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Report No SMARTEES 1.5 – D1.5 Data Management Plan (update)

# ORDP: Open Research Data Pilot

Data Management Plan  
(Version 3 – Update June 2020)



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# ORDP: Open Research Data Pilot

## SMARTEES DATA MANAGEMENT PLAN

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**ABSTRACT****SMARTEES DATA MANAGEMENT PLAN OBJECTIVE**

The Data Management Plan (DMP) describes the procedures in SMARTEES for the handling of primary and secondary data during and after the end of the project, it defines what kind of data will be collected, processed, and synthesised, and which methodology and standards will be applied during the data collection and handling. It elaborates the procedures for sharing and open access to the SMARTEES data and for curation and preservation of the data. Furthermore, procedures in relation to the General Data Protection Regulation (GDPR) are defined. **This document has been updated in June 2020.**

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# Table of contents

<b>TABLE OF CHANGES</b>	<b>5</b>
<b>1 INTRODUCTION AND OVERVIEW</b>	<b>6</b>
1.1 <i>General overview of data collection activities in SMARTEES</i>	6
1.2 <i>Purpose and scope of this document</i>	6
1.3 <i>Future revisions of this document</i>	6
<b>2 DATA COLLECTION</b>	<b>7</b>
2.1 <i>Research data and personal information for non-research purposes</i>	7
2.2 <i>Data types</i>	8
<b>3 PARTNER RESPONSIBILITIES</b>	<b>11</b>
3.1 <i>WP1 (NTNU)</i>	11
3.2 <i>WP2 (EI-JKU)</i>	11
3.3 <i>WP3 (K&amp;I)</i>	11
3.4 <i>WP4 (JH)</i>	12
3.5 <i>WP5 (UDC)</i>	13
3.6 <i>WP6 (NTNU)</i>	13
3.7 <i>WP7 (UG)</i>	14
3.8 <i>WP8 (ICLEI)</i>	14
<b>4 DATA MANAGEMENT</b>	<b>15</b>
4.1 <i>Formal ethics approval</i>	15
Involvement of human participants	15
Data collection and Processing	18
Involvement of non-EU countries	20
Survey questionnaire for each case cluster	21
4.2 <i>Data collection procedures</i>	21
Document and record study	22
Individual in-depth interviews	22
Case study observations	23
Questionnaire surveys	23
Focus group interviews	23
Discussions	23
Workshops	23
4.3 <i>Data documentation</i>	23
4.4 <i>Data storage and curation</i>	23
Personal raw-data and pseudonym key tables	23
Pseudonymized data	24
Anonymized data	24
Encryption standards and procedures	25
File name standards	25



4.5	<i>Open access to SMARTEES Data</i>	25
4.6	<i>Deletion of data</i>	26
4.7	<i>Visual representation of data</i>	26
4.8	<i>Open data pilot</i>	26
	General principles	26
	Size of the data	26
	Target group for the data use	27
	Access procedures	27
	Documentation procedures	27
	Securing interoperability	27
	Search keywords and data identification	27
	File types	27
	Curation of the data after the end of SMARTEES	27
<b>Appendix 1: Detailed Data collection responsibilities</b>		<b>28</b>
<b>Appendix 2 – Documentation of Consent forms</b>		<b>29</b>
<b>Appendix 3 – Opinions by Data protection officers</b>		<b>49</b>
<b>Appendix 4 – Metadata for the collected data</b>		<b>81</b>
<b>Appendix 5 – Guidelines for the case document study</b>		<b>111</b>
<b>Appendix 6 – Guidelines for the policy document study</b>		<b>121</b>
<b>Appendix 7 – Guidelines for the interviews with case representatives</b>		<b>123</b>

## TABLE OF CHANGES

This is an updated version of deliverable D1.4 (the SMARTEES DMP) incorporating all changes since the release of the second version on 30 June 2019. In particular, the following changes have been made to the document.

Page	Change
5	Table of changes updated
6	Included new information about revision of the DMP
19	Update on dataset linking, pseudonymisation and anonymization
20	Change of date for destruction of identifying personal data
20	Correction of table number
21, 22	Correction of table number
23	Update of the questionnaire surveys with the information about data collections
23, 24, 26	Update on dataset linking, pseudonymisation and anonymization
26	Change of date for destruction of identifying personal data
29	Appendix 2 (Informed consent forms) updated
49	Appendix 3 (Opinions by data protection officers) updated
81	Appendix 4 (Metadata for collected data) updated

# 1 INTRODUCTION AND OVERVIEW

## 1.1 General overview of data collection activities in SMARTEES

SMARTEES is a multimethod project where the established methodologies of social simulation and social innovation research are merged to conduct multimethod analyses of the socio-political conditions – including contextual socioeconomic structures – that encourage and discourage collective energy use patterns. Its key methodological strength comes from combining both qualitative and quantitative methodologies with a user-centred approach from the perspectives of sociology, psychology, economics, political science, social simulation, and social innovation. This allows us to integrate interdisciplinary knowledge into a comprehensive modelling framework, a unique policy analysis tool – the SMARTEES policy sandbox, providing support to the success of the Energy Union by developing alternative, more robust policy pathways that contribute to identifying ways to overcome citizen resistance and increase acceptability. This robust and transparent analytical tool, in turn, will meet the pressing need identified in the SET-plan roadmap by offering practitioners new ways of developing, testing and adapting policy measures and technology diffusion strategies to implement the SET-plan. The work in the project is delivered in different work packages, which have their own methodological approaches.

## 1.2 Purpose and scope of this document

This DMP first gives a comprehensive overview of all data types collected in SMARTEES, including a detailed mapping of data collection activities to work packages and SMARTEES partners (see Section 2). Afterwards, each partner's responsibilities with respect to data collections, data handling and analysis, as well as data storage are identified (Section 3). In the final section, the document defines SMARTEES standards for all data collections, (including research ethical standards and GDPR procedures), data storage and handling, data documentation, pseudonymization or anonymization, access to data for exploitation and future use, and data deletion. It needs to be noted, that a DMP is understood to be a dynamic document that will be adjusted and adapted during the course of the project. It will be integrated into the SMARTEES project handbook (Deliverable 1.3) which will be implemented in SMARTEES as a WIKI-based knowledge / procedures database constantly updated. In that respect, the DMP describes the SMARTEES data management at the point in time it was delivered to the European Commission. The document was written with reference to the Guidelines to FAIR data management in Horizon 2020 ([http://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/hi/oa\\_pilot/h2020-hi-oa-data-mgt\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-data-mgt_en.pdf)) and the GDPR (Regulation (EU) 2016/679).

## 1.3 Future revisions of this document

The DMP is a dynamic document, which will be constantly updated. Since the DMP will become part of the dynamic project handbook (Deliverable D1.3), it will be integrated in the latter's revision cycles. **This is the final revision of the DMP.**

## 2 DATA COLLECTION

SMARTEES is a mixed methods project and its methodological strength comes from combining qualitative and quantitative techniques with an interdisciplinary approach. This allows us to integrate interdisciplinary knowledge into a comprehensive modelling framework, which provides practitioners a unique analysis tool for policy measures and technology diffusion strategies, by conducting multimethod analysis of the socio-political conditions encouraging / discouraging collective energy use patterns across European member states. SMARTEES includes data collection and handling activities in most of the WPs (excluding WP1 and WP9), which strongly depend on each other. This complexity demands a strict coordination between the different tasks and WPs as they depend on one another, and input from preceding tasks is not only required within the same WP but also in other WPs. Furthermore, SMARTEES is a project that depends strongly of secondary data provided by the case partners (and other sources). This makes it necessary to define procedures for how data access rights for secondary data are achieved and how that data is used and matched with primary data.

Table 1 presents an overview of the various data collections that are part of SMARTEES (see the first column) and indicates which WP(s) participate in each data collection or data handling. For example, the first data collection is “Documents and Records” and WPs 3 and 4 contribute to this data collection.

**Table 1: Data collection methods used in different WPs**

Method/WP	WP1	WP2	WP3	WP4	WP5	WP6	WP7	WP8	WP9
Secondary data acquisition (i.e. documents and records)	Overall data management and acquisition procedures for secondary data	Sets the framework and data collection guidelines	✓	✓	✓	Synthesizes/analyses data	Sets the standards for data collection/curation	Disseminates/exploits results	Sets ethical requirements
Interviews			✓	✓					
“On site” visits and observations			✓						
Questionnaire surveys				✓					
Focus groups			✓	✓					
Discussions				✓	✓				
Workshops		✓		✓	✓				

### 2.1 Research data and personal information for non-research purposes

We define data as all research data obtained from respondents directly or indirectly, through various research methods, for the project research purposes. We distinguish data, as defined, from personal information used for external communication purposes in WP8 (for example quotes from experts or interviewees for project videos, blogs, etc. meant for communication). Such personal information will be published only after informed written consent of the involved individuals has been given<sup>1</sup>. In this latter instance, personal information used for communication will not be anonymized, encrypted or pseudonymized.

<sup>1</sup> The consent form is included as part of Appendix II in the updated DMP.

## 2.2 Data types

Table 2 presents key characteristics of each data collection in SMARTEES. The first column indicates the type of data collection, the second column indicates where the data, for each data collection method, come from, the third column indicates how the data are collected, the fourth column indicates whether data, from a given data collection type, will be published in an open access mode at the end of the project, the next column lists the tasks and/or WPs that contribute to a given data collection type, and finally the last column names all partners involved in a given data collection. Note that the same data collection type may be used in several independent data collections in different WPs.

**Table 2: Details of data collection**

Type of data collection	Source of data	How data is collected	Open access	WP/task	Partners (lead partners underlined)
Documents and records / secondary data acquisition	Available documents and data (previous studies and research; case evaluations/ assessments; plans of action and periodical reports implemented in each case study; other relevant documents in each case studies; social innovation cluster assessments)	<p>Documents published by relevant stakeholders are identified through our case contacts, in the European Commission's document database, and through search engines (e.g. Google, Google Scholar) using appropriate search words (e.g., "energy poverty", "everyday mobility").</p> <p>In addition, relevant scientific and policy papers are identified through databases (e.g. Web of Science, Scopus). Other papers indicating additional potentially useful sources of information will be subsequently explored as well.</p> <p>Existing quantitative datasets will also be acquired, following permission procedures where necessary.</p>	Y, if no restrictions by the owners of the data are made	1.3, 2.3, WP3, 4.1, 4.2, 4.9, WP5, 6.1-6.3, WPs 7 and 8	<u>EI-JKU</u> , <u>JH</u> , <u>K&amp;I</u> , <u>NTNU</u> , <u>UG</u> , <u>UOT</u> , ACC, ICLEI, SAM-EA, UDC, UI

Individual indepth interviews	Responses of key informants and stakeholders (e.g., policymakers, social innovation pioneers/ frontrunners, social actors, sustainable entrepreneurs / business actors)	<p>In-depth interviews with the case studies' main actors will be conducted as part of WP3.</p> <p>Interviewees will be selected by taking into account the features of each case study.</p> <p>A detailed interview protocol appropriate to use individual interviews will be developed in task 4.4 (WP4).</p>	N, consultations with data protection officers indicate that interview raw data cannot be published in line with GDPR, summaries of the data are included in the project deliverables.	1.3, 2.3, WP3, 4.4, WP5, 6.1-6.3, WPs 7 and 8	<u>EI-JKU</u> , <u>K&amp;I</u> , <u>NTNU</u> , <u>UDC</u> , <u>UG</u> , <u>UOT</u> , <u>ICLEI</u> , <u>JH</u> ,
"On site" observations	Observational data from site visits	Direct observations through "on site" visits and field visits by project partners and representatives from learning case cities/regions	Y, as brief case study reports	1.3, 2.3, WP3, 4.4, WP5, 6.1-6.3, WPs 7 and 8	<u>EI-JKU</u> , <u>ICLEI</u> , <u>K&amp;I</u> , <u>NTNU</u> , <u>UG</u> , <u>UOT</u> , <u>ACC</u> , <u>JH</u> , <u>SAM-EA</u> , <u>UDC</u> , <u>UI</u>
Questionnaire surveys	Responses of participants across all case study clusters	<p>WP4 will coordinate the overall efforts related to the surveys.</p> <p>A core questionnaire, allowing a level of comparability across all case studies, will be developed and later adapted for each case cluster.</p> <p>The case responsible partner will lead data collection in each case study in a subtask for each case.</p>	Y, after pseudonymization; respondents will be informed prior to data collection	1.3, 2.3, 3.4, WP4, WP5, 6.1-6.3, WPs 7 and 8	<u>EI-JKU</u> , <u>JH</u> , <u>K&amp;I</u> , <u>NTNU</u> , <u>UG</u> , <u>UOT</u> , <u>ICLEI</u> , <u>UDC</u> , <u>UI</u>
Focus group interviews	Key informants and stakeholders (e.g., policymakers, social innovation pioneers, social actors, sustainability entrepreneurs /business actors)	<p>Focus group interviews with case-studies main actors will be conducted as part of WP3.</p> <p>Individuals belonging to each groups will be selected by taking into account the features of each case study.</p> <p>A detailed focus group interview protocol will be developed in task 4.4 (WP4).</p> <p>Focus group interviews with case studies main actors will be conducted as part of WP3</p>	N, consultations with data protection officers indicate that interview raw data cannot be published in line with GDPR, summaries of the data are included in the project deliverables.	1.3, 2.3, WP3, 4.4, WP5, 6.1-6.3, WPs 7 and 8	<u>EI-JKU</u> , <u>K&amp;I</u> , <u>NTNU</u> , <u>UDC</u> , <u>UG</u> , <u>UOT</u> , <u>ICLEI</u> , <u>JH</u> ,

Discussion events	Responses of project partners, case study teams and actors	<p>JH will arrange a series of in-depth discussions with project partners and casestudy teams regarding requirements for primary data in each case.</p> <p>UOT will engage a sample of citizens, consumers, social and business actors, including social innovators to discuss forthcoming energy policy implementation.</p>	Y, in the form of brief reports	1.3, 2.3, WP4, WP5, 6.1-6.3, WPs 7 and 8	<u>EI-JKU</u> , <u>JH</u> , <u>NTNU</u> , <u>UG</u> , <u>UOT</u> , ACC, ICLEI, K&I, SAM-EA, UDC, UI
Workshops	Responses of workshop participants (project partners, case study actors teams and follower city representatives)	Data on views of relevant experts and stakeholders are collected during research workshops, during data analysis workshop, during multi-stakeholders workshops, and during workshops with follower cities/regions.	Y, in the form of brief reports	1.3, WP2, 3.2, WP4, WP5, 6.1-6.3, WPs 7 and 8	<u>EI-JKU</u> , <u>ICLEI</u> , <u>JH</u> , <u>NTNU</u> , <u>UG</u> , <u>UOT</u> , ACC, K&I, SAM-EA, UDC, UI



### 3 PARTNER RESPONSIBILITIES

The data collections and data processing each WP is responsible for are described in this section. The data collection/processing tasks in WP4 are described in more detail than the tasks in other WPs, because WP4 deals with the main data collection/handling and coordination tasks that support the work in other WPs.

#### 3.1 WP1 (NTNU)

In the SMARTEES project, NTNU (WP1 lead beneficiary) is responsible for management of the project. SMARTEES will use a large amount of existing data and data collected specifically for the purpose of the study. This data needs to be integrated, monitored, securely stored, and made available for analysis within and beyond the project. Even though data collection, curation, analyses, and exploitation will be conducted in WPs 4, 6, 7, and 8, WP1 will have the overall responsibility to secure the compliance of the data collection and handling with data protection laws (national and GDPR) and the open data pilot regulations. WP1 has developed the DMP for SMARTEES, which will be updated in M14 and M26. All information about data collection methodology and standards, data coding, referencing and processing, and about the exploitation of the data during the project and beyond is included in this HANDBOOK. Furthermore, WP1 will be responsible for acquiring access to secondary datasets and engaging in legal agreements with the providers of the secondary data.

#### 3.2 WP2 (EI-JKU)

A methodological cornerstone of SMARTEES is its research strategy to carry out empirical work meeting the scientific excellence criteria for each of the involved disciplines separately, but at the same time, defining a joint new best practice methodology for cooperative multi-disciplinary policy research. For this aim, EI-JKU (WP2 lead beneficiary) will prepare the common theoretical framework for WP4-WP7 (task 2.1), which will be scrutinized and refined in a subsequent public workshop (task 2.1) and interdisciplinary research workshops on theory and methods (task 2.4). This will ensure a thorough multi-method analysis of socio-economic and structural drivers of five types of energy related social innovations in relation to smart technology diffusion, energy behaviour, consumer engagement and prosumerism. EI-JKU will also prepare the background for case study analysis (literature, desk research), and ensure consistent data collection by defining the process with which the theoretical findings can be fully considered in all data collection activities (task 2.3).

#### 3.3 WP3 (K&I)

By thoroughly analysing five carefully selected case clusters that cover different social innovations, European regions and cultures, and different sub-groups driving the innovations, SMARTEES secures the policy relevance and up-scalability of the findings. K&I (WP3 lead beneficiary) is responsible for resuming contact with these actors, and preparing, for each reference and supporting case, a plan of work with the correspondent timeline (task 3.1). Task 3.2 will then prepare a description of the social dynamics characterizing different cases, and a systematic analysis of each social innovation cluster with its reference framework. For each case cluster, issues such as the following will be examined: actors involved with their specific role; phases of development of the social innovation, (how the social innovation originated, how the social innovation has been consolidated, etc.); features of each kind of actors' participation and empowerment dynamics; local social, economic, and environmental dynamics; local resources and assets; regulations; incentives (including but not only economic); barriers, conflicts, resistances, stress factors and negative effects in specific groups on one hand and facilitating factors and success elements on the other, (including acceptance and rejections dynamics); the co-existence of bottom-up and top-down dynamics; and finally how the up-scaling process has worked and is working. Sources of information will be available documents and data (previous studies and research; assessments, plans of action and periodical reports implemented in each case study; other relevant documents in each case studies; social innovation cluster assessments; available datasets about the behaviour of the actors, etc.); stakeholders' interviews and direct observation through "on site" visits. Task 3.2 will be responsible for planning and conducting the interviews and visits. Interview protocols will be developed in Task 4.4 to ensure their compatibility with the ABM methodology and each case partner's contact institution in SMARTEES is responsible for conducting the interviews. To understand overall "prima facie" (i.e. before the implementation of the survey – WP4 – and the draft of the scenarios – WP5)

how social innovations in energy transitions works “in action”, an overall analysis will be conducted (Task 3.3). Based on the social innovation profiles and the overall analysis of these, task 3.4 will identify knowledge gaps to be filled through the surveys in WP4 (e.g. questions to be considered in the questionnaire survey), and will propose a set of indicators to be considered in the preparation of scenarios in WP5.

### **3.4 WP4 (JH)**

SMARTEES will make as much use of existing data as possible, though it is anticipated that there is a need, on a case by case basis, to supplement these existing data to provide additional insights. Therefore, the project scrutinizes a large amount of existing and new data. The dedicated objective of JH (WP4 lead beneficiary) is to collect existing and new data necessary for WP 5-7 and make them available for further use also after the end of SMARTEES. The tasks in WP4 are hence associated with coordinating requirements for new data, and ensuring that all data, new and existing, are properly annotated with metadata to enable their consistent application. Datasets we expect to obtain access to, as a direct result of the collaboration with the case cluster cities/regions, are results from previous citizen surveys, case evaluations, energy use data, mobility patterns, socio-demographics in the respective regions, consumption data, relevant local business indicators, etc. Contracts, about the conditions under which these datasets will be used by the partners in accordance to GDPR, will be made with the owners of the datasets.

JH will start by developing an initial schema for discussion with all partners, along with a method for continual synthesis of new metadata into that schema as the project progresses (task 4.1). The methods will be based on the tools of knowledge elicitation and integration with the other project partners as domain experts, such as telephone interviews, questionnaires, and structured document analysis. The work done here will draw on experience in the GLAMURS project developing a data integration protocol. This metadata specification facilitates data integration among the various data sets used by the project. WP4 will then provide a protocol for capturing sources of data to ensure that all sources of data used by the project are sufficiently documented, and that all information regarding raw data, metadata, conditions of use, and any licences are recorded in such a way as to facilitate efficient retrieval by members of the project consortium (task 4.2).

JH will also arrange a series of in-depth discussions with project partners, and case-study teams to first generate a long list of potential requirements, and then in discussion, distil this list into a realistic set of requirements for primary data collection (task 4.3). Although the initial description of work provided some indicative estimates for survey samples, the actual sample size calculations will be performed within this task. The requirements of the models, and the data needs of the case study partners themselves will be taken into consideration during these discussions. Following from task 4.3, a relatively short core questionnaire will be developed (task 4.5) that will allow a level of comparability across all case studies surveyed. Beyond this core, this task will develop a collaborative process whereby partners can contribute to a battery of measures and items to be drawn on in task 4.6, i.e. adaptation of questionnaire framework for each case cluster. In many cases the constructs to be measured will be established and validated, but where this is not the case, smaller pilot studies may be required to ensure a high level of construct and content validity for any newly developed measure in the SMARTEES project. Which questions are asked in each case study and to which types of respondents (beyond the agreed core), will depend on requirements and context of that case study. Details of the sample requirements for each questionnaire survey will be developed following earlier discussions in task 4.3, and will form part of the survey brief to be provided to the professional companies subcontracted to undertake the empirical survey work. Each case study cluster will be required to develop its own briefing document for this survey subcontract. The lead partner for each case study cluster (i.e., K&I. NTNU, UDC) will work with the overall coordinating partner for this task (JH) in developing the sampling details, the questionnaire tool, and any data management issues associated with each case. As the data from these surveys will be fed into the agent-based models, the development of the questionnaire will require detailed discussion with project partners intending to utilise the data being generated by these surveys.

WP4 will as well develop detailed interview protocols depending on requirements and context of each social innovation case study (task 4.4) to be utilised in task 3.2. For example, it may be appropriate to use individual indepth interviews in some cases, whereas in others, group interviews or workshops may be deemed more appropriate. The development of the case study interview protocols will be discussed with the agent-based

modelling teams (WP7) to ensure compatibility of thematic content with the requirements of the models. The interviews themselves will be conducted under Task 3.2. The interview data itself (recordings/transcripts) however, forms part of the overall data of the project, and it therefore included in task 4.7 as a subsection of the data collection. Data collection in each case study in a subtask for each case will be led by the case responsible partner (i.e., K&I, NTNU, UDC). The survey work will be subcontracted to professional survey companies (including participant recruiting, printing, postage, data processing), using the briefing document generated in task 4.6. Any further data collection (e.g. additional empirical studies) will follow directly from the specific requirements determined in task 4.3.

After collection of the primary and secondary data, JH will host a workshop (task 4.8) to discuss issues such as ensuring proper interoperability for use in the models and smooth transfer to task 6.4 with project partners (i.e., NTNU, K&I, UDC, UOT, UG). Based on the discussions at the workshop and collaboration with task 6.4 and WP7, JH will produce data summaries for each case cluster by carrying out initial exploratory data analysis (task 4.9), and prepare a data report giving an integrated overview of the case studies as a draft paper for submission to a journal (task 4.10).

### **3.5 WP5 (UDC)**

In the SMARTEES project, UDC (WP5 lead beneficiary) will develop policy insights and future policy scenarios that are plausible, theoretically solid, and empirically grounded on qualitative and quantitative data (task 5.3). This task draws upon the theoretical framework developed in WP2 (tasks 2.2, 2.3) and the empirical research insight on conducted case-studies (WP3, WP4 and WP6). UDC is also responsible for establishing scenario logics, testing policy alternatives and identifying tipping points to co-produce a set of dynamic simulations of policy implementations for each case study involved through first phase of multi-stakeholders deliberative workshops (task 5.4). Policy scenarios will be co-created through iterative phases engaging policy and local actors in reflexivethinking activities with SMARTEES researchers. SMARTEES' researchers will provide a formally represented model for each case-study policy scenario, considering the interactions among actors and networks within it and with its context. Following the integration of inputs from participatory workshops and elaboration of realistic policy scenarios by agent-based modelling techniques (task 5.5), SMARTEES researchers will prepare and execute second phase of multi-stakeholders deliberative workshops for each local case-study involved (task 5.6). In this task, SMARTEES will engage a sample of citizens, consumers, social and business actors, including social innovators to discuss forthcoming energy policy implementation.

### **3.6 WP6 (NTNU)**

WP6 (NTNU as lead beneficiary) will synthesize, structure, harmonize and analyse primary and secondary data with a special focus on energy equality and utilize them for an analysis of policy relevant social innovation drivers and barriers, and a structured input for the agent-based modelling in WP7. In doing so, WP6 is directly dependent on input from WP2 providing the theoretical framework for the analyses in WP6, and WP4, providing the raw data for the integration in WP6, and WP5 providing the scenarios for the analyses. WP6 feeds then the synthesized data into the agent-based simulations in WP7 and the theory relevant implications of the results back into WP2. Furthermore, WP6 feeds into WP8 by providing reports about the policy implications of the analyses.

