



URBANA MAPPING GUIDELINES

M4/April 2019

Project full title	Urban Arena for sustainable and equitable solutions
Project acronym	UrbanA
Grant Agreement No.	822357
Coordinator	ICLEI European Secretariat GmbH
Project duration	1 January 2019 – Dec 2021 (36 months)
Project website	www.urban-arena.eu
Work Package	
Work Package	3. Mapping: Uncovering solutions for sustainable & inclusive cities
Deliverable	3.1 Mapping Framework
Delivery Date	30.04.2019 (Month 4)
Author(s)	Flor Avelino, Karlijn Schipper, Frank van Steenbergen, Tom Henfrey, Sarah Rach, James Connolly, Isabelle Anguelovski, Matthew Bach, Marie Oltmer, Giorgia Silvestri
Contributor(s)	All project partners
Reviewer(s)	Flor Avelino (DRIFT), Matthew Bach (ICLEI)
Dissemination level:	Public



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

Table of Contents

1. Aims, outcomes and rationale of UrbanA and the mapping process	3
1.1 Why mapping? The purpose of mapping and our overall approach to it	3
1.2. UrbanA Database: mapping outputs & audiences	4
1.3. Mapping rationale: breadth, depth, and expansion beyond EU-funded projects	6
1.4. Aim and structure of this document	7
2. What are we mapping? Units of analysis and key concepts	7
2.1 Central units of analysis: projects, approaches and people	8
Projects	8
Approaches	8
Individuals	9
2.2 Central mapping themes (and their conceptual contestations)	9
Urban and peri-urban contexts	9
(Un)Sustainability	9
(In)Justice	10
Transformative potential and its paradoxes	11
2.3 Paradoxes and diversity as starting points	12
3. Mapping methodology: Phases, outputs, methods, categories & criteria	14
3.1 Phases and output	14
3.2 Proposed Methods	15
Phase 1: Scanning and selecting (April-June 2019)	16
Phase 1a: Exploring the possibilities (19.02.19- 04.03.19) - GUT-list	17
Phase 1b: Long-list scanning of projects (11.04.19 - 26.04.19)	17
CORDIS database search	18
Participatory mapping via an online social media campaign - See Appendix! (Phase 1b & 1c)	21
Review of other databases, maps, projects and programmes (Phase 1b & 1c)	22
Phase 1c: Short-list: quick scanning of projects and approaches (30.04.19-17.05.19)	22
Scoping Interviews	23
Document review of key overview reports on (urban) sustainability/justice	24
Phase 1d: Hot-list: desk study of approaches and individuals (21.05.19-07.06.19)	24
Phase 2: Deepening (June - September 2019)	26
In-depth desk study of hot-list of approaches and individuals (June/July/August)	27
Semi-structured Interviews with 30-40 individuals (batch 1 in June, batch 2 in September)	27
Participatory pre-arena sessions (in close collaboration with WP2) - also in Phase 3	27



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

Wiki as a knowledge management platform	27
Phase 3: Co-creating and validating (October - December 2019)	29
More About Arena #1	30
Phase 4: Synthesizing insights (January - April 2020)	30
References	36
Appendix 1: Excluded CORDIS searches	38
Appendix 2: Design Google Sheets	41
Appendix 3: Open call & Social Media Campaign (Long-list Phase 1b)	42
Long text	42
Medium Short Text (LinkedIn, Facebook, shorter website posts)	43
Short Text (LinkedIn, Facebook)	43
Ultra-short Text/ Soundbites (Twitter, LinkedIn, Facebook, Signatures)	43
Channels to share the call	44
Design Google Form	45
Appendix 4: Zotero structure & instructions	46
Folder Structure on Zotero	46
Instructions on how to work with Zotero	46
Appendix 5: Links with other WPs	51
Appendix 6: WP3 Description Grant Agreement	52



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

1. Aims, outcomes and rationale of UrbanA and the mapping process

UrbanA (Urban Arenas for Sustainable and Just Cities) takes up the challenge of **synthesizing and brokering the knowledge and experience** generated in research and innovation projects that deal with approaches tackling urban (un)sustainability and (in)justice, including issues of environmental degradation, climate risks as well as urban inequalities and social exclusion. In this way, UrbanA aims to support city-makers – including policy-makers, activists, entrepreneurs, intellectuals, citizens and other engaged individuals – in designing and transforming European cities into sustainable and just urban and peri-urban environments.

UrbanA will do so by facilitating a transdisciplinary and translocal Arena process as a co-creative space to identify and generate approaches for sustainable and just cities. Over the coming three years, a series of four Arena events will bring together city-makers from across Europe. The Arena participants will be engaged and facilitated in diverse ways and to differing degrees, a process to be designed, monitored and adapted by the UrbanA team (WP2, deliverable D2.1). By working with Arena participants in co-creatively mapping projects and approaches to sustainable and just cities (WP3), assessing their potential to improve urban social equity and inclusion (WP4) and identifying potential avenues and agents by which such approaches could be transferred to more widespread governance contexts (WP5), UrbanA will develop actionable and actor specific interventions (WP6), which will be disseminated to key local and transnational actors (WP7).

1.1 Why mapping? The purpose of mapping and our overall approach to it

The step of mapping existing projects and their respective approaches to sustainable and just cities, is an important starting point for the Arena and for the UrbanA project as a whole. The outputs of the mapping (see section below) are not a goal in itself. Rather, both the process of mapping as well as its outputs are in the service of the Arena process and of the UrbanA aims as a whole, i.e. to synthesize and broker knowledge and experience across European city-makers as to support them in transforming cities into more sustainable and just environments. The main contribution of the mapping process is to (a) identify and understand relevant projects and approaches that already exist for tackling issues of urban (un)sustainability and/or urban (in)justice, (b) identify a diversity of relevant city-makers, and (c) start engaging (a first cohort of) city-makers in the Arena process.

The power and importance of this mapping phase is not to be underestimated. The step of mapping - and/or related notions such as analysing, scoping, observing, examining, etc. - is an important starting point across multiple perspectives on how to enable people to co-create solutions and collaborate for social change (e.g. design thinking, transition management, permaculture, sociocracy). This step of first mapping that which already exists, before moving on to visioning, designing or intervening, is not only a



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

prerequisite for understanding, but also for engaging people. It is not only a matter of gathering data and information, but also of people feeling heard and acknowledged by others for their prior and ongoing efforts. Despite the gravity of the societal challenges in question (e.g. climate change and social inequalities) and the urgency to 'act' upon them, there always remains a need in any community, network or Arena, to first engage in some sort of mapping of what has already been done or is being done so far. Indeed, no effort ever unfolds on a blank slate.

This implies that we take an explicitly **transdisciplinary and co-creative approach** to the mapping process, and the project as a whole. It is not (only) about researchers or other formal 'experts' collecting 'data', but also about a co-creative process in which a diversity of city-makers are engaged in identifying, selecting, characterising, collecting, clustering, connecting and unlocking projects, approaches and actors with relevant insights for enabling sustainable and just cities. This is also why the first Arena event (November 2019) is deeply intertwined with this mapping process. Here the idea is neither to 'present' or 'verify' the results of the mapping, nor 'use' Arena participants to provide data - rather it is about using a collective mapping process to facilitate the sharing and brokerage of knowledge and experience.

Having said that, we should not deny or downplay the strong role that the UrbanA partners play in leading the mapping process, and in taking decisions on e.g. scoping, preparing and selecting what is included or excluded. Rather than pretending that everything is co-created in a participatory manner, the challenge is to find a good balance between opening up and narrowing down, designing an iterative process with several phases with differing degrees of participation, and being transparent and explicit about how the process is designed and why certain choices are made. That is exactly the aim of the UrbanA mapping guidelines as set out in this document.

1.2. UrbanA Database: mapping outputs & audiences

The ultimate outputs of the mapping process will be (1) an UrbanA database (D3.2), including an overview of projects, approaches and city-makers that/who address urban (un)sustainability and/or (in)justice, and (2) a synthesis of insights from this UrbanA Database (D3.3). What exact shape(s) this database and synthesis will take is to be explored, experimented with and decided upon during the process. In the first phases, we make use of Excel-files, Google Sheets, Google Forms, Word documents and PDF. From phase 1C onwards we create a parallel Zotero library to store and manage bibliographic information on projects and approaches (see section 3.2). In the second phase we propose to create an Urbana Wiki - as a complementary digital tool - in order to process, share and co-create the information and stories that are in the database (see section 3.2, phase 2).

The main and most important reason for proposing to use Zotero and Wiki additionally to more traditional formats like Excel is their direct relevance to and value for UrbanA. Their association with the knowledge commons provides various forms of added value. The alignment with and support for inclusive, open



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

access and open source approaches to knowledge generation and communication are an important element of social justice and inclusion. Also practically, Zotero and Wiki will support the development of a wider common pool resource of great utility for research and practice. Moreover there is potential for legacy, outreach and synergy of straightforward intercompatibility with a wider resource, likely to be shared by a number of related projects (e.g. [Transformative Cities](#), [Municipalities in Transition](#), [Sustainable Communities Programme](#) – and anyone else who wishes to make use of it).

By using these tools we are not seeking to develop a new version of CORDIS, but rather a new way of communicating the lessons in CORDIS (and proximate projects and approaches) as to tell the stories in the database in an effective manner to a broader audience. Whether, how and to what extent the information in those files can be translated into visuals is to be explored further at a later stage and as part of WP7. We consider to create infographics or digital interactive maps of the database.

In this document, we propose a detailed process for mapping that distinguishes between various phases. Each phase comes with specific outputs, audiences and functions. Table 1 below provides an overview of each phase of the mapping, its output, its function and who the audience is. Each of these will be elaborated on in section 3, including a detailed description of the methods used in each phase.

Table 1: Overview UrbanA mapping phases (see section 3 for elaboration)

Phase	Time-frame	Output	Functions	For/by who
Phase 1a: exploring	19.02.19-04.03.19	GUT-list in Excel	testing	consortium
Phase 1b: systematic scanning	11.04.19-26.04.19	Long-list in Excel	compiling information, engaging	consortium, social media respondents (open call)
Phase 1c: quick scanning	30.04.19-17.05.19	Short-list in Excel, documenting with Zotero	compiling information	consortium
Phase 1d: desk study	21.05.19-07.06.19	Hot-list in Excel, documenting with Zotero	compiling information, engaging	consortium
Phase 2: deepening	June-Sept 19	Draft database (Excel/ Word/ PDF), Documenting with Zotero, UrbanA Wiki (proposal), List of potential arena participants	distilling, engaging, sharing	Arena participants



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

Phase 3: co-creating & validating	Oct-Dec 19 Arena event #1 28-29 Nov 19	Database (Excel/ Word/ PDF), Documenting with Zotero, UrbanA Wiki (proposal)	engaging, sharing, distilling and co-creating	Arena participants, EC and wider public
Phase 4: synthesizing	Jan-Apr 19	Mapping Insights report (PDF) Database (Excel/ Word/ PDF)	sharing	Arena participants, EC and wider public

A remaining question to consider is the lifetime of the UrbanA database. At some point we will close the database as part of the final deliverable (D3.2, December 2019). At the same time we could consider to further develop the database in the other Arena events and/or after the project finishes. These are questions to be taken up in WP1 and across all other WPs and to be discussed in the UrbanA consortium in the first year. The outcomes of that deliberation will be included in the Data Management Plan (D1.5) and referred to in the Database Deliverable (D3.2) to clarify if, how and to what extent the database will be developed from 2020 onwards.

1.3. Mapping rationale: breadth, depth, and expansion beyond EU-funded projects

The UrbanA project has been designed to take EU-funded projects and the respective CORDIS database as a starting point. While this provides a necessary focus and base for the project, it also bears the risk that the selected approaches and individuals remain within the EU-funded project bubble. To make sure that the database covers the breadth of approaches and extends beyond the scope of CORDIS, we aim to diversify the set of data sources and methods for mapping by combining formal and informal methods and sources that tap into different types of knowledge and networks and to reach out to people and approaches that are not connected to an EU-funded project. For example, we complement database searches with involving our network through participatory mapping, social media outreach and connecting to partner projects (see section 3 for more details).

