role of social sciences in URBiNAT also ensures, through the application of rigorous methodological criteria and procedures, a strong contribution to the adequate inclusion and active participation of the participants.

All participation in URBiNAT's participatory processes, interviews and/or surveys will be on a **voluntary** basis. In every activity, including Living Labs, the CoP and the Observatory, URBiNAT will apply its ethics principles (e.g. democracy, solidarity, social inclusion, subject research). All participants will receive clear information, spoken and written, about the project, their role and rights in the project, and informed consent procedures. This is aimed at ensuring fully informed understanding of the implications of participation, based on the respect for rights, autonomy and human dignity.

Considering that the project will promote urban regeneration, a multiplicity of cultural and economic aspects will be present in the specific neighbourhoods, including vulnerable individuals or groups. These groups will be identified, based on the diagnostic results, and strategies will be designed to promote the participation according to the following specificities:

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.

Ethical procedures: recognition of the ability of children as from age six to be conscious of their own

³ URBiNAT activities will not involve physical intervention on study participants.

acts and express their opinion. The principle of respect for children to enjoy the fullness of childhood, determines that URBiNAT interventions and processes will be contextualized within leisure, play and cultural activities. Moreover, this includes non-coercion of children into expressing views against their wishes and the ability to interrupt and/or stop their involvement at any time. Furthermore, the respect of children's ideas and views will be always guaranteed, as much as environments, language and working methods adapted to their capacities. For an adequate process, adults will be supported via training to facilitate children's participation, and in managing sensitive and risk-prone situations.

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 measures to achieve this goal.

Ethical procedures: integration of basic gender mainstreaming concepts while conducting activities, and adopt adequate notions of gender related to the project. Ongoing evaluation of the balance distribution of resources, opportunities and leadership between genders. Whenever possible, URBiNAT will apply gender disaggregated statistical methods to provide more detailed information on the needs, problems and expectations of the project's target groups⁴. Also, the project will adopt measures to answer any human rights violation such as assertive responses to hostility practices based on gender and gender minorities/diversity; and conscientious vigilance to avoid reproducing practices that reinforce traditional sex-role stereotypes (masculine dominance and female subservience) and contexts where participants may be subjected to harassment.

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.

Ethical procedures: ongoing evaluation to identify and provide more detailed information on the needs, problems and expectations of this group. Recognition of the life experience will provide them with opportunities to share and grow with their communities during the participatory process. URBiNAT will adopt intergenerational methodologies.

⁴ Cf. Gender Mainstreaming in Development Programmes and Projects (2011)
[http://www.wom.fi/Gender_mainstreaming_in_projects\(2011\)Haataja_Leinonen_Mustakallio.pdf](http://www.wom.fi/Gender_mainstreaming_in_projects(2011)Haataja_Leinonen_Mustakallio.pdf)

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.

Ethical procedures: ensure the representativeness of racial and ethnic minority groups in the activities of the project. In case of existence of specific national laws to protect these groups, they should be considered. To provide more detailed information on the needs, problems and expectations of these target groups, as much as possible, URBiNAT will use adequate research methods like disaggregated statistics or qualitative tools.

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.

Ethical procedures: ensure that people with disabilities are fully included in the participatory and decision making process, as well as in all the URBiNAT activities, by removing barriers to equal participation in public life: a) measures that contribute to the identification and for elimination of any discrimination based on mental health, addictions disabilities and intersecting discrimination based on age, sex, race and related grounds like gender identity, will be adopted; b) as much as possible, physical structures such as rooms, and support materials will be adapted in order to accomodate diversity and allow full inclusion in the participatory processes. URBiNAT interventions, goods and services, including the Healthy Corridors and NBS, will ensure universal accessibility, and promote the development of assistive devices.

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.

Ethical procedures: URBiNAT is respectful of the rights of migrants, refugees and asylum seekers, including their social and legal conditions. Through its participatory processes, the project aims to actively engage these citizens.

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.

3.3. Procedures for participatory processes

URBiNAT will provide a broad form of participation involving citizens, politicians, decision-makers, researchers and other stakeholders in the Living Labs and promoting meetings, workshops and other formal and informal interactions. Pro-activism, empowerment and horizontality will continuously guide the application of the ethical principles: pro-activism in the sense of mobilizing all members of the communities, caring about the integration of specific needs; empowerment in the sense of collective planning, choosing, implementing and monitoring; and horizontality in the sense of non-hierarchical relations among the participants. This section focuses on procedures to be developed in the participatory processes in order to guarantee effective compliance with the URBiNAT principles detailed above.

Face-to-face meetings: the participatory process will be developed mainly through face-to-face meetings. With this method URBiNAT wishes to promote self-confidence and the dialogue between participants by building successful group discussions, in which everyone feels free to share their views, feelings, insights, experiences and to use them on a positive way for the discussion and outline the neighbourhood's future. However, its important to have in mind that face-to-face meetings might cause situations where some participants may feel embarrassed (speaking in front of others or specific groups like politicians), or at risk. Facilitators should then consider alternatives such as written statements, secret voting, or other, to mitigate any individual or group difficulty.

Multichannel democratic innovations: the term "multichannel" refers to the combination of face-to-face meetings and online participation. The main goal is, therefore, to reach persons who are not yet involved in face-to-face meetings but able to participate via online technologies (for example, youth and others living far away but maintaining strong relationships with their hometown through the internet). In short, beyond the face-to-face group meetings, URBiNAT will also use technology as a tool to broaden inclusivity of vulnerable groups.

Decision-making processes: the participatory processes involve dialogue and decision in a collaborative and open atmosphere. Nevertheless, verbalizing an opinion or idea may sometimes be constrained by several factors, namely the presence of a public figure, a close relationship between individuals or cultural aspects. When planning a participatory process, facilitators will closely consult the participants involved to avoid any compromising situations causing embarrassment or worse. If the activity involves a voting process, facilitators will explain how anonymity is to be maintained. If before starting the activity, the facilitators are unsure or unaware of possible conflicts arising from voting activities, facilitators should enquire as to whether participants prefer, for instance, a secret voting process.

Active listening: during the participatory processes, active listening will be prioritized. Active listening refers to the action of paying attention to what is said and what is not expressed verbally (body language, non-sayings and non-spoken issues). Based on an attitude of deep understanding (Santos, 2016) of the discussions and the surrounding environment, active listening seeks to capture the richness of process where different ideas, experiences and behaviors are shared. This is based on a solidary attitude in relation to the other, listening with consciousness of our own limits and opening space to better understand and respect different experiences and knowledges. Active listening is an opportunity to promote a deep, authentic and integrative approach within the public interactions. Also, it is an opportunity to foster a process of learning together and from each other in the Living Labs.

Friendly language: spoken and written communication should always be clear and easily understood, according to groups specificities. During the participatory processes and when producing communication materials, researchers, scientists and other technical stakeholders should avoid the use of overly technical language and ensure that participants (including children) can understand easily “complex” aspects of the project with the use of friendly language.

Facilitation: the participatory process will be supported by facilitators who respect URBiNAT’s ethical concerns and principles, described above. Their main role is to lead the participants to a collaborative decision-making process, using proper methodologies for conducting the group to a collectively achieved result. Facilitators are responsible for ensuring that all participants are: (i) informed about the aim and scope of the project activity (including what is the co-creation process before activities start), (ii) able to agree on their participation and ask the facilitators any clarification needed during the activity, and (iii) should avoid any manifestation of personal opinion, solutions or feelings. Facilitation for inclusion integrates the following guidelines (adapted from CAWI, 2012): (i) acknowledging the aim and scope of the project activity (including what is the co-creation process before activities start), (ii) acknowledging the diversity within the group, who are the participants and who are the missing groups/participants, (iii) adjusting power dynamics within discussions and sessions to ensure everyone gets to participate (also by alternating circle discussions, rounds, small-groups, changing who reports back; reminders), (iv) knowing about the culture of the community and the individuals who will be attending and considering how both facilitators and participants can bring their cultural experiences into session processes and discussions, (v) considering to adapt exercises for people with disabilities (example: doing energizers from a sitting position; reading aloud from flipcharts and printed documents; describing what is presented visually

in detail); (vi) consulting people to help review the agenda and materials in advance to see how they can be made more accessible and culturally relevant, including people who are attending the session or others who have a good “equality lens”; (vii) reviewing materials and agenda considering barriers for any participants to fully engage in ways that are meaningful to them, and doing the necessary adjustments; (viii) exercises adapted to the group and individuals who are participating; generating ideas ahead for adaptation if needed.

Support to the participants: URBiNAT will ensure that appropriate transportation is provided to the participants, whenever necessary. Also, family care (child, senior or family member with a disability); adequate timing and location of meeting/session preventing systematic exclusion of certain individuals or groups; room set-up allowing everyone to hear and see each other; appropriate and healthy refreshments and food; translation if needed; (adapted from CAWI, 2012).

Formats for materials: communication materials should be easily understood by everyone participating in the process. Materials produced for distribution should be coherent, written in friendly language and making use of images, or pictures, whenever justified.

Infographics and videos: to make communication easier and clear, the URBiNAT ethical principles, rules for participation and roles of facilitators (and other persons involved) should be translated into infographics and/or short videos to be transmitted and distributed since early stages of each and every participatory process. These formats will simplify the information, facilitating the communication among diverse groups of participants.

3.4. Procedures and criteria for identifying and mobilising participants

In the URBiNAT framework, participatory processes are seen as an opportunity to appreciate the community’s capacities and potential, and to stimulate citizens to transform their lives, through a process driven by local needs and expectations. Community mobilisation is one of the best ways to demonstrate respect for the community’s capacities and identity, its priorities and needs, and the enhancement of its resources and existing solutions.

URBiNAT’s procedures and criteria for identifying and mobilizing participants (individually or collectively) are based on the following strategies that attempt to encourage a broader inclusion of citizens.

1. Based on results from cultural mapping and examination of the local context, URBiNAT together with the municipalities, will identify potential, formal and/or informal community leaders and other relevant actors, as well as appropriate community spaces to promote citizens engagement. With this strategy of involving community leaders, the natural interlocutors among citizens and between citizens and municipality actors, will provide opportunities to delve deeper into community’s needs and expectations.
2. Identified leaders, relevant actors and local associations will work together with research partners and municipalities in several ways, including providing support to develop locally rooted methods for reaching community members and engaging target groups and members of broader community. When possible, URBiNAT will engage or build on previous experience

of existing groups working within participatory processes in similar contexts to the URBiNAT project. By ensuring the most effective and wide participation, URBiNAT seeks to access unique situations in each community, including its particular issues, practices and culture. Specific institutions like schools, churches, associations, NGOs, community centres, cultural sites, local theatres, pubs, entertainment halls, sports facilities, among others, will serve as hubs for mobilising individual and collective participation. The advantages derived from engaging participants around such places are related to pre-established connections within a particular group, and that these institutions commonly play an important role in the community. Project partners should also be mindful that these places may play a role in building barriers and perpetuating exclusion (a “we” versus “them” mentality), which must be considered, and addressed.