With input from task 2.2 and task 3.2, the first task in WP6 (i.e. task 6.1) is to identify all relevant agent types, stakeholders and subpopulations (e.g. household members from a high diversity of households, decision-makers in energy companies, network utilities, building companies, city planners, policymakers), and to document their characteristics and social networks through social network analysis. The results of this task will feed into WP7. Based on theoretical framework provide by WP2 and the agent types identified in task 6.1, task 6.2 will then synthesize and analyse primary data and secondary data provided by WP4 to identify the drivers and barriers for the diffusion of the social innovations analysed in all case clusters. This task will directly fed into the ABM in WP7. NTNU will be responsible for identification of the decision-making mechanisms (task 6.3), which together with relevant drivers and barriers identified in task 6.2 are crucial for a realistic modelling of agent behaviour, based on the data delivered from WP4 and interviews with key stakeholders and insights from WP2 and WP3. The results of this task will also directly feed into the programming of the agents in WP7. Both the analysis of empirical data in

tasks 6.1-6.3 and the input from the simulations in WP7 will then be fed back to theory development about social innovation diffusion in task 2.3 (task 6.5). WP6 will also integrate data, monitor the process of data generation and model development in WPs 2-4 with a special focus of providing the ABM in WP7 with the necessary values for model parameterization, calibration, and validation based on data synthesized and pre-analysed in WP4 (task 6.4).

### **3.7 WP7 (UG)**

UG (WP7 lead beneficiary) will be responsible for defining the structural requirements of the data to enhance compatibility between the modelling infrastructure and all data collection and curation activities in WP4 (task 7.2). UG will then parameterise the SMARTEES agent-based social simulation model, which is formalized in task 7.3, for selected cases using a variety of data from the case studies integrated by WP6 in task 7.4. In this iterative process, the selected case models will be calibrated to create realistic simulations of the social innovation processes in each case.

### **3.8 WP8 (ICLEI)**

In the SMARTEES project ICLEI (WP8 lead beneficiary) will provide a group of follower cities, which is committed to learning from the experiences of the SMARTEES reference cases, direct access and first-hand information in a confidential setting. During the course of the project, these follower cities are invited to two field visits/ workshops to the main and/or supporting reference case and three online training sessions (webinar or similar format). The feedback from these follower cities will provide input for the simulation tool and datasets as exploitation material in the SMARTEES. Specifically, for each of the five case study clusters, one follower city will be selected for further in-depth analysis aimed at preparing this city for implementing the social innovation themselves. Furthermore, as of task 8.5, workshops utilizing the pro version of the SMARTEES policy sandbox IT tool, will be developed and conducted with all 10 participating case cities/regions, 1 in Brussels for policymakers at the EU level, and with 5 follower cities (1 per cluster).

## 4 DATA MANAGEMENT

This chapter describes the procedures applied in SMARTEES for the different steps of data collection, management, storage, and publication in detail.

### 4.1 Formal ethics approval

SMARTEES involves human participants, data collection and processing, and involvement of a non-EU country, which raises ethical issues. The SMARTEES consortium will comply with all relevant national, European and international ethical regulations and professional codes of conduct. All partners will also conform to Horizon 2020 ethical guidelines, including General Data Protection Regulation, “Data protection and privacy ethics guidelines”, the “Guidance for Applicants on Informed Consent”, and national regulations. Table 3 identifies the data protection officer or national agency responsible for the approval of every data collection activity or inquiry for secondary data. Their opinion will be guiding for how SMARTEES handles the different types of data.

### Involvement of human participants

There are three sub-points related to the involvement of human participants to be managed:

1. Details on the procedures and criteria that will be used to identify/recruit research participants must be provided.
2. Detailed information must be provided on the informed consent procedures that will be implemented for the participation of humans.
3. Templates of the informed consent forms and information sheet must be submitted on request.

### Details on the procedures and criteria that will be used to identify/recruit research participants

Participants to the primary quantitative data surveys will be recruited from already registered members of national or local web-panels or specifically recruited by the subcontracted survey companies or the case partners. The participants will be sampled to be representative for each case. Participants are 18 years or older and must be able to give informed consent. They will be informed about the aim of the study, the collected data, if relevant the aim of connecting the survey data with secondary datasets (such as for example energy consumption data) via a pseudonymized key table, data handling, storage and pseudonymization and anonymization procedures as well as publication of the anonymized data and its inclusion in the Open Data Pilot. This will be done – in accordance to GDPR – in simple language, easy to understand for the participants. In cases the data collection will be conducted online, by following the link to participate they explicitly give their consent to participate. In cases the data collections are conducted in personal interviews the participants will give written consent (templates for the consent/information sheet see point 3). If participants are recruited from existing panels, they will earn points in the point system of their panel operator as reward for their participation. If they are recruited specifically for this study, they may participate in a lottery of rewards for their participation. Participants are also informed that they can withdraw their consent until the data is anonymized without any disadvantages and without having to give a reason. A contact (telephone and e-mail) will be given where they can request to be informed about all data that is stored about them in the project. From the point of anonymizing the data is no longer personal information.

For the other empirical studies like in-depth interviews and focus groups, information is presented in written form when participants are recruited. It will be repeated immediately before the data collections are started and the consent form is signed by the participant before the interview. Participants are also informed that they can withdraw their consent until the data is anonymized without any disadvantages and without having to give a reason. A contact (telephone and e-mail) will be given where they can request to be informed about all data that is stored about them in the project. From the point of anonymization, the data is no longer personal information. Participants of this part of the empirical work will be recruited locally from the general population older than 18 years and from experts in the fields studied. Only participants will be recruited that are able to give informed consent and information sheets and consent forms will be designed according to the templates provided by the Norwegian Center for Research Data which is designed specifically to fulfil GDPR requirements. Participants will be recruited through personal



contact by the case representatives, mailing lists, newspaper advertisement, snowball systems, posters, or the like. Expenses that they have for participating will be reimbursed.

**Table 3 - Data protection officer or national agency in each task**

Name of task	Task lead partner	Data protection officer / National agency (responsible for the approval of data collection/use/inquiry)
T 1.3 Overall data management	NTNU	Norwegian Centre for Research Data (NSD) <a href="http://www.nsd.uib.no/nsd/english/index.html">http://www.nsd.uib.no/nsd/english/index.html</a>
T 2.4 Interdisciplinary research workshops	EI-JKU	Marie Holzleitner
T 3.1 Case-studies main actors involvement	K&I	Giovanna Murari (Data Protection Controller)
T 3.2 Profiles of types of social innovation	K&I	Giovanna Murari (Data Protection Controller)
T 3.3 Overall analysis of social innovation	K&I	Giovanna Murari (Data Protection Controller)
T 3.4 Models of social innovation	K&I	Giovanna Murari (Data Protection Controller)
T 4.1 Metadata specification	JH	Doug Salt, Katherine McBay, Gary Polhill, Tony Craig
T 4.2 Data curation	JH	Doug Salt, Katherine McBay, Gary Polhill, Tony Craig
T 4.3 Identifying requirements for primary data	JH	Katherine McBay, Gary Polhill, Tony Craig
T 4.4 Development of interview protocols	UDC	Adina Dumitru/Amparo Alonso
T 4.5 Development of the questionnaire framework for the surveys	JH	Katherine McBay, Gary Polhill, Tony Craig
T 4.6.1 Adaptation of questionnaire framework for Case Cluster 1	K&I	Giovanna Murari (Data Protection Controller)
T 4.6.2 Adaptation of questionnaire framework for Case Cluster 2	NTNU	Norwegian Centre for Research Data (NSD)
T 4.6.3 Adaptation of questionnaire framework for Case Cluster 3	NTNU	Norwegian Centre for Research Data (NSD)
T 4.6.4 Adaptation of questionnaire framework for Case Cluster 4	UDC	Adina Dumitru/Amparo Alonso
T 4.6.5 Adaptation of questionnaire framework for Case Cluster 5	JH	Katherine McBay, Gary Polhill, Tony Craig
T 4.7.1 Data collection in Case Cluster 1	K&I	Giovanna Murari
T 4.7.2 Data collection in Case Cluster 2	NTNU	Norwegian Centre for Research Data (NSD)
T 4.7.3 Data collection in Case Cluster 3	NTNU	Norwegian Centre for Research Data (NSD)
T 4.7.4 Data collection in Case Cluster 4	UDC	Adina Dumitru/Amparo Alonso
T 4.7.5 Data collection in Case Cluster 5	JH	Katherine McBay, Gary Polhill, Tony Craig
T 4.8 Data analysis workshop	JH	Katherine McBay, Gary Polhill, Tony Craig

T 4.9 Preliminary data analysis	JH	Katherine McBay, Gary Polhill, Tony Craig
T 4.10 Integrated data report	JH	Katherine McBay, Gary Polhill, Tony Craig
T 5.1 Developing a common criteria list for defining policy scenarios	UDC	Adina Dumitru/Amparo Alonso
T 5.2 Building a common framework for the development of local-embedded future policy scenarios	UDC	Adina Dumitru/Amparo Alonso
T 5.3 Definition of future policy scenarios	UDC	Adina Dumitru/Amparo Alonso
T 5.4 Exploration of future policy scenarios through multi-stakeholders deliberative workshops	UOT	IT analyst Oana Velcota, IT&C Department, UVT
T 5.5 Integration of inputs from participatory workshops and elaboration of realistic policy scenarios to be tested by Agent-based Modelling techniques	UDC	Adina Dumitru/Amparo Alonso
T 5.6 Refinement phase: Analysis of energy future scenarios and transforming them into strategic interventions	UOT	IT analyst Oana Velcota, IT&C Department, UVT
T 5.7 Elaboration of policy recommendations and guidelines for the implementation and assessment of new locally embedded low carbon policies	UDC	Adina Dumitru/Amparo Alonso
T 6.1 Identifying stakeholders and subpopulations and their social networks	UOT	IT analyst Oana Velcota, IT&C Department, UVT
T 6.2 Identifying drivers of and barriers towards social innovation	UOT	IT analyst Oana Velcota, IT&C Department, UVT
T 6.3 Analysing decision-making mechanisms of actors	NTNU	Norwegian Centre for Research Data (NSD)
T 6.4 Integrating data and providing the input for ABM in WP7	UOT	IT analyst Oana Velcota, IT&C Department, UVT
6.5 Scrutinizing the results of the simulations for theory development	NTNU	Norwegian Centre for Research Data (NSD)
T 6.6 Energy equality through social innovation	UOT	IT analyst Oana Velcota, IT&C Department, UVT
T 7.4 Parameterising selected cases in model	UG	Wander Jager
T 7.5 Experimentation with simulated scenarios in selected cases	ICLEI	Christian Dicken
T 8.1 Developing and implementing a communication and dissemination strategy	ICLEI	Christian Dicken
T 8.3 Follower city network	ICLEI	Christian Dicken
T 8.4 Project video blog	ICLEI	Christian Dicken



T 8.5 Developing and programming policy sandbox tool	ICLEI	Christian Dicken
T 9. Compliance with ethics requirements	NTNU	Norwegian Centre for Research Data (NSD)

## Informed consent procedures

Before participation of an online survey, panel members will be invited to participate in the survey via e-mail. In the e-mail the information from the informed consent form will be presented and a link to the survey will be included. The participants will be instructed that by clicking the link they consent to participate in the study as described in the information included in the mail. A contact (telephone and e-mail) will be given where they can request to be informed about all data that is stored about them in the project. From the point of anonymization the data no longer includes personal information.

To the extent that interviews are conducted by project researchers, respondents will be informed prior to being interviewed and are asked for their consent. The principles of written informed consent will be applied. Their participation in research activities (e.g., interviews, focus groups) is entirely voluntary. They may give notice of their withdrawal from research activities at any time. Participants are also informed that they can retract their consent until the data is anonymized without any disadvantages and without having to give a reason

## Informed consent forms and information sheet

The information sheets and consent forms will be based on the standard form provided by the Norwegian Centre for Research Data (NSD), which is the Norwegian organization acting as Data Protection Office in regard to GDPR for social science research organizations and will be in line with national regulations. Appendix 2 documents all consent forms used until the update of the project handbook. Future updates of the Handbook will include a documentation of all local consent forms/information sheets used in SMARTEES.

## Data collection and Processing

There are three sub-points related to Data collection and Processing

1. Copies of opinion or confirmation by the competent Institutional Data Protection Officer and/or authorization or notification by the National Data Protection Authority must be submitted (which ever applies according to the GDPR and the national law).
2. If the position of a Data Protection Officer is established, their opinion/confirmation that all data collection and processing will be carried according to EU and national legislation, should be submitted.
3. Detailed information must be provided on the procedures that will be implemented for data collection, storage, protection, retention and destruction and confirmation that they comply with national and EU legislation.

## Copies of opinion (sub-points 1 and 2)

All partners that collect and process data have confirmed they will do so according to the GDPR and the national law. All confirmations by the institutional or national data protection officers regarding the conduction of data collections in SMARTEES in accordance with EU and national legislation will be collected in **Appendix III** of the DMP as soon as they are received. They will be provided at the earliest possible time point prior to starting the data collections. Appendix 3 of this handbook documents the opinions of the data collections conducted so far in SMARTEES.

## Information on the procedures for data collection, storage, protection, retention and destruction.

This document, the updated DMP (D1.5) provides this information. All procedures are in accordance the principles of the "Guidelines on Data Management in Horizon 2020".

## Further data collection and procession standards

Procedures in this section, on SMARTEES data collection, storage, protection, retention and destruction, are based on the “Guidelines on Data Management in Horizon 2020”.

[Update: Linking datasets was not necessary in the project so anonymization instead of pseudonymisation was used and no identifying key tables kept. The description of the procedures in the DMP and project handbook is retained though to document the standards. All data in SMARTEES was anonymized at the earliest possible point in time. Thus, in the following paragraphs any mention of pseudonymized data is equivalent to anonymized data in SMARTEES].

The data collection, storage, protection, retention and destruction will be conducted according to National and EU legislation (GDPR), as all partners dealing with data have declared. All partners have identified a Data Protection Officer (see table 3 above). SMARTEES includes different forms of data collection (primary data survey based on panels by professional survey providers, surveys with specifically recruited participants, interviews, focus groups, on site observations, workshops, discussions, and secondary data sources). These datasets may in some cases needed to be linked by a pseudonymized key table to be able to identify the same unit of analysis (e.g. a respondent or a household). The main principles for all types of data collections is to pseudonymize the datasets at the earliest possible point in the process by separating the identifying information from the rest of the data and store the identifying information in a key table (the pseudonyms) separately from the rest of the data. This key table will be stored at the level of the research partner responsible for supporting the respective case. The key tables will not be shared with other partners in the project or externals. This personal data will be stored under strictest precautions using for example a service for storing sensitive data such as provided by the University of Oslo<sup>2</sup> or an equivalent service at NTNU (NICE-1), which is approved for storing sensitive data. It will under no circumstances be made public or shared with the other project partners. The conducting party will ensure that data collection and pseudonymization will comply with EU legislation and the SMARTEES project handbook. Furthermore, data produced in one WP will always be pseudonymized before it is shared with the other WPs. Consent is sought before storing collected material in electronic form. Data collection, processing and storage will comply with the GDPR and national rules of each of the other countries where interviews or surveys are to take place. At the end of the project, the key tables will be deleted and the pseudonymized data will be fully anonymized by deleting the pseudonyms and indirectly identifying information. The latter will be done by checking if combinations of for example sociodemographic information leads to groups with unique combinations smaller than three units (e.g., respondents or households), in which case sociodemographic data will be aggregated to larger categories until no group with less than three units exists.

In more detail, the main quantitative survey data will be pseudonymized when it is received from the survey companies by SMARTEES. SMARTEES will only collaborate with survey companies which can document the clearance by all national and EU legislative bodies relevant for the study and their procedures for the GDPR. The contracts with the survey companies will specify the consent procedures (only panel members who have given their consent will be recruited, it will be explicitly informed that clicking the link to the online survey equals consent to participate, this consent can be retracted at any point until the data is anonymized). The data set will be pseudonymized by removing all directly or indirectly identifying information and storing it in a key table. After the end of the project, the survey company will delete the key table.

All informants and subjects in interviews, focus groups and workshops will give a written informed consent to their participation, either by receiving and signing a *consent and information* letter or email, ensuring they understand what the consent is concerning and what the consequences of participation will be. This will if relevant explicitly include information about which secondary data is processed about the same informant and linked to the answers in the surveys or interviews and how the procedures for pseudonymizing the data are. Identifying information will be stored separated from the study data. After the project has ended, the pseudonyms and the key tables will be deleted, thus fully anonymizing the data. Video and audio material from research interview sessions will be deleted after transcription and quality control. Besides those new data collection activities, SMARTEES will also reanalyse existing data sources, such as datasets provided by the case cluster cities. Conditions for use of this data in relation

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<sup>2</sup> <https://www.uio.no/english/services/it/research/sensitive-data>

to GDPR will be fixed in use licences or contracts (WP1 coordinates this work), also regulating how the secondary data and the primary datasets will be linked through key tables if relevant.

All raw data will be stored and protected on SMARTEES encrypted servers for secure data storage that meet the Norwegian Act relating to Personal Data Filing Systems. Personal data directly linking person and data will always be kept separate from the datasets. Identifying personal data will be retained for a maximum of 1 year after collection completion to allow for thorough quality control. All such data will thus be deleted by **September 2021** the latest.

**Table 4: Procedures for data protection**

Procedures for data protection
<ul style="list-style-type: none"> <li>• The project will follow the principle of “data minimization” by restricting acquisition of primary or secondary data to the absolute necessary for the project</li> <li>• Data will be pseudonymized at the earliest possible point in time where linking of datasets is necessary, otherwise data will be anonymized as early as possible.</li> <li>• Pseudonymization will be conducted by the partners responsible for a respective case by separating identifying information from the rest of the data and storing it in a file, separated from the other data. Anonymization will also be conducted by the same partners, but here no identifying information will be retained.</li> <li>• Personal data in key tables will be stored under strictest precautions and under no circumstances made public</li> <li>• Data will always be pseudonymized before it is shared with the other partners</li> <li>• Consent is sought before storing collected material in electronic form</li> <li>• When the data collected through interviews generates personal information, this data will be pseudonymized during transcription</li> <li>• Any text produced based on research results will respect the principle of privacy and anonymity, not identifying any informants directly or indirectly without their explicit consent</li> <li>• All secondary data sources shall contain already pseudonymized datasets where linking them with other data is necessary, anonymized secondary dataset will be acquired wherever possible.</li> <li>• Licences and contracts for use of secondary data will be made, specifying their use in relation to the GDPR</li> <li>• Activities carried out outside the EU will be executed in compliance with the legal obligations in the country where they are carried out and the EU</li> <li>• The activities must also be allowed in at least one EU Member State</li> <li>• All data transferred between project partners (within or outside the EU) will be restricted to pseudonymized or anonymized data and transfer will only be made in encrypted form via secured channels</li> <li>• At the end of the project, all data will be anonymized before making it available for open access. The pseudonyms and according key tables will be deleted at the end of the project.</li> <li>• Since Agent Based Models often are geographically explicit, the visual representation of the data will be provided in a form that does not allow identifying individual analysis units (e.g., households), for example by dividing the region of analysis in sections which contain at least three response units and placing these units randomly in the section in the visual output.</li> </ul>

### Involvement of non-EU countries

SMARTEES' non-EU partner (NTNU - the coordinator) has confirmed that the ethical standards and guidelines of Horizon2020 will be rigorously applied, regardless of the country in which the research is carried out. Activities

carried out outside the EU will be executed in compliance with the legal obligations in the country where they are carried out, with an extra condition that the activities must also be allowed in at least one EU Member State.

In SMARTEES, data will be transferred between the named non-EU country (Norway) and countries in the European Union to allow for joined analyses and storage of all data in the common database. All data transferred between project partners (within or outside the EU) will be restricted to pseudonymized or anonymized data and transfer will only be made in encrypted form via secured channels.

Two partners (JH and ACC) are located in the UK, which at the time of start of the project is an EU country. Should this status change throughout the project period, the same rules as for the Norwegian partner will apply.

## Survey questionnaire for each case cluster

The SMARTEES survey effort is coordinated and administrated in WP4, while the process with which the theoretical framework in all data collection activities, scientific design of the questionnaires survey (i.e., questions and items to be considered) and structural requirements of the data collection are defined in WP2, WP3 and WP7. First, a relatively short core questionnaire will be developed that will allow a level of comparability across all case studies surveyed. Later, tailored questionnaires for each case cluster, whereby partners can contribute to a battery of measures and items, will be developed by the lead partner for each case study cluster, who will work with the overall coordinating partner for the survey questionnaire in developing the sampling details, the questionnaire tool, and any data management issues associated with each case. Data collection in each case study in a subtask for each case will be led by the case responsible partner. The survey work will be conducted by the case partner or subcontracted to a professional survey company (including participant recruiting, printing, postage, data processing), using the briefing document that is developed for each case study cluster. A professional company subcontracted to undertake the empirical survey work is needed to a) translate the questionnaire into local languages, b) program the questionnaire in an adequate online-survey tool if necessary, c) recruit survey participants (according to the selection criteria defined by the consortium) and d) send out the questionnaire to participants. Emphasis is put on hiring companies that specialize in the above-mentioned tasks and that have a proven record of accomplishment of multi-national efforts to ensure the highest quality data material. We will collect several quotes for the SMARTEES survey service, and choose the one offering the best value for money.

Companies in question must document their routines and procedures for data management, sensitive information and personal data – and thus prove that all data collection services and processing will be carried out according to the EU GDPR and national legislation. The chosen company will transfer pseudonymized data to the SMARTEES project server through a secure file transferring system.

## 4.2 Data collection procedures

In order to achieve quality assurance, quality control and consistency throughout the project; specific data collection procedures will be added to the DMP as they are developed by the involved partners ahead of the different data collections. All procedures will be developed to meet general scientific quality criteria for data collections<sup>3</sup> as indicated in the following Table 5.

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<sup>3</sup> These standards and explanations are developed by *European quality assurance in vocational education and training (EQAVET)*

**Table 5: Quality standards for data collections**

Quality standards
<b>Accuracy</b> Is the data collected correct and complete? Are the data entry procedures reliable?
<b>Efficiency</b> Are the resources used to collect data the most economical available to achieve those objectives?
<b>Effectiveness</b> Have the objectives been achieved? Have the specific results planned been achieved?
<b>Feasibility and timeliness</b> Can data be collected and analysed cost effectively? Can it provide current information in a timely manner?
<b>Relevance</b> What is the relevance of the data/information/evidence for primary stakeholders? Is data collection compatible with other efforts? Does it complement, duplicate or compete?
<b>Security</b> Is the confidentiality ensured?
<b>Utility</b> Does data provide the right information to answer the questions posed?

## Document and record study

The document and record (data) study procedure will be developed ahead of the data collection and documented in an updated DMP. The first steps in this respect are identifying the need for data in the different cases and the availability of secondary data.

Two types of document studies have been conducted so far (see Appendix 3 for a documentation of the acquired data): (1) a document search and in depth analysis to describe the case characteristics for the work documented in the deliverables D3.1-D3.4. Please see Appendix 4 for a documentation of the procedures. (2) a policy document study to understand the policy context in which the cases operate as preparation for the work in WP5. Please see Appendix 5 for a documentation of the guidelines for this document analysis.

## Individual in-depth interviews

So far, in-depth interviews have been conducted for the work in WP3 with key actors in the cases. Appendix 3 documents the obtained data sets from this work, Appendix 6 documents the interview procedures in detail.

## Case study observations

Case study observations have been conducted in relation to (a) the interviews and focus groups conducted in relation to the work in WP3 and (b) the follower case workshops in the cases in WP8. The observations have been conducted as site visits which were transferred into the case descriptions documented in deliverables D3.1, D3.2 and D3.4. During the follower case workshops, short videos have been recorded which will subsequently be presented on the SMARTEES homepage capturing the essence of the cases. The consent form for the use of people's quotes in the videos is presented in Appendix 1.

## Questionnaire surveys

Surveys have so far been conducted in the following cases: Aberdeen, Groningen, and Zürich. Data collection with the surveys is still conducted at the time this DMP/project handbook update is presented in Barcelona, el Hierro, Vitoria-Gasteiz and Timisoara. In Stockholm, Malmö and Samsø, the available secondary data was judged to be sufficient to parameterize the models, so that no additional survey was introduced. Consent forms for the surveys can be found in Appendix 1.

## Focus group interviews

So far, focus group interviews have been conducted for the work in WP3 with key actors in the cases. Appendix 3 documents the obtained data sets from this work, Appendix 6 documents the interview procedures in detail.

## Discussions

Discussion event data collection procedure will be developed ahead of the data collection and documented in an updated DMP.

## Workshops

Workshop data collection procedure will be developed ahead of the data collection and documented in an updated DMP.

### 4.3 Data documentation

All collected data shall include a metafile when stored on the SMARTEES secure storage solution and/or the SMARTEES SharePoint server. The file will later be made available for external users of the data. This metafile shall explain the kind of data included, involved personnel, date and duration of the data collection, variable names/labels, recruiting procedures, response rates, whether or not it is pseudonymized or anonymized, related WPs and tasks, and finally a summary. Please refer to Appendix 3 for the metafiles collected so far.

### 4.4 Data storage and curation

All personal data will be stored and protected on SMARTEES encrypted server space for secure data storage, described in 5.4.1. Pseudonymized and anonymized data will be stored in the SMARTEES SharePoint solution described in 5.4.2 in encrypted form (see 5.4.3). WP1 (NTNU) and WP4 (JH) are responsible for the curation of all data collected in SMARTEES and its safe storage. The storage solutions for personal raw-data, pseudonymized and anonymized data include daily backup routines to prevent data loss. All data files will be assigned a persistent and unique Digital Object Identifier (DOI) by the end of the project through services such as Figshare, Zenodo or Dryad.