The mapping process starts with mapping 100+ EU-funded projects in a relatively standardized and easily quantifiable manner, covering the breadth of approaches and projects that exist. The aim is not to offer a *complete* overview of *all* approaches and projects, but the first long-list and short-list will aim for diversity of projects and approaches. The mapping will increasingly move towards a more interpretative style of data gathering that allows for the deepening and contextualizing of insights on a smaller sample of 30-40 approaches. The figure below depicts this overall mapping rationale:



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

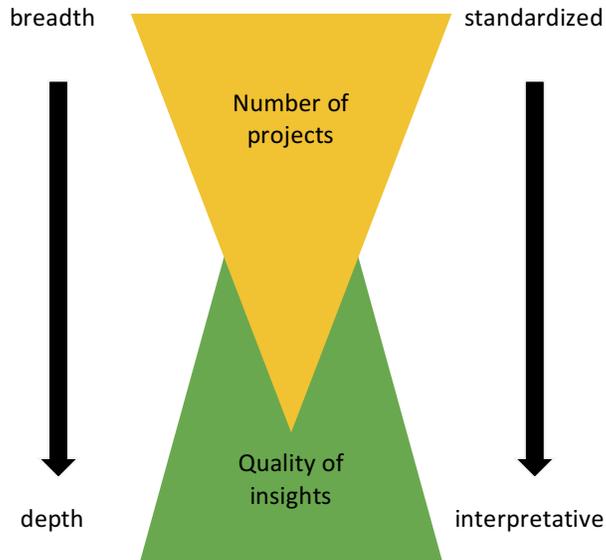


Figure 1. Mapping Rationale UrbanA

1.4. Aim and structure of this document

The aim of this document is to 1) present the mapping approach including the selection criteria and methodological guidelines for the mapping process; 2) conceptualize the main units of analysis and categories as to generate a common and shared understanding (based on the proposal, discussion during the Kick-off Meeting and online calls with the UrbanA team); 3) provide a proposal on the art of database searching. This guideline provides the baseline of the mapping methodology, but leaves open space to explore a range of questions that we need to elucidate and discuss along the way. After each phase of the mapping and after each reflection skype, we will elaborate and finetune the guidelines of the next phase.

In summary, the mapping framework provides guidelines on how to collect and select relevant projects, approaches, and individuals so as to distill and deepen the overview and knowledge that different actors and organisations have harnessed on creating sustainable and just cities. In this way this document mitigates the concerns regarding the different subjective understandings of the selection criteria and categories, and addresses the need for a clear framework that justifies decisions to include/exclude certain projects, approaches and individuals.

This document first describes what we are mapping, including the central units of analysis and the central themes (section 2). Then we outline the mapping methodology, including phases, outputs, methods, categories and selection criteria (section 3). Subsequently we discuss the link to the first Arena event (section 4), and the other work packages (section 5).

2. What are we mapping? Units of analysis and key concepts



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

This section conceptualizes the central units of analysis and key concepts used in the UrbanA mapping and addresses why they are relevant and central to the aims of this mapping exercise.

2.1 Central units of analysis: projects, approaches and people

During the mapping process we focus on three units of analysis: (1) research, innovation and/or network projects¹, (2) promising approaches, and (3) the individuals involved in them. For each of these units of analysis, we collect different categories of information in different phases of the mapping process - as elaborated in section 3. The general aims of the mapping, as laid out in the previous section, imply that we strive to gain insights, learn from and connect to actual approaches (solutions/interventions), rather than dive into project logics. While our mapping activities start from the EU-funded projects, our main interest for deepening the insights is at the level of approaches. The mapping of the individuals primarily informs the selection of interviewees for the deepening phase and selection of partners to engage as Arena participants.

Projects

We are focussing on projects which are funded by the EU via different schemes. This mainly includes projects funded under FP4-7 & Horizon 2020 schemes, but we are also open to other funding schemes, such as JPI Urban Europe or URBACT (I-III) and possibly other funding schemes via national programmes, private philanthropic donors, etc.

Approaches

Our focus is on approaches, including interventions, actions, strategies, solutions or policies which address (urban) sustainability and/or justice. This can be a general approach (e.g. Nature Based Solutions) or a more specific sub-approach (e.g. rain gardens). Approaches do not refer to general research perspectives or methods, unless there is a specific research perspective/method that can itself be argued to contribute to (urban) sustainability and/or justice (e.g. Urban Living Labs). We clearly distinguish approaches from specific instances/ case-studies of how these approaches manifest in specific projects/pilots/initiatives in specific urban contexts (e.g. rain gardens in Rotterdam) and/or how they are studied or experimented with in research/innovation projects (e.g. rain gardens in Rotterdam as studied in x project). While it is relevant to know what kind of instances there are of a specific approach, and to what extent it has been studied, implemented and/or experimented with (we will keep track of instances in phase 1D and phase 2), our unit of analysis is the approach, not the case-study or the specific urban example.

¹ So including Innovation & Research Actions (RIA), Innovation Actions (IA) as well as Coordination and Support Actions (CSA) that are funded under Horizon 2020 (see: http://ec.europa.eu/research/participants/data/ref/h2020/other/gm/h2020-grant-factsheet_en.pdf).



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

Individuals

The focus is on people who are engaged in the projects and/or approaches that deal with (urban) (un)sustainability and/or (un)justice, including policy-makers, activists, entrepreneurs, intellectuals, citizens and other engaged individuals. The mapping of people will be closely linked to the selection / invitation of arena participants and carefully coordinated with WP2 / task 2.2.

2.2 Central mapping themes (and their conceptual contestations)

We have identified four central themes for our mapping framework – **urban, sustainability, justice and transformative potential** – as to give a sense of direction for the selection process during the actual mapping. These concepts are inherently contested and there is no consensus on their meaning. In this section we propose the conceptualization of the central mapping themes to gain a collective sense of what we are actually looking for when we are mapping projects, approaches and individuals.

Urban and peri-urban contexts

The world's population is currently undergoing a significant shift towards urbanisation, with the UN expecting that 70% of people globally will live in cities by 2050. While cities, or the urban, is a scale where multiple political, cultural, environmental and economic challenges are increasingly being felt and become tangible in people's lives, it is also the scale where people undertake initiatives and interventions to shape their living environment and counteract certain (un)desired developments and practices. However, defining what is and isn't urban is often subjective. While formal administrative boundaries of cities often have historical or political meanings, what actually is perceived and consists as the city has shifting meanings (e.g. a small 'city' might also be seen as a 'town' or 'village') and demarcations (e.g. what administratively could be in the city limits might also be perceived as a peri-urban area). However, the urban is often used in contrast to the rural, which generally indicates features such as a low-population count, low levels of infrastructure, low density of buildings and an agricultural-based area. Taking these contestations into account, we are particularly interested in projects, approaches and individuals that are explicitly focused on urban and peri-urban contexts and their challenges, and/or that have an explicit relevance for urban sustainability and justice.

(Un)Sustainability

The notion of sustainability is a typical 'essentially contested notion', a concept which "inevitably involves endless disputes about their proper uses on the part of their users", and "to engage in such disputes is itself to engage in politics" (Lukes [1974] 2002:45). We propose to approach sustainable development as a concept that is intrinsically complex, normative, subjective, and ambiguous (Kasemir et al. 2003, Rotmans 2005). Even though there is no agreed upon definition of sustainability, there are still some basic



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

features that characterize the concept; it is an intergenerational phenomenon, it operates at multiple scale levels, and it covers social-cultural, economic, and ecological dimensions. The sustainability debate revolves around “an attempt to combine growing concerns about a range of environmental issues with socio-economic issues” (Hopwood et al. 2005). Likewise, in the UrbanA mapping we aim to include a diverse set of projects and approaches that address ecological, socio-economic and/or other social justice issues. Such issues can be related to different functional domains, such as the energy system, the mobility system, the housing system, the food system and urban ecosystems, but can also be of a more holistic and intersectional nature.

(In)Justice

Sustainable urban development is not about being colour-blind, class-blind or gender-blind when evaluating projects or approaches, but rather about paying particular attention to (a) processes of exclusion of ethnic minorities, people with lower-incomes (and/or in poverty), elderly people and female residents from the benefits of e.g. urban renewal projects or specific low-carbon initiatives (distributional justice). We also focus on identifying challenges to their ability (b) to participate in the design, creation, implementation, and management (participatory and procedural justice) of initiatives or solutions, and (c) to see their ethnic, racial, age, and gender needs, preferences, and uses included when urban (sustainable) projects or interventions are being planned, designed, implemented, and designed (that is interactional equity or justice as recognition).

We thus focus on exclusion in terms of, inter alia, ethnicity, race, income, age and gender (and the linkages across these categories, i.e. intersectionality) and the impact of exclusion on distributive justice (e.g. equitable distribution of material resources and services), procedural justice (e.g. participatory and democratic decision-making), and recognition justice (e.g. culturally inclusive practices). Table 2 provides an overview of types of justice and examples of exclusion. These types of exclusion and forms of justice are selected because they are central to applied and theoretical work on urban justice and the just city in the context of Western urbanization (cf. Agyeman et al. 2003, Fainstein 2019, Mohai et al. 2009, Shlosberg 2009, 2013, Anguelovski 2015, 2016).

Table 2: Types of justice and examples of exclusion

TYPES OF JUSTICE	EXAMPLES OF EXCLUSION IN SUSTAINABLE URBAN DEVELOPMENT
Distributional justice	Unaffordability of community-supported agriculture schemes for urban lower-income residents



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

	Absence of sustainable and clean waste management infrastructure in low-income and immigrant neighborhoods
Recognition/Interactional justice	Lack of amenities responding to the needs, identities, and preferences of socially vulnerable users in new urban greenways Relocation of public housing residents affected by climate-risks into new homes without accounting for existing social networks and relations
Procedural justice	Top-down planning processes for the creation of clean-transit or traffic pacification urban interventions Exclusion of socially-vulnerable residents from the conversion of cleaned-up brownfields into new green uses
Other possible new forms of justice identified through grounded analysis of projects and approaches	Gentrification and displacement resulting from real estate speculation during or after the creation of new green spaces Evictions of low-income residents during the construction of climate-resilient infrastructure

For the UrbanA project we are particularly interested in projects and approaches that make an explicit link between the urban, sustainability and justice (or that have an explicit potential to make that link). However, since the first phase of the mapping allows for a broadening of our scope we also include projects and approaches that have a more general scope on justice and do not explicitly address interlinkages with the urban and/or sustainability.

Transformative potential and its paradoxes

In UrbanA we are particularly interested in approaches to just and sustainable cities that have an innovative and/or transformative potential. Here the distinction between ‘innovation’ and ‘transformative change’ is an important one. Although innovation (both technological and social) can be a very important (and sometimes necessary) condition to contribute to transformative change towards more just and sustainable cities, it does not necessarily do so. On the contrary, innovation can also be used to adapt and optimize existing urban structures, as such even hampering transformative change.



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

This is why the transformative potential is particularly relevant, because without such a transformative dimension, approaches run the risk of reproducing or even aggravating the unsustainability and injustice that they meant to challenge in the first place.

Building on transition theory and transformative social innovation research (Grin et al. 2010, Markard et al. 2012, Loorbach et al. 2017, Avelino et al. 2017, Haxeltine et al. 2017), we conceptualise innovation and transformative change as follows:

- Innovations: ideas (narratives, rules, knowledge), objects (technology, natural resources, monetary resources) and/or actions (practices, routines) that engage in novel ways of doing, thinking and organising.
- Transformative change: process of challenging, altering and/or replacing dominant structures, cultures and practices in a social context (in UrbanA, the urban context).

As such the transformative dimension is a gradual process characteristic of certain approaches: rather than aiming to evaluate whether approaches are inherently transformative or not, it is about exploring the extent to which they (can) challenge, alter and/or replace those dominant structures, cultures and practices in the urban context that are causing and reproducing unsustainability and injustice. Therein it is important to acknowledge the dialectic paradoxes and tensions of such processes of change. Even when approaches are challenging (some aspects of) problematic structures/cultures/practices, they can meanwhile also reproduce (other aspects of) these or other problematic structures/cultures/practices (Haxeltine et al. 2017). It has been argued that successful innovations are those that manage to navigate this paradoxical and dialectic confrontation with the existing system: on the one hand being able to translate innovative elements to the mainstream context, while at the same time holding on to the radical core of the innovation (Smith 2006, 2007). This paradox lies at the heart of the very concept of transformative change. In order for an innovative approach to have transformative impact, some form of diffusion, mainstreaming or institutionalisation must occur, and in that process, the innovation – by definition – loses some of its original innovativeness. While ‘co-optation’ or ‘capture’ are generally framed as undesirable in the context of innovation and change, it is important to remember that if innovation is to have a lasting transformative impact on its environment, it is actually meant to be captured at least to a certain degree, in some aspects, and by some parts of the surrounding system (Pel 2016).