3. Beyond the mobilization of community leaders, relevant actors and local associations, the project will disseminate information throughout the cities to promote awareness, build interest and stimulate engagement among other citizens. Communication will be opened up through different channels. The project will use visual information, including banners, folders or invitations in public spaces (e.g., popular festivities, markets, health centres, schools, written press or radio, and others), and digital platforms and tools will also be considered. Project partners may even send invitation letters through regular post, or conduct door-to-door actions and speak directly to residents to encourage participation.

3.5. Informed consent

The informed consent form must be given to all participants when activities such as workshops, events, networking sessions or any such kind of research activity is to be implemented within the scope of URBiNAT. All partners will ensure that participants are adequately informed beforehand of the activities, objectives, and ways in which their expressed views will be treated, communicated and/or disseminated. Further details on the informed consent process will be explored in section 4 (subsection 4.3.3).

3.6. Incidental findings policy

Incidental findings can occur at any stage of the project and can generate situations that potentially put participants and/or researchers at risk. Some possible situations can be already identified: to witness or be informed of situations of any kind of violence or discrimination; to be aware of a situation that will constrain the safe participation of individuals in the project; and situations that potentiate conflict of interests. Any situation of this kind, giving rise to unacceptable risk or unethical implications, must be immediately reported to the local coordination team that will adopt proper measures according to the level of urgency of the situation, respecting the local procedures of civil protection. Also, immediately the URBiNAT principles will be reminded to the participants, including active inclusion and non-discrimination. Moreover, the incidents will be mandatorily reported and discussed in the URBiNAT’s Ethics Commission and if necessary, additional actions will be taken.

Within a preventive approach, special steps will be taken before any activity to build awareness among all on possible incidental findings. Any development or action that might endanger the safety

and wellbeing of citizens, stakeholders and researchers, or harm the community interests, will be avoided or mitigated.

EU legislation, International Conventions and Declarations

[Universal Declaration on Bioethics and Human Rights](#)

[Charter of Fundamental Rights of the European Union](#)

[2030 Agenda for Sustainable Development](#)

[European Convention on Human Rights](#)

[Convention on the Rights of Persons with Disabilities \(UNCRPD\)](#)

[European Disability Strategy for 2010-2020](#)

[Convention on the Rights of the Child](#)

[International Child Protection Policy of UNICEF](#)

[CES's Child Protection Policy](#)

4. Guidelines for the research process

4.1. Research principles

Integrity is key in URBiNAT's research principles. Researchers must comply with recognized norms and behave responsibly, openly and honestly towards their colleagues and the public. Project activities will follow the four principles of research integrity present in the European Code of Conduct for Research Integrity (annex 2):

- 1) **Reliability** in ensuring the quality of research, reflected in the design, methodology, analysis and use of resources;
- 2) **Honesty** in developing, undertaking, reviewing, reporting and communicating research in a transparent, fair, full and unbiased way;
- 3) **Respect** for colleagues, research participants, society, ecosystems, cultural heritage and the environment;
- 4) **Accountability** for the research from idea to publication, management and organisation, training, supervision and mentoring, and wider impacts.

Good research practices described in the Code 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.

Moreover, 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.

4.2. URBiNAT's research process

URBiNAT will develop the co-creation of Healthy Corridors as an innovative and flexible NBS, which itself integrates a large number of micro NBS emerging from community-driven design processes, in order to boost environmental, economic and social sustainability and cohesion and its main goal is the complete physical, mental and social well-being of the citizens living in the neighbourhoods involved in the regeneration processes.

URBiNAT research process is based on the iterative and interlinked activities of WP2 (Living Labs in frontrunner and follower cities); WP3 (Citizen engagement in support of NBS) and WP4 (Healthy Corridors and URBiNAT's NBS catalogues). These work packages will be supported by WP5 (Observatory for urban inclusive and innovative nature - OURBiNAT); WP6 (Dissemination and communication), and WP7 (Market assessment and business case development for NBS).

In particular, the Living Labs (collaborative laboratories, the main locus of URBiNAT's activities – WP2), will organize the local ecosystem of stakeholders. In these co-creation spaces, local conditions and needs are observed, analysed, and networking, coaching and sharing are stimulated. Participants are asked to express their needs and expectations, characterize their living conditions through a set of

social, economic and cultural indicators that will allow for local diagnostics, for establishing of a Community of Practices (CoP) and for the development of the urban plans for the seven cities.

WP3 is embedded in the Living Labs and provides a participatory platform enabling co-creation with relevant stakeholders, researchers and citizens. In each city, the participatory culture will be assessed and community-driven participatory processes will be developed through consultation with relevant stakeholders and communities on the most suitable and accessible participatory solutions to co-design and co-implement NBS, including formal/ informal/ digital methodologies and tools. To guarantee vital information, and facilitate participant's engagement in democratic/participatory processes, various digital and non-digital tools across a variety of places will be used as channels for participation and to collect data.

WP4 focuses on research and development of NBS, piloting and implementing selected solutions and ensuring their dissemination and commercialization. Participants in this WP will review the current NBS catalogue, co-designing solutions relevant to each city, and manufacture and test prototypes. Participants will be asked to review the "Living" catalogue of technological, territorial, participatory and Social and Solidarity Economy (SSE) solutions in three instances: 1) during the HC co-creation; 2) after the testing of prototypes; and 3) after the implementation of the NBS in the frontrunner cities. Their participation is ensured through the application of participatory NBS. Living Labs will promote workshops in the neighbourhoods to support the co-design processes of each HC and NBS plan. Data will be collected during these processes.

The supportive work of the Observatory (WP5) implies the analysis and evaluation of the collected data (primary or secondary source). Tasks include managing, processing and monitoring data, undertaking simulations and analysis enabling research on health, social and economical impacts, and assessing the role of different governance systems on NBS implementation. Additionally, the Observatory will explore the replication potential of the implemented NBS through an action-research and systematization that will contribute to the establishment of an EU-wide reference framework. Participants will be asked to provide relevant additional data to develop the Observatories' activities, including a set of indicators containing sensitive personal data.

WP6 ensures the efficient and participative dissemination of project results via proactive and targeted tools, activities and strategies. Materials and tools developed during Task 6.2 will include but is not limited to the project website, newsletters, storytelling animations, training, templates for technical reports, fact sheets, presentations, video clips. Several tools will facilitate two-way communication as we will have the opportunity to ask participants and targets groups to be proactive and share their feedback, observations and remarks via comments and messages. One of the key tools that have been selected to fulfill this role is the NBS wikipedia page, which will be created and enriched throughout the project. This wiki will be home of active contributions and involvement of the dissemination targets. This is the same for the social networks accounts which by essence allow two-way communication and exchanges even if via social networks the exchanges are more informal.

The market assessment and business case development for NBS (WP7) focuses on seeking opportunities to maximize the value creation of the project. Its tasks include, among other activities, the selection of best practices and the conduction of interviews with local stakeholders. Recognizing their role as future users, participants will be asked to determine the market potential of each NBS in order to ensure the market potential of the solution. A market survey will be conducted inviting local communities to fill in a online survey to identify the most marketable NBS. This online survey will be

made available for broader audiences in order to obtain input that extends beyond each URBiNAT community making sure the market data is as broad and representative as possible. Local workshops will be developed in front-runner cities based on community dialogues method (WP3 – citizen engagement) to identify in focus group *in situ* the most marketable solutions, to identify the local community needs and how the citizens could engage. The interviews involve local stakeholders (public, private or civic: start-ups, citizens, city administration, corporate clients, technical experts, URBiNAT experts, researchers and others) aim to identify key enabling features, both as physical individuals and certain ways of operating. Participants will be invited to in-depth one-to-one interviews, where the objective is to understand at a more granular level the costs, benefits, roles and responsibilities and to reveal the costs, benefits and key enabling features of each NBS project delivery, that might be different for each NBS depending on the local context of each city.

4.3. Personal data

Does this research involve personal data collection and/or processing?	Yes
Does it involve the collection and/or processing of sensitive personal data?	Yes
Does it involve tracking or observation of participants?	Yes
Does this research involve further processing of previously collected personal data (secondary use)?	Yes

The consortium places paramount importance on the need to protect citizens’ data and privacy⁵. Therefore, 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.

⁵ The URBiNAT project’s ethical management strategy will aim at ensuring URBiNAT’s adherence to EU and national ethical requirements on privacy and data protection.

According to Article 4 of the GDPR (2016), “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 a physical, physiological, genetic, mental, economic, cultural or social identity of that natural person.

URBiNAT will collect and process personal data by means of interviews, questionnaires, ICT digital platform and observation (not tracking). The project will also involve further processing of personal data previously collected (secondary use). Additionally, URBiNAT will involve the collection and processing of sensitive personal data, namely health information, well-being, ethnicity, socio-economic status, political opinion, religious or philosophical convictions, social connections, satisfaction with life and happiness.

4.3.1. Collection, protection and conservation of personal data

In the following subsections and later deliverables, such as D1.3 - Data management plan and D1.4 - Report with the composition of the ethics commission, submission of additional requirements/approvals, and ethical principles guidelines and deliverables from WP8 - Ethics requirements, URBiNAT will provide detail procedures for data collection, storage, protection, retention, transfer, destruction or re-use, including collection methodology, methods for storage and exchange, data structure and preservation, data merging or exchange plan, as well as the possibility of commercial exploitation of data sets.

Data will be collected in several moments of the project with previous **fully informed consent** from each participant, namely in the following activities:

Living Labs in the local diagnostics	Task 2.1
Participatory culture assessment	Task 3.1
Consultations for the design of community-driven processes	Task 3.2
Participatory training workshops	Task 3.5
Co-design of territorial and technological NBS	Task 4.2
Manufacturing of technological NBS prototypes for testing and demonstration	Task 4.3
Collaborative design of the Healthy Corridor and co-planning of territorial and technological NBS	Task 4.4
Production of the urban plan specification	Task 4.5
Co-implementation of the Healthy Corridor in front-runner cities	Task 4.6
Healthy Corridor market potential for Social and Solidarity Economy analysis	Task 4.7
Data management	Task 5.1
Monitoring and evaluation phase	Task 5.2

Health effects and impact on well-being of NBS	Task 5.3
Economic and social impact of NBS	Task 5.4
Action research	Task 5.6
Creation of the dissemination plan and creation of the contacts database of dissemination target	Task 6.1
Communication activities and set-up of the dissemination tools	Task 6.2
Feedback following URBiNAT articles and publications in scientific, technical, environmental and others journals	Task 6.3
Following the participation in events and conferences	Task 6.4
Selection of best practice NBS projects within the 3 front-runner cities	Task 7.1
Interviews with local stakeholders	Task 7.2
Write up of business cases for the most marketable and bankable NBS	Task 7.3
Selection of business cases for replication and scaling	Task 7.4

4.3.1.1 Procedures for data collection

In the different activities, participants will be required to provide the following data: 1) name; 2) age; 3) gender; 4) education level; 5) family characteristics; 6) political participation; 7) spatial behaviors and mobility; and 8) needs and expectations. Additionally, sensitive data, described above, will also be collected.