## Personal raw-data and pseudonym key tables

[Update: Linking datasets was not necessary in the project so anonymization instead of pseudonymisation was used and no identifying key tables kept. The description of the procedures in the DMP and project handbook is retained though to document the standards. All data in SMARTEES was anonymized at the earliest possible point in



time. Thus, in the following paragraphs any mention of pseudonymized data is equivalent to anonymized data in SMARTEES].

The non-anonymized raw-data and the key tables for pseudonymized data will be stored on secure server solutions, such as the one hosted and operated by the University of Oslo (UiO) and their *Services for sensitive data* (TSD) (<https://www.uio.no/english/services/it/research/storage/sensitive-data/>) or NTNU's own solution NICE-1, which comply with the Norwegian regulation regarding individual privacy. Each contact partner for the cases is responsible for storing these data and pseudonymizing the datasets for the work in SMARTEES. SMARTEES will establish these server spaces as soon as first data is produced. Our server solutions will comply with the regulations set by the TSD. Backup is performed through regular backup system with the addition of encryption. The encryption key is only available on the dedicated terminal server with a copy stored in safes on two separate locations. Data transfers (import/export) to and from the services is handled by a special purpose file staging service and the project administrator controls access rights for all project members. By default, all project members are able to transfer data in, but only the project administrator can do a data transfer out. For security reasons the infrastructure is accessible only with a 2-factor login, i.e. the username, password and electronically generated secure code (like in internet banking). Connecting to the system is first done by accessing a login server via an encrypted SSH tunnel. From the login server users will connect to project VMs via PCoIP (Windows)/Thinlinc (Linux). The login procedure requires a one-time password that you get from a smartphone/yubikey. The folder structure on the server will be based on the SMARTEES case structure, and separate folders for each case and WP. Datasets that belong to multiple WPs will be stored in sub-folders of WP1 for the cases.

## Pseudonymized data

[Update: Linking datasets was not necessary in the project so anonymization instead of pseudonymisation was used and no identifying key tables kept. The description of the procedures in the DMP and project handbook is retained though to document the standards. All data in SMARTEES was anonymized at the earliest possible point in time. Thus, in the following paragraphs any mention of pseudonymized data is equivalent to anonymized data in SMARTEES].

In cases where the research questions of SMARTEES make it necessary to link several datasets (e.g., primary survey data and secondary data such as energy consumption data), this linking of datasets will be conducted through pseudonyms (e.g., a randomly generated participant code). A table matching the pseudonyms with identifying information (e.g., names or e-mail addresses) will be produced by the SMARTEES partner responsible for the respective case. All identifying information will be replaced in the dataset by the pseudonyms. The key table will be stored separately from the dataset on the secure server solution as described under 4.4.1. At the end of the project, the key tables will be deleted and the data fully anonymized.

Pseudonymized data will be stored at the SMARTEES SharePoint solution in encrypted and password-protected form (see Section 4.4.4). SMARTEES' partners have access to this solution through personal logins provided by NTNU. The overall folder structure is based on the SMARTEES WP and case structure; each WP folder includes a data sub-folder and these will include folders for the specific kinds of data produced.

## Anonymized data

All data collection and processing that will be done during SMARTEES will be carried out according to national legislation and the EU General Data Protection Regulation (Regulation (EU) 2016/679). The consortium and the partners are responsible for following the ethical procedures in their respective countries (see Section 4.1).

In cases where linking of datasets is not necessary, the data will be anonymized at the earliest possible point in time. This will be done by deleting directly identifying information from the file and aggregating indirectly identifying information such as sociodemographic data to a level, where no unique combination of such data identifies groups of less than three respondents. At the end of the project, all pseudonymized data will be anonymized and the key tables will be deleted.



Anonymized data will be stored at the SMARTEES SharePoint solution in encrypted and password-protected form (see Section 4.4.4). SMARTEES' partners have access to this solution through personal logins provided by NTNU. The overall folder structure is based on the SMARTEES WP and case structure; each WP folder includes a data sub-folder and these will include folders for the specific kinds of data produced.

## Encryption standards and procedures

All data files will be transferred via secure connections and in encrypted and password-protected form (for example with the open source 7-zip tool providing full AES-256 encryption: <http://www.7-zip.org/> or the encryption options implemented in MS Windows). Passwords will not be exchanged via e-mail but in personal communication between the partners. The encryption solutions will be chosen in accordance with the SMARTEES partners' IT supports.

## File name standards

To ensure that data files as well as any other file in SMARTEES has a clear name identifying the content, the following file name standards are used. All documents shall be numbered by their type of document, and the assigned subsequent numbering within each WP (first deliverable of WP1: **D1.1**, first deliverable of WP 2: **D2.1**).

**XXX:** Identifies which main category the document belongs to. In order to always easily identify the files, the project name **SMARTEES-** shall be included as a prefix to all document categories.

**YYY:** Will always be a number assigned subsequently for each new doc in the XXX category and WP. **ZZZ:** Issue number

XXX	XXX explanation	YYY	ZZZ
D	Deliverable	1.1, 1.2, 2.1, 2.2 etc.	1,2,3,etc.
MAN	Management	1.1, 1.2, 2.1, 2.2 etc.	1,2,3,etc
DAT	Data files	1.1, 1.2, 2.1, 2.2 etc.	1,2,3,etc
DOC	Data documentation file	1.1, 1.2, 2.1, 2.2 etc.	1,2,3,etc
NOT	Notes	1.1, 1.2, 2.1, 2.2 etc.	1,2,3,etc
MOM	Minutes of meeting	1.1, 1.2, 2.1, 2.2 etc.	1,2,3,etc
PRE	Presentations	1.1, 1.2, 2.1, 2.2 etc.	1,2,3,etc
PAP	Journal paper manuscript	1.1, 1.2, 2.1, 2.2 etc.	1,2,3,etc

The file-name shall always consist of: document number, document title and issue (in this order). Underscore shall be used between document number, issue number and document title. There shall be no open spaces in the document title. Logical short versions of words can be used in the document title part of the filename in order to shorten the filename. If the document is a draft version, this is indicated by "DR" after Issue# and underscore.

Example (document, first issue): **SMARTEES-D1.2\_DMP\_1**

## 4.5 Open access to SMARTEES Data

An open access database (e.g., Zenodo or EUDAT) will be used to grant access to anonymized quantitative data after the project is ended. After consultation of data protection officers we decided to not make qualitative raw data open access, because even after anonymization identification might be possible through an in depth analysis of speech patterns. Data based on the empirical results from this project will be stored in this database (e.g., data and

information collection via a web-based survey(s), workshops, site visits etc.). The researchers have a duty of transparency to fully inform how the data will be used and to what purpose the data is for. Thus, the ethically compliant data collection will be guided by proportionality and follow the legal safeguards (described in WP9) to minimize any risks related to unauthorized release of personal and private information. The empirical work of WP3 and WP4 will be coordinated (for data management issues) by WP1 and then transferred into the database created by WP4 (qualitative and quantitative interview data). Furthermore, SMARTEES will in WP8 provide a policy sandbox tool utilizing the data curated and collected in SMARTEES. Secondary data will only be made available to open access if the licensing with the owners of the data allows for that.

#### 4.6 Deletion of data

[Update: Linking datasets was not necessary in the project so anonymization instead of pseudonymisation was used and no identifying key tables kept. The description of the procedures in the DMP and project handbook is retained though to document the standards. All data in SMARTEES was anonymized at the earliest possible point in time. Thus, in the following paragraphs any mention of pseudonymized data is equivalent to anonymized data in SMARTEES].

Identifying personal data and key tables will be retained for a maximum of 1 year after collection completion to allow for thorough quality control. All such data will thus be deleted by **September 2021** the latest. At this point all data will be anonymized. Anonymized data will not be deleted but stored and made available for future use through the Open Data Pilot.

#### 4.7 Visual representation of data

Whenever relevant for research questions to represent the “neighbourhoods” present in cities, SMARTEES will make use of available GIS data. In computational models of the cities, the GIS data may be linked to other variables. For example, represented clusters of households (i.e. city neighbourhoods) may be assigned values of other relevant variables (e.g. mean energy use per month). This will be done by using central tendency measures for aggregations of units, so that at no stage individual household data, or data concerning geographical locations of individual respondents is made public.

#### 4.8 Open data pilot

SMARTEES provides access to all quantitative primary data collected (qualitative data will not be made available open access for GDPR reasons) and secondary data aggregations where publication of the data does not collide with copyrights of the initial data providers. This is in line with the H2020 open data pilot openaire (see <https://www.openaire.eu/opendatapilot>). Data will be made available as soon as SMARTEES primary research and publication interests are fulfilled. No embargo period is implemented once the SMARTEES publications are finished and no restrictions are foreseen to be put on the re-use of the data at this point. WP1 and WP4 are responsible for providing open access to the data.

### General principles

All data in SMARTEES shall be open access if no other important principles stand against it (such as for example restrictions on secondary data or GDPR restrictions). In this respect, the Consortium Agreement and the Grant Agreement are binding, especially Section 9 (“Access rights”) and Section 10 (“Non-disclosure of information”) of the Consortium Agreement are relevant for determining potential need for access restriction to SMARTEES data.

### Size of the data

For the size of the collected data files please see the metadata files in Appendix 3.

## Target group for the data use

The data provided in SMARTEES will be of interest for policy makers, businesses in the energy sector, stakeholder groups and other researchers. They will be documented and presented in a way that makes them accessible for non-scientists.

## Access procedures

The data made available through the open data pilot will be fully accessible without any restrictions (if not exploitation benefits require an embargo period).

## Documentation procedures

All data files provided by SMARTEES include a documentation of the content of the data file and the context the data was collected in. It is important to ensure usefulness of the data for researchers and analysts not foreseen in the data collection. The documentation procedures will be constantly updated during the SMARTEES project.

## Securing interoperability

For social science data it is essential to document the use and source of theoretical concepts leading to data collections to ensure interoperability across different user groups. SMARTEES will create a glossary defining key terms and concepts used in the project and an ontology (WP2). This glossary and the theoretical work conducted on WP2 will be part of the data documentation. Furthermore, sources for theoretical concepts and variables measures will be documented to ensure comparability with previous and future use. For quantitative data, the psychometric performance of the variables will be documented. The use of theoretical concepts will be standardized within SMARTEES in WP2 and with previous use of the variables and concepts wherever possible (there might be a number of newly developed concepts in SMARTEES, which cannot be aligned with previous work).

## Search keywords and data identification

Each data set will be assigned a unique and persistent Digital Object Identifier (DOI) to make it identifiable when stored in a data repository. Each file will be tagged with keywords for search purposes: SMARTEES is always a keyword, furthermore, keywords describing the type of the data (e.g., “interview”, “survey”), the participants (“representative sample”), the type of topics included (e.g., “energy poverty”, “consumer empowerment”).

## File types

Each data file in SMARTEES will be made available with an accompanying documentation of its content. Quantitative data will be made available in standard data formats for popular statistical program packages to make reuse as easy as possible (e.g. CSV, SAV, or R with popular character encoding such as ASCII or UTF-8 without BOM).

## Curation of the data after the end of SMARTEES

All data in SMARTEES will be transferred into a data repository that is the state of the art.

## APPENDIX 1: DETAILED DATA COLLECTION RESPONSIBILITIES

The following table presents a complete summary of all data collections in SMARTEES with the responsibilities indicated. The table will be constantly updated during the project as soon as data collections are started.

ID	DATA COLLECTION	SOURCE	DATA	WHEN	FORMAT	DATA FLOW	RESPONSIBLE FOR DATA PRODUCTION & MONITORING	RESPONSIBLE FOR DATA PREPARATION (TRANSCRIPTION, DATA CLEANING)	RESPONSIBLE FOR STORAGE / PSEUDONYMIZATION	RESPONSIBLE FOR TRANSFER TO LONG-TERM STORAGE	DATA TO BE USED BY	WP/TASK
ID1	Documents and records	Documents published by relevant stakeholders	Existing data and records on relevant case study clusters	M3-M10	Text file, numerical data	WP3 identify documents/records. WP4 supplement these existing data with new data and integrate them. WP5 will define future policy scenarios based in insight from WP4. WP6 analyses the data provided by WP4, and provides input to WP7. Further utilities of the data will be carried out in WP8.	WPs 1, 3 and 4	WPs 3 and 4	WPs 1, 3 and 4	WPs 1, 3 and 4	WPs 4-8	1.3, 2.3, WP3, 4.1, 4.2, 4.9, WP5, 6.1-6.3, WPs 7-8
ID2	Interviews	Stakeholders interviews	Responses of key informants and stakeholders	M1-M10	Text file	WP4 will develop interview protocol. Interview with relevant stakeholders will be conducted as part of WP3. Data are exploited in WPs 4, 5, 6 and 7 (analyses and synthesis), and further utilized in WP8 as part of the dissemination efforts.	WPs 1 and 3	WP 3	WPs 1, 3 and 4	WPs 1, 3 and 4	WPs 4-8	1.3, 2.3, WP3, 4.4, WP5, 6.1-6.3, WPs 7-8
ID3	"On site" visits and observations	Observations, interviews	Observations, interviews with relevant stakeholders at the site visited	M1-M10	Text file	"On site" visits and observations are carried out as part of the task in WP3. Data are exploited in WPs 4, 5, 6 and 7 (analyses and synthesis), and further utilized in WP8 as part of the dissemination efforts.	WPs 1 and 3	WP 3	WPs 1, 3 and 4	WPs 1, 3 and 4	WPs 4-8	1.3, 2.3, WP3, 4.4, WP5, 6.1-6.3, WPs 7-8
ID4	Questionnaire surveys	Questionnaire	Participants' responses to questionnaire(s)	M7-M15	Numerical data	WP3 provides input to the designing of questionnaire in WP4. Data collection is performed by hired data collection company(s) under the supervision of WP 1 and 4. Data are exploited in WPs 4, 5, 6 and 7 (analyses and synthesis), and further utilized in WP8 as part of the dissemination efforts.	WPs 1 and 4	WP4	WPs 1 and 4	WPs 1 and 4	WPs 4-8	1.3, 2.3, 3.4, WPs 4-5, 6.1-6.3, WPs 7-8
ID5	Focus groups	Focus group discussions	Responses of focus group participants	M1-M10	Text file	WP4 will develop interview protocol. Focus group interview with relevant stakeholders will be conducted as part of WP3. Data are exploited in WPs 4, 5, 6 and 7 (analyses and synthesis), and further utilized in WP8 as part of the dissemination efforts.	WPs 1 and 3	WP 3	WPs 1, 3 and 4	WPs 1, 3 and 4	WPs 4-8	1.3, 2.3, WP3, 4.4, WP5, 6.1-6.3, WPs 7-8
ID6	Discussions of events	Discussion with stakeholders	Responses of stakeholder/ participants during discussion of events	M3-M36	Text file	WP4 will arrange a series of discussions with project partners, case-study teams and agent-based modelling teams about requirements for primary data collection. WP5 will engage a sample of citizens, consumers, social and business actors to discuss future energy policy scenarios. Data are exploited in WPs 3, 4, 5, 6 and 7 (analyses and synthesis), and further utilized in WP8 as part of the dissemination efforts.	WPs 1, 4 and 5	WPs 4 and 5	WPs 1, 4 and 5	WPs 1, 4 and 5	WPs 3-8	1.3, 2.3, WPs 4-5, 6.1-6.3, WPs 7-8
ID7	Workshops	Workshop discussions	Responses of workshop participants	M5-M36	Text file	Data on views of relevant experts and stakeholders are collected during three interdisciplinary research workshops on theory and method (organized by EI-JKU), a data analysis workshop (organized by JH), a series of multi-stakeholders deliberative workshops on future policy scenarios (organized by UOT & UDC). Data are exploited in WPs3, 4, 5, 6 and 7 (analyses and synthesis), and further utilized in WP8 as part of the dissemination efforts.	WPs 1, 2, 4 and 5	WPs 2, 4 and 5	WPs 2, 4 and 5	WPs 2, 4 and 5	WPs 3-8	1.3, WP2, 3.2, WPs 4-5, 6.1-6.3, WPs 7-8

## APPENDIX 2 – DOCUMENTATION OF CONSENT FORMS

### Informed Consent form (Norwegian University of Science and Technology)

#### INFORMED CONSENT FORM

SMARTEES - Social innovation Modelling Approaches to Realizing Transition to Energy  
Efficiency and Sustainability (GA n. 763912)

#### 1. Purpose of the research and methods

The SMARTEES project aims to support the success of the Energy Union by developing alternative, more robust policy pathways that foster citizen inclusion and gain citizen acceptability. It does so through the improvement of our understanding of the role of social innovation in sustainable transitions. SMARTEES aims to significantly extend the understanding of mechanisms of collective engagement in energy transitions, explaining dynamics of empowerment in community-driven energy innovations and locally-embedded low carbon policies. SMARTEES framework builds on a comparative analysis of five transnational clusters of social innovation in the energy domain, such as: district regeneration based on renewable energy production; island renaissance based on renewable energy production; holistic, shared and persistent mobility strategy; urban mobility with superblocks; and coordinated, tailored and inclusive energy efficiency schemes for fighting fuel poverty.

For this purpose, the project research group at NTNU will carry out interviews with policy experts like you, and therefore will need to register your name and contact information such as telephone and/ or address. In order to make the most of the interview, this will be recorded on tape, and information on your background, political views, and philosophical convictions will be gathered.

#### 2. Participation in the project and right to withdraw

Your participation in this research is entirely voluntary. It is your choice whether to participate or not. If you decide to participate, you will be invited to read the information sheet (a copy will be given to you) and sign this certificate of consent. You may withdraw at any time without giving any explanation or condition. You do not have to answer any question you not wish to. You have the right to access your personal data, request a copy of these data, as well as request that incorrect data is corrected. You have the rights to retire the data you have provided to this investigation (or remove portions of those) at any time, as well as your personal data. If you wish to exercise your right to withdraw after this interview, you might contact to the principal investigator without need of motivation (contact data below). If you feel that you are unable to exercise these rights, you have the right to file a complaint to our data protection officer, which contact info is stated below. Further, you can address a complaint to NSD, the Norwegian Centre for Research Data, please see contacts at the end of this document.

#### 4. Procedure

This research will involve your participation in an individual qualitative interview that will be tape-recorded for the purposes of the investigation. The information recorded is confidential, your personal data will be anonymized and no one else except the research team will have access to the interview, that will be stored on a safe place. Your participation is required for a length of one hour approximately. We expect you answer each question in a free, clear and honest form, giving your personal opinion about the topics raised by the interviewee(s). If you do not wish to answer any of the questions during the interview, you may say so and the interviewer(s) will move on to the next question. No one else but the interviewer(s) will be present unless you would like someone else to be there.

#### 5. Data protection

In the context of the H2020 funded project SMARTEES, all the activities will be conducted according to and in compliance with General Data Protection Regulation of 25/05/2018 (GDPR), and EU Directive

2016/679. All personal data collected will be kept secure and no personal data will be kept for longer than necessary for the purposes for which it was collected. All collection and processing of personal data is based on this consent form.

The SMARTEES project will last until the end of April 2021 but, personal data collected during these interviews, which is no longer required for the purposes of the SMARTEES project, will be in most part deleted by the end of April 2020, while only the anonymized interview transcripts will be conserved after said date. The Norwegian University of Science and Technology (NTNU) is responsible for the project and your data. Data that can be traced back to you will not leave NTNU, but anonymized data will be shared with our collaboration partners at the James Hutton institute (JH), Knowledge and Innovation (K&I), University of A Coruña (UDC), Energieinstitut an der Johannes Kepler Universität Linz (EU-JKU), West University of Timisoara (UOT), University of Groningen (UG), ICLEI European secretariat GMBH (ICLEI), Samso Energiakademi Forening (SAM-EA), Aberdeen City Council (ACC), and Urbanisland AB (UI).

## **6. Anonymity and confidentiality**

All information gathered during the investigation will be kept in the strictest confidentiality and will be stored on a safe place. Only the research team will have access to anonymous data. Your personal data will be kept confidential and they will only be disclosed to the team of the SMARTEES project on a need-to-know basis and it will not be disclosed to any other individual or third parties. The results of the study will be disseminated for scientific purposes, in compliance with the ethical standards of the scientific community. It is guaranteed that the reports or any scientific outcomes related to this project will not contain any personal information and you will not be identified or identifiable.

Whether, due to EU's Open Data policies, the transcription of your interview is required to be made public in the open access database when the project is finished, you will be informed in advance. Your explicit consent will be requested for this purpose and an anonymized version of your interview will be sent to you in order you can review the content and give (or not) the specific informed consent.

## **7. Possible risks, disadvantages or discomfort**

Your participation in this research does not present any risk, handicap as well as does not intend any discomfort.

## **8. Benefits of this research project**

*This research project will contribute to achieving a resilient, low-carbon and climate-friendly Energy Union that puts citizens at its core. Among the results, of a set of policy tools, such as a "policy sandbox tool" which will help municipalities and local territories worldwide to forecast the effects of policy measures and social innovation in a diversity of energy domains, thereby supporting the improvement of policy design and decision-making.*

## **9. Project Results**

The results of this research will be used exclusively in a group, and published in various scientific journals and on the website dedicated to the project. Towards the end of the project, you'll get a copy of the results either by downloading them from the project's website (<http://local-social-innovation.eu/>) or from the principal investigator.

## 10. Questions and claims

If you wish to ask questions about the research or if there were any complaint or claim on your part on how you have been treated during your participation in this project, you can contact the principal researcher of the project, Prof. Christian Klöckner, who will process it quickly and carefully.

If you feel not satisfied with the way your complaint is being handled, you can also contact:

Thomas Helgesen  
Data protection officer  
Email: [thomas.helgesen@ntnu.no](mailto:thomas.helgesen@ntnu.no)  
Tel. +47 93079038  
Norwegian University of Science and Technology (NTNU)  
Sluppenveien 12B/C  
7037 Trondheim  
Norway

## 11. Organization and Research Funding

SMARTEES project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 763912.

## 12. Data Privacy Review of project activities

These research project activities have been approved by NSD, the Norwegian Centre for Research Data.

The centre can be contacted for claims at:

Email: [personverntjenester@nsd.no](mailto:personverntjenester@nsd.no)  
Tel. +47 55 58 21 17  
NSD – Norsk senter for forskningsdata AS  
Harald Hårfagres gate 29  
N-5007 Bergen  
Norway

## 13. Contact for more information:

Prof. Christian A. Klöckner (SMARTEES project principal investigator)  
Email: [christian.klockner@ntnu.no](mailto:christian.klockner@ntnu.no)  
Norwegian University of Science and Technology (NTNU)  
Department of Psychology  
7491 Trondheim  
Norway



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### PARTICIPANT STATEMENT

First, I manifest that I have been invited to participate in the SMARTEES project and that I consent voluntarily to be interviewed for the purposes of this study.

Second, I confirm that I have read the foregoing information, and I have been properly informed by XXX, researcher in this project. I have received and understand the information provided about the content, purposes and benefits of this project. I had the opportunity to ask questions about it and any questions I have been asked have been answered to my satisfaction. Therefore, I am aware that my participation is voluntary and that I am free to withdraw at any time without giving any reason and without there being any negative consequences.

Name of Participant \_\_\_\_\_

Signature of Participant \_\_\_\_\_

Date (Day/month/year) \_\_\_\_\_

### STATEMENT BY THE RESEARCHER/PERSON TAKING CONSENT

First, I have provided a copy of the research project information sheet to the potential participant, and to the best of my ability made sure that the participant understands the information provided about the content, purposes and benefits of this project. A copy of this informed consent form has been provided to the participant.

Second, I confirm that the participant was given an opportunity to ask questions about the research and all the questions asked by the participant have been answered correctly and to the best of my ability. I confirm that the individual has not been coerced into giving consent, and the consent has been given freely and voluntarily.

Name of Researcher \_\_\_\_\_

Signature of Researcher \_\_\_\_\_

Date (Day/month/year) \_\_\_\_\_

## Informed Consent form (West University of Timișoara)

### Buna ziua! / Introduction

Proiectul "Social innovation Modelling Approaches to Realizing Transition to Energy Efficiency and Sustainability" (SMARTEES) este un proiect cu finanțare din partea Uniunii Europene care explorează tranzițiile energetice în zece orașe și insule din Europa. Pentru mai multe informații, accesați: <http://local-social-innovation.eu>.

Concret, acest proiect își propune să analizeze comportamentele de consum ale oamenilor în ceea ce privește energia pentru a defini anumite strategii și intervenții pentru eficientizarea acestui domeniu.

Universitatea de Vest din Timișoara are în acest proiect parteneri din Norvegia, Olanda, Italia și Spania.

### Scop/ Aim

Sondajul face parte din proiectul de cercetare SMARTEES, Horizon 2020 cu finanțare din partea Uniunii Europene.

Pentru a vedea obiceiurile de consum și modul în care oamenii iau decizii privind consumul energetic, a fost construit acest sondaj de opinie care este aplicat în toate țările partenere, adresat populației respective. Rezultatele se analizează comparativ, iar concluziile se referă la întreg lotul de respondenți.

### Proceduri legate de studio/ Procedure

Durata de completare a chestionarului este de aproximativ 10 minute.

NU există răspunsuri corecte sau greșite. Vă rugăm să răspundeți cât mai onest, la fiecare întrebare în parte.