2.3 Paradoxes and diversity as starting points

We take these insights on conceptual contestations and paradoxes as a starting point for the UrbanA mapping of approaches and their transformative potential: Rather than aiming for black or white judgements on whether or not approaches are solving or aggravating urban unsustainability and injustice issues, we aim to synthesize diverse knowledge and experiences of projects and approaches in dealing with the inherent tensions and paradoxes of urban (in)justice and (un)sustainability.



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

In doing so, we will of course be including some projects, approaches, and individuals during the mapping process while excluding others. In making such choices and distinctions, it is important to note that both inclusion and exclusion are sides of the same coin: to include one phenomenon based on definitions, preferences and/or assumptions, inherently excludes other phenomena. Making the tensions and paradoxes productive and insightful is exemplary to the urban challenges we aim to address within the UrbanA project.

During the mapping process we therefore strive for diversity in selected projects, approaches and individuals, to also use more inclusive and participatory mapping methods, and for a high degree of transparency in what decisions we make and how we make them. In the next section we make these principles in the mapping approach more explicit.



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

3. Mapping methodology: Phases, outputs, methods, categories & criteria

This section describes the different phases of the mapping process, the outputs, methods, categories of information and selection criteria.

3.1 Phases and output

The mapping process is divided into four different phases (See figure 2 below).

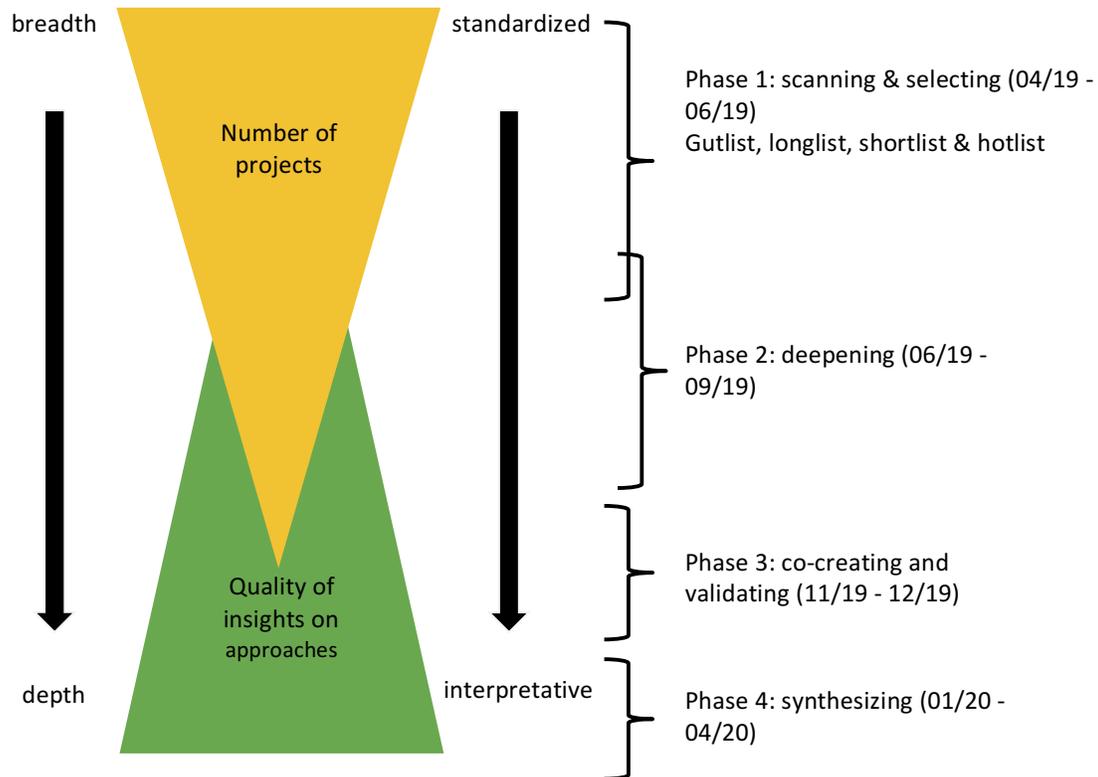


Figure 2. Phases of UrbanA mapping

Phase 1: Scanning and selecting (April-June 2019)

- Phase 1a: Exploring the possibilities (19.02.19- 04.03.19)
 - Outcome: **GUT list** (N = 25-30)
- Phase 1b: Systematic scanning of projects (11.04.19 - 26.04.19)
 - Outcome: **From 0 to long-list** (N= 100+ projects)
- Phase 1c: Quick scanning of projects (& approaches) (30.04.19-17.05.19)
 - From basic long-list to full long-list
 - Selection of 100 projects of full long-list
 - Outcome: **short-list** (N = 100 projects incl. x approaches)



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

- Phase 1d: Desk study of projects & approaches (21.05.19-07.06.19)
 - From basic short-list to full short-list
 - Outcome: **Hot-list** (N = XX approaches in +- 30-40 projects)

Phase 2: Deepening (June - September 2019)

- Phase 2a: In-depth desk study of hotlist of XX approaches.
- Phase 2b: Interviews with 30-40 individuals.
 - Outcome: **draft UrbanA database**

Phase 3: Co-creating and validating (October - December 2019)

- Arena event #1 > Outcome: **UrbanA database** = deliverable D3.2 (December 2019)

Phase 4: Synthesizing insights (January - April 2019)

- Mapping Insights: distilling insights from database & Arena event #1
 - Outcome: mapping report with main insights = Deliverable D3.3 (April 2020)

3.2 Proposed Methods

This section lays out the methods for the mapping. For each phase we provide the categories, the methods, the sources, who is involved and the selection criteria. An overview of the phases can be found in table 4 at the end of this section. The operationalization of the different categories per phase are provided in table 5.

Although the mapping and selection of the projects follows a linear logic, we emphasize again that the mapping also involves learning by doing and we allow for flexibility and adaptation of the criteria and categories during the process. Therefore we planned several online reflection sessions with the UrbanA consortium to be able to adapt the process according to new insights and needs (see [work plan for WP2/3](#) incl. detailed timeline and dates for reflection sessions). Part of this flexibility is allowing a backdoor for new projects or approaches to enter either the long > short > hot-list in a later phase - for example based on suggestions of city-makers. This implies that the deepening (phase 2) and co-creating & validating (phase 3) might include additional projects and approaches that were not yet on our radar. In terms of process we suggest that any new project that pops up will be put on the long-list and subsequently be evaluated according to the same criteria as the other projects before 'making it' to the short list. With regards to additional approaches that might pop-up during the Arena event, they might be added to the short > hot-list based on the same criteria.

Throughout the different phases, we work with four basic locations to collect data:

1. A **Google Sheet** for the consortium members to fill in and
2. A **Google Form** for the participatory online mapping. The outputs of both the sheet and the form are integrated in the final Excel lists (long-list, short-list, hot-list).



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

3. **Zotero** for the documentation of mapping sources (starting from phase 1C until the end). Zotero is an open source application for storing and managing different types of sources (see *Appendix: Zotero Instructions* for more information and for instructions on how to install and use Zotero). UrbanA will create a shared UrbanA Zotero library of projects and approaches (DRIFT in the lead). The same library could also include instances of approaches, if appropriate. It can be made public at any point as a permanent output of UrbanA. As such it could function as a public archive supporting the database - that will be co-created during the first Arena (D3.2). The information could also be added to the existing ECOLISE library or any other more general resource, and aligned with the UrbanA Data Management Plan (D1.5).
4. We create an UrbanA **Wiki** starting from phase 2 to process, share and co-create the information and stories that are in the database. This platform supports inclusive, open access and open source approaches to knowledge generation. How the use of these different data collecting and sharing platforms relate will be clarified later on in the process.

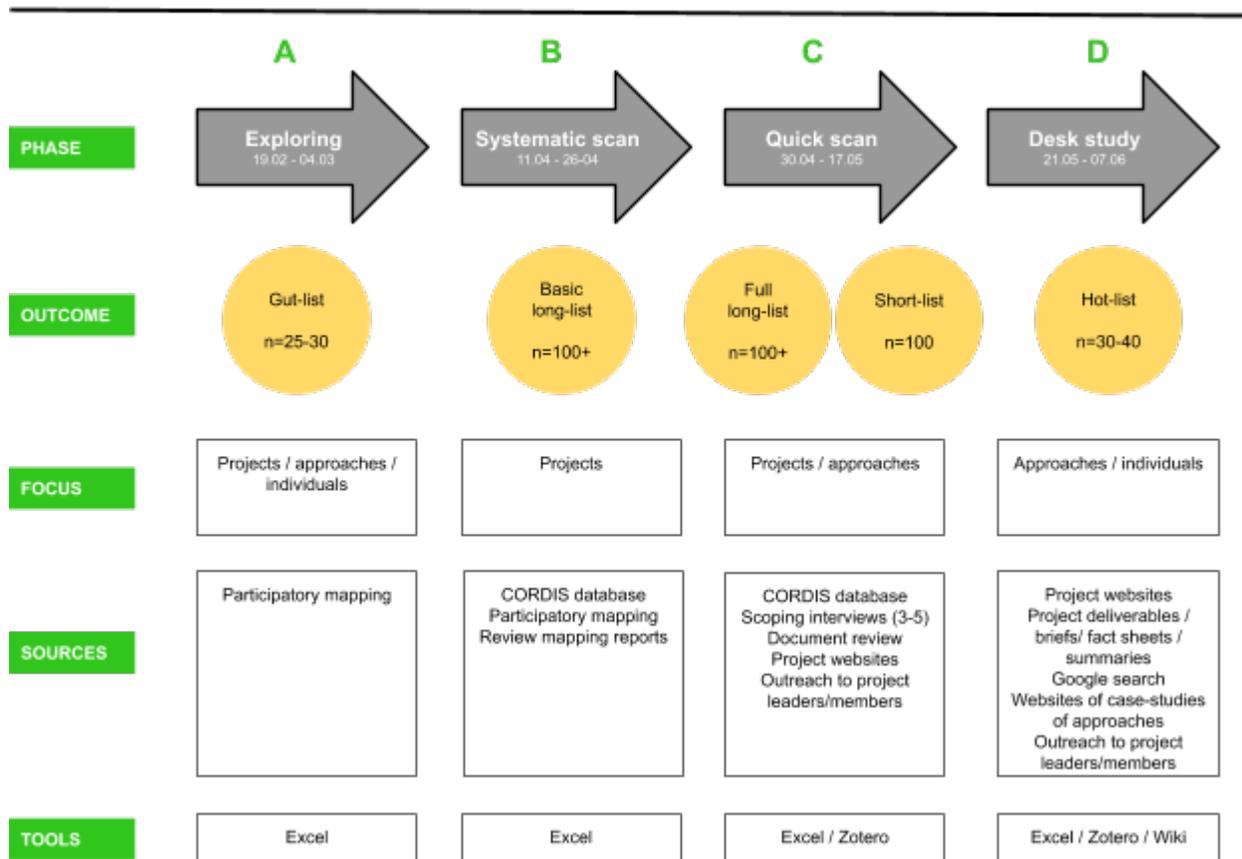
Phase 1: Scanning and selecting (April-June 2019)

Figure 3: Visualization of phase 1 of the mapping process



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

Phase 1: Scanning and Selecting

**Phase 1a: Exploring the possibilities (19.02.19- 04.03.19) - GUT-list**

The main method for this phase has been interactive sessions (kick-off & online meetings) to discuss and the use of the **GUT list** (N = 25-30) to collect EU-funded projects, approaches, individuals we already knew and to test what kind of categories are possibly interesting and feasible for this first phase of scanning and selecting. This GUT list served as an intuitive exercise to provide a grasp of what is actually possible within the scanning and selection phases. It has no formal status and was only aimed at testing and experimenting.

Phase 1b: Long-list scanning of projects (11.04.19 - 26.04.19)

The long-list consists of an overview of 100+ projects. The only selection criteria at this stage is that it must be a EU-funded project that shares knowledge / experience on (urban) sustainability and/or justice (issues of inclusion, exclusion, (in)equality) that seems relevant for the urban context.