In order to ensure respect for human dignity, fair distribution of research benefits and burden, while protecting the values, rights and interests of the voluntary research participants, all personal data collected will be: 1) fairly and lawfully processed; 2) processed for limited purposes; 3) adequate, relevant and not excessive; 4) accurate; 5) not kept longer than necessary; 6) processed in accordance with the data subject's rights; 7) secure; 8) not transferred to countries without adequate protection.

The research team will make sure measures are taken to provide a safe space for participants to openly express and discuss their ideas. The research process is intended to create a space for constructive discussion and for enhancing the dialogue between individuals with different experiences.

4.3.1.2 Procedures for data protection⁶

Concerning the protection of personal data, URBiNAT will keep on file the declarations on compliance and authorisations for collecting and processing personal data. Detailed information on the informed consent procedures in regard to the collection, storage, and protection of personal data will also be kept on file, as well as templates of the informed consent/assent forms and information sheets (in

⁶ The guiding principle for data protection is in strict compliance to the EU General Data Protection Regulation.

language and terms intelligible to the participants), responding to the “ethics requirements” (WP8).

In the case of personal data exchange between the EU-based partners and the non-EU based partners and countries where NBS are to be replicated (Iran, China, Oman, Brazil, Japan), the confirmation that this complies with national and EU legislation, together with the necessary authorisations will be kept on file.

In order to ensure a maximum protection, some partners will only have access to partial data related to the activities/tasks they are in charge and anonymised data will be ensured whenever possible.

For the interviews:

Following common European standards, data collected during the interviews will be audio recorded, transcribed and anonymised eliminating names, other identity markers and references that might identify the interviewee, except specific cases duly justified (if a participant wishes to reveal its identity, the case will be duly examined and the best option for each case will be decided together by the researchers and participant). Also, in some cases the attribution of pseudonyms may be required. In the case of video recorded interviews, URBiNAT will keep on file the authorisations for the use of image, and will guarantee the anonymity of intervenients if any sensitive data is provided.

The audio recordings and transcriptions of interviews will be kept separately from the coding key that corresponds the participant’s real names to their pseudonyms. This information will be kept private and accessible only to the PI and relevant team members.

The transcription of interviews will follow the URBiNAT ethical procedures ensuring the protection of anonymity and confidentiality of data. In the case of external transcription service providers, a confidentiality agreement will be signed and kept on file. Moreover, the audio files will be password-protected and only the team and the person transcribing may have access to the files.

Interviews will only be held when URBiNAT team have secured fully written informed consent from each participant. In case of interviews by questionnaires, URBiNAT will provide the adequate information. This type of the interviews will be anonymous and confidential, conducted face-to-face or online.

For the ICT digital platform:

URBiNAT ICT digital platform and website will be designed complying with the EU General Data Protection Regulation.

The ICT digital platform Privacy Policy concerns the collection of personal data (e.g. emails, names and usernames, IP addresses and other) through the project’s website and is, currently, under development. Such policy will address topics such as:

- Identification of owner and data controller;
- Types of data collected;
- Mode and place of processing the data;
- The purposes of processing;
- Sharing of personal data with third parties;
- Data security;

- Open access;
- The rights of users, including opt-out;
- Details about the right to object processing;
- Legal framework of the policy.

Intellectual Property policy related to content and data produced by the users or generated by the platform will be presented in D1.3 (Data management plan).

For the observation:

URBiNAT will use methods of direct and indirect observation, participant and non participant, including field diaries, observation grids, photographic records and/or video recording of sessions. Authorizations for observation will be appropriately documented and stored.

4.3.1.3 Procedures for data conservation

All collected data, including sensitive information (from interviews, ICT digital platform and observation), will be stored in wiki, cloud and external drivers to be secured by passwords and kept by CES. Data will be stored for a period of 5 years after the end of the project, to safeguard the possibility of external audits and the use of URBiNAT's data in future publications or as a basis for future research. Since collected data will be kept anonymous, the coding key linking participants to pseudonyms will be destroyed 5 years after the project is concluded.

Participants have the right to:

- access, rectify or correct and complete personal data, including by means of providing a supplementary statement.
- erasure ("right to be forgotten") from URBiNAT datasets, if they wish. Conditions for erasure of personal data without undue delay are outlined in article 17 of the GDPR.
- restriction of processing. Data will continue to be stored in URBiNAT's servers, but processing will happen only when: there is subject consent to do so; if is necessary for acting or defending the project in a legal claim; if the protection of the rights and interests of another human being or legal person is at stake; for demonstrated reasons of unavoidable public interest.
- data portability, meaning that data subject has the right to receive his or her personal data, any time, in a structured, commonly used and machine-readable format for purposes of data transfer.
- object, on grounds relating to his or her particular situation, at any time to processing of personal data concerning him or her, including profiling based on those provisions.

In case a data breach is likely to result in a risk for the rights covered by URBiNAT's policy, participants will be notified in a proper timing.

4.3.1.4 Procedures for processing previously collected personal data (secondary use)

URBiNAT will use official national data sets such as CENSOS (socio-demographic data) and other periodic surveys. European data sets will also be used such as Eurostat and Eurobarometer. At the cities level, the project will resort to local studies normally developed by the municipalities to characterize the social, economical and cultural context. Softwares, methods and techniques applied

in the Social Sciences will be used for data processing.

The project will produce scientific contents based on quantitative and qualitative indicators anchored on these data sets and will use specific softwares for data analysis (e.g. SPSS and MaxQDA). Safety data procedures will be assured by compliance with prescriptions detailed above.

Consent for secondary use of these materials (primary and secondary data) will be obtained through formal authorisations. Permissions by the owner/manager of the data sets will be kept on file as well as other consent documents.

Data will be available for public access through the website and the Observatory platform, following article 29 of URBiNAT's Grant Agreement.

4.3.2. Research protocol

The research protocol, which includes the description of procedures for data collection, protection and conservation, will be validated by the competent authorities of each responsible partner, according to their legal institutional practice (e.g. approval of Ethics Commission or Data Protection Officer in case of public institutions).

4.3.3. Informed consent

Individual participation in the project research activities will happen solely with previous fully written informed consent of each participant. Informed consent consists of following three elements:

- ❑ **Capacity or competence:** the participant has enough competence and capacity to understand the activity and give consent.
- ❑ **Adequate information:** prior to giving consent to participate in research activities, participants will be clearly informed of the research activities, goals and its consequences provided in the project's "information sheet".
- ❑ **Voluntariness:** once the participant has been properly informed, she/he should express voluntary agreement to participate and will be aware of the rights, according to GDPR, such as to refuse or withdraw from the research, at any time, and without consequences.

The first sheet or "information sheet" aims to appropriately inform participants as to the processes underlying the collection of data during the project. This sheet, collected by the research partners (and/or made available to participants through digital means, in the case of field work) sums up information that project participants should be aware of in order to provide fully informed consent for data collection and use.

The information sheet's content should respect the following principles:

- ❑ Information should take into account local and organizational cultural diversity. In so doing, the language must be comprehensible, adequate and suitable for each target group to give informed consent on participation;
- ❑ Participation must be voluntary and invited on terms fully comprehensible from the participant's perspective. Where research activities involve minors and adults unable to give informed consent, information will be given to their parents/authorised adult/legal representative in language (as described directly above) enabling consent via the

- minor/adults' responsible party;
- Any publishing of individual content, or pictures, on the project's social media sites (facebook, twitter, or other channels), and/or external use during and beyond the end of the project, requires consent from the person involved;
- It must describe the aims, methods and implications of the research, the nature of the participation and any benefits, risks or discomfort that might be involved;
- It must explicitly state that participation is voluntary and that anyone has the right to refuse to participate and to withdraw their participation, samples or data at any time (without any consequences);
- It must be coherent with the ethical requirements, focusing on judicial and moral aspects while for instance, showing ethical concerns relevant to their particular contexts.

4.3.4. Data transfer to third countries

In case non-EU countries are involved, do the research related activities undertaken in these countries raise potential ethics issues?	Yes
Is it planned to import any material – including personal data – from non-EU countries into the EU?	Yes
Is it planned to export any material – including personal data – from the EU to non-EU countries?	Yes

URBiNAT research involves partners in Iran (ICC) and China (NSCJL) and observers in Brazil, Oman and Japan, where potential ethics issues can arise. In that case URBiNAT Ethics Commission will evaluate each case and act accordingly.

Since the horizontal partner (Iran) and observers (China, Oman, Brazil, Japan) are part of a Community of Practices aimed at sharing knowledge and experience, personal data may be exchanged between the EU-based partners and the non-EU based partners, who will replicate the NBS developed by URBiNAT. The adequate level of protection will be assured in accordance with GDPR.

No research activity will be conducted outside the EU. All research activity of URBiNAT will be conducted under the EU legal framework. Ethical issues will be managed within the EU framework.

4.4. Publications and dissemination

Participants will be informed of the project's main results, using accessible communication tools. They will be presented for discussion in specific activities organised at different stages of the research (e.g. Living Labs).

The team will monitor the way in which the media disseminate results of the project, to guarantee that the produced knowledges are not reported in a biased or ill-interpreted ways.

All the materials and tools developed in the scope of WP6, and described in part 2 of this report, will be under the responsibility of the URBiNAT coordination team.

For publications and dissemination, 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 contributors regardless of race, nationality, culture, or gender, (3) adopt a honest attitude regarding peers and society, (4) 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 results⁷.

In the part 2 of this document, a draft version of a Code of Ethics will be presented in order to assure commitment by partners to high ethical standards in the communication and dissemination of the project's activities and results.

In order to provide clear guidance to researchers, URBiNAT will present in D1.3 (Data Management Plan), some recommendations regarding authorship, based on criteria previously approved by the Steering Committee.