### Confidențialitate și consimțământ

#### Confidențialitate și retragere/Confidentiality and withdrawal

Toate răspunsurile dvs. sunt complet confidențiale. Nici o informație personală care ar putea duce la identificarea dvs. nu va fi asociată cu răspunsurile dvs. Rezultatele acestui studiu vor fi raportate într-o formă agregată, bazată pe analiza la comun a răspunsurilor tuturor participanților.

Participarea dvs. la această cercetare nu prezintă nici un fel de risc. Acest studiu nu urmărește să vă aducă un beneficiu sau dezavantaj personal. Aveți libertatea să vă retrageți consimțământul și să întrerupeți participarea în orice moment, fără nici o consecință negativă.

Contact pentru informații legate de acest studiu și drepturile participanților la cercetare: [irina.macsinga@e-uvt.ro](mailto:irina.macsinga@e-uvt.ro)

Dacă aveți anumite întrebări, nelămuriri sau doriți informații suplimentare legate de acest studiu, o puteți contacta pe Conf. univ. dr. Irina Macsinga, Universitatea de Vest din Timișoara, (E-mail: [irina.macsinga@e-uvt.ro](mailto:irina.macsinga@e-uvt.ro))

### Consimțământ/ Consent

După ce ați citit informațiile prezentate mai sus, vă rugăm citiți următoarele afirmații:

"Prin apăsarea butonului ÎNAINTE, confirm că am citit cele de mai sus și că mi s-a specificat că participarea mea la acest studiu este voluntară și că mă pot retrage în orice moment fără să sufăr nici o consecință negativă. De asemenea, sunt conștient(ă) de faptul că răspunsurile mele vor fi analizate în manieră confidențială. Înțeleg că dacă voi avea întrebări suplimentare legate de acest studiu o pot contacta pe Conf. univ. dr. Irina Macsinga la adresa de email menționată mai sus."

## Informed Consent form (James Hutton Institute)

### Consent form

I have received and understood the Participant Information Sheet provided and have been given the opportunity to ask questions. I consent:

- ☐ to participate in an interview
- ☐ for the interview to be audio recorded and transcribed by a trusted third-party transcriber
- ☐ for the information I give to be published in such a way that – as far as possible – I cannot be identified

Name of Participant.....

Signature of Participant .....

Date (Day/month/year).....

#### Privacy Notice

The James Hutton Institute (“Hutton”, “us” or “we”) will use your personal data for the purposes of the research undertaken in the **SMARTEES project**. Our legal basis for processing your data is that it is necessary for the performance of a task carried out in the public interest in relation to research funded by the **European Commission**.

We are the Data Controller of your personal data. We will only share your personal data with the other partner organisations on the SMARTEES project and our contracted transcriber, unless we are required by law to share these data elsewhere. We shall only retain these data for as long as is necessary to fulfil the research undertaken on the project and deliver project outcomes. Details of the other partner organisations involved in the SMARTEES project are available on the project [website](http://www.hutton.ac.uk/terms). You have rights in relation to your personal data. Please see our Privacy Notice at [www.hutton.ac.uk/terms](http://www.hutton.ac.uk/terms) for further information or contact our Data Protection Officer on [DPO@hutton.ac.uk](mailto:DPO@hutton.ac.uk).

Thank you for giving us your consent. You will be provided with a copy of this signed consent form for your reference. This consent form will be stored in a secure location.

If you have any questions concerning the project and/or your participation, please contact:

Dr Annabel Pinker ([annabel.pinker@hutton.ac.uk](mailto:annabel.pinker@hutton.ac.uk); phone: 01224 395 442)

Or Dr Kathryn Colley ([kathryn.colley@hutton.ac.uk](mailto:kathryn.colley@hutton.ac.uk); phone: 01224 395 387)

at the James Hutton Institute, Aberdeen.

The SMARTEES website is available at: [www.local-social-innovation.eu](http://www.local-social-innovation.eu)

## Privacy Notice

The James Hutton Institute ("Hutton", "us" or "we") will use your personal data for the purposes of the research undertaken in this project, "SMARTEES: Social Innovation Modelling Approaches to Realising Transition to Energy Efficiency and Sustainability". Hutton is committed to protecting your personal data and adheres to the principles of the General Data Protection Regulation ("GDPR") when processing your personal data.

We obtained your name and postal address from Experian Marketing Services in order to select our survey sample. To learn more about how they help organisations with their marketing and advertising including how to opt-out, visit [www.experian.co.uk/cip](http://www.experian.co.uk/cip). Our legal basis for processing your name and address is that it is necessary for the performance of research carried out in the public interest in relation to a project funded by the European Union's Horizon 2020 Research and Innovation Programme under grant agreement no. 763912.

We are the Data Controller of your personal data. Your name and address have been shared only with Denmore Press for the express purpose of printing and posting the survey and will not be shared with any other third party, unless required by law. For the above purpose, a data processing agreement and adequate data protection safeguards are in place.

Your name and address are stored on secure servers in the UK and will be deleted when the survey closes on 31 January 2020. If you complete the survey online, your IP address will not be recorded. Your personal data will not be used for any other purpose and will not be transferred outside of the EEA.

If you enter the prize draw, your name and email address will not be shared with any third party, unless required by law. They will be stored securely and separately from your survey response and will be destroyed once the winners are selected on 31 January 2020.

Hutton works hard to protect your personal data and has adopted appropriate technical and organisational measures to keep it safe from unauthorised disclosure, alteration or destruction. You have rights in relation to your personal data. Please see our Privacy Notice at [www.hutton.ac.uk/terms](http://www.hutton.ac.uk/terms) for further information or contact our Data Protection Officer at [dpo@hutton.ac.uk](mailto:dpo@hutton.ac.uk) or by telephone on 01382 346814.

## Consent Form

Please read the following and tick the box at the bottom to indicate that you consent to take part in this study:

- I confirm that I have read the information provided about the study.
- I understand that my participation is voluntary and that I am free to withdraw at any time, without providing any reason and without my legal rights being affected.
- I understand that the study is being conducted by researchers from The James Hutton Institute, at the request of the European Union's Horizon 2020 Research and Innovation Programme.
- I understand that confidentiality and anonymity will be maintained at all times and it will not be possible to identify me from any publications or outputs.
- I acknowledge that I have read and understood the Privacy Notice (above).

☐

**I hereby give my consent to take part in this study**

## Informed Consent Form (Knowledge & Innovation)

### Interview Consent Form

#### ***Title of Project***

**SMARTEES - Social innovation Modelling Approaches to Realizing Transition to Energy Efficiency and Sustainability (GA n. 763912)**

You have been asked to answer to an interview as part of a qualitative research of the SMARTEES project, which is funded by the European Commission under the Horizon 2020 Framework Programme.

In the context of the H2020 funded project SMARTEES, all the activities will be conducted according to and in compliance with General Data Protection Regulation of 25/05/2018 (GDPR), and EU Directive 2016/679.

#### ***Involvement***

The interview will take approximately one hour/one hour and half. Your involvement is entirely voluntary and you may refuse to answer any question with which you are uncomfortable. You may also withdraw your involvement at any time.

#### ***Confidentiality and anonymity***

K&I (Knowledge & Innovation srls), the partner in charge of interviews in the SMARTEES qualitative research in Zurich, is responsible for the organisation of the present interview, its recording and its transcription. Even though the interview will be recorded, all personal information collected and your responses will be anonymised. It is guaranteed that reports and publications making reference to the qualitative research will not contain any personal information and you will not be identified or identifiable. Your personal data will be kept confidential and they will only be disclosed to the team of the SMARTEES project on a need-to-know basis and it will not be disclosed to any other individual or third parties. Your anonymised comments might be used in scientific publications related to this project.

#### ***Data protection and data security***

All personal data collected will be kept secure and no personal data will be kept for longer than necessary for the purposes for which it was collected. Personal data which is no longer required for the purposes of the SMARTEES project will be deleted.

#### ***Risks and benefits:***

No risks or benefits are foreseen for this interview.

### Participant statement

1. I confirm that I have read and understood the information in the first page of this Form and I have had the opportunity to ask questions about the project. If I have any more questions about my participation in this focus group, I may contact Gabriele Quinti (quinti@knowledge-innovation.org) ☐
2. I understand that my participation is voluntary and that I am free to withdraw at any time without giving any reason and without there being any negative consequences. In addition, should I not wish to answer any particular question or questions, I am free to decline. ☐
3. I understand that my responses will be kept strictly confidential. I give permission for members of the team to have access to my anonymised responses. I understand that I will not be identified or identifiable in the report or reports that result from the research. ☐
4. I agree to the recording of the interview. I understand that the recording will be used only for the purpose of the analysis by the members of the team and will not be made accessible to third parties. ☐
5. I agree for the data collected from me to be used in future activities ☐
6. I agree to take part in the above SMARTEES project activity. ☐

\_\_\_\_\_  
Name of Participant

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Interviewer

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature

### DATA CONTROLLER:

Conoscenza e Innovazione srls (K&I srls)  
Via Guido Reni, 56 – 00196 Rome (ITALY)  
Ph. +39 06 3200231  
[Conoscenzaeinnovazione.srls@legalmail.it](mailto:Conoscenzaeinnovazione.srls@legalmail.it)



## Survey Consent Form



**Stadt Zürich**  
Tiefbauamt



**SMARTEES**  
local social innovation

Testinterview - at disp1 

Wir weisen Sie darauf hin, dass Sie Ihre Teilnahme jederzeit beenden können. Bitte erklären Sie zudem Ihr Einverständnis, dass die Knowledge & Innovation SRLs, Rom, Italien, als Auftraggeberin der Studie die Informationen, die Sie mit uns teilen, indem Sie die Fragen dieser Umfrage beantworten (es werden keine zusätzlichen Informationen automatisch gesammelt), speichern und im Rahmen des SMARTEES-Projekts sowie für künftige wissenschaftliche Studien verarbeiten darf.

Die Aufbewahrung der Daten erfolgt gemäss üblichen Sicherheitsstandards. Weiter weisen wir Sie darauf hin, dass Vertraulichkeit und Anonymität jederzeit gewährleistet sind und es nicht möglich ist, Sie in Veröffentlichungen des Projektes zu identifizieren. Die Informationen, die Sie uns anonym zur Verfügung stellen, werden ausschliesslich zu wissenschaftlichen Zwecken verwendet. Sie werden weder verkauft noch in irgendeiner Form für Marketingzwecke eingesetzt. Falls Sie weitere Fragen zu unserem Umgang mit Ihren Daten haben, kontaktieren Sie bitte Alexander Frind, den verantwortlichen Projektmanager bei der gfs.bern ag (alexander.frind@gfsbern.ch).

Log

Ich bin mit der anonymen Speicherung und Auswertung meiner Umfragedaten einverstanden.

Ich bin mit der anonymen Speicherung und Auswertung meiner Umfragedaten **nicht** einverstanden.



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PROJECT NO.

Project No. 763912

REPORT NO.

SMARTEES-1.5  
D1.5 Data Management Plan  
(update)

VERSION

03

38 of 129



## Informed Consent Form (University of Groningen)

### INFORMATION SHEET

#### **SMARTEES - Social innovation Modelling Approaches to Realizing Transition to Energy Efficiency and Sustainability (GA n. 763912)**

We invite you to take part in the SMARTEES research project, which is funded by the European Commission under the Horizon 2020 Framework Programme. Before you decide to participate is important to understand why the research is being done and what it will involve. Please, read this information carefully and discuss it or comment it with others if you wish. Take time to decide whether you want to take part or not and ask us if there is anything that is unclear or if you want additional information.

#### **Aims of the project**

The SMARTEES project aims to support the success of the Energy Union by developing alternative, more robust policy pathways that foster citizen inclusion and gain citizen acceptability. It does so through the improvement of our understanding of the role of social innovation in sustainable transitions. SMARTEES aims to significantly extend the understanding of mechanisms of collective engagement in energy transitions, explaining dynamics of empowerment in community-driven energy innovations and locally-embedded low carbon policies.

SMARTEES framework builds on a comparative analysis of five transnational clusters of social innovation in the energy domain, such as: district regeneration based on renewable energy production; island renaissance based on renewable energy production; holistic, shared and persistent mobility strategy; urban mobility with superblocks; and coordinated, tailored and inclusive energy efficiency schemes for fighting fuel poverty.

#### **Invitation to participate**

*You have been chosen to participate in this investigation due to your involvement, expert knowledge or relation with Groningen mobility strategy.*

#### **Participation in the project**

*Your involvement is entirely voluntary. If you decide to participate, you can withdraw at any time. You do not have to give any explanation if you want to retire.*

#### **Possible risks, disadvantages or discomfort**

*Your participation in this research does not present any risk, handicap as well as does not intend any discomfort.*

#### **Benefits of this research project**

*This research project will contribute to achieving a resilient, low-carbon and climate-friendly Energy Union that puts citizens at its core. Among the results, of a set of policy tools, such as a “policy sandbox tool” which will help municipalities and local territories worldwide to forecast the effects of policy measures and social innovation in a diversity of energy domains, thereby supporting the improvement of policy design and decision-making.*

#### **Claims**

If there were any complaint or claim on your part, on how they are treated during your participation in this project, you can contact the principal researcher of the project, Dr. Wander Jager, who will

process it quickly and carefully. If you have any additional questions about how we handle your data, see our Privacy Statement or contact Central Privacy Desk at [privacy@rug.nl](mailto:privacy@rug.nl).

### **Anonymity and confidentiality**

In the context of the H2020 funded project SMARTEES, all the activities will be conducted according to and in compliance with General Data Protection Regulation of 25/05/2018 (GDPR), and EU Directive 2016/679.

All information gathered during the investigation will be kept in the strictest confidentiality and will be stored on a safe place. Only the research team will have access to anonymous data. Your personal data will be kept confidential and they will only be disclosed to the team of the SMARTEES project on a need-to-know basis and it will not be disclosed to any other individual or third parties. The results of the study will be disseminated for scientific purposes, in compliance with the ethical standards of the scientific community. It is guaranteed that the reports or any scientific outcomes related to this project will not contain any personal information and you will not be identified or identifiable.

Whether, due to EU's Open Data policies, the transcription of your interview is required to be made public in the open access database when the project is finished, you will be informed in advance. Your explicit consent will be requested for this purpose and an anonymized version of your interview will be sent to you in order you can review the content and give (or not) the specific informed consent.

### **Project Results**

The results of this research will be used exclusively in a group and published in various scientific journals and on the website dedicated to the project. Towards the end of the project, you'll get a copy of the results either by downloading them from the project's website (<http://local-social-innovation.eu/>) or from the principal investigator.

### **Organization and Research Funding**

SMARTEES project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 763912.

### **Ethical Review Project**

This project has been approved by the Research Ethics Committee (CETO) of the Faculty of Arts, University of Groningen.

### **More information:**

Dr. Wander Jager  
[w.jager@rug.nl](mailto:w.jager@rug.nl)

**We appreciate the time taken to read this information and your participation in the project.**

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## INFORMED CONSENT FORM

SMARTEES - Social innovation Modelling Approaches to Realizing Transition to Energy Efficiency and Sustainability (GA n. 763912)

### 1. Purpose of the research

The SMARTEES project aims to support the success of the Energy Union by developing alternative, more robust policy pathways that foster citizen inclusion and gain citizen acceptability. It does so through the improvement of our understanding of the role of social innovation in sustainable transitions. SMARTEES aims to significantly extend the understanding of mechanisms of collective engagement in energy transitions, explaining dynamics of empowerment in community-driven energy innovations and locally-embedded low carbon policies. SMARTEES framework builds on a comparative analysis of five transnational clusters of social innovation in the energy domain, such as: district regeneration based on renewable energy production; island renaissance based on renewable energy production; holistic, shared and persistent mobility strategy; urban mobility with superblocks; and coordinated, tailored and inclusive energy efficiency schemes for fighting fuel poverty.

### 2. Invitation to participate

You have been chosen to participate in this investigation due to your involvement, expert knowledge or relation with... (e.g. Vitoria-Gasteiz Superblocks-Sustainability Mobility Plan, etc).

### 3. Participation in the project and right to withdraw

Your participation in this research is entirely voluntary. It is your choice whether to participate or not. If you decide to participate, you will be invited to read the information sheet (a copy will be given to you) and sign this certificate of consent. You may withdraw at any time without giving any explanation or condition. You do not have to answer any question you not wish to. You have the rights to retire the data you have provided to this investigation (or remove portions of those) at any time, as well as your personal data. If you wish to exercise your right to withdraw after this interview, you might contact to the principal investigator without need of motivation (contact data below).

### 4. Procedure

This research will involve your participation in an individual qualitative interview that will be tape-recorded for the purposes of the investigation. The information recorded is confidential, your personal data will be anonymized and no one else except the research team will have access to the interview, that will be stored on a safe place. Your participation is required for a length of one hour and a half proximately. We expect you answer each question in a free, clear and honest form, giving your personal opinion about the topics raised by the interviewee(s). If you do not wish to answer any of the questions during the interview, you may say so and the interviewer(s) will move on to the next question. No one else but the interviewer(s) will be present unless you would like someone else to be there.

### 5. Data protection

In the context of the H2020 funded project SMARTEES, all the activities will be conducted according to and in compliance with General Data Protection Regulation of 25/05/2018 (GDPR), and EU Directive 2016/679. All personal data collected will be kept secure and no personal data

will be kept for longer than necessary for the purposes for which it was collected. Personal data which is no longer required for the purposes of the SMARTEES project will be deleted.

## **6. Anonymity and confidentiality**

All information gathered during the investigation will be kept in the strictest confidentiality and will be stored on a safe place. Only the research team will have access to anonymous data. Your personal data will be kept confidential and they will only be disclosed to the team of the SMARTEES project on a need-to-know basis and it will not be disclosed to any other individual or third parties. The results of the study will be disseminated for scientific purposes, in compliance with the ethical standards of the scientific community. It is guaranteed that the reports or any scientific outcomes related to this project will not contain any personal information and you will not be identified or identifiable.

Whether, due to EU's Open Data policies, the transcription of your interview is required to be made public in the open access database when the project is finished, you will be informed in advance. Your explicit consent will be requested for this purpose and an anonymized version of your interview will be sent to you in order you can review the content and give (or not) the specific informed consent.

## **7. Possible risks, disadvantages or discomfort**

Your participation in this research does not present any risk, handicap as well as does not intend any discomfort.

## **8. Benefits of this research project**

*This research project will contribute to achieving a resilient, low-carbon and climate-friendly Energy Union that puts citizens at its core. Among the results, of a set of policy tools, such as a "policy sandbox tool" which will help municipalities and local territories worldwide to forecast the effects of policy measures and social innovation in a diversity of energy domains, thereby supporting the improvement of policy design and decision-making.*

## **9. Project Results**

The results of this research will be used exclusively in a group, and published in various scientific journals and on the website dedicated to the project. Towards the end of the project, you'll get a copy of the results either by downloading them from the project's website (<http://local-social-innovation.eu/>) or from the principal investigator.

## **10. Questions and claims**

If you wish to ask questions about the research or if there were any complaint or claim on your part on how you have been treated during your participation in this project, you can contact the principal researcher of the project, Dr. Wander Jager, who will process it quickly and carefully. If you have any additional questions about how we handle your data, see our Privacy Statement or contact Central Privacy Desk at [privacy@rug.nl](mailto:privacy@rug.nl).

## **11. Organization and Research Funding**

SMARTEES project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 763912.

## **12. Ethical Review Project**

This project has been approved by the Research Ethics Committee (CETO) of the Faculty of Arts, University of Groningen.

**13. Contact for more information:**

Dr. Wander Jager

[w.jager@rug.nl](mailto:w.jager@rug.nl)

**PARTICIPANT STATEMENT**

First, I manifest that I have been invited to participate in the SMARTEES project and that I consent voluntarily to be interviewed for the purposes of this study.

Second, I confirm that I have read the foregoing information, and I have been properly informed by XXX, researcher in this project. I have received and understand the information provided about the content, purposes and benefits of this project. I had the opportunity to ask questions about it and any questions I have been asked have been answered to my satisfaction. Therefore, I am aware that my participation is voluntary and that I am free to withdraw at any time without giving any reason and without there being any negative consequences.

Name of Participant \_\_\_\_\_

Signature of Participant \_\_\_\_\_

Date (Day/month/year) \_\_\_\_\_

**STATEMENT BY THE RESEARCHER/PERSON TAKING CONSENT**

First, I have provided a copy of the research project information sheet to the potential participant, and to the best of my ability made sure that the participant understands the information provided about the content, purposes and benefits of this project. A copy of this informed consent form has been provided to the participant.

Second, I confirm that the participant was given an opportunity to ask questions about the research and all the questions asked by the participant have been answered correctly and to the best of my ability. I confirm that the individual has not been coerced into giving consent, and the consent has been given freely and voluntarily.

Name of Researcher \_\_\_\_\_

Signature of Researcher \_\_\_\_\_

Date (Day/month/year) \_\_\_\_\_

---

## Interview Consent Form

### Informed consent and SMARTEES project information

*Informed consent is gathered in a verbal form, before conducting the interview, together with information about SMARTEES project.*

I would like to thank you for taking time to meet with me today. My name is ....., and I would like to talk to you about an important event in the history of Groningen biking, namely (split ballot: (a) closing of Noorderplantsoen for car traffic or (b) implementation of the Traffic Circulation Plan). The interview is a part of qualitative research done in 10 European cities for the SMARTEES project.

SMARTEES project investigates the processes of social change in complex systems. We are specifically interested in the social interactions that took place during the development of plans for change. According to social complexity theory, the opinions and expressions of a small number of stakeholders may spread through a community and have a large influence on the course of development, e.g. the success or failure of a plan.

Depending on how much you would like to share, the interview will take approx. 90 minutes. If you agree, I would like to record it, because I don't want to miss any of your comments. The interview is anonymous, which means that your name will not be disclosed to any person outside the research team analysing the results in Groningen. Also, all responses are confidential. Altogether in SMARTEES project we plan to conduct between 70 and 100 interviews with respondents from 10 cities. If your quotes will be used in future project publications, they will be presented in a way that will make it impossible to identify you. Please, be advised that you don't have to talk about anything that you find uncomfortable, and that you may terminate this interview at any time.

Are there any questions that you have at this stage?

*If yes, answer interviewees questions.*

Do you agree to participate in this recorded interview?

---

## Survey Consent Form

### Newsletter invitation:

Noorderplantsoen 25 jaar zonder doorgaand autoverkeer!

Geef je mening! 25 jaar geleden stemde 51% van de Groninger inwoners in een referendum voor het afsluiten van het Noorderplantsoen voor autoverkeer. Veel Europese steden willen graag leren van Groningen hoe het verkeer slimmer georganiseerd kan worden. Het onderzoek van de Rijksuniversiteit is onderdeel van het Europese SMARTEES project waarin we onderzoeken of de Groningse aanpak ook in andere Europese steden zou werken. We willen u daarom graag uitnodigen om deel te nemen aan een korte enquête over autoverkeer in het Noorderplantsoen.

Klikt u alstublieft op de onderstaande link om de korte enquête in te vullen: <http://bit.ly/Plantsoen>

Het SMARTEES project is gefinancierd door het Europese Unie Horizon 2020 onderzoek en innovatie programma, projectnummer 763912.

### In-survey information:

Welkom

Hartelijk dank dat u de vragenlijst over autoverkeer in het Noorderplantsoen wilt invullen. Dit helpt ons bij het in beeld brengen van de verschillende meningen van Groningers daarover. Het invullen van de vragenlijst duurt ongeveer 10 minuten. Door op “volgende” te klikken geeft u aan dat uw medewerking aan deze vragenlijst vrijwillig is. U kunt op ieder gewenst moment stoppen met invullen mocht u dat willen. Verder geeft u de Universiteit van Groningen toestemming de data van uw ingevulde vragenlijst vertrouwelijk op te slaan (we verzamelen geen andere data via deze vragenlijst), en het gebruik van deze data ten behoeve van het SMARTEES project en toekomstig wetenschappelijk onderzoek. De vertrouwelijkheid en anonimiteit van de data worden gegarandeerd, en uw data zullen niet identificeerbaar zijn in publicaties of andere vormen van communicatie. De informatie die u met ons deelt wordt uitsluitend gebruikt voor wetenschappelijk onderzoek. Data worden niet gebruikt voor marketing of andere commerciële doeleinden. Mocht u vragen hebben over hoe de data verwerkt worden kunt u ons Privacy Statement raadplegen, of contact opnemen met de Central Privacy Desk per email via: [privacy@rug.nl](mailto:privacy@rug.nl).

Het SMARTEES project is gefinancierd door het Europese Unie Horizon 2020 onderzoek en innovatie programma, projectnummer 763912.



## Informed Consent Form (Universidade da Coruña)

Esta **nota informativa** explica cuáles son los objetivos de este estudio, que se hará con los datos obtenidos y cuál es el interés principal de la aplicabilidad del mismo.

### NOTA INFORMATIVA

El proyecto SMARTEES (Social innovation Modelling Approaches to Realizing Transition to Energy Efficiency and Sustainability) (GA n. 76912), tiene como objetivo apoyar el éxito de la *Unión de la Energía* mediante el desarrollo de alternativas de políticas energéticas que fomenten la inclusión de la ciudadanía y aumenten la aceptación social de las mismas. Intentar comprender de una mejor manera, cual es el papel de la innovación social en las transiciones sostenibles, es uno de sus pilares de este proyecto. SMARTEES tiene como objetivo, ampliar la comprensión del papel de la participación ciudadana en las transiciones energéticas, explicando las dinámicas de empoderamiento colectiva en las iniciativas de innovaciones sociales y en las políticas locales de cero emisiones de carbono.