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

The [basic long-list](#) includes the following information (see more in table 4):

- *Project acronym*
- *Full name of project*
- *Funding scheme*
- *Time frame*
- *Link to project website and/or CORDIS*
- *Mapping source(s) (e.g. CORDIS, google, social media input etc.)*
- *UrbanA relevance (unknown, somewhat relevant, relevant)*
- *Entry by*
- *Date of entry*
- *CORDIS search code (see table 3)*

In parallel to the long-list of 100+ projects, we also keep a list to note down (1) relevant approaches or people that we may stumble upon while searching (which may be useful later for other mapping phases) and (2) networks and/or events that seem relevant for the Arena events (see D2.1). These will be shared with other WPs as potential collaboration, follow-up or dissemination opportunities.

To develop the basic long-list, we work with a diversity of data-collection methods to ensure triangulation and a broad basis:

- CORDIS database search (see: <https://cordis.europa.eu/search>)
- Participatory mapping via an online social media campaign
- Review of other existing mapping exercises

CORDIS database search

Who: all partners. DRIFT in the lead.

The Community Research and Development Information Service (CORDIS) is the European Commission's primary source of results from the projects funded by the EU's framework programmes for research and innovation (FP1 to Horizon 2020). For the CORDIS database search we use the four central mapping themes as described in section 2. Two of the mapping themes are rather clear-cut: urban and sustainability. We decided not to use 'city', since the overlap would be great and we imagine to not miss out on relevant hits. For sustainability we also search the counter term unsustainability.

The other two mapping themes are less clear-cut: justice and transformative potential. For these themes we decided to also take on more derivative terms as equality and equity, as well as the counter terms (injustice, unjust, inequality and inequity). Since we are also looking for processes of in- and exclusion, we also incorporate these words (however inclusion is only incorporated in combination with exclusion since the term is otherwise too broad). For transformative potential we use the search words transition and transformation (transformative is not used since it amounts to the same hits as transformation).



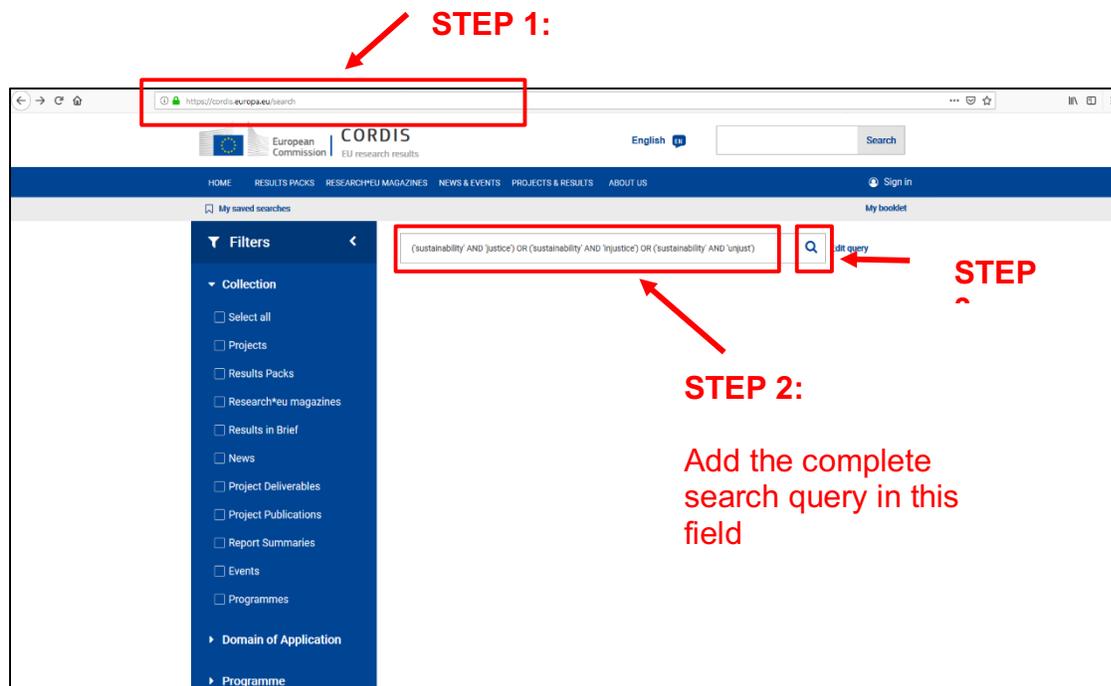
This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

We choose to only include searches that are a combination of at least two of the central themes, otherwise the search will be too broad and the amount of hits too high (so we don't include searches with e.g. only the word 'urban' or 'sustainability'). All the combinations we will use are included in the table below. Some combinations prove to be too broad and also less relevant for the aim of this project, e.g. the combination of 'urban' and 'transformation' and the combination of 'sustainability' and 'transformation'. For an overview of the excluded searches please see the Appendix: excluded CORDIS searches.

To search the CORDIS database, please follow these steps:

- Step 1: go to <https://cordis.europa.eu/search>
- Step 2: copy-paste your search query text (see table 3 below)
- Step 3: press search button
- Step 4: enter the projects that you find into the [basic long-list Google Sheet](#)

See also screenshot below.



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

Table 3. Task division CORDIS searches

Search code	Key themes	Search words	Search query (copy-paste the entire text in the search field)	Amount of hits*	Partner
1	Urban Sustainability Justice Transformation	(urban) AND (sustainability) AND (justice) OR (equality) OR (equity) OR (inclusion AND exclusion) (transformation OR transition)	('sustainability' AND 'urban' AND 'justice' AND 'transition') OR ('sustainability' AND 'urban' AND 'justice' AND 'transformation') OR ('sustainability' AND 'urban' AND 'equality' AND 'transformation') OR ('sustainability' AND 'urban' AND 'equality' AND 'transition') OR ('sustainability' AND 'urban' AND 'equity' AND 'transformation') OR ('sustainability' AND 'urban' AND 'equity' AND 'transition') OR ('sustainability' AND 'urban' AND 'inclusion' AND 'exclusion' AND 'transformation') OR ('sustainability' AND 'urban' AND 'inclusion' AND 'exclusion' AND 'transition')	413	FC.ID
2	Urban Sustainability Justice	(urban) AND (sustainability) AND (justice) OR (equity) OR (inclusion AND exclusion)	('urban' AND 'sustainability' AND 'justice') OR ('urban' AND 'sustainability' AND 'equity') OR ('urban' AND 'sustainability' AND 'inclusion' AND 'exclusion')	369	UAB
3	Urban Sustainability	(urban) AND (unsustainability)	('urban' AND 'unsustainability')	125	ECOLISE
4	Urban Justice	(urban) AND (justice) OR (injustice) OR (unjust) OR (equity)	('urban' AND 'justice') OR ('urban' AND 'injustice') OR ('urban' AND 'unjust') OR ('urban' AND 'equity')	328	CEU



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

5	Urban Justice Transformation	(urban) AND (justice) OR (equity) OR (inclusion AND exclusion) AND (transformation) OR (transition)	('urban' AND 'justice' AND 'transition') OR ('urban' AND 'justice' AND 'transformation') OR ('urban' AND 'equity' AND 'transformation') OR ('urban' AND 'equity' AND 'transition') OR ('urban' AND 'inclusion' AND 'exclusion' AND 'transformation') OR ('urban' AND 'inclusion' AND 'exclusion' AND 'transition')	273	ICLEI
6	Sustainability Justice	(sustainability) AND (justice) OR (injustice) OR (unjust)	('sustainability' AND 'justice') OR ('sustainability' AND 'injustice') OR ('sustainability' AND 'unjust')	383	ALU-FR
7	Sustainability Justice Transformation	(sustainability) AND (justice) OR (equity) AND (transformation) OR (transition)	('sustainability' AND 'justice' AND 'transition') OR ('sustainability' AND 'justice' AND 'transformation') OR ('sustainability' AND 'equity' AND 'transformation') OR ('sustainability' AND 'equity' AND 'transition')	367	DRIFT
8	Justice Transition	(transformation) OR (transition) AND (justice) OR (injustice) OR (unjust)	('justice' AND 'transition') OR ('justice' AND 'transformation') OR ('injustice' AND 'transition') OR ('injustice' AND 'transformation') OR ('unjust' AND 'transition') OR ('unjust' AND 'transformation')	415	Ignore for now, add such combinations maybe in later stage
	Total amount			2673	346 p.p.

*As searched on 11-04-2019

Participatory mapping via an online social media campaign - See Appendix! (Phase 1b & 1c)

Who: all partners to share call in their networks, organisations and social media. DRIFT in the lead for providing the text and Google Form + DRIFT in the lead for collecting social media input and translating the input to the short list.

We will issue an open online call for input, inviting people to share (EU-funded) projects that have addressed (urban) sustainability/justice. We will set up a Google Form so that people can quickly and easily answer questions, which then translates into a Google Sheet that we can easily merge with our own overarching Google Sheet (and download as an Excel file). At the end of the Google Form we will also ask people whether they want to stay informed and/or be invited to future events. As such, this social media



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

campaign is already a way of informing people about UrbanA and the upcoming Arena events, and possibly getting them involved/interested. The online call will be shared in all of UrbanA partners' own networks and organisations via their respective websites, via email, as well as on social media including Facebook, LinkedIn and Twitter. A standard text that will be shared, as well as the content of the Google Form, is included in the appendix.

Review of other databases, maps, projects and programmes (Phase 1b & 1c)

Who: all partners. ECOLISE in the lead.

Alongside the CORDIS search, we will review other sources of information regarding projects, approaches and initiatives dealing with (urban) sustainability and/or justice. As well as a way to identify projects for our long-list, this will also reveal potential opportunities for collaboration during later stages of the project. Four examples are:

- [Transformative Cities](#): creating an Atlas of Transformative Urban Initiatives worldwide
- [Municipalities in Transition](#): network, projects, solutions database and community of practice on transformative community-municipal collaborations
- [Fearless Cities](#): a global network of municipalist initiatives for local democracy and social justice
- The [INURA](#) network for urban research and action

We will indicate any other mapping exercises, databases, overviews of projects that seem relevant for UrbanA this in the tab "other databases" in the Long-List Google Sheet and - as far as time allows - review the projects they contain. At the end of phase 1b we will (re)consider the list of other databases/ mapping exercise and see if we need to dive into them deeper.

The basic long-list is finalized on the 26.04.2019 and on 30.04.19 we have an online reflection meeting to discuss the long-list and to transition into phase 1c.

Phase 1c: Short-list: quick scanning of projects and approaches (30.04.19-17.05.19)

Who: all partners to scan x amount of projects (dividing 100+ projects in full long-list by 7 partners). DRIFT coordinates.

The short-list is the selection of the 100 projects that will be part of the UrbanA database. Getting to this short-list means that we first need to include additional information for all the 100+ projects in the basic long-list (phase 1B), which will result in a *full* long-list. It is on the basis of that information that we select the short-list of 100 max. that we will study further.

The **full long-list** and **short-list** will include information on (see table 4):

- *Information long list (name, funding scheme, time frame, link, mapping source etc.)*



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

- *Approaches addressed*
- *Abstract/summary of the project*
- *Sustainability*
- *Justice*
- *Urban*
- *Disciplinary perspective*
- *Project lead(s)/main contact person(s)*
- *Optional: flag the project when based on a first quick scan we think the project is of high priority/relevance based on its radical/critical potential and with the UrbanA aims in mind.*

The project lead(s) or main contact person(s) that we identify do not have to be the grant coordinator, but could be anyone involved in the project that had a leading position in the research/innovation aspect relevant for UrbanA. This category allows for multiple entries. Identifying these individuals is also important at this stage so that we can communicate a save-the-date of the first Arena event in April-May. The first batch of participants will be invited in June based on the info on the short-list and hot-list of phase 1C and 1D (see D2.1).

Methods for finding the additional information for the full long-list are:

- *CORDIS database search*
- Scoping interviews (3-5)
- Document review of key overview reports on (urban) sustainability/justice
- Reviewing project websites (superficially)
- Google search
- Possible informal outreach to project leaders/ members

In this phase of the mapping we start building the library in Zotero. For each project on the longlist we create a folder. Details on how to use Zotero are described in the appendix. Per project at least ...

- add the link to the respective project(s) website(s) and/or the weblink to the CORDIS results or the other mapping source(s)
- If available, add a final report summary of the project and other sources you consult to fill in the longlist.
- Relate the different items you add to the folder of the project to each other .

Scoping Interviews

Who: ICLEI & DRIFT. ICLEI in the lead.