EU legislation, international conventions and declarations

[Charter of Fundamental Rights of the European Union \(2012/C 326/02\)](#)

[Directive 95/46/EC](#)

[Directive 2002/58/EC](#)

[Directive 2006/24/EC](#)

[European Code of Conduct for Research Integrity](#)

[General Data Protection Regulation \(EU\) 2016/679 \(GDPR\)](#)

⁷ Adapted from CODEX - Rules & guidelines for research. Available on <http://www.codex.vr.se/en/etik2.shtml>

5. URBiNAT ´s Ethics commission - Preliminary issues

5.1. URBiNAT’s Ethics Commission composition

URBiNAT’s organisational structure comprises an **Ethics Commission** composed of external experts from the countries of the cities involved in the project. This advisory body supports the coordination activities of the Steering Committee, focusing compliance of ethical principles (gender equity, best interest of the collective, intellectual freedom, human dignity, transparency), and intermediation and resolution of conflicts. Citizens’ representatives are also member of the General Assembly to guarantee the effective control/monitoring and ethics issues protection (Citizens Committee).

URBiNAT will deliver a report with the composition of the Ethics Commission at month 6 of the project. However, the members of URBiNAT’s Ethics Commission will be mobilized from the beginning of the project, in order to ensure its composition during the first half of the project.

5.2. Criteria for member selection

The Ethics Commission will be composed of external individuals. These experts might be selected from the URBiNAT’s Advisory Board, considering their experience in research projects related to URBiNAT principles and also experts or stakeholders from the countries of the cities involved in the project, namely with close relations with the case studies.

The selection will also apply the ethical principles of these guidelines, namely the cross-cutting ones (section 1.1), giving special attention to diversity balance (e.g. ethnicity, race, gender).

5.3. Functioning

The Ethics Commission will meet once a year, each meeting consisting of a one-day discussion. 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.

The Ethics Commission shall assist and facilitate the work of the Steering Committee who consults this body and receives its recommendations. It will support the Steering Committee in analysing and reporting on ethics issues raised by any partner of the project. It shall also assist and facilitate the decisions made by the General Assembly through recommendations.

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 have not any voting rights.

6. Other ethical issues

6.1. 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.

The development and implementation of the Healthy Corridors both in frontrunner and follower cities will take in consideration the national, regional and municipal regulations and guidelines. These range from the local and municipal master plan, construction and safety guidelines, to the national environmental and nature conservation policies. URBiNAT will also act according to the relevant legislation on nature conservation and pollution control, including: EU Habitats Directive 92/43/EEC, EU Wild Birds Directive 79/409/EEC, EU Regulation (EC) No 338/97 on the protection of wild fauna, EU GMO Directive 2009/41/EC; and the Cartagena Protocol on Biosafety.

6.1.1. Risk-benefit analysis

Each city and local partners will assess, map and conduct fieldwork to evaluate the possible environmental sensible zones in the study area. Among others, this will include environmental risk assessment, for example through the identification of polluting industries. It will also include the identification and mapping of sensible habitats, for example watercourses and its margins, as well urban habitats with special interest for biodiversity. Risk-benefit analysis will allow both the implementation of mitigation measures for the identified externalities, as well as the development of strategies to protect and promote sensible habitats and its biodiversity.

6.2. 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 processes⁸.

6.3. Protection of material and immaterial heritage

URBiNAT project will implement solutions that respect, protect and add value to the material and immaterial heritage, according to the international conventions, as the 2018 Declaration of Davos that establishes a contemporary concept of heritage, Baukultur, that underlines a more integrated, inclusive and socially responsible approach. The topic 7 says: “We urgently need a new, adaptive approach to shaping our built environment; one that is rooted in culture, actively builds social cohesion, ensures environmental sustainability, and contributes to the health and well-being of all. This is high-quality Baukultur” (Declaration of Davos, 2018, p.3). On the same line, URBiNAT will also take in consideration the immaterial heritage that is part of the communities identity and legacy, in order integrate it in the participatory culture and in the social and solidarity activities. URBiNAT will use as reference the UNESCO 2003 Convention for the Safeguarding of the Intangible Cultural Heritage.

6.4. Dual use

Dual use is a term often used in politics and diplomacy to refer to technology which can be used for both peaceful and military aims. In the context of research, dual use is to be understood as potential misuse of research. This means that the research activities involve or generate materials, methods or knowledge that could be misused⁹ (European Union, FP7, 2013).

URBiNAT project will not perform research that has the potential also for military applications. URBiNAT will also act according to the relevant legislation on nature conservation and pollution control, including: EU Habitats Directive 92/43/EEC, EU Wild Birds Directive 79/409/EEC, EU Regulation (EC) No 338/97 on the protection of wild fauna, EU GMO Directive 2009/41/EC; and the Cartagena Protocol on Biosafety.

6.5. Animals, human cell/tissues and human embryos and fetuses

URBiNAT project will not perform research involving animals, human cell/tissues and human embryos and fetuses.

⁸ 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

⁹ Cf. http://ec.europa.eu/research/participants/data/ref/fp7/89888/ethics-for-researchers_en.pdf (Ethics for Researchers - FP7, 2013)

6.6 Misuse

URBINAT project will not perform research that could potentially be misused.

6.7 Security

URBiNAT will not involve activities or results raising security issues.
URBiNAT will not have EU-classified information as background or results.

EU legislation, international conventions and declarations
EU Habitats Directive 92/43/EEC
EU Wild Birds Directive 79/409/EEC
EU Regulation (EC) No 338/97 on the protection of wild fauna
EU GMO Directive 2009/41/EC
Cartagena Protocol on Biosafety

Part 2. Communication and reporting procedures

1. Communication

1.1. Internal communication

1.1.1. Partnership fundamentals

URBiNAT project is based on collaborative principles that will also work at the communication level promoting participatory and cooperative processes, where inter and intradisciplinary knowledges and expertises will come together taking advantage of the networking and coworking potentialities that engage all different actors, civil society organizations and inhabitants included.

Diversity and differences will be pointed out as positive features and factors to work on intercultural dialogues that will enrich the project, its products and outcomes themselves instead of being viewed as problems to solve.

Throughout the project, a true commitment to the progress and deadlines of activities will be pursued, without setting aside the enthusiasm and energy for the involvement in partnerships and focus on citizens' empowerment.

All partners in the URBiNAT project will work in compliance with the General Data Protection Regulation, as mentioned before. Even observers and partners involved in non-EU countries (Brazil, Iran, Oman, China and Japan), will explicitly assume their agreement¹⁰ to the data protection safeguards required by EU regulation, as contemplated in the Data Management Plan, the Grant Agreement and the Consortium Agreement.

1.1.2. Communication among partners

The project management office will maintain communication flow within the consortium and thus, ensure that all partners receive timely and reliable information, and facilitate collaborative work.

First, the project management team must store and make the **guide/manual** on communication and reporting procedures accessible to partners and its newest versions. They also have to keep an updated contact list of all partners.

Secondly, regarding **internal communication tools**, ITEMS' communication team has conducted a survey to consult partners in order to choose the best tools for project management and communication of URBiNAT's actions. This survey was also aimed at gathering best practices that partners might have observed from previous experiences. It enabled ITEMS and CES to get further information about the tools to be used in terms of internal communication, including groups management and remote conference tools, and considering those more and less practical and user friendly. The analysis of the survey results, other feedbacks from the steering committee members, as

¹⁰ IT Governance (2016), EU General Data Protection Regulation A Compliance Guide.
https://www.itgovernance.co.uk/download/Green%20Paper_EU%20GDPR%20Compliance%20Guide.pdf

well as, exchange of information with partners during the URBiNAT kick-off meeting have shown that the following options are the most suitable:

- **Basecamp:** core channel of communication and exchange for the follow-up and organization of day-to-day work, which allows to organize, and follow the activities and deliverables that each partner has to deliver/do. Basecamp allows to avoid the excess of emails, with notifications settings fully customizable. Basecamp allows also to ensure a memory of all documents and versions that have been created. URBiNAT 's management team will **maintain and inform partners** about updated workflow, standard quality procedures, work plan of work packages through the use of Basecamp.
- **Zoom:** video and audio conferencing for meetings with remote connection of partners. Zoom allows the connection of many partners even those who are located in restricted areas such as Middle East countries, China and so. Zoom also allows to chat with the entire group or gather people from smaller groups in a chat room, sharing documents as well as sharing desktop screens during the meeting. URBiNAT has an account and meeting room accessible in the following link: <https://zoom.us/j/2676445174>
- For “official” online meetings, **Zoom** will be used. For “side” meetings, any tool can be used after partners choice: **Zoom** (account owned by CES), **Skype** (free, account necessary), **Gotomeeting** (not free), **Webex** (not free), **appear.in** (free and not necessary to create an account).
- **Instant messaging apps** enable rapid and efficient communication between two people, but are not the most appropriate for the communication between large groups of partners. The use of two apps were more specifically mentioned by partners:
 - *WhatsApp*: most commonly used app, but with restrictions in some countries and raising doubts among partners on the use and management of data by company owners;
 - *Signal*: same essential features as WhatsApp, with strong encryption, non-profit purpose, dedicated to a non-monetised social media landscape, attending ethical and data management concerns.
- **list of possible other tools** to be regularly updated in order to overcome limitations of use according to specific access restrictions of partners, and that:
 - should satisfy open source requirements and security standards;
 - could be used in countries without access or permit of using the above mentioned tools. Ex.: WeChat instant messaging used in ChinaA preliminary list of alternative tools is available under section 1.3.

Thirdly, the management team will support **the organisation of meetings of the management structure** (general assembly, steering committee and corresponding task forces, CoP annual conference, cluster of 2017 successful applicants, multi stakeholders advisory board, scientific commission and ethics commission), including sending the agenda, invitations and minutes to meetings participants. **Zoom** will be used for the connection of remote participants, or the organisation of the meeting itself when not face-to-face.

Fourthly, the partners will communicate in English, according to the practice established by the consortium. Nevertheless, the communication of the partners with the citizens and all the

stakeholders involved in the activities of the project will be adapted to each specific context (Portuguese, French, Bulgarian, Danish, Flemish, Italian and Slovenian), in collaboration with the cities and local partners.

1.1.3. Meetings of the Consortium Bodies

A. Representation

The partners:

- should be represented by the partner coordinator at any meeting of the corresponding Consortium body where its participation is expected;
- may appoint a substitute or a proxy to attend and vote at any meeting with decision-making power;
- shall participate in a cooperative manner in the meetings.

B. Preparation and organisation

Depending on the kind of meetings, different tools will be used:

- **Face-to-face meetings:** when preparing a face-to-face meeting, please consider the travel budget for the whole project period, and adapt the number of team members who would attend accordingly, preferably 1 person;
- **Zoom meetings:** read the agenda beforehand, remain in a silent room during the meeting, keep the micro off, when not speaking. URBiNAT has an account and meeting room accessible in the following link: <https://zoom.us/j/2676445174>
- **Other alternative communication tools:** when experiencing remote connection problems and restrictions. A compilation of tools, including a preliminary list of alternative tools is available under section 1.3.