La Universidad da Coruña en colaboración con \_\_\_\_\_ está colaborando en el marco de este proyecto europeo sobre el desarrollo de alternativas de políticas energéticas que fomenten la inclusión de la ciudadanía y aumenten la aceptación social de las mismas. Esta colaboración, encaja en la obtención de datos para la estrategia de \_\_\_\_\_.

SMARTEES realiza un análisis comparativo de cinco clústeres transnacionales de innovación social en el campo de la energía, tales como: (1) la regeneración de barrios basadas en la producción de energías renovables; (2) autosuficiencia energética de territorios insulares sustentados en fuentes de energía renovables; (3) estrategia de movilidad holística, compartida y persistente; (4) modelos de movilidad urbana basados en “supermanzanas”; y (5) esquemas de eficiencia energética coordinados, personalizados e inclusivos, para combatir la pobreza energética.

Esta investigación tratará de proponer en las iniciativas de innovación social, gestores públicos y políticos una comprensión más integral de cómo se pueden promover con mayor eficacia y aceptación social procesos de transición energética exitosos en el ámbito local y supramunicipal. Este proyecto de investigación contribuirá asimismo a lograr una Unión de Energía más resiliente, baja en carbono y respetuosa con el medio ambiente que ponga a los/las ciudadanos/as en su foco de interés.

Entre los resultados de este proyecto se producirá un conjunto de herramientas de apoyo al diseño de políticas públicas en materia de transición energética, que ayudará a los municipios e iniciativas de ámbito local en todo el mundo a pronosticar los efectos de iniciativas innovadoras en una diversidad de escenarios energéticos, apoyando así el diseño y toma de decisiones en el contexto local y/o supramunicipal.

En cumprimento do artigo 13 do Regulamento (UE) 2016/679, do Parlamento Europeo e do Consello, de 27 de abril, relativo á protección das persoas físicas no que respecta ao tratamento de datos persoais e á libre circulación destes datos (Regulamento Xeral de Protección de Datos ou RXPd), e do artigo 11 da Lei Orgánica 3/2018, de 5 de decembro, de protección de datos persoais e garantía dos dereitos dixitais (LOPD), informamos que os datos que vostede nos facilite a través do presente formulario, serán tratados baixo a responsabilidade da Universidade da Coruña (UDC), sendo os seus datos de contacto Rúa Maestranza 9, 15001, A Coruña, teléfono 981167000, correo electrónico [secretariaxeral@udc.gal](mailto:secretariaxeral@udc.gal). IP proxecto SMARTEES, Adina Dumitru

A finalidade do tratamento destes datos persoais é a obtención e análise da información recollida dentro dos estudos de casos nos que somos responsables enmarcado no proxecto europeo SMARTEES. Todas as persoas que entren en contacto con estes datos coa citada finalidade cumprarán o deber de confidencialidade establecido no artigo 5 LOPD. Estes datos trataranse durante o tempo imprescindible para cumprir coa citada finalidade, sen prexuízo da posibilidade de exercer en calquera momento o dereito de solicitar a supresión dos datos.

Mediante a sinatura deste documento, vostede consente expresamente no citado tratamento de datos aos efectos de cumprir coa finalidade descrita, e terá dereito a retirar o seu consentimento en calquera momento, sen efectos retroactivos. Así mesmo, vostede ten dereito a solicitar ao responsable do tratamento, en calquera momento, o acceso, rectificación ou supresión dos seus datos persoais e a limitación do seu tratamento. Tamén terá dereito a opoñerse ao citado tratamento, así como a solicitar, salvo casos de interese público e/ou exercicio de poder público, a portabilidade dos seus datos. Tales dereitos poderá exercelos, destacadamente, a través do formulario para o exercicio dos dereitos en materia de protección de datos persoais, que se pode cumprimentar na Sede electrónica da UDC no apartado Outros trámites; así mesmo, mediante solicitude remitida á seguinte dirección: Secretaría Xeral, Reitoría da Universidade da Coruña, Rúa Maestranza 9, 15001 de A Coruña ou ao correo electrónico [secretariaxeral@udc.gal](mailto:secretariaxeral@udc.gal), coa referencia "protección de datos", a través dun escrito firmado ao efecto achegando fotocopia do seu DNI. Igualmente poderá dirixir esta solicitude directamente á/ao Delegada/o de Protección de Datos, á mesma dirección postal anteriormente indicada, ou ao correo electrónico [dpd@udc.gal](mailto:dpd@udc.gal). Asemade, ten dereito a presentar unha reclamación ante a Axencia Española de Protección de Datos (AEPD).

## PARTE INICIAL DEL CUESTIONARIO

\_\_\_\_\_ 2020

Querido participante,

Desde la Universidad de A Coruña, estamos llevando a cabo un estudio sobre el proyecto \_\_\_\_\_, en el marco del Proyecto europeo SMARTEES, que tiene como objetivo estudiar las mejores estrategias para la transición energética hacia la sostenibilidad. En este sentido, nos interesa su opinión sobre algunos aspectos relacionados con este proyecto y su vida diaria en \_\_\_\_\_. Los resultados de esta investigación se utilizarán para la formulación de políticas energéticas urbanas en la Unión Europea y a nivel local. Su participación será muy valiosa para ayudarnos a comprender la percepción que tienen los ciudadanos sobre el impacto de este proyecto en la isla y en su vida diaria.

Le invitamos a participar en esta investigación, respondiendo a una serie de preguntas que le haremos a continuación.

Toda la información que nos proporcione será tratada con estricta confidencialidad, se almacenará de forma segura y anónima, y se utilizará solo con fines de investigación.

Gracias por su contribución y si desea más información no dude en contactar con nosotros. Puede consultar más información sobre el proyecto aquí: <http://local-social-innovation.eu>.

Un cordial saludo,

Dra. Adina Dumitru, Investigadora principal, Proyecto SMARTEES [adina.dumitru@udc.es](mailto:adina.dumitru@udc.es)

### Información sobre privacidad

Toda la información recopilada durante la investigación se mantendrá en la más estricta confidencialidad y se almacenará en un lugar seguro. Solo el equipo de investigación de la Universidad de A Coruña tendrá acceso a los datos, que serán anónimos. Asimismo, sus datos personales se mantendrán confidenciales y no se divulgarán a ningún otro individuo o tercero. Se garantiza que los informes o cualquier resultado científico relacionado con este proyecto no contendrán ninguna información personal y usted no será identificado o identificable. Los resultados de la investigación no pretenden explotación de tipo comercial alguna. La Universidad de A Coruña está comprometida con la protección de sus datos personales y adhiere a la normativa europea de protección general de los datos (RGPD).

El proyecto SMARTEES ha recibido financiación del programa de investigación e innovación Horizonte 2020 de la Unión Europea, en virtud del acuerdo nº 763912, y cumple con todos los requisitos éticos exigidos por el Comité de Ética de la Investigación de la Universidad de A Coruña (CEI-UDC).

### Consentimiento informado

Por favor, lea y marque la casilla de abajo para manifestar su consentimiento a participar en este estudio:

- Confirmando haber leído la información proporcionada sobre el estudio
- Entiendo que mi participación es voluntaria y que puedo retirarme en cualquier momento, sin explicación alguna.
- Comprendo que el estudio está realizado por investigadores de la Universidad de A Coruña, como parte del programa de Investigación e Innovación Horizonte 2020 de la Unión Europea.
- Comprendo que la confidencialidad y anonimato se mantendrán en todo momento y que no será posible que se me identifique.
- Confirmando haber leído y comprendido la información sobre la privacidad de los datos (más arriba).

☐

Doy mi consentimiento a participar en este estudio

COD\_Encuestador: \_\_\_\_\_ Fecha/Hora entrevista: \_\_\_\_\_ C.P.: \_\_\_\_\_

Calle: \_\_\_\_\_ Localidad: \_\_\_\_\_

## APPENDIX 3 – OPINIONS BY DATA PROTECTION OFFICERS



Trondheim 29/10 2018

### Data Protection Declaration

In the context of the H2020-funded project “SMARTEES- Social innovation Modelling Approaches to Realizing Transition to Energy Efficiency and Sustainability”, NTNU will conduct all project activities according to and in compliance with General Data Protection Regulation of 25 may 2018 (GRDP), and the EU Directive 2016/679.

All personal data collection and processing will be carried out according to EU and national legislation. Furthermore, all data – personal and non-personal - data transferred from/to a non-EU country or international organization complies with national and EU legislation.

NTNU’s responsible for Data Protection is:

Kind Regards

Name: Bjarne Foss  
E-mail: bjarne.foss.ntnu.no

# NSD NORSK SENTER FOR FORSKNINGSDATA

## NSD sin vurdering

### Prosjekttittel

SMARTEES - Social innovation Modelling Approaches to Realizing Transition to Energy Efficiency and Sustainability.

### Referansenummer

285977

### Registrert

23.01.2019 av Lars Even Egner - lars.e.egner@ntnu.no

### Behandlingsansvarlig institusjon

Norges teknisk-naturvitenskapelige universitet NTNU / Fakultet for samfunns- og utdanningsvitenskap (SU)  
/ Institutt for psykologi

### Prosjektansvarlig (vitenskapelig ansatt/veileder eller stipendiat)

Christian A. Klöckner, christian.klockner@ntnu.no, tlf: 47735919779

### Type prosjekt

Forskerprosjekt

### Prosjektperiode

01.03.2019 - 30.04.2021

### Status

22.02.2019 - Vurdert

## Vurdering (1)

### 22.02.2019 - Vurdert

Our assessment is that the processing of personal data in this project will comply with data protection legislation, presupposing that it is carried out in accordance with the information given in the Notification Form and attachments dated 22.02.2019, as well as dialogue with NSD. Everything is in place for the processing to begin.

#### NOTIFY CHANGES

If you intend to make changes to the processing of personal data in this project it may be necessary to notify NSD. This is done by updating the Notification Form. On our website we explain which changes must be notified. Wait until you receive an answer from us before you carry out the changes.

#### TYPE OF DATA AND DURATION

The project will be processing special categories of personal data about racial or ethnic origin, political

<https://meldeskjema.nsd.no/vurdering/5c3edccd-1cff-4c04-81b5-ff6586865e25>

1/2

opinion and philosophical beliefs, and general categories of personal data, until 30.04.2021.

#### LEGAL BASIS

The project will gain consent from data subjects to process their personal data. We find that consent will meet the necessary requirements under art. 4 (11) and 7, in that it will be a freely given, specific, informed and unambiguous statement or action, which will be documented and can be withdrawn.

The legal basis for processing special categories of personal data is therefore explicit consent given by the data subject, cf. the General Data Protection Regulation art. 6.1 a), cf. art. 9.2 a), cf. the Personal Data Act § 10, cf. § 9 (2).

We presuppose that that you add a sentence stating that all personal data will be anonymized by April 2021.

#### PRINCIPLES RELATING TO PROCESSING PERSONAL DATA

NSD finds that the planned processing of personal data will be in accordance with the principles under the General Data Protection Regulation regarding:

- lawfulness, fairness and transparency (art. 5.1 a), in that data subjects will receive sufficient information about the processing and will give their consent
- purpose limitation (art. 5.1 b), in that personal data will be collected for specified, explicit and legitimate purposes, and will not be processed for new, incompatible purposes
- data minimisation (art. 5.1 c), in that only personal data which are adequate, relevant and necessary for the purpose of the project will be processed
- storage limitation (art. 5.1 e), in that personal data will not be stored for longer than is necessary to fulfil the project's purpose

#### THE RIGHTS OF DATA SUBJECTS

Data subjects will have the following rights in this project: transparency (art. 12), information (art. 13), access (art. 15), rectification (art. 16), erasure (art. 17), restriction of processing (art. 18), notification (art. 19), data portability (art. 20). These rights apply so long as the data subject can be identified in the collected data.

NSD finds that the information that will be given to data subjects about the processing of their personal data will meet the legal requirements for form and content, cf. art. 12.1 and art. 13.

We remind you that if a data subject contacts you about their rights, the data controller has a duty to reply within a month.

#### FOLLOW YOUR INSTITUTION'S GUIDELINES

NSD presupposes that the project will meet the requirements of accuracy (art. 5.1 d), integrity and confidentiality (art. 5.1 f) and security (art. 32) when processing personal data.

To ensure that these requirements are met you must follow your institution's internal guidelines and/or consult with your institution (i.e. the institution responsible for the project).

#### FOLLOW-UP OF THE PROJECT

NSD will follow up the progress of the project at the planned end date in order to determine whether the processing of personal data has been concluded.

Good luck with the project!

Contact person at NSD: Lise Aasen Haveraaen  
Data Protection Services for Research: +47 55 58 21 17 (press 1)



**WEST UNIVERSITY OF TIMISOARA**

Timisoara  
23.10.2018

#### **Data Protection Declaration**

In the context of the H2020-funded project “SMARTEES - Social innovation Modelling Approaches to Realizing Transition to Energy Efficiency and Sustainability”, WEST UNIVERSITY OF TIMISOARA will conduct all project activities according to and in compliance with General Data Protection Regulation of 25 may 2018 (GRDP), and the EU Directive 2016/679.

All personal data collection and processing will be carried out according to EU and national legislation. Furthermore, all data – personal and non-personal - data transferred from/to a non-EU country or international organization complies with national and EU legislation.

The WEST UNIVERSITY OF TIMISOARA’s responsible for Data Protection is:

Name: **Laurențiu GEORGESCU**  
E-mail: [laurentiu.georgescu@e-uvt.ro](mailto:laurentiu.georgescu@e-uvt.ro)

Kind Regards,





## Aviz

Prin prezenta confirmăm că activitățile de cercetare științifică – realizare de interviuri, aplicare de chestionare de opinie – derulate în cadrul proiectului „*Social innovation Modelling Approaches to Realizing Transition to Energy Efficiency and Sustainability – SMARTEES*” - 763912 – SMARTEES – H2020-LCE-2016-2017/H2020-LCE-2017-RES-RIA-TwoStage, au fost derulate în acord cu exigențele Universității de Vest din Timișoara privind respectarea eticii în proiecte/studii de cercetare–inovare cu finanțare europeană.

Director,

Lect. univ. dr. Daniel LUCHEȘ



Departamentul pentru Cercetare Științifică și Creație Universitară

Bd. Vasile Pârvan, nr. 4, 300223 Timișoara, România  
Tel: +40-(0)256-592. 150 (731, 733)  
Email: [research@e-uvt.ro](mailto:research@e-uvt.ro)  
[www.cercetare.uvt.ro](http://www.cercetare.uvt.ro)



The James  
**Hutton**  
**Institute**

Dundee

31 October 2018

#### Data Protection Declaration

In the context of the H2020-funded project "SMARTEES- Social innovation Modelling Approaches to Realizing Transition to Energy Efficiency and Sustainability", The James Hutton Institute will conduct all project activities according to and in compliance with General Data Protection Regulation of 25 May 2018 (GDPR), and the EU Regulation 2016/679.

All personal data collection and processing will be carried out according to EU and national legislation. Furthermore, all data – personal and non-personal - data transferred from/to a non-EU country or international organization complies with national and EU legislation.

The James Hutton Institute's member of staff with overall responsibility for Data Protection is:

Name: Derek Leslie  
Position: Director of Finance and Company Secretary  
E-mail: [Derek.Leslie@hutton.ac.uk](mailto:Derek.Leslie@hutton.ac.uk)

Signed



Derek Leslie  
Director of Finance and Company Secretary

Date 31-10-18

Aberdeen  
Craigiebuckler  
Aberdeen AB15 8QH  
Scotland UK

Dundee  
Invergowrie  
Dundee DD2 5DA  
Scotland UK

Tel: +44 (0)344 928 5428  
Fax: +44 (0)344 928 5429  
[info@hutton.ac.uk](mailto:info@hutton.ac.uk)  
[www.hutton.ac.uk](http://www.hutton.ac.uk)



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<b>Office Use Only</b>										
REC Reference:	1	5	9	/	2	0	1	9		
Review Status:	<input checked="" type="checkbox"/>	Approved	<input type="checkbox"/>	Conditional	<input type="checkbox"/>	Withdrawn				



## Research Ethics Form with Human Participants in Research Projects

Please complete this form using a word processor and submit electronically along with all of the relevant documents to [humanethics@hutton.ac.uk](mailto:humanethics@hutton.ac.uk)

Date	26.11.18
Name of lead investigator & lead investigator's e-mail	Kathryn Colley (Kathryn.colley@hutton.ac.uk)
Title of project & project code number or research plan number	SMARTEES Aberdeen key informant interviews (E000925)
Does the project receive funding from the Scottish Government?	No
Date of fieldwork	Jan-Mar 2019

## Checklist (answer all questions)

### Part 1

		Yes	No	N/A
1.1	Will you describe the main research procedures to participants in advance, so that they are informed about what to expect?	X		
1.2	Will you tell participants that their participation is voluntary and that they have an opportunity to withdraw from the research for any reason?	X		
1.3	Will you obtain informed consent for participation (this includes consent to be observed in observational studies)?	X		
1.4	With questionnaires and interviews, will you give participants the option of omitting questions they do not want to answer?	X		
1.5	Will you inform participants that their data will be treated with full confidentiality and that, if published, it will not be identifiable as theirs?	X		
1.6	Are the data to be stored anonymously (i.e. such that the identity of the person is NOT linked directly or indirectly with their data)?	X		
1.7	Will you debrief participants at the end of their participation (i.e. give them a brief explanation of the study and an opportunity to ask questions)?	X		

If you have responded 'No' to any of the items in Part 1, please give an explanation as to why in your ethical statement

### Part 2

		Yes	No	N/A
2.1	Does the research involve observational recording?		X	
2.2	Does the research involve covert recording?		X	
2.3	Will the research involve deliberately misleading participants (deception) in any way?		X	
2.4	Is there any realistic risk of any participants experiencing either physical or psychological discomfort or distress in relation to this study?		X	
2.5	Is the nature of the research such that sensitive or persona issues might be involved?		X	

If you have responded 'Yes' to any of the items in Part 2, then you should normally tick box 2 in Review Type.

## Part 3

		Yes	No	N/A
3.1	Are there any other ethical issues within the proposed research that you are aware of? (for example, potential conflicts of interest; the use of artefacts; environmental impact)		X	
3.2	Does your project involve people under 18 years of age?		X	
3.3	Does your project involve people with learning or communication difficulties?		X	
3.4	Is your project likely to involve people involved in illegal activities?		X	
3.5	Does your project involve people belonging to a vulnerable group, other than those listed above?		X	
3.6	Does your project involve patients and/or hospital staff?		X	
3.7	Does your project require access to personal information about participants from other parties (e.g. teachers, employers), databanks or files?		X	
3.8	Do you plan to conceal your own identity during the course of the research?		X	
3.9	Are any of the participants unlikely to be proficient in English?		X	

If you have responded 'Yes' to any of the items in Part 3, then you should normally tick box 2 in Review Type.

**There is an obligation on the lead investigator to bring to the attention of the Research Ethics Committee (REC) any issues with ethical implications not clearly covered by the above checklist.**

## Review Type (tick 1 box only)

Please tick either box 1 or 2 below and provide the required details in support of your application.

Please tick

<b>Level 1</b>	I consider that this project has no significant ethical implications to be brought before the Research Ethics Committee and request a review on the basis of the information provided in the ethical statement.	X
<b>Level 2</b>	I consider that this project may or does have significant ethical implications that should be given a full review by the Research Ethics Committee, and/or it will be carried out with children or other vulnerable populations.	

## Ethical Statement

**If you are requesting level 1**, then please give a brief description of the project (approximately 200 words). Include project overview and methodology. You must provide sufficient information for the reviewer(s) to understand the project and be able to assess it and if applicable, supporting documents, eg. consent form, draft interview schedule, draft questionnaire, etc.

- List any previous REC references associated with each aspect of this project and whether they were considered using Level 1 or Level 2. State why you have requested Level 1 review.
- Please include in the description the following if applicable:
  - if the research involves any financial incentives to participants
  - any external research partners.
- Please consider unintended disclosure.

**Project overview:**

The SMARTEES (Social innovation Modelling Approaches to Realizing Transition to Energy Efficiency and Sustainability) project is an EU project investigating human dimensions of energy system transition through case studies of social innovations in 10 European cities. In this proposal we seek ethical approval to conduct a set of stakeholder interviews in the Aberdeen City case study. The Aberdeen case sits within the SMARTEES case cluster on 'co-ordinated, tailored and inclusive energy efficiency schemes for fighting fuel poverty'. The social innovation we are studying is the establishment and continued roll-out of the Aberdeen Heat Network (which encompasses a number of individual district heat networks established/being established across the city) alongside city-wide programmes promoting domestic energy efficiency improvements e.g. insulation, draught-proofing. The key informant interviews aim to provide an in-depth understanding of the case, the relationships between the different actors involved, the challenges and successes, and tipping points in the evolution of the social innovation in question.

**Methodology:**

The first stage of data collection in the SMARTEES project is a set of informant interviews. This will consist of qualitative semi-structured interviews with key stakeholders involved in the case study. Interview participants will mainly be organisational stakeholders from the public, private and 3<sup>rd</sup> sector (e.g. Aberdeen City Council, SCARF, Aberdeen Heat and Power) but will also include representatives of community groups (e.g. residents' associations, development trusts) and potentially individual householders. Potential participants are to be identified through conversations with our case study partner Aberdeen City Council and through snowball sampling once the interviews are underway.

A draft interview protocol for all cases in the SMARTEES project has been prepared by partners at the University of A' Coruna and is included with this submission. The protocol sets out the questions to be addressed in the interviews (p. 8-16) and the procedures to be followed in the recruitment and data collection (p. 16-21). The protocol suggests that 7-10 key informant interviews be carried out; however we may wish to conduct extra interviews if we see this as being beneficial to the research and resources allow.

An early draft template information sheet and consent form have been produced at the project level. Our adapted consent form for the Aberdeen case study is appended to this application. The template project information sheet (also included) will be adapted to meet the requirements of the Hutton REC. We have noted that the template information sheet states a different basis for processing personal data under GDPR to that adopted by Hutton – this will be amended in the final version of our information sheets to be in line with Hutton policy and the existing privacy notice.

Participants will be informed that their participation is voluntary, and that they can omit to answer any questions or withdraw from the study at any point before the data is anonymised. Participation is intended to be on an anonymous basis, with interview transcripts anonymised at the earliest opportunity. Raw data (audio recordings, non-anonymised transcripts) will be treated as confidential and will not be shared with any third party with the exception of the contracted transcriber. Anonymised transcripts may include information about e.g. the participant's department and general roles, however names and job titles (along with other identifying personal information) will be omitted. We acknowledge that *complete anonymisation* is rarely achievable in qualitative case studies of this kind e.g. in the case of interviews with pioneers of initiatives whose central role is common knowledge amongst stakeholders in the region. In any cases where full anonymity cannot be guaranteed data will not be published without the explicit written consent from the participant. Anonymised transcripts may be shared with SMARTEES partners if necessary for analytical purposes. Participants will be informed that, with their consent, the anonymised qualitative data will be made available on an open access database at the completion of the project (a requirement as part of the European Commission's Open Research Data Pilot).

**If you are requesting level 2,** then please provide responses to the points listed below in a separate document.

- Project title.
- Purpose of the project and its academic rationale.
- Brief description of methods and measurement procedure(s).
- Participants: recruitment methods; number; age; gender; exclusion/inclusion criteria.
- Recruitment, information, consent arrangements, debriefing.
- Please attach copies of all intended sheets/forms and associated correspondence.
- A clear and concise statement of the ethical considerations raised by the project and how you intend to deal with them.
- Estimated start date and duration of the project.

**You must provide sufficient information for the reviewer(s) to understand the research protocol.**

## Information and Signature

Have you prepared and included all the necessary documents for submission?

	Yes	No	N/A
REC approval form fully completed	X		
Consent form	X		
Debrief form/information			X
Recruitment materials			X
Information sheet(s)	X		
Instructions for participants			X
If you have ticked 'no' in any of the boxes, it is very likely that your application is not yet complete so you should not submit it until all the relevant documentation is prepared and all boxes are ticked as either 'yes' or 'not applicable'.			

**(LEAD INVESTIGATOR to initial )**

	Initials (please enter below)	Date (please enter below)
I confirm that I have familiarised myself with the appropriate ethical guidelines, and have used this form to bring any ethical considerations in this research project to the attention of the REC.	KC	11.12.18

## Research Ethics Committee Decision

### Office Use Only

REC

Reference:

1	5	9	/	2	0	1	9		
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Review Status:

☒

Approved

☐

Not Approved

## Review Comments



**Comments:**

Approved subject to making amendments to the consent form.