We conduct 3-5 interviews with people who have an overview of (projects on) (urban) approaches to sustainability/ justice (e.g. EC DG research, JPI Europe) to ask them (a) what are their top 3-10 projects that we should include in the long-list and/or shortlist and (b) what are relevant sources to find projects



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

besides CORDIS, incl. e.g. key (EU) reports for our document review. We then check whether the projects that are mentioned in these interviews are already on our basic long-list, and if not, we will add them + add the additional information for the full long-list.

Document review of key overview reports on (urban) sustainability/justice

Who: all partners. ICLEI in the lead

We review existing reports on projects / approaches on urban / sustainability / justice. Examples are EU reports such as [EU Research and innovation for and with cities](#) (2017), Horizon 2020 Work Programme 2018-2020: [Topics related to Cities and Urban Developments](#) and [Innovating cities](#). Again, we check whether relevant projects that we come across are already on our basic long-list, and if not, we will add them + add the additional information for the full long-list.

The full long-list of 100+ will be finalized by 17.05.19. We will then discuss and select what are the 100 projects to be selected and included on the short-list, including an online reflection on 21.05.19. The selection process will be based on the following unit- and sample criteria:

- Project pops up in multiple sources (unit criteria)
- Project explicitly addresses combination of sustainability justice, urban/ sustainability, urban/ justice or urban/ sustainability/ justice (unit criteria & sample criteria).
- Timeframe: diversity regarding the time frame of the project (sample criteria)
- Diversity of disciplinary perspectives (sample criteria)

We note that the projects don't have to score high on each category to be included in the short-list and it's not based on a first come first serve principle. Rather, at this point, we prioritize projects that provide a balance across the selection criteria in order to generate a short list with a wide breadth of possible lessons.

How the selection process will be managed exactly in terms of decision-making is something we will determine at a later stage, also depending on how many projects are on the long-list and how much contestation there is. DRIFT is in the lead for hosting and facilitating this process.

Phase 1d: Hot-list: desk study of approaches and individuals (21.05.19-07.06.19)

Who: all partners to study 17 projects per partner (dividing 100 projects in full short-list by 6 partners). DRIFT coordinates.

The hot-list consists of an overview of 30-40 approaches that we study further and 30-40 individuals whom we want to interview for the 'deepening' phase and whom we possibly want to involve in the arena.



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

Getting to this hot-list, means that we first need to include all of the information for all the approaches (n= ?) that are part of the 100 projects on the basic short-list. In other words: we elaborate the basic short-list to a full short-list. Thus, in this phase the focus switches explicitly from projects to approaches. It is on the basis of that information that we will be selecting the list of 30-40 approaches that we will be 'deepening' (phase 2) as well as the 30-40 people that we will be interviewing and possibly involving in the Arena events.

The **full short-list** and **basic hot-list** includes information on (see table 4 for a first operationalization of the categories):

- *Information long-list (name, funding scheme, link, mapping source)*
- *Information short-list (xxx)*
- *Instances of approaches*
- *Linking sustainability and justice*
- *Sector/domain*
- *(Types of) people involved*
- *Narrative*
- *Attention for transformative potential*
- *Transferability*
- *Geographic coverage*
- *Scale /scope*

Methods for finding the additional information for the full short-list are:

- Reviewing project websites (more in-depth)
- Google search
- Reviewing 1-3 project deliverables / briefs/ fact sheets / summaries
- Review (websites of) case-studies of approaches mentioned in projects
- Possible informal outreach to project leader(s)/main contact persons

We select the 30-40 approaches for the hot-list based on the following unit and sample criteria:

- Diversity of sectors and domains (sample)
- Diversity of people involved (sample)
- Diversity of geographic coverage (sample)
- Diversity of scales/scopes (sample)
- Degree of (attention for) transformative potential (unit)
- Degree/diversity UrbanA relevance - (links between) urban/ (un)sustainability/ (in)justices (unit & sample)
- Degree of transferability (unit)



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

The selection of the approaches is critical to the mapping. We aim to not only include 'high-level' approaches that already have everything figured out, but to include a broad set of approaches, also in terms of transformative potential. As with the short-list, we seek to create a hot-list with a breadth of possible lessons.

We select the 30-40 individuals that we will interview based on:

- Relevance of approach and level of engagement of individual to approach (unit)
- Response to social media call / call for activities of 1st Arena event (unit)
- Diversity of types of actors (sample)
- Diversity of sectors and domains (sample)
- Diversity of type of engagement (strategic/operational/tactical) (sample)

The selection of the individuals will be closely coordinated with WP2. The selection of the interviewees won't be confined only to people who were directly involved in EU funded projects, but includes people who are related to and engaged in the approaches in e.g. specific urban context.

Phase 2: Deepening (June - September 2019)

Who: all partners to study xx approaches and conduct 5-6 interviews per partner (dividing xx projects/approaches and 30-40 interviews by 7 partners). DRIFT coordinates.

The deepening phase ensures the quality over the quantity of approaches. To repeat: in this phase the focus is on deepening *approaches*. The XX approaches on the hot-list will be subject to in-depth study. In this phase we gather qualitative insights on the central themes of UrbanA and learn more about how the approaches address ecological, socio-economic and/or social justice issues (as discussed in section 2).

The outcome of the deepening is a draft database (consisting of information from the long-, short- and hot-list) - to be shared, deliberated & adapted before and during Arena event #1 (see section 4).

Instead of working with strict pre-defined operationalizations, we will work with 4-5 open research questions that allow for qualitative insights. The final questions will be elaborated, formulated and deliberated with all UrbanA mappers end of May/ beginning of June (incl. our online reflection meetings on 21.05.2019 and 07.06.2019). The questions will revolve around:

- Sustainability/justice/urban
- Transformative potential
- Success
- Enabling and constraining factors and conditions
- Narrative of change
- Development stage and level of maturity



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

The methods that we will use for the deepening phase include (see elaboration below):

1. in-depth desk study of the hotlist of XX approaches
2. semi-structured interviews with 30-40 individuals
3. participatory pre-arena sessions organised by each partner (internal within their organisation or possibly broader if they want).
4. Wiki as a knowledge management platform

Below there is some elaboration of each method. More detailed guidelines for the desk study, interviews and participatory sessions are to be developed in May (coordinated by DRIFT but in consultation with all partners), in close coordination with D2.1/WP2 and WP7.

In-depth desk study of hot-list of approaches and individuals (June/July/August)

Who: all partners. Divide the xx approaches on the hot-list > all partners to deepen a selection of approaches

Sources: project websites, project deliverables, final report summaries, websites of approaches, reports on approaches, academic publications etc.

Semi-structured Interviews with 30-40 individuals (batch 1 in June, batch 2 in September)

Who: all partners to interview 5-6 individuals per partner. DRIFT in lead for interview guidelines.

We will interview the first batch in June and the second batch in September. The aim of the interview is two-fold: to (1) gain deeper insight into the approaches and projects that could not be gained from the websites/ documents, and (2) starting to engage with potential arena participants, introducing them to the set up of the Urban Arena and explore how they can/want to be involved. DRIFT will develop interview guidelines end of May.

Participatory pre-arena sessions (in close collaboration with WP2) - also in Phase 3

Who: all partners to organise 1 session. DRIFT in the lead for proposing possible formats.

Each UrbanA partner will organise one deepening session and/or webinar to reflect on the approaches. Either internally within their respective organisations and/or possibly broader. The aim of these participatory deepening sessions is also to distill relevant insights and make the form of the insights and database more accessible for active engagement during the first Arena event. For example to make a visual cluster of approaches and how they relate or to dive into the transformative potential of 2-3 approaches and distill commonalities and differences.

Wiki as a knowledge management platform

ECOLISE in the lead with support from DRIFT. All partners will be involved.



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

Knowledge synthesis and co-creation will employ a dedicated UrbanA wiki (wiki.urbana.eu). Wiki content will principally comprise approaches identified during the distillation phase, along with information on projects, initiatives and case studies related to these approaches. The wiki will initially provide a platform for collaboration among consortium partners on distillation of approaches from projects of interest. It will subsequently support knowledge co-creation involving Arena participants and others connected with the UrbanA community of practice, before, during and after the first arena. Following evaluation and reflection upon its use during the first Arena, decisions will be made as to whether to use it on a similar basis in WPs 4-6, by the respective WP leaders in consultation with other consortium partners. .

The UrbanA wiki will use MediaWiki, an open source platform initially developed by the Wikimedia foundation as the architecture for Wikipedia and now one of the best-supported wiki platforms available. ECOLISE has over the past two years prototyped use of a MediaWiki site as its own knowledge management platform (wiki.ecolise.eu), experiences from which inform the approach taken within UrbanA. Use of a wiki within UrbanA has direct operational value, in terms of facilitating knowledge distillation and co-creation within the consortium and through the Arena processes. It is also likely to enhance the legacy value of UrbanA by enabling uptake of findings and their further development by users in research, practice and policy fields. Beyond UrbanA itself, it may also be a useful model for supporting the accessibility, transferability, visibility and application of findings from EU-funded research.

In the first instance, the wiki will be introduced during the deepening phase, as a collaboration platform on which to compile information on relevant approaches. Each approach subject to deeper exploration will have its own wiki page providing a description, analysis and evaluation, summarising the evidence generated during previous research projects and indicating key examples of its application. The wiki may also include pages on projects, case studies of relevant approaches in practice, and people involved in projects and/or case studies, all of which would be linked directly from the relevant approach pages. Whether or not to create wiki pages for projects and case studies will be decided during the distillation process: this may not be necessary if adequate documentation already exists on project websites, which in that case could be linked directly. The wiki might also record findings from semi-structured interviews, again if appropriate.

As a next step, the wiki will be used to support co-creation and validation during the first arena, and in the run-up to and follow-up from this arena. Each wiki page (on an approach) forms a mobile and mutable knowledge artefact, suitable for discussion and modification by participants from many and potentially multiple sectors. Pages can be discussed either in isolation, or in context (i.e. taking into account linkages with other approaches).

The first arena will include discussion and assessment at both these levels: of the range of approaches and their interconnections (e.g. whether any approaches are missing or redundant, whether any synergies or conflicts exist between approaches), and of the details of individual approaches. Similar discussions



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

might also be part of participatory pre-arena sessions organised by partners, and of any follow-up events emerging from the arena itself. Changes identified during these discussions will be recorded on the wiki, either live and direct during the discussion itself, or retrospectively based on notes made during arena or other event. In WPs 4-6 and the associated arenas and other events, new wiki pages corresponding to their central themes (drivers of inequality, governance scenarios and policy recommendations) could be added and discussed in similar fashion.

In addition to being a standalone UrbanA deliverable, the wiki can support wider dissemination, uptake, application and further development of UrbanA findings, due to its straightforward duplication, transferability and sharing. The wiki could be duplicated (wholly or in part) for use and development by other groups – e.g. participants in local arena events, communities of practice, policy-makers and other target audiences – who might adapt it for their own purposes. Innovations generated by different user groups can be selectively incorporated into the main wiki (in wiki jargon, these two processes are known as ‘forking’ and ‘merging’). This can be part of a co-creation methodology during the lifetime of UrbanA. It can also allow for legacy development beyond the duration of UrbanA and consortium’s capacity to maintain it directly.

The ECOLISE wiki provides an existing outlet for such legacy usage, as it is anticipated that this will be sustained and actively curated on an indefinite basis. Content from the UrbanA wiki will be incorporated, in whole or in part, into the ECOLISE wiki, and also be made available for use on a similar basis by other interested stakeholders. Wiki content will be protected by a Creative Commons Sharealike license, allowing its free re-use and modification by any interested party. The wiki itself will provide source material for other UrbanA outputs, in particular the final UrbanA database (D3.2). When UrbanA finishes, it will no longer be actively developed by the consortium, but can remain online as a static information resource and project output.

Who is responsible for the wiki after the project finishes will be further explored and discussed within the consortium in relation to broader data management questions (D1.7/ WP1). The main disclaimer is that learning how to use Wiki requires a time investment on the part of the consortium members. The advantage of creating a commons based platform also brings along a challenge of managing the data carefully. One option here would be link the network interactions as part of task 7.3 cluster to the wiki.

Phase 3: Co-creating and validating (October - December 2019)

Who: all partners. DRIFT coordinates.

The mapping insights and draft database will be discussed and enriched during the participatory pre-arena sessions (as described in phase 2) as well as during Arena #1, where we will engage with key city-makers in EU cities who focus on urban justice and/or sustainability. We will use interactive facilitation methods (see D2.1) to assess and enrich mapped approaches (see section 4) in a participatory way. (Pre)-Arena



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

participants will be asked to review the UrbanA mapping and provide details regarding “missed” approaches. As such the pre-arena sessions and Arena #1 are also a means to test the findings from the mapping so far and share them with a broad audience. Subsequently, participants will co-create and acquire new knowledge about other possible solutions that address inequality and exclusion in urban areas.