A **template** for agenda and minutes is available [here](#). Meeting agendas, minutes and notes will be shared with partners through the Basecamp platform.

Organisation, preparation and coordination of meetings will depend on the team in chair as pointed out in the Consortium Agreement. According to its management structure, URBiNAT’s consortium bodies will meet as follows:

Project meeting	Frequency (tentative)	Chair	Agenda and minutes sending	Agenda items additions	Decision procedure ¹¹
General Assembly (GA) - ordinary meetings	Bi-annual	Coordinator	- 20 calendar days for ordinary meetings	- 10 calendar days for ordinary meetings	Consensus: . presence of at least 2/3 of representatives is required. . qualified majority (two thirds or three fifths of votes).
GA - extraordinary meetings	When deemed necessary, at any time upon written request of	Coordinator	- 8 calendar days for extraordinary meetings	- 4 calendar days for extraordinary meetings	Consensus: . presence of at least 2/3 of representatives is required. . qualified majority (two thirds or three fifths of votes).

¹¹ 6.3.1.2 Decisions on Consortium Agreement and 6.2.3 Voting Rules and Quorum

	the SC or 1/3 of the members of the GA				
Steering Committee (SC) - ordinary meetings	Every 2 weeks	Coordinator	- 8 calendar days for ordinary meetings	- 2 calendar days for ordinary meetings	Consensus: . presence of at least 2/3 of representatives is required. . qualified majority (two thirds or three fifths of votes).
SC - extraordinary meetings	When deemed necessary, at any time upon written request of any member of the SC	Coordinator	- 2 calendar days for extraordinary meetings	- 1 calendar day for extraordinary meetings	Consensus: . presence of at least 2/3 of representatives is required. . qualified majority (two thirds or three fifths of votes).
External advisers	Annual meeting	SC	20 calendar days	10 calendar days	Consensus: . presence of at least 2/3 of representatives is required. . qualified majority (two thirds or three fifths of votes).
Community of Practice - CoP	Annual conference	SC	40 calendar days	20 calendar days	No voting
Cluster	Annual meeting	SC	40 calendar days	20 calendar days	No voting

NB: at a first stage steering committee meetings will be held every two weeks, and on a monthly basis later on.

A provisional calendar was also agreed among partners for the 5-year period of the project, including meetings of the consortium bodies, taking into account when front-runner and follower cities could host a general assembly of partners.

Provisional calendar of meetings, events and visits of the project

Meetings - Events - Visits	1st year - 2018 / 19				2nd year - 2019 / 20				3rd year - 2020 / 21				4th year - 2021 / 22				5th year - 2022 / 23			
	T1	T2	T3	T4	T1	T2	T3	T4	T1	T2	T3	T4	T1	T2	T3	T4	T1	T2	T3	T4
GA	Coi - Po		Sof		Nan		Sie		Bru		NG		HT		Nan		Sof		Po Coi	
SC	Coi	zoom	Sof	zoom	Nan	zoom	Sie	zoom	Bru	zoom	NG	zoom	HT	zoom	Nan	zoom	Sof	zoom	Po Coi	zoom
CoP	Coi				Nan				Bru				HT				Sof			
Cluster 2017	Cor				Nan				Bru				HT				Sof			
Multistak. Adv. Board	Coi				Nan				Bru				HT				Sof			
Scient. Com. & Eth. Com.	Coi				Nan				Bru				HT				Sof			
Technical visits	Coi Po		Sof		Nan		Sie		Bru		NG		HT		Nan		Sof		Po Coi	
Thematic meetings																				

Bru – Brussels / Coi – Coimbra / Cor - La Coruña / HT - Høje-Taastrup / Nan - Nantes / NG - Nova Gorica / Po - Porto / Sie - Siena / Sof - Sofia

NB: at a first stage SC meetings will be held every two weeks, and on a monthly basis later on.

1.1.4. Data collection and management

Guidelines, procedures, plans and tools designed by WP5 for data collection and management, monitoring and evaluation, and research production will be discussed within the steering committee and finalized accordingly.

URBiNAT will create a **data management plan** (WP1 and WP6) (to be delivered in the first 6 months of the project) outlining the principles and processes for data collection, organization, management, storage, security, analysis and sharing for the project.

It is important to ensure that all data are well managed during project's lifetime and beyond and preserved for further use. The plan ensures that all data are collected and annotated in the required format for easy access, usability and reliability, and guarantees the privacy of all parties.

URBiNAT's ambitious approach of setting up a variety of NBS in different cities and spanning different use of cases will inherently lead to the generation of data, which may go beyond the qualification of being 'research data'.

Therefore, apart from making data and data control central in the design of its solutions, the project will install appropriate data management principles. The task force of the Steering Committee dedicated to "innovation, IPR and data management" (WP1) will report on data management activities in quarterly reports to the General Assembly and periodic and final reports to the EC.

URBiNAT's ethics principles and guidelines will also be applied to its data management plan and, consequently, to data collection and management throughout the project, as presented previously in the present document.

URBiNAT's Observatory (WP5) will lead data collection and management together with the other WP leaders. A dedicated **platform** will enable to manage and store all data, in connection with other communication tools which will enable to disseminate the results of the project, such as softwares specialized in producing visual presentations and URBiNAT's website. This platform will be hosted in a server satisfying security standards. Memory can be rented on secure servers (in those of partners or with specialized providers such as OVH or Opendatasoft). Concerning the management and publication of these data, several tools can be used: GIS for cartographic data, Shiny for datascience, Opendatasoft for simple visualization and shared data management, Power Bi and Tableau for data visualization. The Opendatasoft solution can be used for Open data but also for internal management.

1.2. External communication

1.2.1. Dissemination and communication of results

As communication and dissemination of results are a crucial part of the project, these activities will be implemented with the involvement of all project partners, who are the most efficient communication channel to reach out the various countries and languages of the wide URBiNAT consortium.

URBiNAT will design and implement a comprehensive **plan for the dissemination and communication of project's results**, including segmented audiences, specific target groups, and corresponding messages and tools.

The plan will clearly establish:

- communication objectives ;

- the ranks of target audience groups according to the project (e.g. local communities, entrepreneurs, research centres on NBS, related think-tanks, medias);
- suitable communication activities (e.g. press releases, fact sheets);
- communication channels to be used adjusted to the target audience (e.g. social media, website, newsletter, magazines, international journals and conferences);
- key communication messages to be spread;
- communication products and common image of the project; development of communication materials (e.g. flyers, posters, folders);
- a regularly updated agenda selecting relevant events in which to present the project; expected results with measurable and verifiable indicators to assess the achievements of expected results.

Plans and tools developed under WP6 for dissemination and communication will be discussed within the steering committee and finalized accordingly, including follow-up through a **communication panel** of WP leaders mobilized by the communication team of WP6.

All dissemination and communication activities will follow policies and procedures defined by URBiNAT's steering committee according to its management structure, including IPR, Data Management and Ethics (a code of ethics for the communication and dissemination of the project's activities and results by partners is further detailed under section 1.2.4).

The communication team will establish a clear agenda for the communication and dissemination plan, expected to be **reviewed during monthly meetings** of the communication panel composed with WP leaders.

Through **Basecamp** platform, directory guidelines, agendas, minutes, and other relevant materials will be available to all partners.

URBiNAT will also comply with **visibility requirements** of the European Commission (article 38 of grant agreement), including the obligation of promoting the project and its results, the information on the EU funding (obligation and right to use EU emblem, disclaimer excluding the European Commission responsibility, and the right of the European Commission to use URBiNAT's materials, documents of information (considering confidentiality and security obligations).

Specifically on the obligation and right to use EU emblem:

Unless the Agency requests or agrees otherwise or unless it is impossible, any communication activity related to the action (including in electronic form, via social media, etc.) and any infrastructure, equipment and major results funded by the grant must:

(a) display the EU emblem and

(b) include the following text:

For communication activities: "This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 776783".

For infrastructure, equipment and major results: "This [infrastructure][equipment][insert type of result] is part of a project that has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 776783".

When displayed together with another logo, the EU emblem must have appropriate prominence.

A **communication toolkit** with the European Commission's guidelines, recommendations and logos are available at the following link: <https://ec.europa.eu/easme/en/communication-toolkit>

The project management office and communication team will provide partners with guidelines, information and files needed to comply with visibility requirements through Basecamp.

1.2.2. Development of material and tools

In order to support the dissemination activities of the project, the consortium will regularly create **dissemination material** (based on template documents, papers, deliverables, technical reports, presentations, fact sheets and video clips).

It will namely create and publish **case studies** and key outcomes. These presentations will be focused, targeted and delivered on a comprehensive and limited length (e.g., 5-6 pages).

URBiNAT will also develop a wide range of materials and tools, such as **website, newsletters, storytelling animations, trainings, templates for technical reports, fact sheets, presentations and video clips**, so to create awareness and empathy about the project.

A **visual identity and brand strategy** will be developed to be applied to these materials.

The functionalities of the **website** will be listed in relation to the needs of the communication and dissemination plan, but also regarding the needs of other activities (e.g. open data, internal share of information, newsletters and contact database, SEO for Catalogue of NBS and other specific contents).

Accounts will be created on **Twitter, Facebook**, as well as a page or group on **LinkedIn. Youtube** will be used for publication, dissemination and integration of URBiNAT videos. Processes for regularly updating the project's information in the various social media will be established.

Alternative internet and network tools will also be explored to assure a constant and secure access to all partner, even when experiencing connection restrictions in the case of social media tools not accessible in all countries, such as in the case of Facebook.

Besides spreading information about the project using the website, a quarterly **newsletter** will be used both to target interested researchers with relevant news, calls for papers, calls for participation, etc., and to serve as a basis for communications with the public at large with emphasis on press releases and links to relevant multimedia material.

The development of the **newsletter** will be based on the quarterly report of the steering committee to the general assembly, but all dissemination partners will also be responsible for at least one newsletter with the technical support of ITEMS (leader of WP6) and the other WP6 participants, in order to ensure a strong commitment in dissemination activities of all.

Promotional material should include (on an electronic version when possible) leaflets, posters, press releases, digital supports, video material covering experiments, animations of “real-time”, simulation, animated/voice-over, with their electronic version, and otherwise (videos, posters, etc.). We decided for an extensive dissemination to create plenty of **graphic/video materials** that will be available on our project YouTube account.

Materials will be developed and **updated at different stages** of the project, at least annually. All dissemination materials will be compiled in a **dissemination package** to be uploaded and updated on Basecamp in order to be available and usable by all partners at all times.