<b>Committee Chair:</b>	Deb Roberts
<b>Date:</b>	8/1/19

**Lead Investigator to confirm receipt of the comments from the REC.**

**Lead Investigator to place initials and date in this box.**

Feb 2018



The James  
Hutton  
Institute

## Research Ethics Form with Human Participants in Research Projects

### Office Use Only

REC  
Reference:

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Review Status:

☒

Approved

☐

Conditional

☐

Withdrawn

Please complete this form using a word processor and submit electronically along with all of the relevant documents to [humanethics@hutton.ac.uk](mailto:humanethics@hutton.ac.uk)

Date	19 <sup>th</sup> November 2019
Name of lead investigator & lead investigator's e-mail	Ruth Wilson (ruth.wilson@hutton.ac.uk)
Title of project & project code number or research plan number	SMARTEES Work Package 4: Choice behaviour and energy usage (E000925-04)
Does the project receive funding from the Scottish Government?	No
Date of fieldwork	December 2019

## Checklist (answer all questions)

### Part 1

		Yes	No	N/A
1.1	Will you describe the main research procedures to participants in advance, so that they are informed about what to expect?	X		
1.2	Will you tell participants that their participation is voluntary and that they have an opportunity to withdraw from the research for any reason?	X		
1.3	Will you obtain informed consent for participation (this includes consent to be observed in observational studies)?	X		
1.4	With questionnaires and interviews, will you give participants the option of omitting questions they do not want to answer?	X		
1.5	Will you inform participants that their data will be treated with full confidentiality and that, if published, it will not be identifiable as theirs?			X
1.6	Are the data to be stored anonymously (i.e. such that the identity of the person is NOT linked directly or indirectly with their data)?	X		
1.7	Will you debrief participants at the end of their participation (i.e. give them a brief explanation of the study and an opportunity to ask questions)?	X		

If you have responded 'No' to any of the items in Part 1, please give an explanation as to why in your ethical statement

### Part 2

		Yes	No	N/A
2.1	Does the research involve observational recording?		X	
2.2	Does the research involve covert recording?		X	
2.3	Will the research involve deliberately misleading participants (deception) in any way?		X	
2.4	Is there any realistic risk of any participants experiencing either physical or psychological discomfort or distress in relation to this study?		X	
2.5	Is the nature of the research such that sensitive or persona issues might be involved?		X	

If you have responded 'Yes' to any of the items in Part 2, then you should normally tick box 2 in Review Type.

## Part 3

		Yes	No	N/A
3.1	Are there any other ethical issues within the proposed research that you are aware of? (for example, potential conflicts of interest; the use of artefacts; environmental impact)		X	
3.2	Does your project involve people under 18 years of age?		X	
3.3	Does your project involve people with learning or communication difficulties?		X	
3.4	Is your project likely to involve people involved in illegal activities?		X	
3.5	Does your project involve people belonging to a vulnerable group, other than those listed above?		X	
3.6	Does your project involve patients and/or hospital staff?		X	
3.7	Does your project require access to personal information about participants from other parties (e.g. teachers, employers), databanks or files?		X	
3.8	Do you plan to conceal your own identity during the course of the research?		X	
3.9	Are any of the participants unlikely to be proficient in English?		X	

If you have responded 'Yes' to any of the items in Part 3, then you should normally tick box 2 in Review Type.

**There is an obligation on the lead investigator to bring to the attention of the Research Ethics Committee (REC) any issues with ethical implications not clearly covered by the above checklist.**

## Review Type (tick 1 box only)

Please tick either box 1 or 2 below and provide the required details in support of your application.

Please tick

<b>Level 1</b>	I consider that this project has no significant ethical implications to be brought before the Research Ethics Committee and request a review on the basis of the information provided in the ethical statement.	X
<b>Level 2</b>	I consider that this project may or does have significant ethical implications that should be given a full review by the Research Ethics Committee, and/or it will be carried out with children or other vulnerable populations.	

## Ethical Statement

**If you are requesting level 1**, then please give a brief description of the project (approximately 200 words). Include project overview and methodology. You must provide sufficient information for the reviewer(s) to understand the project and be able to assess it and if applicable, supporting documents, eg. consent form, draft interview schedule, draft questionnaire, etc.

- List any previous REC references associated with each aspect of this project and whether they were considered using Level 1 or Level 2. State why you have requested Level 1 review.
- Please include in the description the following if applicable:
  - if the research involves any financial incentives to participants
  - any external research partners.
- Please consider unintended disclosure.

This application relates to the EU H2020 SMARTEES project (Social Innovation Modelling Approaches to Realizing Transition to Energy Efficiency and Sustainability), which aims to understand how people respond to energy-related social innovations in ten case study locations across Europe in order to inform energy-related policies. The Aberdeen case study focuses on the theme of "energy efficiency against fuel poverty" and concerns the rollout and uptake of the Aberdeen Heat Network to homes across the city as a way of addressing both fuel poverty and energy efficiency through district heating systems.

A previous REC application (no. 159 by K Colley) concerning stakeholder interviews was approved in December 2018. We are now seeking ethical approval for an Aberdeen City-wide survey, to understand what influences people's decisions to join a district heating network. We will purchase a list of names and addresses from an external source (Experian), and have consulted the information governance officer to ensure that all GDPR issues are dealt with correctly. The data provider has also been checked to ensure that it is GDPR compliant.

The questionnaire is prefaced with an invitation letter, privacy notice and consent form (draft attached – "SMARTEES Survey.pdf"). The survey comprises questions about participants' household composition, behaviour, attitudes and decisions about heating their home and takes around 15 minutes to complete. It does not gather any personal data. As a financial incentive, participants will be offered the chance to enter a prize draw by providing their contact details after completing the survey, which will be stored separately from the survey data.

Based on previous surveys of similar scale, we have estimated a response rate of 10%. The survey will therefore be sent to 10,000 adults (aged 18+) in Aberdeen City with the aim of receiving 1,000 completed surveys. Because fuel poverty is a key theme of this work, questionnaires will be divided into separate samples of 2,000 addresses in each quintile of the Scottish Index of Multiple Deprivation (SIMD) and sent to a representative sample of households. These separate samples will be provided by Experian.

A paper survey, including a covering letter, privacy notice and consent form, will be posted to all addresses in the different samples, along with a postage paid envelope to return the survey to Hutton. Printing and postage will be outsourced to a survey distribution company, with whom Hutton is developing a data sharing agreement. Hutton and the survey distribution company will

store participants' names and addresses in a password-protected file on a secure server and delete them at the end of the fieldwork period.

Participants will also be given the option of completing the survey online, through a version of the survey created using Qualtrics software. This automatically gathers participants' IP addresses, which we will remove from completed surveys before further processing.

Questionnaires will carry an identifying mark to allow the researchers to identify the SIMD quintile to which they were sent (i.e. which of the 5 samples the returned questionnaire is from); they will contain no personal information about participants and no detail that will identify individuals. It will not be possible to identify individuals from their SIMD quintile classification.

Completed paper surveys will be processed by a data entry company before being returned to us for secure storage in a locked cabinet. Electronic copies will be stored in folder with permissions set that only SMARTEES team members can access it.

**If you are requesting level 2,** then please provide responses to the points listed below in a separate document.

- Project title.
- Purpose of the project and its academic rationale.
- Brief description of methods and measurement procedure(s).
- Participants: recruitment methods; number; age; gender; exclusion/inclusion criteria.
- Recruitment, information, consent arrangements, debriefing.
- Please attach copies of all intended sheets/forms and associated correspondence.
- A clear and concise statement of the ethical considerations raised by the project and how you intend to deal with them.
- Estimated start date and duration of the project.

**You must provide sufficient information for the reviewer(s) to understand the research protocol.**

## Information and Signature

**Have you prepared and included all the necessary documents for submission?**

	Yes	No	N/A
REC approval form fully completed	X		
Consent form	X		
Debrief form/information	X		
Recruitment materials	X		
Information sheet(s)			X
Instructions for participants	X		

*If you have ticked 'no' in any of the boxes, it is very likely that your application is not yet complete so you should not submit it until all the relevant documentation is prepared and all boxes are ticked as either 'yes' or 'not applicable'.*

**(LEAD INVESTIGATOR to initial )**

	Initials (please enter below)	Date (please enter below)
I confirm that I have familiarised myself with the appropriate ethical guidelines, and have used this form to bring any ethical considerations in this research project to the attention of the REC.	RW	19.11.2019

## Research Ethics Committee Decision

**Office Use Only**

 REC  
Reference:

1	8	7	/	2	0	1	9		
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Review Status:

☒

Approved

☐

Not Approved

## Review Comments

The REC has now reviewed your submission 187/2019, and your responses to queries from them and are happy for the work now to go ahead.

**Consent and GDPR:**

1. The proposal has already been discussed with the Information Governance Officer, who has made minor additions/amendments on the consent form/privacy notice. Please provide an updated version of this, ideally in the format that will be seen by participants.

*I am attaching the latest version of the privacy notice and consent form, which reflect discussions with the Information Governance Officer.*

**General comments:**

1. Is there somewhere (e.g. a website) the participants will be able to see the results of the research and an expected timeline for that? Not mandatory, but it would be good for participants to know how their data is used. And I can understand that you don't want to collect people's personal details to send them the results.

*As noted, we won't be able to inform participants directly as we are not collecting their personal details, but I appreciate that it's good practice to update participants about the results of the research. I will add the project website (<http://local-social-innovation.eu/>) to the survey "thank you" notice so that participants can find out more information about SMARTEES and keep up to date with*

developments. My contact details will be on the paper and online surveys should they have any particular questions.

2. People that are in fuel poverty are also likely to experience others forms of poverty. These people can be very wary of mail with type written name and address e.g. brown envelopes are bills and white envelopes are either from debt collecting agencies, solicitors or sheriff courts i.e. all mean trouble of one sort or another and are therefore to be ignored or just put unopened in the bin. How will researchers overcome this problem?"

This is an important issue but one that I'm not sure can be overcome easily. There may be methods of presenting the envelopes to encourage participants to open them but these introduce other ethical considerations. My sense is that this is an issue we should actively consider when we look at response rates across the SIMD quintiles and when analysing the results.

<b>Committee Deputy Chair:</b>	Tony Craig
<b>Date:</b>	27/11/19

**Lead Investigator to confirm receipt of the comments from the REC.**

**Lead Investigator to place initials and date in this box. RW 27/11/19**

Feb 2018





Conoscenza e Innovazione Srls  
via Guido Reni, 56  
00196 Rome, Italy  
tel. +39 06 3200231

Rome, November 26<sup>th</sup>, 2018

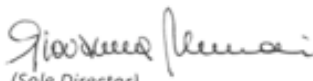
**Opinion on the Informed Consent Form for the qualitative interviews to Key-Informants in Switzerland**

In the context of the H2020-funded project “SMARTEES- Social innovation Modelling Approaches to Realizing Transition to Energy Efficiency and Sustainability”,

I analysed the “Informed Consent Form” and the “Information Sheet” prepared for the Key-Informants, to be interviewed in Zurich (Switzerland) by K&I team members.

Both documents have been drawn up in line with General Data Protection Regulation of 25 May, 2018, the EU Directive 2016/79 and follow the informed consent procedures settled in the SMARTEES project.

The K&I's Data Protection Controller  
Giovanna Murari

  
(Sole Director)



Conoscenza e Innovazione Srls  
via Guido Reni, 56  
00196 Rome, Italy  
tel. +39 06 3200231

Rome, January 24<sup>th</sup>, 2020

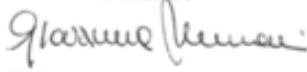
**Opinion on Data Protection related to the activities of WP4 (survey in Switzerland)**

In the context of the H2020-funded project "SMARTEES- Social innovation Modelling Approaches to Realizing Transition to Energy Efficiency and Sustainability", and in particular in the context of the survey online conducted in Switzerland by gfs.bern,

I confirm that the procedure used by gfs.bern to request consent to the collection and processing of data to participants in the online survey in Zurich have been verified.

To the best of my knowledge and as stated by gfs.bern (Swiss body specialised in conducting surveys) my opinion is that the consent request is in line with the relevant legislation in that country and also it contains the information required by the GDPR, actually in force in the EU.

The K&I's Data Protection Controller  
Giovanna Murari

  
(Sole Director)

---

*konoscenzaeinnovazione@gmail.com - [konoscenzaeinnovazione.srls@legalmail.it](mailto:konoscenzaeinnovazione.srls@legalmail.it) - [www.knowledge-innovation.org](http://www.knowledge-innovation.org)*

Codice Fiscale e Partita IVA: 13938821009 - REA: RM 1484198



university of  
 groningen

university college  
 groningen

Groningen, 24-10-2018

#### Data Protection Declaration

In the context of the H2020-funded project “SMARTEES- Social innovation Modelling Approaches to Realizing Transition to Energy Efficiency and Sustainability”, University of Groningen will conduct all project activities according to and in compliance with General Data Protection Regulation of 25 may 2018 (GRDP), and the EU Directive 2016/679.

All personal data collection and processing will be carried out according to EU and national legislation. Furthermore, all data – personal and non-personal - data transferred from/to a non-EU country or international organization complies with national and EU legislation.

The University of Groningen’s responsible for Data Protection is:

Name: Dhr. Mr. A.R. Deenen  
E-mail: a.r.deenen@rug.nl

Kind Regards





university of  
 groningen

faculty of arts

commissie ethische  
toetsing onderzoek (ceto)  
research ethics committee

Prof. dr. John C.J. Hoeks  
ceto@rug.nl

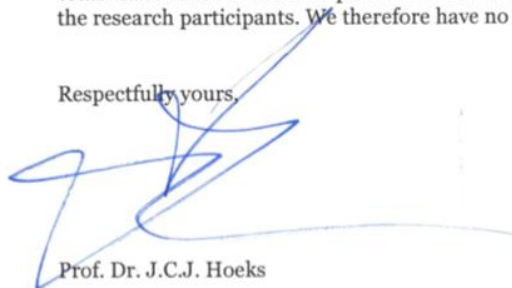
To Whom it May Concern

Date  
29 October 2018

Dear Sir/Madam,

The Research Ethics Committee (CETO) of the Faculty of Arts, University of Groningen has reviewed the proposal 'SMARTEES' (60413985) submitted by *Wander Jager*. The CETO has established that the research protocol follows internationally recognized standards to protect the research participants. We therefore have no objection against this proposal.

Respectfully yours,



Prof. Dr. J.C.J. Hoeks

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**Ethics commission opinion of a survey study**

4 messages

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**Antosz, P.P.** <p.p.antosz@rug.nl>  
To: ceto@rug.nl  
Cc: Wander Jager <w.jager@rug.nl>

Tue, Oct 22, 2019 at 1:39 PM

Dear Members of the Research Ethics Committee,

I am writing you with a request to provide feedback of a survey study. The survey study is a part of the SMARTEES H2020 project. The project already received a statement of no objection (please find attached). However, we would like to ask for another statement of no objection with respect to a survey study, which is undertaken within the project. The survey is distributed as an invitation link in the Gemeente Groningen newsletter (Gemeente is a partner of the project). We are also looking into the possibility of distributing it as an invitation via RUG's internal channels (UCG newsletter and UG weekly update newsletter). The content of the invitation occurring in the newsletter, and the content of the survey are attached to this email as an excel file (sheet 1 - dutch version, sheet 2 - english version).

If you need any additional information, please do not hesitate to contact me.

Kind regards,  
dr Patrycja Antosz  
University College Groningen

---

**2 attachments****Ethics approval.pdf**  
302K**Groningen questionnaire\_final.xlsx**  
80K

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**Antosz, P.P.** <p.p.antosz@rug.nl>  
To: ceto@rug.nl  
Cc: Wander Jager <w.jager@rug.nl>

Thu, Nov 7, 2019 at 1:28 PM

Dear Members of the Research Ethics Committee,

I am writing you with regards to the last email I sent on the 22nd of October. Unfortunately, I did not hear from you until now. Could you please update me on the current status of the feedback.

Kind regards  
dr. Patrycja Antosz  
University College Groningen  
[Quoted text hidden]--  
dr. Patrycja Antosz  
University College Groningen

---

**Commissie voor Ethische Toetsing Onderzoek, FA** <ceto@rug.nl>  
To: "Antosz, P.P." <p.p.antosz@rug.nl>

Thu, Nov 14, 2019 at 9:54 AM

Dear Patrycja,

Thank you for your message. I will prepare another Letter-of-no-Objection as an extension of the previous application concerning the SMARTEES project.

You will receive the formal approval shortly.

Best wishes,  
Christina

On Tue, Oct 22, 2019 at 1:39 PM Antosz, P.P. <p.p.antosz@rug.nl> wrote:

[Quoted text hidden]

--

Christina Englert  
Secretary Commissie Ethische Toetsing Onderzoek (CETO)

T: +31-(0)50-36-36852

E: [ceto@rug.nl](mailto:ceto@rug.nl)

---

**CETO** <ceto@rug.nl>  
To: "Antosz, P.P." <p.p.antosz@rug.nl>

Tue, Nov 19, 2019 at 10:41 AM

Dear Patrycj,

Apologies for my late reply. Due to illness I did not manage to catch up with things timely.

Thank you for your message and for sending us the invitation and the survey.

Since you are collecting quite a bit of personal information about the participants, it is relevant to include a reference to the privacy rights of the participants.

All relevant information is sufficiently included in the 'Welcome' paragraph at the beginning of the questionnaire.

I will add your Email to Ceto's SMARTEES dossier. It is not necessary to fill in another application specifically for this survey study.

Best wishes,  
Christina

[Quoted text hidden]

--

Secretary CETO (Christina Englert)  
Commissie Ethische Toetsing Onderzoek (CETO)/ Research Ethics Review Committee

T: +31-(0)50-363-6852

E: [ceto@rug.nl](mailto:ceto@rug.nl)

<http://www.rug.nl/research/clcg/ceto2017/>



Conversation with our data protection officer-University of A Coruña

Delegado de Protección de Datos

Jue 21/05/2020 16:13

Para: Francisco José Rey Vizoso

Buenas tardes Francisco,

gracias por tu respuesta. Vuelvo yo también al email original, más abajo, para que veas mis respuestas a lo que tú comentabas marcado en verde.

Si hay alguna cuestión o para cualquier duda, estoy a tu disposición. Un saludo.

**Luz María** Puente Aba

Delegada de protección de datos

Universidade da Coruña

**De:** Francisco José Rey Vizoso <francisco.rey@udc.es>

**Enviado:** jueves, 21 de mayo de 2020 14:08

**Para:** Delegado de Protección de Datos <dpd@udc.es>

**Asunto:** RE: Consulta en relación a la protección de datos y al consentimiento-Proyecto SMARTEES-UDC

Buenas tardes **Luz María**,

Si te parece bien, te contesto en el mail a las cuestiones que planteas para intentar clarificarlas.

Muchas gracias de antemano.

Un saludo,

Francisco Rey.



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## Conversation with our data protection officer-University of A Coruña

Buenos días Francisco,

gracias por tu consulta y por las aclaraciones. Vamos comentando: si no me equivoco, por lo que he leído en los documentos que adjuntas, solicitáis datos personales ya que pedís detalles de la vida diaria de una persona, y además a lo mejor pedís también nombre y apellidos, o correo electrónico, o registráis la dirección IP, ¿es esto así? Solo pedimos datos de la vida diaria a las personas entrevistadas en el contexto del estudio, no se demanda ningún dato como el nombre, dni, etc. Sin embargo, en las entrevistas si disponemos de los nombres

Si pedís datos de su vida diaria, pueden ser considerados datos personales, puesto que dato personal es cualquier información de carácter físico, psíquico, económico, cultural, social, etc., que pudiera servir para identificar a una persona. Por lo que dices, los datos que solicitáis contienen un conjunto de información sobre vida y hábitos que podrían hacer identificable a una persona. Lo de la dirección IP lo comento porque hay algunas encuestas online que se anuncian como anónimas pero, aunque no se pida, queda registrada la dirección IP de quien contesta. En suma, todo esto determina que sí habría que ofrecer información en materia de datos personales cuando hacéis el cuestionario (y también, como resulta más evidente, en las entrevistas, ya que solicitáis el nombre) Lo pregunto también para aclarar unos conceptos que empleáis, que son la confidencialidad y la anonimización. La confidencialidad es un deber que impone el Reglamento general de protección de datos cuando se recogen y tratan datos personales. La anonimización es un proceso posterior a la recogida de los datos, que implica que el responsable del tratamiento va a organizarlos de tal modo que nunca pueda ser posible la asignación de unos datos a una persona individualizada.

En suma, como inicialmente entiendo que la encuesta y la entrevista solicitan datos personales, en el sentido que indiqué antes, ello determina la necesidad de ofrecer a la persona afectada toda la información relativa a la protección de datos personales. Así, debe ofrecerse información sobre: Perfecto, deberemos reflejar esta información en la encuesta y antes de realizar las entrevistas ¿Es correcto? Sí, hay que ofrecer esta información a la persona que va a contestar la encuesta / entrevista. El Reglamento general de protección de datos exige que el responsable del tratamiento de los datos ha de estar en condiciones de demostrar que ha ofrecido esta información. Por lo tanto, es recomendable que obtengáis constancia de que la persona ha recibido la información. Una opción sería que firmara el documento, si se le entrega en papel. En el caso de los cuestionarios online, lo habitual es fijar una casilla que la persona deberá marcar para dejar constancia de que ha recibido la información.

- El responsable del tratamiento, que genéricamente es la UDC como institución pero se precisa luego en los investigadores o grupo de investigación, y mención de la legislación aplicable.
- Base que legitima el tratamiento de los datos: en este caso, sería el consentimiento de la persona afectada.
- Finalidad para la cual se tratan los datos, y mención del deber de confidencialidad. En cuanto a la finalidad, sería la propia del proyecto de investigación, y también un fin ulterior es la propia anonimización de los datos.
- Si se ceden a terceros los datos personales, hay que indicarlo.

Conversation with our data protection officer-University of A Coruña

- Conservación de los datos: aquí habría que hacer referencia a cómo se conservarán, y al proceso de anonimización que se pueda seguir.
- Derechos de las personas titulares de los datos.

Aunque ya he visto que mencionáis algunas de estas cuestiones en vuestras notas informativas, creo que faltaría concretar o clarificar alguno de estos puntos. Aparte de lo que acabo de comentar, envío en adjunto un posible modelo de redacción de mención informativa en materia de protección de datos **Con este informe debidamente cumplimentado para que aparezca en los cuestionarios, etc. y la propia documentación tipo aportada, ¿Sería suficiente?** **Sí, el archivo adjunto menciona todos los elementos de los que hay que informar a la persona que responde. Es importante hacer referencia (aunque lo indico también en el modelo) a la forma de conservación de los datos, y a los posibles procesos de anonimización. Si tenéis alguna duda, podéis enviarme el modelo cubierto para revisar.** Por supuesto, es un modelo y la redacción es orientativa, siempre que de algún modo se informe de las cuestiones que acabo de mencionar.

Todo lo anterior es necesario si la forma de proceder es como indicaba al principio de mi correo; únicamente no sería necesario aportar información en materia de protección de datos si no se solicitara ningún tipo de dato personal (nombre, correo electrónico, IP, dirección, cualquier dato relativo a la persona en general).

Este modelo y demás indicaciones están incluidos en la Normativa general de protección de datos de la UDC, así que, por lo que a protección de datos exclusivamente se refiere, es suficiente con contactar conmigo como delegada de protección de datos.

Cualquier duda o aclaración, estamos en contacto.

Un cordial saludo.

**Luz María** Puente Aba

Delegada de protección de datos

Universidade da Coruña

**De:** Francisco José Rey Vizoso <francisco.rey@udc.es>

**Enviado:** lunes, 18 de mayo de 2020 12:18

**Para:** Delegado de Protección de Datos <dpd@udc.es>

**Asunto:** RE: Consulta en relación a la protección de datos y al consentimiento-Proyecto SMARTEES-UDC

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Conversation with our data protection officer-University of A Coruña

Buenos días Luz María,

Espero que todo vaya bien.

Te envío este mail, en relación a la última conversación que mantuvimos sobre la protección de datos. Adjunto documentos tipo, aplicados en nuestros survey y entrevistas personales para aclarar contigo si son correctos.

Comentarte que, en nuestro caso en particular, estos documentos los utilizamos tanto en las entrevistas como en las encuestas de nuestros tres estudios de caso de los que somos responsables dentro del proyecto europeo SMARTEES. Las encuestas, se realizan cara a cara o telefónicamente en función de la situación.

En relación a esto, lo que necesitaríamos confirmar contigo, es si estos documentos son correctos o, por consiguiente, deberíamos modificar algo.

Y, en segundo lugar, saber y clarificar si existe algún procedimiento en concreto dentro de la UDC para su aceptación o si solo el haber hablado contigo es suficiente.

Quedo a la espera de tus indicaciones al respecto.

Muchas gracias por la atención prestada.

Un cordial saludo,

--

Francisco Rey Vizoso.

Associate Researcher  
People-Environment Research Group  
<http://www.people-environment-udc.org>  
University of A Corunna, Spain  
Faculty of Educational Sciences  
Campus de Elviña, s/n 15071 - A Coruna, Spain.  
Email: [francisco.rey@udc.es](mailto:francisco.rey@udc.es)

[www.glamurs.eu](http://www.glamurs.eu)

[www.connectingnature.eu](http://www.connectingnature.eu)

[www.smartees.eu](http://www.smartees.eu)

Phone: +34 881014792

**De:** Delegado de Protección de Datos <[dpd@udc.es](mailto:dpd@udc.es)>

**Enviado:** viernes, 24 de abril de 2020 16:30

**Para:** Francisco José Rey Vizoso <[francisco.rey@udc.es](mailto:francisco.rey@udc.es)>

**Asunto:** RE: Consulta en relación a la protección de datos y al consentimiento-Proyecto SMARTEES-UDC

Conversation with our data protection officer-University of A Coruña

Buenos días,

gracias por la consulta. Efectivamente cuando se solicitan datos personales, al menos hay que facilitar a la persona interesada la información relativa a esta materia, particularmente sobre el ejercicio de sus derechos; además, como entiendo que en el caso de este proyecto la entrega de los datos personales solo es posible gracias al consentimiento de la persona afectada (es decir, no hay otra base que legitime pedirle sus datos), es necesario contar con el consentimiento de esta persona y estar en condiciones de probar la prestación del consentimiento.