The outcome of the co-creating and validating phase is the final **UrbanA database** (D3.2, December 2019).

More About Arena #1

UrbanA will facilitate a transdisciplinary and translocal Urban Arena process as a co-creative space to identify and generate approaches for sustainable and just cities. Over the coming three years, a series of four Arena events will bring together city-makers from across Europe. Overall the full series of Arena events stimulates reflection (identifying approaches addressing sustainable and just cities), action (influence policy agendas at local and EU level and empowering participants to design and transform sustainable and just urban environments) and connection (enable city-makers to share knowledge and experience across cities, regions and domains and develop and/or deepen local, translocal and regional networks and communities of practice). This will be achieved by hosting a mix of plenary and parallel participatory settings. Through a ‘blended’ combination of virtual and physical gatherings, the series of Arena events will enable different degrees of involvement and connection: some Arena participants might be actively engaged and physically present in all Arena events, while others might be more remotely participating in one or two Arena events (see D2.1).

The aim of the first Arena event is to create a common ground amongst arena participants that serves as a basis for the full series of four Arena events. The database will be presented in an accessible way (to be further defined in designing Arena event #1 as part of WP3 task 3.3 and task 3.4 in collaboration with WP2, and WP7) so that participants can easily engage with the database (as in critiquing, adapting, extending and deepening). This will lead to a completion of the database, a collective understanding of the breadth of approaches for sustainable and just cities and acknowledgment of different perspectives on this theme (‘reflection’). Secondly the aim is to get to know each other as it is the first time that the Arena participants meet each other (‘connection’). As such the first Arena event is instrumental to the mapping process and serves as a ‘kick off’ for the Arena participants. Parallel to the development of D2.1 the first Arena event is designed. More details about the design of the first Arena and its program will follow in May-June 2019.

Phase 4: Synthesizing insights (January - April 2020)

Who: all partners. DRIFT coordinates.



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

All insights collected during the mapping and the first Arena event will be collected in the final mapping report (D3.3 in April 2020). The final outline of that report will be decided upon later but it will include insights from each phase:

1. The long-, short- and hot-list (possibly all included as appendices);
2. The key insights from the deepening and the interviews;
3. The key insights from the co-creation during Arena #1;

Table 4 below provides an overview of all the mapping phases, incl. the units of analysis, methods, sources, outputs, functions and audiences.

Table 5 below provides an overview of the different categories of information that will be collected in each phase.



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

Table 4: Overview of mapping phases

Phase	Number of units	Unit of analysis	Methods	Sources	Outputs	Function	For/ by who(m)
Phase 1a: exploring	25-30 projects	Projects, approaches, individuals	Participatory mapping	Own experiences	GUT-list in Excel	Testing	Consortium
Phase 1b: systematic scanning	≈ 200-300 projects	Projects (parallel list for approaches, people and networks/events)	Cordis database search, Participatory mapping via social media, review of other mapping exercises	Cordis database, EU final report summaries, EU reports, websites EU projects, social media	Long-list in Excel	Compiling information	consortium, Social media respondents
Phase 1c: quick scanning	≈ 100 projects	Projects, approaches	Scoping interviews (3-5), document review, websites, google search, informal outreach	Cordis database, EU final report summaries, EU reports, websites, EU projects	Short-list in Excel, Zotero library	Compiling information	consortium
Phase 1d: desk study	30-40 approaches	Projects, approaches, individuals	Reviewing project website, google search, reviewing 1-3 projects, deliverables/ briefs/ summaries, reviewing case studies of approaches	Project websites, projects deliverables, websites + brochures + reports of the approaches	Hot-list in Excel, Zotero library, wiki pages	distilling	consortium
Phase 2: deepening	30-40 approaches	Approaches, individuals	Semi-structured interviews, participatory pre-arena sessions, in depth desk study of approaches, wiki	Participants, approaches and projects, relevant documents and broader group of people engaged	Draft database (Excel/ Word/ PDF) List of potential arena participants, wiki	Compiling, distilling and sharing	Arena participants
Phase 3: validating	All above	Approaches	Arena event #1, Participatory mapping	Arena participants	Database (Excel/ Word/ PDF), wiki	Sharing and co-creating	Arena participants and wider public



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

Phase 4: synthesizing	All above	Projects, approaches, individuals	Document review, comparative analysis	Database, Arena report	Mapping report, Database in Word-file + Excel file	Sharing	Wider public
-----------------------	-----------	-----------------------------------	---------------------------------------	------------------------	--	---------	--------------

Table 5 below provides the basic operational definitions and/or the answer categories for each phase of the mapping. Since we move from breadth to depth, and from a more standardized to a more interpretative mode of data collection, the operationalization of the categories will differ per phase. In the assessment of the categories we distinguish between the perspective of the project/people involved (emic approach) and the perspective of the researchers (etic approach). These two viewpoints may contradict and are not mutually exclusive, and the boundaries are blurry. Especially in the phase of deepening and co-creating the distinction between the viewpoints won't hold. This table will evolve during the mapping process, also based on the collective reflection sessions.

Table 5: Database categories

Categories	Operational definition phase 1	Operational definition phase 2 - deepening
Phase 1B: long-list scanning of projects		
Project acronym	Single entry	
Full name of project	Single entry	
Funding scheme	Single entry	
Time frame	Single entry	
Link	Single/multiple entries	
Mapping source(s)	Multiple choice	
UrbanA relevance	Unknown, somewhat relevant, relevant	
Entry by	Single/multiple entries	
Search term code	Single/multiple entries	
Date of entry	Single/multiple entries	



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

Comments	open	
Phase 1C: quick scan of 100+ projects (+ mapping approaches of projects)		
<i>Including categories of long-list</i>		
Approaches addressed	[multiple entries]	
Abstract/summary of the project	Main focus and aim of the project [short description]	
Sustainability	The extent to which the project or approach on sustainability issues [4-point response scale]	What type of sustainability issues are addressed, how and at which scale? (open)
Urban	The extent to which the project or approach focuses on the urban [4-point response scale]	Which scale of the urban? Which urban territories?
Justice	The extent to which the project or approach focuses on justice [4-point response scale]	What type of justice is addressed, how and at which scale? (open)
Disciplinary perspective	The scientific disciplines that are prominent in the project [multiple entries]	
Project lead/main contact person	[multiple entries]	
<i>Optional flag</i>	<i>High relevance projects based on its radical/critical potential with the UrbanA aims in mind [flag]</i>	
Phase 1D: desk study of approaches in 100 projects		
<i>Including information on the long list and adding to the information on the short-list</i>		
Instances approaches	[multiple entries]	
Linking sustainability and justice	The extent to which the approach explicitly connects sustainability and justice? [4-point response scale]	How does the project link sustainability and justice? [short description]
sector/domain	The societal/functional domain or sector the approach focuses on. For example: energy, health, climate adaptation [multiple entries]	



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

(Type of) people involved	The types of actors that are involved in and targeted by the design and implementation of the approach [multiple entries]	
Narrative	The underlying premise of how the approach tries to address a problem and achieve change [short description]	Theories of change that approaches have about how they approach challenges/ make change possible, including the concepts, stories and discourses that they use [elaborate description]
Attention to transformative potential	The extent to which the approach alters, changes or challenges dominant institutions [4-point response scale]	What institutions? How? Why? [elaborate description]
Transferability	The extent to which the results of the project project or the approach can be generalized or transferred to other contexts [4-point response scale]	In how far can this approach be adapted to different contexts? Which actors have the capacity to initiate similar interventions in more widespread contexts, and which actors could provide the required context conditions?[elaborate description]
Geographic coverage	The continent, country or city in which the approach is based or active [multiple entries]	
Scale/scope	Level of organization of the approach. For example, neighbourhood, city, nation, world, translocal [multiple entries]	
Phase 2: deepening (to be further defined in a later stage)		
<i>Building upon the information on the hot-list and further elaborating on specific categories.</i>		
Sustainability/justice/urban		How does the project link sustainability and justice? Which scale of the urban? Which urban territories? What type of justice/sustainability is addressed, how and at which scale? [elaborate description]
Transformative potential		The extent to which the approach alters, changes or challenges dominant institutions? (short description) what institutions? How and why? [elaborate description]



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

Success		To be defined in a later stage [elaborate description]
Enabling and constraining conditions		To be defined in a later stage [elaborate description]
Narrative of change		Theories of change that approaches have about how they approach challenges/ make change if possible, including the concepts, stories and discourses that they use.
Development stage and level of maturity	><	To what extent does the approach deals with stages of maturing? What terms or typologies they use for that? What is the stage/phase of maturity of the approach? [elaborate description]

Table 6: Database categories for individuals (to coordinate & develop further with WP2/D2.1)

Categories	Operationalization
Type of actor	Market: business, entrepreneur, employers, employees. Community: households, individuals, activists, entrepreneurs, volunteers State: citizens, civil servants, politicians.
Sector/domain	
Skills	Capacities and expertise of the individual. For example: critical, intellectual, mobilising, activating,
Affinity	The level of activity that the individual operates at: strategic, operational, tactical
Connection to consortium partner	Nature of connection to or involvement of/with UrbanA partner



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

References

- Agyeman, J., Bullard, R. & Evans, B. 2003. *Just sustainabilities: development in an unequal world*, Cambridge, Mass., MIT Press.
- Anguelovski, I. (2015). "Alternative food provision conflicts in cities: Contesting food privilege, injustice, and whiteness in Jamaica Plain, Boston." *Geoforum* 58: 184-194.
- Anguelovski, I. (2016). "Healthy Food Stores, Greenlining and Food Gentrification: Contesting New Forms of Privilege, Displacement and Locally Unwanted Land Uses in Racially Mixed Neighborhoods." *International Journal of Urban and Regional Research* 39(6): 1209-1230.
- Avelino, F. (2017). Power in Sustainability Transitions: Analysing power and (dis) empowerment in transformative change towards sustainability. *Environmental Policy and Governance*, 27(6), 505-520.
- Fainstein, S. S. 2010. *The just city*. Cornell University Press.
- Grin, J., Rotmans, J., & Schot, J. (2010). *Transitions to sustainable development: new directions in the study of long term transformative change*. Routledge.
- Haxeltine, A., Pel, B., Wittmayer, J., Dumitru, A., Kemp, R., & Avelino, F. (2017). Building a middle-range theory of Transformative Social Innovation; theoretical pitfalls and methodological responses. *European Public & Social Innovation Review*, 2(1), 59-77.
- Hopwood, B., Mellor, M., & O'Brien, G. (2005). Sustainable development: mapping different approaches. *Sustainable development*, 13(1), 38-52.
- Kasemir, B., Jäger, J., Jaeger, C. C., & Gardner, M. T. (Eds.). (2003). *Public participation in sustainability science: a handbook*. Cambridge University Press.
- Loorbach, D., Frantzeskaki, N., & Avelino, F. (2017). Sustainability transitions research: transforming science and practice for societal change. *Annual Review of Environment and Resources*, 42, 599-626.
- Lukes, S. ([1974] 2002) *Power: A Radical View*. in: Haugaard, M. eds (2002) *Power: A Reader*, Manchester: Manchester University Press
- Markard, J., Raven, R., & Truffer, B. (2012). Sustainability transitions: An emerging field of research and its prospects. *Research policy*, 41(6), 955-967.
- Mohai, P., Pellow, D. & Roberts, J. T. 2009. Environmental justice. *Annual Review of Environment and Resources*, 34, 405-430.
- Pel, B. (2016). Trojan horses in transitions: A dialectical perspective on innovation 'capture'. *Journal of environmental policy & planning*, 18(5), 673-691.
- Rotmans, J. (2005) *Societal Innovation: Between Dream and Reality Lies Complexity*. Inaugural Speech. Rotterdam: Erasmus Research Institute of Management
- Schlosberg, D. 2009. *Defining environmental justice: theories, movements, and nature*. Oxford University Press
- Smith, A. (2006) "Green Niches in Sustainable Development: the case of organic food in the United Kingdom", *Environment and Planning C: Government and Policy*, 24: 439-458
- Smith, A. (2007) "Translating Sustainabilities between Green Niches and Socio-technical Regimes", *Technology Analysis & Strategic Management*, 19(4): 427-450



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

Appendix 1: Excluded CORDIS searches

Please also see the motivation for some excluded keywords in section 3.2, Phase 1b. Below are additional searches that are excluded, mainly because the combination of keywords resulted in a too high amount of hits.