There are several materials/communication tools already available:

- logo and visual identity applied to different template documents (available on Basecamp);
- Twitter account, @URBi_NAT;
- website domain name and page, <http://urbinat.eu/>

1.2.3. Daily communication and contacts

URBiNAT's project management office and ITEMS (leader of WP6) will be the day-to-day point of contact: contact@urbinat.eu.

They will be responsible for:

- the organisation and update of the **dissemination package**;
- collect all public documents generated in the project;
- maintain a dissemination database;
- maintain webtools supported by the project partners: institutional website, Basecamp platform, social media;
- distribute the newsletter to a directory of contacts and subscribers (through MailChimp).

1.2.4. Code of ethics for communication and dissemination of project's activities and results by partners

URBiNAT's communication and dissemination strategy will be conducted in accordance with a code of ethical conduct as detailed below.

→ Code of Ethics

URBiNAT's communication and dissemination strategy focuses on informing target audiences at institutional (EU, governmental, regional, municipal), academic and professional levels, as well as the general public, through open, regular and constructive dialogue.

This will involve sending messages regularly through a wide range of communication channels. ITEMS, as lead partner of WP6, and all other partners in the URBiNAT project, will be required to adhere to the code of ethics for communication and dissemination, as described here, whenever they engage in "communication and dissemination" activities.

Any partner likely to disseminate information within the framework of the URBiNAT project will impose standards on itself that stem from the obligations to disseminate verified information; collect and disseminate information independently; act loyally; respect people's rights.

The partners respect their deontology whatever the support, including in the professional use of social networks, personal sites and blogs as sources of information and as vectors of information diffusion.

→ ***Prohibited behaviours***

According to URBiNAT's communication and dissemination strategy, the following behaviours will be prohibited via any URBiNAT communication channel:

Use of inappropriate language: The use of language that is vulgar, insulting, derogatory, racist or sexist will be strictly prohibited.

Name and shame: the practice of calling by name other people or projects whose views we may disagree with.

→ ***Commitment to scientific accuracy of messages.***

URBiNAT undertakes to communicate accurate information to its target audiences (experts and the general public):

- either the information will be based on the exact formulations of the scientific partners in the project;
- or for pedagogical reasons, this information will be written by the leading WP and in this case reviewed by one or more scientific partners;
- similarly, work conducted on Wikipedia (creation or modification/enrichment of articles) will systematically be conducted under the control of scientific partners.

Within the framework of scientific dissemination activities, the partners undertake **not to distort any information or eliminate any essential text, image, sound or other element presented in it.**

When transcribing interviews, they respect the meaning and spirit of the comments made.

The urgency does not exempt the partners from citing and/or verifying their sources, nor from conducting a serious investigation. The partners exercise the utmost caution in the way information is disseminated and avoid any approximation.

→ ***Commitment to political/ideological impartiality***

Partners in communication make a clear distinction in the eyes of the public between **facts, analyses and opinions.**

Project partners are committed not to share their own opinions and to present any content that might contain a political or ideological view as such.

→ ***Commitment to culturally and gender neutral messages.***

Messages of a discriminatory nature -gender, origin, religion, age, sexual orientation are prohibited, in accordance with the law. The **inclusive writing** and representativity/diversity of individuals in content (audio, written, video) will be promoted and monitored by WP 6 leader.

→ ***Commitment to transparency and accountability***

Any content that contravenes the stated criteria must be reported and removed as soon as possible, and must be the subject of a communication. A specific reporting will be included in the yearly communication and dissemination report toward these aspects.

→ **Commitment to the protection of personal data**

All communication elements (contents, tools) will comply with the GDPR: double opt in and revision of consent facilitated in the context of subscriptions to newsletters.

From Twitter, Facebook, and other social networks, we plan to :

- make available an article or link to a rights information page,
- a standard response to dissatisfied Internet users, who would exercise, for example, their right to object.

With regard to security, the project management office and the WP6 leader provides the following good practices guidelines for better protection of project data: secure passwords, activate the intrusion alert device, disable third-party applications connected to the account, adjust privacy settings, among other guidelines to be regularly updated.

The Data Management Plan formalises the data collection, storage and processing policy and addresses the issue of personal data.

→ **Commitment to accessibility**

The rules of digital accessibility by the W3C are taken into account in the design of tools and web site content, videos, audio, images. A short reminder of these rules is made available to partners on this [document](#).

1.3. Compilation of tools

- **Project management / collaborative work among partners:**

- The use of emails should be as restricted as possible. The preferred channel of communication between partners must be through **Basecamp**.

- A step by step training for the use of **Basecamp** with members is underway with the members of the steering committee and will be extended to all partners.

- URBiNAT is currently using **collaborative documents** on **Google drive**. The subscription to a specific account for URBiNAT on Google Drive / Google Suite is under consideration, together with other collaborative tools (such as OneDrive), clouds/servers, taking into account security standards and accessibility of partners according to their different contexts and specificities, including open source and free alternatives (such as framapad and co, or publishwithme). An alternative when collaborative tools are not accessible to partners is to work mostly with successive versions of documents.

- Good practices **guidelines for better protection of project data** include: secure passwords, activate the intrusion alert device, disable third-party applications connected to the account, adjust privacy settings, among other guidelines to be regularly updated.
- **Zoom:** URBiNAT has an account and meeting room accessible in the following link: <https://zoom.us/j/2676445174>. Credentials will be made available to partners in order to be able to organize meetings.
- **Instant messaging apps** enable rapid and efficient communication between two people, but are not the most appropriate for the communication between large groups of partners. The use of two apps were more specifically mentioned by partners:
 - *WhatsApp*: most commonly used app, but with restrictions in some countries and raising doubts among partners on the use and management of data by company owners;
 - *Signal*: same essential features as WhatsApp, with strong encryption, non-profit purpose, dedicated to a non-monetised social media landscape, attending ethical and data management concerns.
 - *WeChat*: other most commonly used app in some regions and countries, such as China
- **Master list of contacts** for internal communication: maintained and updated on Basecamp by the project management office.
- **Database of contacts** for external communication: maintained and updated on Basecamp by the project management office and ITEMS (leader of WP6).
- **Website** for communication and dissemination: domain and page <http://urbinat.eu/>, website under construction. The website serves as a showcase for URBiNAT's communication and visibility. The CMS chosen is **Wordpress** to facilitate ownership by each partner. Taking in consideration the citizen engagement, the website will also develop interaction tools.
- **Observatory platform for data collection and management:**
 - It will be hosted in a server satisfying security standards. Memory can be rented on secure servers (in those of partners or with specialized providers such as OVH or Opendatasoft). Concerning the management and publication of these data, several tools can be used: GIS for cartographic data, Shiny for data science, or Opendatasoft for simple visualization and shared data management, Power Bi and Tableau for data visualization. The Opendatasoft solution can be used for Open data but also for internal management.
 - In connection with other communication tools which will enable to disseminate the results of the project, such as softwares specialized in producing visual presentations and URBiNAT's website.
- **Social media** will be used for communication and dissemination: **Twitter** account already available, @URBi_NAT. **Facebook, LinkedIn, Youtube** to be created. The creation and use of other social media will also take into account the **exploration of alternative internet and network tools** in order to assure a constant and secure access to all partner, even when experiencing connection restrictions for social media tools not accessible in all countries, such as in the case of Facebook.

- The **newsletter** will be distributed using MailChimp.
- For the **development of materials**
 - Documents requiring **graphic illustrations** should mention credits and make maximum use of creative commons license. Some examples of platforms on which to find content:
 - icons: *Noun Project*
 - photos: *Unsplash, Flickr*
 - edition of graphs from data: *Datawrapper*
 - In the case of materials requiring **translation**, the use of *deepl* is the most recommended (to English, German, Italian, Dutch, Polish, Spanish).
 - The rules of **digital accessibility** by the W3C has to be taken into account in the design of tools and web site content, videos, audio, images.
- All materials developed will be made available in the **dissemination package** on Basecamp.
- A benchmark of other **alternative tools** in order to overcome limitations of access and tools is available at the end of this section and will be regularly updated on Basecamp.

Audio and video conferencing

Name	Free (y/n)	Account required (y/n)	Link
Zoom	no	no	URBINAT meeting room https://zoom.us/j/2676445174
Skype	yes	yes	www.skype.com
Gotomeeting	no	no	www.gotomeeting.com
appear.in	yes	no	https://appear.in/
Webex	no	no	www.webex.com
Framatalk	yes	no	https://framatalk.org/accueil/

Collaborative work

Google	Open source/free alternative	Link
Google Doc	Framapad	https://framapad.org/fr/
Google Doc	publishwithme	https://publishwith.me/
Google Sheet	framacalc	https://accueil.framacalc.org
Google form	framaform	https://framaforms.org/
Draw.io	framindmap	https://framindmap.org/c/login
Googles slides	framaslides	https://framaslides.org/login
Google Drive	Framapad team	https://urbinat.publishwith.me/

Doodle	Moreganize	http://moreganize.com/
Doodle	Tooltoplan	http://tooltoplan.com/
Doodle	Framadate	http://framadate.org/

2. Reporting

2.1. Work Package leaders - narrative internal reporting

For each Work Package (WP), a **Work Package Leader** (WPL) has been appointed to coordinate the activities taken within their respective WP. The WPLs are responsible for planning, monitoring and assessing the progress of the work package to ensure that output performance, budget and timelines are met.

The **steering committee** will oversee the **work planning** of each work package, ensuring that the objectives of the project are achieved on time and to budget, through the review of planning and monitoring of each work package by peer WP leaders. This process of work planning also enables coordination of cross work package cooperation. The **project management office** will support the steering committee in monitoring and reporting, ensuring that the objectives of the project are achieved **on time and to budget**.

In case of any **deviation** from the plan, appropriate **corrective actions** will be determined by the steering committee and implemented by the participants of the corresponding work package.

Internal reporting will be done every three months by WPLs through the **Quarterly Monitoring Narrative Report**. The template to be used by WPLs for their *Quarterly Monitoring Narrative Report* is already available [here](#) and will be included in the deliverable D 1.1 Handbook on workflow and standard quality procedures to be submitted until month 6. During the elaboration of this deliverable, partners will also have the opportunity to review this template.

This document should be fulfilled and submitted by WPLs through URBiNAT's project management platform (Basecamp) 10 days before the end of each reporting period. This document only includes narrative information.