Por mi parte, tengo varios textos que sirven como modelo para para solicitud del consentimiento y entrega de la información. Antes de pasarte algún modelo, querría preguntarte cuál es el formato usual en el que hacéis estas encuestas: son formularios online, entrevistas personales, cuestionarios en Word...

Si me puedes precisar un poco más, te envío algunos modelos en relación con este tema.

Gracias y un cordial saludo.

**Luz María** Puente Aba

Delegada de protección de datos

Universidade da Coruña

**De:** Francisco José Rey Vizoso <francisco.rey@udc.es>

**Enviado:** viernes, 24 de abril de 2020 12:33

**Para:** Delegado de Protección de Datos <dpd@udc.es>

**Asunto:** Consulta en relación a la protección de datos y al consentimiento-Proyecto SMARTEES-UDC

Buenos días,

Me pongo en contacto desde el grupo de investigación Persona-Ambiente de la facultad de educación de la UDC.

Actualmente, estamos trabajando en varios proyectos europeos como partners. Uno de ellos es SMARTEES y en relación al trabajo de campo que estamos realizando, me gustaría aclarar las siguiente cuestión al respecto.

En relación a la aplicación de unos survey en el marco de este proyecto, nos gustaría saber cómo deberíamos proceder. En las entrevistas hemos aplicado un modelo que habíamos utilizado con

Conversation with our data protection officer-University of A Coruña

anterioridad y que estaba hecho de acuerdo a los estándares europeos (hoja informativa+consentimiento informado).

Por favor, nos podríais aclarar que debemos hacer o remitir para proceder con esta aceptación en relación a la protección de datos y al consentimiento.

Muchas gracias por la atención prestada.

Un cordial saludo,

--

Francisco Rey Vizoso.

Associate Researcher  
People-Environment Research Group  
<http://www.people-environment-udc.org>  
University of A Corunna, Spain  
Faculty of Educational Sciences  
Campus de Elviña, s/n 15071 - A Coruna, Spain.  
Email: [francisco.rey@udc.es](mailto:francisco.rey@udc.es)

[www.glamurs.eu](http://www.glamurs.eu)

[www.connectingnature.eu](http://www.connectingnature.eu)

[www.smartees.eu](http://www.smartees.eu)

Phone: +34 881014792

Urbanisland AB

Malmö, 25th October 2018

### **Data Protection Declaration**

In the context of the H2020-funded project “SMARTEES- Social innovation Modelling Approaches to Realizing Transition to Energy Efficiency and Sustainability”, Urbanisland will conduct all project activities according to and in compliance with General Data Protection Regulation of 25 May 2018 (GDPR), and the EU Directive 2016/679.

All personal data collection and processing will be carried out according to EU and national legislation. Furthermore, all data – personal and non-personal - data transferred from/to a non-EU country or international organization complies with national and EU legislation.

The Urbanisland’s responsible person for Data Protection is:

Name: Trevor Graham

E-mail: [trevor.graham@urbanisland.se](mailto:trevor.graham@urbanisland.se)

Kind Regards



**SAMSØ ENERGIKADEMI**

Samsø, 22.October2018

**Data Protection Declaration**

In the context of the H2020-funded project "SMARTEES- Social innovation Modelling Approaches to Realizing Transition to Energy Efficiency and Sustainability", SAMSØ ENERGIKADEMI will conduct all project activities according to and in compliance with General Data Protection Regulation of 25 May 2018 (GDPR), and the EU Directive 2016/679.

All personal data collection and processing will be carried out according to EU and national legislation. Furthermore, all data – personal and non-personal - data transferred from/to a non-EU country or international organization complies with national and EU legislation.

The PARTNER NAME's responsible for Data Protection is:

Name: Søren Hermansen, Malene Lundén, Michael Kristensen, Jesper Roug Kristensen

E-mail: [sh@energiakademiet.dk](mailto:sh@energiakademiet.dk), [ml@energiakademiet.dk](mailto:ml@energiakademiet.dk), [mk@energiakademiet.dk](mailto:mk@energiakademiet.dk),  
[jrk@energiakademiet.dk](mailto:jrk@energiakademiet.dk)

Kind Regards

Jan Jantzen



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[www.energiakademiet.dk](http://www.energiakademiet.dk)



## APPENDIX 4 – METADATA FOR THE COLLECTED DATA

Id	Name	Source	Type	Format	Description	Language	Public/Non-Public
Aberdeen_01	SMARTeES Survey	Stored locally	Quantitative, dataset (one qualitative question)	sav, csv	Data gathered for the survey conducted in Aberdeen City for SMARTeES on energy use and fuel poverty	English	Non-Public
Aberdeen_02a	Interview 1	Case researcher (Stored locally)	Qualitative, audio recording	mp3	Interview with member of staff from Aberdeen City Council	English	Non-Public
Aberdeen_02b	Interview 2	Case researcher (Stored locally)	Qualitative, audio recording	mp3	Interview with member of staff from Aberdeen City Council	English	Non-Public
Aberdeen_02c	Interview 3	Case researcher (Stored locally)	Qualitative, audio recording	mp3	Interview with board member from Aberdeen Heat and Power and SCARF	English	Non-Public
Aberdeen_02d	Interview 4	Case researcher (Stored locally)	Qualitative, audio recording	mp3	Interview with member of staff from Aberdeen Heat and Power	English	Non-Public
Aberdeen_02e	Interview 5	Case researcher (Stored locally)	Qualitative, audio recording	mp3	Interview with two Aberdeen City councillors from the Torry area	English	Non-Public
Aberdeen_02f	Interview 6	Case researcher (Stored locally)	Qualitative, audio recording	mp3	Interview with board member from AHP	English	Non-Public
Aberdeen_02g	Interview 7	Case researcher (Stored locally)	Qualitative, audio recording	mp3	Interview with staff member of mediation company that worked for Aberdeen City council to resolve conflicts in Torry regarding planned incinerator	English	Non-Public
Aberdeen_02h	Interview 8	Case researcher (Stored locally)	Qualitative, audio recording	mp3	Interview with member of staff from SCARF	English	Non-Public
Aberdeen_02i	Interview 9	Case researcher (Stored locally)	Qualitative, audio recording	mp3	Interview with two residents of Torry regarding plans to develop the incinerator	English	Non-Public
Aberdeen_02j	Interview 10	Case researcher (Stored locally)	Qualitative, audio recording	mp3	Interview with member of staff from AHP	English	Non-Public
Aberdeen_02k	Interview 11	Case researcher (Stored locally)	Qualitative, audio recording	mp3	Interview with member of staff from planned Torry incinerator project team	English	Non-Public

Aberdeen_03	Coordinated, tailored and inclusive energy efficiency schemes for fighting fuel poverty: Aberdeen	Stored locally	Qualitative, report	doc	Write-up of SMARTEES qualitative research phase 1	English	Public
Aberdeen_04	Scottish Index of Multiple Deprivation	<a href="https://simd.scot/">https://simd.scot/</a>	Quantitative, spatial, dataset	csv	Measurement of relative deprivation in Scotland (small area level)	English	Public
Aberdeen_05	Scotland's Census	<a href="https://www.scotlandscensus.gov.uk/">https://www.scotlandscensus.gov.uk/</a>	Quantitative, dataset	xlsx, csv	Social and demographic data	English	Public
Aberdeen_06	School Contact Details and Summary Statistics	<a href="https://www2.gov.scot/Topics/Statistics/Browse/School-Education/Datasets">https://www2.gov.scot/Topics/Statistics/Browse/School-Education/Datasets</a>	Quantitative, dataset	xlsx	School names, addresses and pupil rolls	English	Public
Aberdeen_07	Pupil Census	<a href="https://www2.gov.scot/Topics/Statistics/Browse/School-Education/Datasets">https://www2.gov.scot/Topics/Statistics/Browse/School-Education/Datasets</a>	Quantitative, dataset	xlsx	Pupil numbers by school and stage, school meals data	English	Public
Aberdeen_08	Scottish Household Survey	<a href="https://beta.ukdataservice.ac.uk/datacatalogue/series/series?id=2000048">https://beta.ukdataservice.ac.uk/datacatalogue/series/series?id=2000048</a>	Quantitative, dataset	csv	Composition, characteristics and behaviours of Scottish households	English	Public
Aberdeen_09	Scottish House Condition Survey	<a href="https://www.gov.scot/publications/scottish-house-condition-survey-data-access-2/">https://www.gov.scot/publications/scottish-house-condition-survey-data-access-2/</a>	Qualitative, dataset	csv	National survey to look at the physical condition of Scotland's homes and the experiences of householders	English	Public
Aberdeen_10	Powering Aberdeen: Aberdeen's Sustainable Energy Action Plan	<a href="https://www.aberdeencity.gov.uk/services/environment/powering-aberdeen">https://www.aberdeencity.gov.uk/services/environment/powering-aberdeen</a>	Qualitative, report	pdf	Action plan to reduce emissions through energy efficiency measures and use of renewable energy sources	English	Public
Aberdeen_11	Powering Aberdeen Progress Report, October 2017	<a href="https://www.aberdeencity.gov.uk/services/environment/powering-aberdeen">https://www.aberdeencity.gov.uk/services/environment/powering-aberdeen</a>	Qualitative, quantitative, report	pdf	Report on progress implementing Powering Aberdeen	English	Public
Aberdeen_12	70043006-0020 Aberdeen Torry Heat Network Option 3ph2	Stored locally	Spatial, map	pdf	A map of the planned Torry Heat Network	English	Non-Public
Aberdeen_13	181023 Torry phase 1 and 2 all properties	Stored locally	Quantitative, dataset	xlsx	Ownership of and heating systems in Torry properties	English	Non-Public
Aberdeen_14	Community Engagement Team Meeting No 2	Stored locally	Qualitative, report	.doc	Minutes of Community Engagement Team Meeting regarding the Torry Heat Network, held on 2nd August 2018	English	Non-Public
Aberdeen_15	Torry Draft Locality Plan 2017-27	Community Planning Aberdeen	Qualitative, report	pdf	Long-term vision for Torry, developed by Community Planning Aberdeen and Aberdeen City Council	English	Public

Aberdeen_16	Torry District Heating Network Feasibility Study	Ramboll	Qualitative, report	pdf	Report into the technical and economic feasibility of a district heating network in Torry	English	Public
Aberdeen_17	Torry Strategic Assessment 2016	Community Planning Aberdeen	Qualitative, quantitative, report	pdf	Analysis of the demand for public services in Torry	English	Public
Aberdeen_18	Frantzenskaki, N. and Tefrati, N. (2016) 'A Transformative Vision Unlocks the Innovative Potential of Aberdeen City, UK', in D. Loorback et al. (eds), Governance of Urban Sustainability Transitions, Theory and Practice of Urban Sustainability Transitions. Springer Japan.	Springer (publisher)	Qualitative, book chapter	pdf	Chapter focusing on how sustainability values were a component of developing aspirations for Aberdeen	English	Public
Aberdeen_19	Guidance on Delivery Structures for Heat Networks	Scottish Futures Trust	Qualitative, report	pdf	Guidance on implementing the Scottish Government's District Heating Action Plan (May 2013)	English	Public
Aberdeen_20	Webb, J. (2014) Improvising innovation in UK urban district heating: The convergence of social and environmental agendas in Aberdeen. Energy Policy.	<a href="https://www.sciencedirect.com/science/article/abs/pii/S0301421514006685?via%3Diuhub">https://www.sciencedirect.com/science/article/abs/pii/S0301421514006685?via%3Diuhub</a>	Qualitative, academic paper	pdf	Case study of Aberdeen and the development of Aberdeen Heat and Power	English	Public
Aberdeen_21	David Hawkey & Janette Webb (2014) District energy development in liberalised markets: situating UK heat network development in comparison with Dutch and Norwegian case studies, Technology Analysis & Strategic Management, 26:10, 1228-1241.	DOI: 10.1080/09537325.2014.971001	Qualitative, academic paper	pdf	Paper comparing the development of heat networks in the UK (including Aberdeen), The Netherlands and Norway	English	Public
Aberdeen_22	Hawkey, D., et al., Organisation and governance of urban energy systems: district heating and cooling in theUK, Journal of Cleaner Production (2013)	<a href="http://dx.doi.org/10.1016/j.jclepro.2012.11.018">http://dx.doi.org/10.1016/j.jclepro.2012.11.018</a>	Qualitative, academic paper	pdf	Paper reviewing local governance and organisation of energy in UK cities, including Aberdeen, and recent CHP and district heating developments	English	Public

Aberdeen_23	Janette Webb & David Hawkey (2017) On (not) assembling a market for sustainable energy: heat network infrastructure and British cities, Journal of Cultural Economy, 10:1, 8-20	DOI: 10.1080/17530350.2016.1226193	Qualitative, academic paper	pdf	Paper discussing the use of market devices in two heat network proposals in British cities, including Aberdeen	English	Public
Aberdeen_24	A new definition of fuel poverty in Scotland	Scottish Government	Qualitative, report	pdf	Scottish Government report reviewing how fuel poverty is defined in Scotland	English	Public
Aberdeen_25	Climate Change Plan: The Third Report on Proposals and Policies 2018-2032	Scottish Government	Qualitative, report	pdf	Scottish Government report on the Climate Change Plan	English	Public
Aberdeen_26	Fuel Poverty Strategy for Scotland 2018	Scottish Government	Qualitative, report	pdf	Draft strategy for tackling fuel poverty	English	Public
Aberdeen_27	Energy efficiency and condition standards in private rented housing	Scottish Government	Qualitative, report	pdf	Consultation paper seeking views on improving the quality of rented housing in Scotland	English	Public
Aberdeen_28	Scotland's Energy Efficiency Programme: Second Consultation on Local Heat & Energy Efficiency Strategies, and Regulation of District and Communal Heating	Scottish Government	Qualitative, report	pdf	Specific policy proposals for Local Heat & Energy Strategies and regulation of district and communal heating	English	Public
Aberdeen_29	Energy Efficient Scotland Consultation: Making our homes and buildings warmer, greener and more efficient	Scottish Government	Qualitative, report	pdf	Consultation paper seeking views on proposals, access to EPC data and on legislation to improve the energy efficiency of privately rented and owned homes as well as non-domestic buildings in Scotland	English	Public
Aberdeen_30	Energy Efficient Scotland: Route Map	Scottish Government	Qualitative, report	pdf	Document setting out how the Climate Change Plan and Energy Strategy will be implemented	English	Public
Aberdeen_31	Fuel Poverty (Target, Definition and Strategy) (Scotland) Bill	Scottish Parliament	Qualitative, Bill	pdf	Sets out the 2040 target relating to the eradication of fuel poverty	English	Public
Aberdeen_32	Heat Policy Statement	Scottish Government	Qualitative, report	pdf	The Scottish Government's framework for achieving affordable low carbon heat for households, organisations and industry	English	Public

Aberdeen_33	Home Energy Efficiency Programmes for Scotland	Scottish Government	Qualitative, report	pdf	Annual summary report for the HEEPS programme	English	Public
Aberdeen_34	Scottish Energy Strategy: The future of energy in Scotland	Scottish Government	Qualitative, report	pdf	2050 vision for energy in Scotland	English	Public
Aberdeen_35	Ambition-Opportunity-Place: Scotland's Third National Planning Framework. June 2014	Scottish Government	Qualitative, report	pdf	Details of Scotland's third National Planning Framework		
Aberdeen_36	ADE (2018) Market Report: Heat Networks in the UK. January 2018, Association for Decentralised Energy	<a href="https://www.theade.co.uk/resources/publications/market-report-heat-networks-in-the-uk">https://www.theade.co.uk/resources/publications/market-report-heat-networks-in-the-uk</a>	Qualitative, report	pdf	Market view of the opportunities offered by heat networks	English	Public
Aberdeen_37	Population Estimates for Settlements and Localities in Scotland	National Records of Scotland	Quantitative, dataset	csv	Annual population estimates for settlements across Scotland	English	Public
Aberdeen_38	Household Estimates	National Records of Scotland	Quantitative, dataset	csv	Estimates of the number of households and dwellings in Scotland	English	Public
Aberdeen_39	Housing Need and Demand Assessment: Aberdeen City and Shire, 2017	<a href="https://www.aberdeencity.gov.uk/sites/default/files/2018-09/Local%20Housing%20Strategy%20Appendix%207%20Housing%20Need%20and%20Demand%20Assessment.pdf">https://www.aberdeencity.gov.uk/sites/default/files/2018-09/Local%20Housing%20Strategy%20Appendix%207%20Housing%20Need%20and%20Demand%20Assessment.pdf</a>	Qualitative, quantitative, report	pdf	Key housing data for Aberdeen City	English	Public
Aberdeen_40	Aberdeen Central: Key Facts	<a href="https://statistics.gov.uk">statistics.gov.uk</a>	Quantitative, dataset	html	Population, housing, health and community data for Aberdeen	English	Public
Aberdeen_41	Aberdeen Warmer Homes Scheme	Aberdeen City Council	Qualitative, web	html	Eligibility for and take-up of free insulation	English	Public
Aberdeen_42	Aberdeen Affordable Warmth Scheme	Aberdeen City Council	Qualitative, web	html	Details of scheme to help people paying a high proportion of income towards heating their homes	English	Public
Aberdeen_43	Community Power: Aberdeen Heat & Power Ltd	Community Power	Qualitative, quantitative, web	html	Background, structure and financing of Aberdeen Heat & Power	English	Public
Aberdeen_44	Spatial data for heat network pipes and residences	Aberdeen Heat and Power	Spatial, dataset	ESRI	Shape files showing existing and planned heat network pipes and properties in Aberdeen City	English	Non-Public
Aberdeen_45	Household spatial data	Aberdeen City Council	Spatial, dataset	ESRI	Property locations and anonymous household compositions	English	Non-Public

Aberdeen_46	Energy rates and tariffs	Energy companies	Quantitative, dataset	csv	Energy costs for different housing and energy systems	English	Public
Aberdeen_47	Grants and funding data	Scarf	Quantitative, dataset	csv	Details of grants available for the cost of installing, replacing or investing in energy saving measures and lowering fuel bills, and uptake in Aberdeen	English	Public
Aberdeen_48	Fuel debt data	Scarf	Quantitative, dataset	csv	Details of fuel debt across Aberdeen	English	Public
Aberdeen_49	Home Energy Scotland loan data	Energy Saving Trust	Quantitative, dataset	csv	Details of loans provided for home energy costs	English	Public
Aberdeen_50	District Heating Loan data	Energy Saving Trust	Quantitative, dataset	csv	Details of loans provided for district heating costs	English	Public
Aberdeen_51	Home Energy Efficiency Programmes data	Energy Saving Trust	Quantitative, dataset	csv	Data regarding sign-ups to Home Energy Efficiency Programmes	English	Public
Aberdeen_52	Rent and mortgage data	Aberdeen City Council and Aberdeen Solicitors Property Centre	Quantitative, dataset	csv	The cost of renting and buying property in Aberdeen	English	Public
Aberdeen_53	Repair, upkeep and installation of systems in the heat network	Aberdeen Heat and Power	Quantitative, dataset	csv	Data from Aberdeen Heat and Power on installation and running costs	English	Public
Aberdeen_54	Repair, upkeep and installation of systems not in the heat network	Energy suppliers and insurers	Quantitative, dataset	csv	Data regarding installation and running costs for other forms of home energy	English	Public
Aberdeen_55	Daily average humidity and temperature	Met Office	Quantitative, dataset	csv	Historical weather data for Aberdeen	English	Public
Aberdeen_O1	SMARTEES D2.2	Stored locally	Qualitative, report	pdf	Catalogue of elements to be considered in modelling for comprehensive and exhaustive reflection of relationships between the relevant agents in the ABM	English	Public
Aberdeen_O2	SMARTEES D3.1	Stored locally	Qualitative, report	pdf	Report on profiles of social innovation "in action" for each cluster	English	Public
Aberdeen_O3	SMARTEES D3.4	Stored locally	Qualitative, report	pdf	Report on "Five models of social innovation"	English	Public
Aberdeen_O4	SMARTEES D6.1	Stored locally	Qualitative, report	pdf	Report on social innovation drivers, barriers, actors and network structures	English	Public

Aberdeen_O5	SMARTEES D7.1	Stored locally	Qualitative, report	pdf	Report on the conceptual model of the SMARTEES simulation and data formats to be included	English	Public
Aberdeen_O6	SMARTEES D3.2	Stored locally	Qualitative, report	pdf	Report on inputs for the questionnaire and the scenarios	English	Public
Aberdeen_O7	SMARTEES D3.3	Stored locally	Qualitative, report	pdf	Policy brief on "social innovation in energy transition" in action	English	Public
Aberdeen_O8	SMARTEES Qualitative Research Phase 2: Aberdeen	NTNU	Qualitative, report	pdf	Report on phase 2 of the qualitative research	English	Public
Barcelona_01a	Superblock Poblenou	<a href="https://udcgal.sharepoint.com/:b:/r/sites/SMARTEES-UDC/Documentos%20comp artidos/Estudios_caso_UDC/Barcelona/PLA%20INDICADORS%20C3%80MBIT%20SUPERILLES%20POBLENOU%20-%20comparativa%202016-2017.pdf?csf=1&amp;web=1&amp;e=qTe8C6">https://udcgal.sharepoint.com/:b:/r/sites/SMARTEES-UDC/Documentos%20comp artidos/Estudios_caso_UDC/Barcelona/PLA%20INDICADORS%20C3%80MBIT%20SUPERILLES%20POBLENOU%20-%20comparativa%202016-2017.pdf?csf=1&amp;web=1&amp;e=qTe8C6</a>	Qualitative; scientific article	pdf	The Superblock Indicators and Measurements Plan is an instrument to know the progress made in the development of the Superblock Program in Barcelona. This allows to compile, synthetically, information on the benefits and impacts of the process of executing the actions on public space, mobility, green and biodiversity, economic activity and population.	Catalán	Public
Barcelona_02a	Superblock Sant Antoni	<a href="https://udcgal.sharepoint.com/:b:/r/sites/SMARTEES-UDC/Documentos%20comp artidos/Informaci%C3%B3n%20de%20los%20casos/A03-Sant%20Antoni-Seguint-20190326.pdf?csf=1&amp;web=1&amp;e=ryD53A">https://udcgal.sharepoint.com/:b:/r/sites/SMARTEES-UDC/Documentos%20comp artidos/Informaci%C3%B3n%20de%20los%20casos/A03-Sant%20Antoni-Seguint-20190326.pdf?csf=1&amp;web=1&amp;e=ryD53A</a>	Qualitative; scientific article	pdf	This document corresponds to the comparative analysis of the indicators between the years 2016-starting situation (pre-implementation scenario of the pilot superblock) and 2018-Existing situation, for the scope of the San Antonio pilot superblock	Catalan	Public
Barcelona_03a	LET'S FILL STREETS WITH	<a href="https://udcgal.sharepoint.com/:b:/r/sites/SMARTEES-UDC/Documentos%20comp artidos/Estudios_caso_UDC/Barcelona/2016-Commission%20for%20Ecology_SUPERILLES.pdf?csf=1&amp;web=1&amp;e=Wtm0NAfile:///C:/Users/Lab%20psico/Desktop/2016-">https://udcgal.sharepoint.com/:b:/r/sites/SMARTEES-UDC/Documentos%20comp artidos/Estudios_caso_UDC/Barcelona/2016-Commission%20for%20Ecology_SUPERILLES.pdf?csf=1&amp;web=1&amp;e=Wtm0NAfile:///C:/Users/Lab%20psico/Desktop/2016-</a>	Qualitative; scientific article	pdf	The municipal government measure presented here emphasises the change of management required for getting the running of the city into line with new environmental challenges and opportunities for improving the quality of its citizens' lives.	Spanish	Public



		Commission%20for%20Ecology_SUPERILLES.pdf					
Barcelona_04a	Metropolitan mobility report	<a href="https://udcgal.sharepoint.com/:b:/r/sites/SMARTEES-UDC/Documentos%20comp artidos/Estudios_caso_UDC/Barcelona/Informe_movilidad_tcm7-317112.pdf?csf=1&amp;web=1&amp;e=cbKAu2">https://udcgal.sharepoint.com/:b:/r/sites/SMARTEES-UDC/Documentos%20comp artidos/Estudios_caso_UDC/Barcelona/Informe_movilidad_tcm7-317112.pdf?csf=1&amp;web=1&amp;e=cbKAu2</a>	Qualitative; scientific article	pdf	The document summarizes the figures that show how public transport contributes to improving the mobility of citizens in the set of 18 Spanish metropolitan areas in 2011.	Spanish	Public
Barcelona_05a	District of San Martí superblock pilot of Poblenou-Application of the plan of indicators and measurements for monitoring superblocks de Barcelona	<a href="https://udcgal.sharepoint.com/:b:/r/sites/SMARTEES-UDC/Documentos%20comp artidos/Estudios_caso_UDC/Barcelona/PLA%20INDICADORS%20%C3%80MBIT%20SUPERILLES%20POBLENOU%20-%20comparativa%202016-2017.pdf?csf=1&amp;web=1&amp;e=gIQ9yJ">https://udcgal.sharepoint.com/:b:/r/sites/SMARTEES-UDC/Documentos%20comp artidos/Estudios_caso_UDC/Barcelona/PLA%20INDICADORS%20%C3%80MBIT%20SUPERILLES%20POBLENOU%20-%20comparativa%202016-2017.pdf?csf=1&amp;web=1&amp;e=gIQ9yJ</a>	Qualitative; scientific article	pdf	The continuous evaluation for different time intervals allows to measure the evolution and pace of execution of the set of proposals programmed not only in the Superblock Program but also in other transversal and / or strategic city projects	Catalan	Public
Barcelona_06a	LIFEE establishing Superblocks in Barcelona	<a href="https://udcgal.sharepoint.com/:b:/r/sites/SMARTEES-UDC/Documentos%20comp artidos/Estudios_caso_UDC/Barcelona/2016-Commission%20for%20Ecology_SUPERILLES.pdf?csf=1&amp;web=1&amp;e=876lxN">https://udcgal.sharepoint.com/:b:/r/sites/SMARTEES-UDC/Documentos%20comp artidos/Estudios_caso_UDC/Barcelona/2016-Commission%20for%20Ecology_SUPERILLES.pdf?csf=1&amp;web=1&amp;e=876lxN</a>	Qualitative; scientific article	pdf	Barcelona aims to establish a new way of organising the city which reverses the current distribution of public areas between vehicles and people, giving priority to city residents and aiming to improve the city's environmental conditions and quality of life.	English	Public
Barcelona_07a	SMARTEES D2.2_catalogue of elements-2	stored locally	Qualitative	pdf	Extracted from Deliverable D2.2 - Catalogue of elements to be considered in modelling	English	Public