Key theme	Search words	Amount of hits	Comment
Sustainability	sustainability	52247	
Justice	justice	1816	
	injustice	128	Possible search to use at a later stage
	unjust	36	Possible search to use at a later stage
	equity	1061	
	inequity	2176	
	equality	7605	
	inequality	2176	
Urban	urban	13676	
	city	12032	Search term gives less hits than 'urban' so decided to only use 'urban' in our search
Urban Sustainability	urban AND sustainability	5159	Search term 'sustainable' gives same amount of hits as 'sustainability', so this term is excluded from the search. Same goes for the term 'unsustainable'
Urban Transformation	urban AND transformation	1492	Search term 'transformative' gives same amount of hits as 'transformation', so this term is excluded from the search



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

	urban AND transition	1691	
Urban Justice	urban AND equality	616	
	urban AND inequality	558	
	urban AND inequity	558	
Urban Sustainability Justice	sustainability AND urban AND inequity	473	
	sustainability AND urban AND inequality	473	
	sustainability AND equality	2056	
	sustainability AND equity	392	
	sustainability AND Urban AND equality	433	
	sustainability AND urban AND inclusion	566	
	sustainability AND urban AND exclusion	305	
	sustainability AND urban AND inclusion	546	
Urban Sustainability Justice Transformation	sustainability AND Urban AND inclusion AND transition	237	Only use 'inclusion' in combination with 'exclusion', otherwise it's too broad of a term
Sustainable Justice	sustainable AND equitable	259	These two terms are used are in the title of our project proposal
	sustainability AND equality	2369	



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

	sustainability AND equity	459	
--	---------------------------	-----	--



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

Appendix 2: Design Google Sheets

Google Sheet for basic long-list Phase 1b

Columns included:

- Project acronym
- Full name of project
- Funding scheme
- Time frame of project
- Link
- Mapping source(s)
- UrbanA relevance
- Entry by
- Search term code
- Date of entry
- Comments

Tabs included:

- Projects = long-list
- Approaches (if we come across approaches, not necessarily linked to projects)
- Individuals (if we come across people, linked to projects and approaches)
- Networks/ Events
- Other databases
- Interesting links/reads
- Social Media Comments (to be filled in by DRIFT)

Link:

https://docs.google.com/spreadsheets/d/1NdSOeO5gBchlWZ_XQXChhj91M7E5LUPP_iNplcUM_rc/edit?usp=sharing

Other Google Sheets to be developed

- Full long-list (after Phase 1B: 26.04.19)
- Basic short-list (beginning of Phase 1C: 30.04.19)
- Full short-list (after Phase 1C: 17.05.19)
- Basic hot-list (beginning of Phase 1D: 20.05.19)
- Full hot-list (after Phase 1D: 09.06.19)
- Draft database (at the end of Phase 2 - Deepening: September 2019)
- Final UrbanA database (at the end of Phase 3 - Co-creating & validating: December 2019)



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

Appendix 3: Open call & Social Media Campaign (Long-list Phase 1b)

Long text

To be placed on DRIFT website and (optionally) other partner's websites

Title: **Open Call To Share Projects on Sustainable & Just Cities**

This is an open call to all city-makers to share projects that address issues of (un)sustainability and (in)justice in cities. Are you a policy-maker, activist, entrepreneur, intellectual, citizen or otherwise engaged individual interested in making cities better? Curious about what others are doing? Please share your knowledge & experience with us and we'll share the results with you!

>>> Take this 5-min survey now: <https://bit.ly/2lsKbQe>.

About the UrbanA Project

The connections, tensions and contradictions between inclusivity, social (in)equality and ecological sustainability are sources of endless fascination and debate, especially in the context of cities and rapid urbanisation. This includes issues of green gentrification, climate justice, energy democracy, social housing and many others. In our [UrbanA project on Urban Arenas for Sustainable and Just Cities](#), we synthesize knowledge and experience generated in projects that tackle urban (un)sustainability and (in)justice.

Over the coming three years, UrbanA will organise a series of four blended Arena Events (online and physical) where we bring together city-makers from across Europe who (aim to) design and transform cities into sustainable, inclusive and thriving urban environments and want to learn from existing and new approaches.

What's next? Survey results and beyond

All projects proposed through this survey will become part of our UrbanA database that will share (a selection of) projects, existing and new approaches to tackle urban (un)sustainability & (in)justice. The database is a starting point for distilling and co-creating knowledge on drivers, barriers, governance scenarios and policy recommendations for just and sustainable cities. The database and subsequent insights will be presented, deliberated and adapted during UrbanA's Arena events and made openly available on UrbanA website over the coming years (2019-2021). While the UrbanA database will focus on EU-funded projects, we also welcome your knowledge of other relevant projects.

Share your project and/or stay informed about UrbanA



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

Do you know of projects that address urban (un)sustainability and/or (in)justice and would you like to share those projects with the world? Please let us know by filling in our [short survey](#). Here you can also indicate if you want to stay informed of UrbanA's outcomes and future events. For more information on UrbanA, see our [website in development](#): <http://urban-arena.eu/>.

Medium Short Text (LinkedIn, Facebook, shorter website posts)

This is an open call to all city-makers to share projects that address issues of (un)sustainability and (in)justice in cities. Are you a policy-maker, activist, entrepreneur, intellectual, citizen or otherwise engaged individual interested in making cities better? Curious about what others are doing? Please share your knowledge & experience with us and we'll share the results with you!

>>> Take this 5-min survey now: <https://bit.ly/2IsKbQe>.

The connections, tensions and contradictions between inclusivity, social (in)equality and ecological sustainability are sources of endless fascination and debate, especially in the context of cities and rapid urbanisation. This includes issues of green gentrification, climate justice, energy democracy, social housing and many others. In our [UrbanA project on Urban Arenas for Sustainable and Just Cities](#), we synthesize knowledge and experience generated in EU-funded projects that tackle urban (un)sustainability and (in)justice.

For more information about this survey and about [UrbanA project on Urban Arenas for Sustainable and Just Cities](#), see: <https://bit.ly/2IsKbQe>.

Short Text (LinkedIn, Facebook)

This is an open call to all city-makers to share projects that address issues of (un)sustainability and (in)justice in cities. Are you a policy-maker, activist, entrepreneur, intellectual, citizen or otherwise engaged individual interested in making cities better? Curious about what others are doing? Please share your knowledge & experience with us and we'll share the results with you!

>>> Take this 5-min survey now: <https://bit.ly/2IsKbQe>.

For more information about this survey and about [UrbanA project on Urban Arenas for Sustainable and Just Cities](#), see: <https://bit.ly/2IsKbQe>.

Ultra-short Text/ Soundbites (Twitter, LinkedIn, Facebook, Signatures)



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

- Calling on all city-makers - policy-makers, activists, entrepreneurs, intellectuals, citizens & other engaged individuals: please share past/ongoing projects that address (un)sustainability & (in)justice in cities <https://bit.ly/2IsKbQe> #urbanarena #justcities #sustainablecities
- Opportunity to place your project on urban (un)sustainability & (in)justice on the map! >>> Please share your project(s) with us via this link: <https://bit.ly/2IsKbQe> #urbanarena #justcities #sustainablecities
- Passionate about tackling urban (un)sustainability & (in)justice ? >>> Please share your project(s) with us via this link: <https://bit.ly/2IsKbQe> #urbanarena #justcities #sustainablecities
- Are you a city-maker striving to design sustainable, inclusive and thriving cities? Share your knowledge & experience with past/ongoing projects: <https://bit.ly/2IsKbQe> #urbanarena #justcities #sustainablecities
- Contribute to tackling urban (un)sustainability and (in)justice by sharing your knowledge! Please share your knowledge & experience with past/ongoing projects in this 5-min survey: <https://bit.ly/2IsKbQe>
- Are you or have you been involved in projects that address urban (un)sustainability and/or (in)justice and would you like to share that project with the world? Share it here: <https://bit.ly/2IsKbQe>
- Working on sustainable and just cities? Help us map city-makers' initiatives across Europe! Take this 5-min survey now: <https://bit.ly/2IsKbQe> #Socinnov #socent

Channels to share the call

All UrbanA partners will be asked to share the call for projects via:

- Websites...
- Email to own networks/ email-lists...
- Facebook...
- LinkedIn...
- Twitter...

In the week of 15th of April, DRIFT will share an email with instructions, examples and links to existing posts.



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

Design Google Form

Title: **Open call for projects on sustainable & just cities**

Questions & categories to be included in the Google Form:

Which project that you know of tackles urban (un)sustainability and/or (in)justice?

Mandatory:

1. Name of the project
2. URL-link website of project
3. Your name

Optional

4. Funding scheme of the project > multiple choice grid (options: Horizon 2020, FP4-7, JPI Urban Europe, URBACT I-III, I don't know, other)
5. What kind of approaches does this project study/develop/experiment with and how do they tackle urban (un)sustainability and/or (in)justice?
6. (How) are you engaged with/ interested in addressing (un)sustainability & (in)justice in cities?
7. Your affiliation (name of employer/ organisation and/or website)

Mandatory

8. Do you want to stay informed/involved? > yes/no, if yes, provide e-mail address and choose how > consent:
 1. I give my consent for UrbanA to keep my information (name, affiliation, email) to contact me for follow-up questions regarding this questionnaire.
 2. I give my consent for UrbanA to keep my information (name, affiliation, email) to inform/ invite me about/to future UrbanA events.
 3. I give my consent for UrbanA to keep my information (name, affiliation, email) to inform me about the outcomes of the UrbanA project.→ Options for answers: Yes or no

Want to learn more about the project visit the website: <http://urban-arena.eu/>

For questions about this questionnaire you can contact us via urbana@drift.eur.nl



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

Appendix 4: Zotero structure & instructions

Zotero is an open source application for storing and managing different types of sources, downloadable for free from <https://www.zotero.org/>. UrbanA will use the ECOLISE Zotero library, which has a paid subscription with unlimited storage. Zotero offers the opportunity to create three types of groups: 1) Public, Open Membership (anyone can view your group online and join the group instantly); 2) Public, Closed Membership (anyone can view your group online, but members must apply or be invited; and 3) Private Membership (only members can view your group online and must be invited to join). These groups can be managed both online via a web interface and locally via a standalone application. Bibliographic data is easily interconvertible with other major formats (Mendeley, Endnote, BibTeX, etc.). Bibliographic records can include the corresponding files, which can be stored directly within Zotero or elsewhere (e.g. Box). They can accommodate multiple kinds of documents, including websites, with an option to store a snapshot of any website at the time of inclusion in the library. Individual entries can be categorised via hierarchies of folders, use of tags and setting up relationships between entries.

Folder Structure on Zotero

Zotero Group 'UrbanA Mapping':

- FULL LONGLIST (main folder for full long-list)
 - *Subfolder with name/acronym of respective project*
 - ...
- SHORTLIST (main folder for short-list)
 - *Subfolder with name/acronym of respective project*
 - ...
- HOTLIST (main folder for hot-list)
 - *Subfolder with name/acronym of respective project*
 - ...

Each project receives a separate subfolder in which all documents about the respective project will be collected.

Instructions on how to work with Zotero

For each project at least...

- Add the link to the respective project(s) website(s) and/or the weblink to the CORDIS results or the other mapping source(s)
- Relate the (web)link(s) and/or document(s) of the respective project to other relevant files related to that project (see 3.d. in instructions below)



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

- If available, add a final report summary of the project to the subfolder of the respective project(s)
- At a later stage, when we move to **approaches**, we will link entries to approaches by using tags (see 3.e.)

1. Register and download Zotero

- Go to <https://www.zotero.org/>
 - Click on 'log in' (upper right corner)
 - If you already have an account: Log in
 - If not click on 'register' and follow the instructions
- Download Zotero Standalone and Connector to your computer
 - Click on 'Download' in the upper right menu bar
 - Download Zotero and the respective 'Zotero Connector' for your web browser by clicking on 'download/install' and follow the instructions
- Disable automatic synchronization of your Zotero

We strongly recommend using manual synchronisation of Zotero in order to safeguard against unintended data loss. Once you sync changes you made in your local Zotero installation with the Zotero server, there is no way back to a defined previous state of the database! If you work from within the Zotero website the effect of all manoeuvres is immediate! But besides this, there is no 'Return' button in Zotero that would move items back to their previous location, restore deleted tags or links among items, or make deleted stretches of text from notes reappear. In this sense, Zotero is not entirely fool-proof and requires careful handling!