Quarterly Monitoring Narrative Reports will enable:

- i) coordination and monitorization of activities by the steering committee;
- ii) report on progress and results to General Assembly and CoP by steering committee;
- iii) reporting to the European Commission by coordinator;

2.2. Partners - financial internal reporting

Financial information **to be provided by all partners** will have a separate template and should be submitted through URBiNAT's project management platform (Basecamp) on a quarterly basis. The

document can be consulted [here](#). **Financial information** to be reported by each partner includes: staff-costs; people/month (P/M); travel costs; depreciation costs for equipment and other goods and services valued in euros (€) for every three months period. Partners with building projects, must include information about the building finishing grade.

2.3. Steering Committee - governance reporting

The **Steering Committee** is the executive body of the consortium. It supervises the execution of the project and shall report to and be accountable to the General Assembly.

It is composed by the Coordinator and by the Work Package Leaders. The steering committee oversees the work planning of each work package, and will **report on results to the General Assembly**, throughout the project. The steering committee will also **submit proposals for decision** to the General Assembly.

The project's progress and results will also be systematized and shared by the steering committee with the **Community of Practices** in an annual conference to be organized in partnership with Living Labs of WP2 and supported by WP6.

2.4. Project management office - reporting to European Commission

2.4.1. Exchange of information with the funding authority

In addition to administrative and financial issues, the project office management will ensure the regular exchange of relevant information from the European Commission (EC) about the consortium and the project development and progress, as well as, a fluid communication between the EC and URBiNAT's partners.

The project management will liaise between the EC and the consortium's partners, and will provide the EC with specific requested documents, which requires to manage the reporting process and timetable, prepare and submit periodic and final reports, collect and review consistency of information provided by partners, as well as, other deliverables including financial statements and related certifications.

The project management office will also administer the financial contribution of the funding authority and fulfil the corresponding financial tasks: justification of costs, accounts, advising of EC payment schedules, distribution of funds, and financial obligations, such as audit reports.

2.4.2. Monitoring obligations

More specifically related to the grant agreement, the project management office will monitor compliance by the parties with their obligations and corresponding legal issues, and will provide, upon request, the parties with official copies or originals of documents which are in the sole possession of the coordinator.

In accordance with Article 41.2 of the GA (Internal division of roles and responsibilities), the beneficiaries must provide, during implementation of the action or afterwards, any information requested in order to verify eligibility of the costs, proper implementation of the action and compliance with any other obligation under the Agreement.

There is also the obligation to keep information up to date and to inform about:

a) events and circumstances likely to affect significantly or delay the implementation of the action or the EU's financial interests, in particular:

(i) changes in its legal, financial, technical, organisational or ownership situation or those of its linked third parties and

(ii) changes in the name, address, legal form, organisation type of its linked third parties;

(b) circumstances affecting:

(i) the decision to award the grant or

(ii) compliance with requirements under the Agreement.

There is an obligation to keep records and other supporting documentation, for a period of five years after the payment of the balance in order to prove the proper implementation of the action and the costs they declare as eligible.

2.4.3. The consequences of non-compliance

If a beneficiary breaches any of its obligations under (Article 17, GA), the grant may be reduced (see Article 43, GA). Moreover, such breaches may also lead to any of the measures described in Chapter 6 of GA, namely:

(i) Rejection of ineligible costs (Article 42, GA);

(ii) Reduction of the Grant (Article 43, GA);

(iii) Recovery of undue amounts (Article 44, GA);

(iv) Administrative sanctions (Article 45, GA).

2.4.4. Reporting obligations

Reporting obligations are to be fulfilled according to the following **time-frame**:

→ **Reporting Periods (RP)**: The action is divided into the following 'reporting periods':

- RP1: from month 1 to month 18 (1 June 2018 - 30 November 2019);

- RP2: from month 19 to month 36 (1 December 2019 - 31 May 2021);

- RP3: from month 37 to month 60 (1 June 2021 - 31 May 2023).

For requests for interim payments, the coordinator must submit a periodic report within 60 days following the end of each reporting period.

→ **Reporting deadlines for the submission of periodic reports (RD)**: reports must be submitted to the European Commission within 60 days following the end of each reporting period.

- RD 1: until end of January 2020

- RD 2: until end of July 2021

- RD 3: until end of July 2023

→ **Final Report**

- In addition to the periodic report for the last reporting period, the coordinator must submit the final report within 60 days following the end of the last reporting period.
- Final Report must be submitted until the end of July 2023.

If the reports submitted do not comply with Article 20 of GA the following measures are applicable:

- the Agency may suspend the payment deadline (see Article 47, GA) and apply any of the other measures described in Chapter 6 of the GA, as described above regarding consequences of non compliance.
- If the coordinator breaches its obligation to submit the reports and if it fails to comply with this obligation within 30 days following a written reminder, the Agency may terminate the Agreement (see Article 50) or apply any of the other measures described in Chapter 6.

In order to comply with reporting obligations to the EC and avoid any breach, we kindly ask our partners and WP leaders to provide the management team with all information needed on due time, including narrative and financial internal reports.

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Document type: Internal URBiNAT document
Created by:
Date:

Type of meeting
Date, time (CET)
Location, [Zoom meeting](#), other

Agenda / Minutes

information made available and issues discussed throughout the meeting:

1.
2.
3.

Next meeting: *Date, time (CET), location/Zoom/other*

Attendees:

- Name / organisation
 - Name / organisation
-

Introductory information:

-
 -
-

Agenda item 1:

Discussion:

-;
-;

Agenda item 2:

Discussion:

-;
-;

Action items / Follow-up	Person responsible	Deadline
✓		
✓		



Document type: Internal URBiNAT report
Created by: Denise Esteves, CES (WP1)
Date: 11 July 2018

Quarterly monitoring narrative report

Template for work package leaders

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4. Leadership / management: key internal and external meetings organised

5. Dissemination: publications, participation in events, organisation of events, online and media dissemination, online activity (website and social media)

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- 6.1. Human rights and gender
- 6.2. International cooperation

Annex - Instructions and FAQs

1. Information sheet

Project	Healthy corridor as drivers of social housing neighbourhoods for the co-creation of social, environmental and marketable NBS
Acronym	URBiNAT
Grant agreement number	776783
Type of document	Internal
Title	Quarterly monitoring narrative report - QMNR n. [number]
Period covered by report	[start - end]
Work package	[number]
Leading partner	[organisation]
Partners involved	[organisation]
Person responsible for this report	[name] [contact: email / telephone / Skype / other?]
Date of submission	[date]
Dissemination level	PP

- Please submit this document through URBiNAT's project management platform/Basecamp by uploading your file.
- The Quarterly Monitoring Narrative Report is going to guide:
 - the steering committee in coordinating and monitoring the activities implementation;
 - the communication team in monitoring dissemination activities;
 - the coordinator and project management office in the task of writing the reports to be delivered to the European Commission.
- An instruction and FAQs sheet is available at the end of this document. We kindly ask you to revise your report according to these instructions and clarifications.
- If you have doubt or difficulties with this report and its submission, please contact the project manager at pmurbinat@ces.uc.pt



2. Overview / General assessment of reporting period

- Overview of the main progress activities performed - [Task] - [Activity description]
 1. [description]
 2. [description]
 3. [description]
 4. [description]
- Overview of the main outputs, results and achievements - [Task] - [Outputs/Results/Achievements description]
 1. [description]
 2. [description]
 3. [description]
 4. [description]
- General assessment of collaborative work: best practices, difficulties, suggestions for possible improvements (specify if your comment is related to a specific task or in relation to other WPs)
 1. [description]
 2. [description]
 3. [description]
 4. [description]
- Any additional input, lesson learned or key reference/document/information you would like to share
 1. [description]
 2. [description]
 3. [description]
 4. [description]

3. Work progress

- Explanation of the work carried out by the participants of the WP
- Overview of the progress in line with work package and task descriptions, outputs, budget and timelines (annex 1 of Grant Agreement)
- Review and update of WP planning and monitoring

3.1. Detailed progress

- Detailed progress of tasks and deliverables assigned to the work package (as described in annex 1 of Grant Agreement)

Table 1 - Tasks

T. number	Work description	Period
[number]	- [description] - [description] - [description]	- [from month x to month x] - [from month x to month x] - [from month x to month x]

[number]	- [description] - [description] - [description]	- [from month x to month x] - [from month x to month x] - [from month x to month x]
[number]	- [description] - [description] - [description]	- [from month x to month x] - [from month x to month x] - [from month x to month x]

Table 2 - Deliverables

D. Code	D. Name	Leader	Status of deliverable	Due date OR forecast delivery date	Comments
[code]	[name]	[organisation] [name]	[- complete - in progress - late]	[date]	[comment]
[code]	[name]	[organisation] [name]	[- complete - in progress - late]	[date]	[comment]

3.2. Planning of activities agreed with task leaders and participants for the current reporting period

- Work planning of each work package
- Planning and monitoring to be reviewed by peer WP leaders
- Objectives:
 - ensure that the objectives of the project are achieved on time and fitting on the budget
 - enables coordination of cross work package cooperation

Table 3 - Work planning agreed

Action items	Person responsible	Deadline	Status	Additional details	Follow-up
[description]	[organisation] [name]	[date]	[- complete - in progress - late]	[comment]	[description]
[description]	[organisation] [name]	[date]	[- complete - in progress - late]	[comment]	[description]
[description]	[organisation] [name]	[date]	[- complete - in progress - late]	[comment]	[description]
[description]	[organisation] [name]	[date]	[- complete - in progress - late]	[comment]	[description]

3.3. Issues and deviations from plan

- Main issues identified (and their impact/alert level: high, medium, low), how they are being/were addressed (action), and the deviations from the plan

Table 4 - Issues and deviations

Alert level	Issue	Action	Deviation	Additional details
[- low - medium - high]	[description]	[description]	[description]	[comment]
[- low - medium - high]	[description]	[description]	[description]	[comment]
[- low - medium]	[description]	[description]	[description]	[comment]

- high]				
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3.4. Planning of activities foreseen for the next reporting period

Table 5 – Work planning foreseen for the next period

Action items / Follow-up	Person responsible	Deadline	Additional details
[description]	[organisation] [name]	[date]	[comment]
[description]	[organisation] [name]	[date]	[comment]
[description]	[organisation] [name]	[date]	[comment]
[description]	[organisation] [name]	[date]	[comment]

4. Leadership / management

- Management work carried out by the WP and task leaders and participants during the reporting period

Table 6 – Key internal meetings organised

Date	Purpose and organiser	Type of meeting	Attendees	Additional details / Basecamp links (Ex.: agenda/minutes, pictures)
[date]	[description] + [organisation] [name]	[face-to-face/ Location; online; conf. call; other]	[organisation] [name] [organisation] [name] [organisation] [name]	[comment]
[date]	[description] + [organisation] [name]	[face-to-face/ Location; online; conf. call; other]	[organisation] [name] [organisation] [name] [organisation] [name]	[comment]
[date]	[description] + [organisation] [name]	[face-to-face/ Location; online; conf. call; other]	[organisation] [name] [organisation] [name] [organisation] [name]	[comment]
[date]	[description] + [organisation] [name]	[face-to-face/ Location; online; conf. call; other]	[organisation] [name] [organisation] [name] [organisation] [name]	[comment]

Table 7 – Key external meetings organised

Date	Purpose and organiser	Type of meeting	Attendees	Additional details / Basecamp links (Ex.: agenda/minutes, pictures)
[date]	[description] + [organisation] [name]	[face-to-face/ Location; online; conf. call; other]	[organisation] [name] [organisation] [name] [organisation] [name]	[comment]
[date]	[description] + [organisation] [name]	[face-to-face/ Location; online; conf. call; other]	[organisation] [name] [organisation] [name] [organisation] [name]	[comment]
[date]	[description] + [organisation] [name]	[face-to-face/ Location; online; conf. call; other]	[organisation] [name] [organisation] [name] [organisation] [name]	[comment]
[date]	[description] + [organisation] [name]	[face-to-face/ Location; online; conf. call; other]	[organisation] [name] [organisation] [name] [organisation] [name]	[comment]

5. Dissemination

- Dissemination activities performed by WP and task leaders and participants over the reporting period

Table 8 - Publications

Title	Type of publication	Academic /non academic	Author(s)	Reference and link
[title]	[journal; book; book's chapter; poster; other]	[description]	[name] [organisation]	[description]
[title]	[journal; book; book's chapter; poster; other]	[description]	[name] [organisation]	[description]
[title]	[journal; book; book's chapter; poster; other]	[description]	[name] [organisation]	[description]

Table 9 - Participation in events by partners

Date and location	Partner's attendee	Event title, purpose, organiser and relevance	Type of event	Additional details / Basecamp links (Ex.: report, agenda/minutes, pictures, presentation, certificate of participation)
[date] [location]	[name] [organisation]	[title] + [description - purpose] + [organisation] [description - relevance]	[national/international; seminar; conference; workshop; other]	[description] [annexes] [links]
[date] [location]	[name] [organisation]	[title] + [description - purpose] + [organisation] [description - relevance]	[national/international; seminar; conference; workshop; other]	[description] [annexes] [links]
[date] [location]	[name] [organisation]	[title] + [description - purpose] + [organisation] [description - relevance]	[national/international; seminar; conference; workshop; other]	[description] [annexes] [links]

Table 10 - Organisation of events by partners

Date and location	Event title, purpose, organiser and relevance	Type of event	Attendees	Additional details / Basecamp links (Ex.: report, agenda/minutes, pictures, presentation, working docs)
[date] [location]	[title] + [description - purpose] + [organisation] [description - relevance]	[national/international; seminar; conference; workshop; other]	[number] [countries] [annex of/ link to list of participants]	[description] [annexes] [links]
[date] [location]	[title] + [description - purpose] + [organisation] [description - relevance]	[national/international; seminar; conference; workshop; other]	[number] [countries] [annex of/ link to list of participants]	[description] [annexes] [links]
[date] [location]	[title] + [description - purpose] + [organisation] [description - relevance]	[national/international; seminar; conference; workshop; other]	[number] [countries] [annex of/ link to list of participants]	[description] [annexes] [links]

Table 11 – Online activity and media dissemination during reporting period (website and social media)

Channel	Types of publications	Total	Links
Websites			
Project website	[news; event; other]	[number] [number] [number]	- [link] - [link] - [link] - [link]
Other websites (blog, partners' websites, external websites, scientific online journals)	[news; event; other]	[number]	- [link] - [link] - [link] - [link]
Wikipedia	[creation ; modification ; correction ; translation]	[number]	- [link] - [link] - [link] - [link]
Social media			
Twitter	[news; event; other]	[number]	- [link] - [link] - [link] - [link]
Facebook	[news; event; other]	[number]	- [link] - [link] - [link] - [link]
YouTube	[news; event; other]	[number]	- [link] - [link] - [link] - [link]
LinkedIn	[news; event; other]	[number]	- [link] - [link] - [link] - [link]
[other]	[news; event; other]	[number]	- [link] - [link] - [link] - [link]

6. Cross-cutting dimensions

6.1. Human rights and gender

- URBiNAT partners commit to a rights-based approach, with specific actions to integrate human rights and gender dimensions in activities, including planning, implementation and evaluation of activities

Table 12 – Rights-based approach in the planning, monitoring and assessment of activities

Guiding principles	Questions	Yes / No	Comments / Additional details
Citizenship	Are participants to WP aware of or sensitive to rights claims by populations of social housing neighborhoods?		[comment] [description]

		[yes / no]	
Applying all rights	Are inequality and discrimination issues taken into account by WP participants in planning and implementing activities?	[yes / no]	[comment] [description]
Participation	Does the implementation process of the WP take into account the relations between citizen participants and all stakeholders?	[yes / no]	[comment] [description]
Non-discrimination & equal access	Have WP participants identified problems or violations of rights and gender discrimination within the project?	[yes / no]	[comment] [description]
Inclusivity	Do the sources of information used and data collected by WP participants include disaggregated data, qualitative and quantitative information on the participants' specificities?	[yes / no]	[comment] [description]
Accountability	Does the implementation of activities of the WP take into account the provision of high-quality, timely and reliable data and information to citizen participants?	[yes / no]	[comment] [description]
Transparency & information	Have WP participants produced reports and information on the project? - If yes, in which format and for which audience? - If no, what materials do they use to report and inform about the project?	[yes / no]	[comment] [description]
'Do no harm'	Have WP participants identified any potential development negative trend potentially leading to human rights violations and gender discrimination?	[yes / no]	[comment] [description]

6.2. International cooperation

- Are WP participants directly involved with non-European partners? If yes, which?
[yes / no] [comment] [description]
- Have WP participants identified any limitation or barrier to networking with non-European partners? If yes, which?
[yes / no] [comment] [description]
- Which activities do WP participants plan to develop with non-European partners?
- [description]
- [description]
- [description]

ANNEX - Instructions and FAQs

Quarterly monitoring narrative report *Work package leaders*

Please find below a compilation of instructions, as well as clarifications issued from the internal review of this template, in order to guiding and helping in filling out your report.

We will update this document with other issues raised throughout the project monitoring and implementation.

Please submit your report through URBiNAT's project management platform / Basecamp by uploading your file.

If you still have doubt or difficulties with this report and its submission, after reading the instructions and FAQs sheet, please contact the project manager at pmurbinat@ces.uc.pt:

3. Work progress

- Each work package leader must clearly specify and describe the work performed during the reporting period.
- Each work package leader must fill in the light grey area within the tables.
- Avoid any kind of vague statements and define exactly what participants have done or contributed to the project.
- In case of some deviations of the previous working plan, please indicate the motivation or the reason for missed compliances with established deadlines.
- Please, be concise as much as possible.

4. Leadership / management

- State key internal meetings organised for the WP management or the collaboration with other WPs (planning, monitoring, evaluation, implementation of tasks and activities).
- State key external meetings organised with organisations/institutions/persons not directly involved in URBiNAT's activities.

5. Dissemination

This information should be in accordance with the information edited on Basecamp about the events organized by each partner, participation in events, conferences and official meetings.

Events:

- Report events participation upon a report document through Basecamp (event program; certificate of participation, etc)
- Refer the number of attendees at events where you/a WP participant participated, quoting the source (if possible) where you based your findings.
- Mention the country where the event took place.
- Refer the number of attendees at events organised and apply for a reliable source (attendance sheet, website, paper registrations form and online or news, etc), whenever is possible.

Online and media dissemination:

- Detail the news, blogs or external communication reported from third entities about URBiNAT.
- Detail your and the WP participants' dissemination activities such as in institutional webpage of partners, other URBiNAT related websites or institutional facebook/Twitter account where you/WP participants may be publishing and editing news about URBiNAT.

6. Cross cutting dimensions

Human rights and gender

Questions related to human rights and gender are included in the template of the quarterly monitoring narrative report to be submitted by WP leaders in order to apply a rights-based approach in the planning, monitoring and assessment of activities.

This approach will also be applied to the elaboration of URBiNAT's handbook on workflow and standard quality procedures (D 1.1), where partners will have the opportunity to review the template of the quarterly monitoring narrative report.

Beyond international and European human rights norms, the implementation of this approach is based on the following preliminary guiding principles, which will also be reviewed among partners for URBiNAT's handbook on the theoretical and methodological foundations of the project (D 1.2, under elaboration), namely considering its cross-cutting dimensions:

- People as citizens, holders of rights and capable of claiming their rights
- Full citizenship for all, through the empowerment of discriminated groups and persons, including active participation in political, economic, social and cultural life
- Applying all rights as universal and indivisible human rights, encompassing multiple dimensions (civil, political, economic, social, environmental and cultural rights both individually and collectively)
- Participation and access to the decision making process as the basis for active citizenship and sustained multi-stakeholder partnership
- Non-discrimination and equal access of all groups and persons, with a focus on their specificities based on age, gender, functionalities, social and citizenship status diversities and vulnerabilities
- Inclusivity, by identifying and addressing multiple discriminations based on ableism, ageism, classism, homophobia, racism, sexism, transphobia, and xenophobia among others
- Accountability, promoting accessible, transparent and effective mechanisms of accountability by rights holders
- Transparency and access to information, with information available in accessible formats for all, including for groups and persons with specificities
- 'Do no harm', analyzing and avoiding unintended negative impact in terms of human rights, including exclusion and stigmatisation

International cooperation

URBiNAT will promote international cooperation for the further adaptation and application replication of NBS in non-EU countries with partners involved in the project. The collaboration with non-European partners, including China and Iran, as well as with NBS observers based in

Brazil, Japan, Oman and the vibrant cities of Shenyang in China and Khorramabad in Iran brings international experiences and dimension to the project

URBiNAT establishes a Community of Practice in order to:

- i) feed international networks for cross pollination;
- ii) develop mentoring processes on good practices;
- iii) promote exchange and twinning between frontrunner and follower cities.



Document type: Internal URBiNAT Consortium document
Created by: Denise Esteves and Begoña Dorronsoro (CES Team)
Creation: 19 June 2018
Reviews :

Quarterly financial monitoring report

Template for partners

1. People/month allocated to this task during the reporting period

Partner/ Third Linked Party	Reporting period	Person months	Associated WP

2. Costs incurred during the quarter directly linked to URBiNAT (salaries; business travels; etc.) per partner

Personnel Costs	Travel Costs	Equipment	Other goods and services	TOTAL direct Costs

3. Partners with building projects, must include information about the construction work progress (%).