Therefore we recommend that you disable automatic syncing, as follows:

- Click 'Preferences' under Zotero menu (Mac) or the Edit menu (Windows/Linux)
- Go to 'Sync'
- Enter username and password
- Uncheck the box saying 'Sync automatically'

In order to update the library, you will need to press the sync button (the green circular arrow at the top right of the Zotero window ) at the start of your session. Then when you have finished working, and are sure you have not made any inadvertent changes or deletions, click the same button again to save your work to the shared library. Accidentally deleted items can be found under 'Trash' and can be restored to their previous location in the library by right clicking on them. Please never empty the Trash!

2. Join 'UrbanA Mapping' Zotero Group

- You will receive an invitation via email for joining the 'UrbanA Mapping' Zotero Group
- Accept the invitation by clicking on the link



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

3. Working with Zotero Standalone

a. Adding subfolders

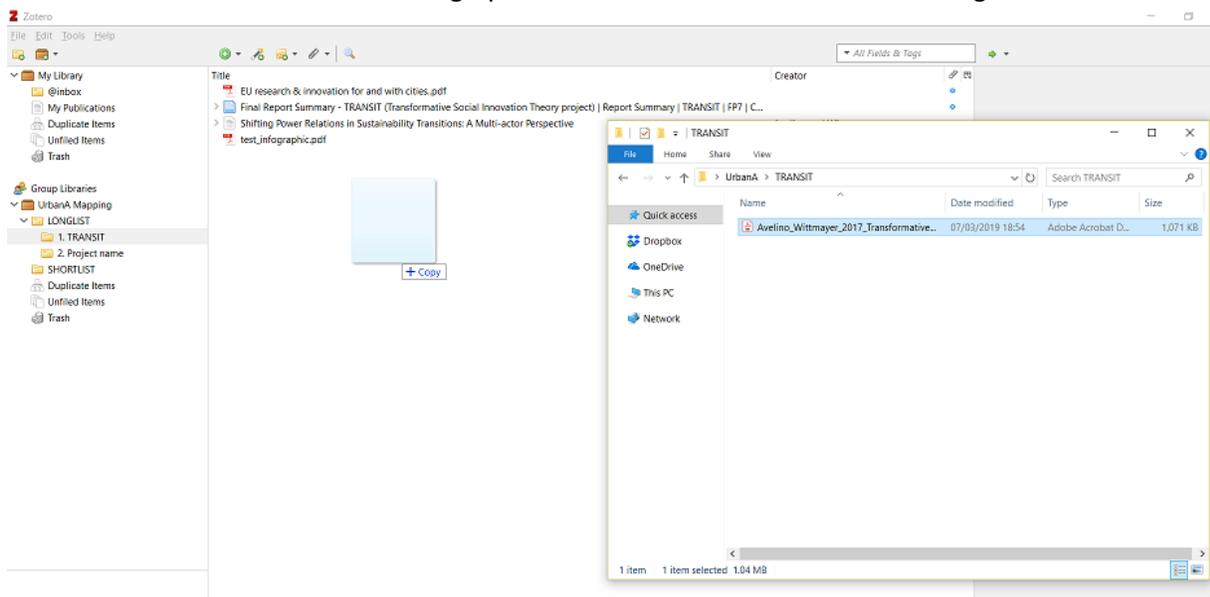
- Click on the folder (e.g. FULL LONGLIST) to which you want to add a subfolder
- Click your right mouse button and choose 'new subcollection'
- Give a name (name of project or acronym of project if the name is too long) to your subfolder

→ All documents/images/weblinks etc. will be collected in **one folder for each project** (presenting a subfolder of the overall short- and hot-list)

→ the folders will be alphabetically ordered automatically

b. Adding documents (e.g. PDFs, images, word documents)

- Click on the subfolder in your Zotero Standalone where you would like to add a document
- Drag the document from the subfolder of your computer into the Zotero library
- Zotero will search for any metadata associated with the item. If it finds such metadata (which depends on the document) it will add them to the entry and automatically create a folder containing the item in question. Not all metadata records are accurate, so they will need checking and perhaps correcting.
- If Zotero does not find any metadata they will need to be entered manually. Select the item in question and then control-click (Mac) or right click (Windows) to bring up a contextual menu. Select 'Create Parent Item'.
- Now you can connect the item with related documents and tags, add notes, extract bibliographic records or write comments on the right hand side.



c. Adding a weblink (e.g. from CORDIS)



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

- Open the web page you would like to add to the library in your browser
- Select the 'Save to Zotero' button (page icon) in the upper right corner of the browser window and select the folder you would like to add the file to



- A bibliographic citation for this web page will now be in your Zotero library
- Add descriptive information (such as author) to this citation as appropriate

d. Relating files to each other

- After adding a document/file to the relevant project folder, click on the 'related' tab in its information pane
- This will bring up a search box through which you can create a relationship between the file you are working on and other documents in the Zotero database. The relationship feature is reciprocal, meaning that, for example, when you create a relationship from a document to a project file Zotero will automatically also make a relationship from the project file to the document.

e. Using tags (to link entries to **approaches**)

- Click on the file that you would like to connect to an approach
- Click on the 'tags' tab in its information pane
- Add the respective approach and click on 'add'

4. Synchronize your work with [zotero.org](https://www.zotero.org) by clicking on the round arrow  in the upper right corner.

Sources of further information

For all other key features, there is a handy quick start guide: https://www.zotero.org/support/quick_start_guide.

If you prefer video tutorials, please consult these screencasts: https://www.zotero.org/support/screencast_tutorials.

If necessary, more details can be found in the comprehensive documentation under "Using Zotero": <https://www.zotero.org/support>

For non-standard issues or needs, you might find suggestions in the forum discussions: <https://forums.zotero.org/discussions>.

Clarification of Zotero terminology:

- *Collections* = Sub library or folders
- *References* = Items



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

- *Zotero Standalone* = the separate local (offline) program application, instead of being connected to your web browser
- *Zotero Connector* = the connector between your Zotero Standalone and your web browser (to directly save from your web browser, such as firefox).



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

Appendix 5: Links with other WPs

WP1 is responsible for ensuring that all work undertaken meets the highest data management standards and are in line with relevant EU and national standards. To this end, ICLEI is leading the preparation of D1.5, the project's Data Management Plan, which will detail the types of data that will be gathered by the project, as well as how they will be processed and stored. This will additionally include informed consent templates, which will be used for the interviews in WP3.

We need to see how the deepening work that WP3 will do will be defined in relation to WP4 interviews aims and objectives. Since WP3 interviews will take place first, it is possible that we see what we have from each informant, and do follow-up interviews for WP4 purposes, but we risk people's fatigue (too many times contacting them, with similar questions).

WP 5 aims to “analyze the real world model interventions (as identified in WP3+WP4) with regard to the agency and constraints of individual actors involved in the construction of sustainable, equitable, and inclusive urban futures”. It will therefore build on the database and preliminary analysis produced in WP 3 regarding “approaches” and how they have been implemented in specific real world contexts, deepening the analysis regarding actors involved and their respective agency.

WP6 needs to move from approaches to “solutions”. We should perhaps reflect on how we move from the units of the mapping to the final units of the project (cf. the header description of WP6 in Annex I).

WP7, which deals with UrbanA communications is very closely linked to the mapping of urban solutions, especially as both the process of mapping, as well as its outputs, are essential to the Arena process. Once the UrbanA website and social media platforms are fully launched in June 2019 they will serve as tools to start engaging the first cohort of city-makers in the Arena process. In the deepening, sharing and validating (phases 2, 3 & 4 see table 1 above) WP7 plays an essential role in engaging potential and actual participants and disseminating the database and insights.



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

Appendix 6: WP3 Description Grant Agreement

Work package number ⁹	WP3	Lead beneficiary ¹⁰	3 - DRIFT
Work package title	Mapping: Uncovering solutions for sustainable & inclusive cities		
Start month	1	End month	18

Objectives

To identify types of interventions that address inequality and exclusion in urban areas in FP7 and H2020 projects
 To make accessible interventions that address inequality and exclusion in urban areas by mapping a broad and diverse set of FP7 and H2020 projects
 To identify and invite actors for the Urban Arena for Sustainable and Equitable Solutions
 To test and elaborate on the mapping outcomes with arena participants

WP3 - Mapping: Uncovering solutions for sustainable & inclusive cities [Months: 1-18]

DRIFT, ICLEI, ALU-FR, CEU, UAB, ECOLISE, FC.ID

WP3 will map a broad and diverse set of FP7 and H2020 projects in a coherent and insightful database, initially through desk study. First, a mapping framework will be developed (Task 3.1), including a set of selection criteria. Then, in Task 3.2, EU-funded projects will be scanned to identify and map relevant interventions in a three-step process (general, specific, in-depth). The mapping results will be tested within the Arena and with participants from the selected projects in Task 3.4; participants will be selected based on Task 2.2 in Task 3.3. The outcome of the mapping process will be a database of types of complementary interventions (e.g. best practices, cross-sector collaborations) on different levels (from local to international) and involving different actors (e.g. researchers, practitioner and policymakers) that address inequality and exclusion in urban areas.

Task 3.1 Mapping framework and selection criteria

M1-4, lead: DRIFT with all partners

Develop a mapping framework to operationalize amongst other

- ‘Types’ of intervention (e.g. policy, project, activity)
- ‘Origin/direction’ of intervention (e.g. top down, bottom up)
- ‘Target’ of intervention (e.g. spatial demarcation (neighborhood/region), domain, audience/target group)
- Relation to policy frameworks (such as the EU Urban Agenda, SDGs, Smart Specialization and the EU Cohesion Policy)
- The perspective on inequality and exclusion
- Transformative capacity (i.e. is an intervention addressing a more systemic feature of inequality and exclusion or on a more single-issue and incremental feature?)
- Desired amount of diversity (in functional domains, geographical coverage, and topics)

The outcome of this operationalization is a set of selection criteria which are used for the three-step mapping process, of a selection of FP7 and H2020 projects and will be delivered in M4 as D3.1.

Task 3.2 Three-step mapping of EU-funded projects

M1-12, lead: DRIFT with all partners



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.

The selection and mapping of projects and interventions will go according to three steps; each step has its own selection criteria (Task 3.1).

- Step 1: Systematic CORDIS database scan (see: <https://cordis.europa.eu/>). A maximum of 100 projects will be selected. The selection of projects during this step will be based on 3-5 general criteria, including terms such as urban/local level, urban sustainability, drivers of inequality, issues associated with distribution of environmental goods/harms, recognition, and public participation, etc. and geographical coverage across the EU.
- Step 2: Quick-scan of the outcomes from step 1. The projects will be scanned to get a sense of what can be mapped from the projects (urban characteristics for equality, policy recommendations, domain specific interventions, etc.).
- Step 3: In order to ensure a quality over quantity approach, a total of 30-40 projects will be selected for an in-depth study, which is detailed in Task 3.3 below.

The results of the mapping will be captured in M12, as part of D3.2, which will take the form of a database of 100 projects on urban sustainability, inequalities and exclusion.

Task 3.3 Deepening the mapping results and identifying/selecting participants

M6-12, lead: DRIFT, with all partners – **has to be earlier (at least partly) to enable drafting database & inviting participants**

From the 30-40 projects resulting from the three-step mapping process, an initial list of 80-100 persons will be drawn up with whom to test the mapping results via outreach emails and/or phone interviews. These persons will include project coordinators and partners (with particular attention paid to non-research actors involved, e.g. local governments, civil society organizations, or businesses). Potential arena participants will be identified from all studied projects.

An open invitation will also be sent out via UrbanA's communication channels to identify additional participants and will be linked to WP7 network facilitation activities. From a long list of arena participants, a selection will be made based on criteria developed in WP2.

Task 3.4 Mapping Arena Convention

M10-16, lead: DRIFT, with ICLEI & ECOLISE

The mapping outcomes will be discussed and enriched through interactive facilitation methods in the first UrbanA Arena Convention, which will be hosted as part of WP3. Arena participants will be asked to review the UrbanA mapping and provide details regarding "missed" information, projects, interventions or actors. Subsequently, participants will co-create and acquire new knowledge about other possible solutions that address inequality and exclusion in urban areas. All information collected during the mapping and the Convention will be collected in D3.3 (M16).



This document has been prepared in the framework of the European project UrbanA - Urban Arena for sustainable and equitable solutions. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 822357.