Barcelona_08a	SMART EES-D3.1_SI_in_Action_R1	stored locally	Qualitative	pdf	Extracted from Deliverable 3.1 (Report) Report about profiles of social innovation “in action” for each cluster	English	Public
Barcelona_09a	SMART EES-D6.1_Barriers_Drivers_Networks_R1	stored locally	Qualitative	pdf	Extracted from Deliverable 6.1 (Report) D6.1 Report on social innovation drivers, barriers, actors and network structures November 2019	English	Public
El Hierro_01a	El Hierro. 2016 mobility and tourism forum	<a href="https://udcgal.sharepoint.com/:b:/r/sites/SMART EES-UDC/Documentos%20comp artidos/Estudios_caso_UDC/El-Hierro/Juan-Pedro-S%C3%A1nchez-El-Hierro.pdf?csf=1&amp;web=1&amp;e=3rMpkT">https://udcgal.sharepoint.com/:b:/r/sites/SMART EES-UDC/Documentos%20comp artidos/Estudios_caso_UDC/El-Hierro/Juan-Pedro-S%C3%A1nchez-El-Hierro.pdf?csf=1&amp;web=1&amp;e=3rMpkT</a>	Qualitative	pdf	El Hierro. 2016 mobility and tourism forum	Spanish	Public
El Hierro_02a	El Hierro-renewable Biosphere Reserve	<a href="https://udcgal.sharepoint.com/:b:/r/sites/SMART EES-UDC/Documentos%20comp artidos/Estudios_caso_UDC/El-Hierro/Ponencia%20C%C3%A9sar%20Espinosa,%20RB%20El%20Hierro.pdf?csf=1&amp;web=1&amp;e=b2AFDz">https://udcgal.sharepoint.com/:b:/r/sites/SMART EES-UDC/Documentos%20comp artidos/Estudios_caso_UDC/El-Hierro/Ponencia%20C%C3%A9sar%20Espinosa,%20RB%20El%20Hierro.pdf?csf=1&amp;web=1&amp;e=b2AFDz</a>	Qualitative	pdf	El Hierro, towards a self-sufficient and renewable Biosphere Reserve: an integrated model to test the future	Spanish	Public
El Hierro_03a	EL HIERRO 100%RENEWABLE ENERGIES	<a href="https://udcgal.sharepoint.com/:b:/r/sites/SMART EES-UDC/Documentos%20comp artidos/Informes_estudios_caso_30.04.2019/REPORT_El%20Hierro.pdf?csf=1&amp;web=1&amp;e=QDjgKJ">https://udcgal.sharepoint.com/:b:/r/sites/SMART EES-UDC/Documentos%20comp artidos/Informes_estudios_caso_30.04.2019/REPORT_El%20Hierro.pdf?csf=1&amp;web=1&amp;e=QDjgKJ</a>	Qualitative	pdf	According to the official documentation published by this institution as well as the interviewees participating in this study, the overall ambition of El Hierro was to transform El Hierro in a front-runner island in the implementation of self-sufficiency energy systems based on clean and renewable energy sources, with a strong commitment to sustainability in terms of “fostering	English	Public

					green economy and social development compatible with the preservation of the environment".		
El Hierro_04a	Open data of Gorona Viento	<a href="http://www.goronadelviento.es/portal-de-transparencia/">http://www.goronadelviento.es/portal-de-transparencia/</a>	Qualitative-Quantitative	html	Open data of Gorona Viento	Spanish, English	Public
Groningen_10h	ESS8_showcards_NL	<a href="https://www.europeansocialsurvey.org/data/download.html?r=8">https://www.europeansocialsurvey.org/data/download.html?r=8</a>	Qualitative	pdf	ESS 8 questionnaire showcards Dutch	Dutch	Public
Groningen_10i	Referendum-Noorderplantsoen-25-jaar-original dataset	Stored locally	Quantitative, data	sav	Raw dataset Groningen survey	Dutch	
Groningen_10j	SMARTEES Groningen survey clean	Stored locally	Quantitative, data	sav	Clean Groningen survey	English	
Groningen_10k	SMARTEES Groningen survey cleaning SYNTAX	Stored locally	Quantitative, data	sps	Documentation of cleaning procedures	English	
Groningen_10l	SMARTEES Groningen survey cleaning OUTPUT	Stored locally	Quantitative, data	sav	Documentation of cleaning procedures	English	
Groningen_10m	SMARTEES Groningen survey OUTPUT	Stored locally	Qualitative	xls	Documentation of cleaning procedures	English	
Groningen_10n	SMARTEES Groningen survey data analysis plan SYNTAX	Stored locally	Quantitative, data	sps	Documentation of analytical procedures	English	
Groningen_10o	CC1 data cleaning and imputation	Stored locally	Qualitative	doc	Cleaning and imputation plans CC1	English	
Groningen_11a	Task5.1 Table Groningen	Stored locally	Qualitative	doc	Input for D5.1	English	
Groningen_11b	IDI list	Stored locally	Qualitative	doc	Groningen IDI list	English	
Groningen_11c	IDI protocol PA	Stored locally	Qualitative	doc	Groningen IDI protocol graphically	English	
Groningen_11d	IDI protocol	Stored locally	Qualitative	doc	Groningen IDI protocol	English	
Groningen_11e	Interview protocol 01	Stored locally	Qualitative	doc	Groningen IDI protocol	English	
Groningen_11f	Interview protocol 02	Stored locally	Qualitative	doc	Groningen IDI protocol	English	
Groningen_11g	IDI invitation email	Stored locally	Qualitative	doc	Groningen IDI invitation email	English	

Groningen_11h	REPORT interviews Groningen case_draft	Stored locally	Qualitative	doc	Groningen IDI report for WP5 draft	English	
Groningen_11i	IDI report_Groningen	Stored locally	Qualitative	doc	Groningen IDI report for WP5	English	
Groningen_11j	Interview 01	Case researcher (Stored locally)	Qualitative	m4a	IDI 01 recording		
Groningen_11k	Interview 02	Case researcher (Stored locally)	Qualitative	m4a	IDI 02 recording		
Groningen_11l	Interview 03	Case researcher (Stored locally)	Qualitative	m4a	IDI 03 recording		
Groningen_11m	Interview 04	Case researcher (Stored locally)	Qualitative	m4a	IDI 04 recording		
Groningen_11n	Interview 05	Case researcher (Stored locally)	Qualitative	m4a	IDI 05 recording		
Groningen_11o	Transcription 01 english	Stored locally	Qualitative	doc	IDI 01 transcription	English	
Groningen_11p	Transcription 02 english	Stored locally	Qualitative	doc	IDI 02 transcription	English	
Groningen_11r	Transcription 03 dutch	Stored locally	Qualitative	doc	IDI 03 transcription	Dutch	
Groningen_11s	Transcription 03 english	Stored locally	Qualitative	doc	IDI 03 transcription	English	
Groningen_11t	Transcription 04 english_draft	Stored locally	Qualitative	doc	IDI 04 transcription	English	
Groningen_11u	Transcription 05 dutch	Stored locally	Qualitative	doc	IDI 05 transcription	Dutch	
Groningen_11v	Transcription 05 english	Stored locally	Qualitative	doc	IDI 05 transcription	English	
Groningen_11w	SMARTEES IDI coding structure	Stored locally	Qualitative	xls	Coding structure for Groningen IDIs	English	
Groningen_11x	Interview 01	Stored locally	Qualitative	altproj	Coding of IDI 01	English	
Groningen_11y	Interview 02	Stored locally	Qualitative	altproj	Coding of IDI 01	English	
Groningen_11z	Codes 01	Stored locally	Qualitative	doc	Exported codes from IDI 01	English	
Groningen_11za	Codes 02	Stored locally	Qualitative	doc	Exported codes from IDI 02	English	
Groningen_12a	Actors Groningen	Stored locally	Qualitative	doc	Description of actors in the Groningen case	English	
Groningen_12b	Entities description Groningen case	Stored locally	Qualitative	xls	Description of actors in the Groningen case for WP6	English	
Groningen_12c	Groningen actors outputs context	Stored locally	Qualitative	cmap	Groningen actors outputs context for WP6	English	

Groningen_12d	Groningen actors outputs context	Stored locally	Qualitative	pdf	Groningen actors outputs context for WP6	English	
Groningen_12e	Groningen actors	Stored locally	Qualitative	cmap	Groningen actors for WP6	English	
Groningen_12f	Groningen actors	Stored locally	Qualitative	pdf	Groningen actors for WP6	English	
Groningen_13a	Groningen map	Stored locally	Qualitative	nlogo	Groningen district map in Netlogo		
Groningen_13b	Calibration of social networks in Groningen	Stored locally	Qualitative	pptx	Groningen presentation on calibration of social networks	English	
Groningen_13c	Calibration and validation Groningen presentation updated	Stored locally	Qualitative	pptx	Groningen presentation on model concept and calibration	English	
Groningen_13d	Yearbook statistics 1994	Stored locally	Qualitative	xlsx	Selected data from statistical yearbook potentially to be used for calibration	Dutch	
Groningen_14a	14a Report on the conceptual model of the SMARTEES simulation and data types to be included	Stored locally	Qualitative	pdf	D7.1	English	
Groningen_14b	D7.2 Simulation model implementing	Stored locally	Qualitative	pdf	D7.2	English	
Malmö_01a	K. Dekker (2007) Social Capital, Neighbourhood Attachment and Participation in Distressed Urban Areas. A Case Study in The Hague and Utrecht, the Netherlands, Housing Studies, 22:3, 355-379.	<a href="https://www.tandfonline.com/doi/pdf/10.1080/02673030701254103?needAccess=true">https://www.tandfonline.com/doi/pdf/10.1080/02673030701254103?needAccess=true</a>	Qualitative; scientific article	pdf	According to Putnam's definition of social capital, not only social networks, but also norms and trust give people the tools they need for participation. This paper describes the combined effect of social capital together with neighbourhood attachment in explaining participation.	English	Public
Malmö_01b	MF Hrast, K Dekker (2009) Old habits die hard? Neighbourhood participation in post-WWII neighbourhoods in Slovenia and the Netherlands. Cities 26 (2006), 148-157.	<a href="https://reader.elsevier.com/reader/sd/pii/S0264275109000420?token=504DDA792E83585C543E888EED1E5CF2488FFA31E9FFA6577161287C68DC788CD6C7AE02BC9B5B449321094C14626696">https://reader.elsevier.com/reader/sd/pii/S0264275109000420?token=504DDA792E83585C543E888EED1E5CF2488FFA31E9FFA6577161287C68DC788CD6C7AE02BC9B5B449321094C14626696</a>	Qualitative; scientific article	pdf	The differences in social capital and participation in neighbourhood improvement between the residents of post-WWII neighbourhoods in Slovenia and the Netherlands are analysed with multivariate modelling procedures on the neighbourhoods and the local state. The conclusions underline the theoretical assumptions that social capital influences participation.	English	Public

Malmö_01c	Devereux, E., Haynes, A. & Power, M.J. At the edge: media constructions of a stigmatised Irish housing estate. J Hous and the Built Environ 26, 123–142 (2011). <a href="https://doi.org/10.1007/s10901-011-9210-4">https://doi.org/10.1007/s10901-011-9210-4</a>	<a href="https://link.springer.com/article/10.1007/s10901-011-9210-4">https://link.springer.com/article/10.1007/s10901-011-9210-4</a>	Qualitative; scientific article	pdf	Background on how neighbourhood reputations are constructed in the media and effect those neighbourhoods' opinions of themselves.	English	Public
Malmö_01d	Ozcan, Erdem et al (2015) Structural neighbourhood conditions, social cohesion and psychological distress in the Netherlands. European Journal of Public Health Vol. 25. No. 6. 995-1001.	<a href="https://academic.oup.com/eurpub/article/25/6/995/2467500">https://academic.oup.com/eurpub/article/25/6/995/2467500</a>	Qualitative; scientific article	pdf	This gives some interesting background on social cohesion related to neighbourhood conditions. It details how social cohesion was measured in a particular survey.	English	Public
Malmö_02a	Malmö Stad. Hållbar utveckling i Malmö. No.3 2017	<a href="http://www.anpdm.com/newsletterweb/45415B4B7646435F4271454759/4141594370454B5D427140425A4071?noTracking=true">http://www.anpdm.com/newsletterweb/45415B4B7646435F4271454759/4141594370454B5D427140425A4071?noTracking=true</a>	Qualitative; Newsletter	pdf	A newsletter informing about various sustainability projects and news concerning Malmö city.	Swedish	Public
Malmö_02b	Malmö Stad. Hållbar utveckling i Malmö. No.2 2018	<a href="http://www.anpdm.com/newsletterweb/45405F467548455E4377474359/4141594370454B5D427140425A4071">http://www.anpdm.com/newsletterweb/45405F467548455E4377474359/4141594370454B5D427140425A4071</a>	Qualitative; Newsletter	pdf	A newsletter informing about various sustainability projects and news concerning Malmö city.	Swedish	Public
Malmö_02c	Malmö Stad. Hållbar utveckling i Malmö. No.3 2018	<a href="http://www.anpdm.com/newsletterweb/45465047724141504A73464559/4141594370454B5D427140425A4071">http://www.anpdm.com/newsletterweb/45465047724141504A73464559/4141594370454B5D427140425A4071</a>	Qualitative; Newsletter	pdf	A newsletter informing about various sustainability projects and news concerning Malmö city.	Swedish	Public
Malmö_02d	Malmö Stad. Hållbar utveckling i Malmö. No.1 2019	<a href="https://www.anpdm.com/newsletterweb/454A594177444A514270454459/4141594370454B5D427140425A4071?noTracking=true">https://www.anpdm.com/newsletterweb/454A594177444A514270454459/4141594370454B5D427140425A4071?noTracking=true</a>	Qualitative; Newsletter	pdf	A newsletter informing about various sustainability projects and news concerning Malmö city.	Swedish	Public
Malmö_02e	Malmö Stad. Hållbar utveckling i Malmö. No.2 2019	<a href="https://www.anpdm.com/newsletterweb/454A5E43794040514373414559/4141594370454B5D427140425A4071">https://www.anpdm.com/newsletterweb/454A5E43794040514373414559/4141594370454B5D427140425A4071</a>	Qualitative; Newsletter	pdf	A newsletter informing about various sustainability projects and news concerning Malmö city.	Swedish	Public

Malmö_02f	Malmö Stad. Hållbar utveckling I Malmö. No.3 2019	<a href="https://www.anpdm.com/newsletterweb/4642594670424A5F4379464159/4141594370454B5D427140425A4071">https://www.anpdm.com/newsletterweb/4642594670424A5F4379464159/4141594370454B5D427140425A4071</a>	Qualitative; Newsletter	pdf	A newsletter informing about various sustainability projects and news concerning Malmö city.	Swedish	Public
Malmö_02g	Malmö Stad. Hållbar utveckling I Malmö. No.4 2019	<a href="https://www.anpdm.com/newsletterweb/4641584777484B504470414A59/4141594370454B5D427140425A4071?noTracking=true">https://www.anpdm.com/newsletterweb/4641584777484B504470414A59/4141594370454B5D427140425A4071?noTracking=true</a>	Qualitative; Newsletter	pdf	A newsletter informing about various sustainability projects and news concerning Malmö city.	Swedish	Public
Malmö_02h	Malmö Stad. Hållbar utveckling I Malmö. No.5 2019	<a href="https://www.anpdm.com/newsletterweb/46405B417242405F4377414759/43455C4376454B5847754646504B71">https://www.anpdm.com/newsletterweb/46405B417242405F4377414759/43455C4376454B5847754646504B71</a>	Qualitative; Newsletter	pdf	A newsletter informing about various sustainability projects and news concerning Malmö city.	Swedish	Public
Malmö_02i	Malmö Stad. Hållbar utveckling I Malmö. No.6 2019	<a href="https://www.anpdm.com/newsletterweb/4647584A7446455C4571424759/43455C4376454B5847754646504B71">https://www.anpdm.com/newsletterweb/4647584A7446455C4571424759/43455C4376454B5847754646504B71</a>	Qualitative; Newsletter	pdf	A newsletter informing about various sustainability projects and news concerning Malmö city.	Swedish	Public
Malmö_03a	Val til kommunfullmäktige I Malmö_Röster_kommunvalkrets Malmö Östra	<a href="https://data.val.se/val/val2018/slutresultat/K/kvalkrets/12/80/01/index.html">https://data.val.se/val/val2018/slutresultat/K/kvalkrets/12/80/01/index.html</a>	Quantitative; public statistics	pdf	Statistics from local elections in 2018.	Swedish	Public
Malmö_04a	Malmö Befolkningsstatistik	Statistiska centralbyrån (SCB) via case Urbanisland (project partner)	Quantative; spreadsheet	xls	Various public statsitcs for residents and households of Malmo broken down by Delområden (Neighbourhood) level and covering various years between 2001-2017 (with different ranges for different statistics). This includes details on household incomes; migrant numbers; school age children; unemployment levels; housing characteristics and population size by neighbourhood. Note a partial english translation of this has been produced.	Swedish	Public



Malmö_05a	Francisco Francés et al (2016) Toolkit on social participation. World Health Organisation.	<a href="http://www.euro.who.int/en/publications/abstracts/toolkit-on-social-participation.-methods-and-techniques-for-ensuring-the-social-participation-of-roma-populations-and-other-social-groups-in-the-design,-implementation,-monitoring-and-evaluation-of-policies-and-programmes-to-improve-their-health-2016">http://www.euro.who.int/en/publications/abstracts/toolkit-on-social-participation.-methods-and-techniques-for-ensuring-the-social-participation-of-roma-populations-and-other-social-groups-in-the-design,-implementation,-monitoring-and-evaluation-of-policies-and-programmes-to-improve-their-health-2016</a>	Qualitative; report	pdf	Presents various social participation activities into a toolkit format using templates.	English	Public
Malmö_06a	Interview with Malmo actors involved in case study	Stored locally	Qualitative; interview	pdf	Interview with participant from the Malmo case study. English translations used.	Swedish, English	Public
Malmö_06b	Interview with Malmo actors involved in case study	Stored locally	Qualitative; interview	pdf	Interview with participant from the Malmo case study. English translations used.	Swedish, English	Public
Malmö_06c	Interview with Malmo actors involved in case study	Stored locally	Qualitative; interview	pdf	Interview with participant from the Malmo case study. English translations used.	Swedish, English	Public
Malmö_06d	Interview with Malmo actors involved in case study	Stored locally	Qualitative; interview	pdf	Interview with participant from the Malmo case study. English translations used.	Swedish, English	Public
Malmö_06e	Interview with Malmo actors involved in case study	Stored locally	Qualitative; interview	pdf	Interview with participant from the Malmo case study. English translations used.	Swedish, English	Public
Malmö_07a	Modelling relevant text from existing SMARTEES deliverables	SMARTEES project	Qualitative, report extracts	pdf	Agent-based model / case-study relevant text extracted from SMARTEES deliverables.	English	Public
Samsø_01a	How does a pioneer community energy project succeed in practice? The case of the Samsø Renewable Energy Island	<a href="https://www.sciencedirect.com/science/article/pii/S1364032116311789">https://www.sciencedirect.com/science/article/pii/S1364032116311789</a>	Qualitative; scientific article	pdf	The paper describe the concrete external and internal contextual conditions that made the success of the Samsø Renewable Energy Island project possible. As external contextual conditions: guiding visions and plans, governmental technology	English	Public

					support, governmental process support, and expert assistance. Internal contextual conditions include local traditions and history of cooperative projects, sense of locality and responsibility, community spirit, entrepreneurial individuals, networks, as well as guiding visions and plans.		
Samsø_02a	File 20200129_141134	Case researcher (google drive)	Qualitative; newspaper articles, meetings minutes, meetings invitation, etc.	pdf	Scan of the newspaper articles related to local distric heating system	Danish	
Samsø_02b	File 20200129_111119	Case researcher (google drive)	Qualitative; newspaper articles, meetings minutes, meetings invitation, etc.	pdf	Scan of the newspaper articles related to local distric heating system	Danish	
Samsø_02c	File 20200129_133558	Case researcher (google drive)	Qualitative; newspaper articles, meetings minutes, meetings invitation, etc.	pdf	Scan of the newspaper articles related to local distric heating system	Danish	
Samsø_02d	File 20200129_141220	Case researcher (google drive)	Qualitative; newspaper articles, meetings minutes, meetings invitation, etc.	pdf	Scan of the newspaper articles related to local distric heating system	Danish	
Samsø_02e	File 20200129_141158	Case researcher (google drive)	Qualitative; newspaper articles, meetings minutes, meetings invitation, etc.	pdf	Scan of the newspaper articles related to local distric heating system	Danish	
Samsø_02f	File 20200129_141044	Case researcher (google drive)	Qualitative; newspaper articles, meetings minutes, meetings invitation, etc.	pdf	Scan of the newspaper articles related to local distric heating system	Danish	

Samsø_02g	File 20200129_140952	Case researcher (google drive)	Qualitative; newspaper articles, meetings minutes, meetings invitation, etc.	pdf	Scan of the newspaper articles related to local distric heating system	Danish	
Samsø_02h	File 20200129_133435	Case researcher (google drive)	Qualitative; newspaper articles, meetings minutes, meetings invitation, etc.	pdf	Scan of the newspaper articles related to local distric heating system	Danish	
Samsø_2i	File 20200129_133752	Case researcher (google drive)	Qualitative; newspaper articles, meetings minutes, meetings invitation, etc.	pdf	Scan of the newspaper articles related to local distric heating system	Danish	
Samsø_2j	File 20200129_142439	Case researcher (google drive)	Qualitative; newspaper articles, meetings minutes, meetings invitation, etc.	pdf	Scan of the newspaper articles related to local distric heating system	Danish	
Samsø_2k	File 20200129_143003	Case researcher (google drive)	Qualitative; newspaper articles, meetings minutes, meetings invitation, etc.	pdf	Scan of the newspaper articles related to local distric heating system	Danish	
Samsø_2l	File 20200129_141531	Case researcher (google drive)	Qualitative; newspaper articles, meetings minutes, meetings invitation, etc.	pdf	Scan of the newspaper articles related to local distric heating system	Danish	
Samsø_2m	File 20200129_141711	Case researcher (google drive)	Qualitative; newspaper articles, meetings minutes, meetings invitation, etc.	pdf	Scan of the newspaper articles related to local distric heating system	Danish	
Samsø_2n	File 20200129_142325	Case researcher (google drive)	Qualitative; newspaper articles, meetings minutes, meetings invitation, etc.	pdf	Scan of the newspaper articles related to local distric heating system	Danish	

			meetings invitation, etc.				
Samsø_2o	File 20200129_141833	Case researcher (google drive)	Qualitative; newspaper articles, meetings minutes, meetings invitation, etc.	pdf	Scan of the newspaper articles related to local district heating system	Danish	
Samsø_2p	File 20200129_144127	Case researcher (google drive)	Qualitative; newspaper articles, meetings minutes, meetings invitation, etc.	pdf	Scan of the newspaper articles related to local district heating system	Danish	
Samsø_2q	File 20200129_145327	Case researcher (google drive)	Qualitative; newspaper articles, meetings minutes, meetings invitation, etc.	pdf	Scan of the newspaper articles related to local district heating system	Danish	
Samsø_2r	File 20200129_144754	Case researcher (google drive)	Qualitative; newspaper articles, meetings minutes, meetings invitation, etc.	pdf	Scan of the newspaper articles related to local district heating system	Danish	
Samsø_2s	File 20200129_143043	Case researcher (google drive)	Qualitative; newspaper articles, meetings minutes, meetings invitation, etc.	pdf	Scan of the newspaper articles related to local district heating system	Danish	
Samsø_3a	District Heating Plant, Ballen-Brundby	<a href="http://seacourse.dk/wiki/tiki-index.php?page=District+Heating+Plant%2C+Ballen-Brundby&amp;structure=REE">seacourse.dk/wiki/tiki-index.php?page=District+Heating+Plant%2C+Ballen-Brundby&amp;structure=REE</a>	Qualitative and quantitative	html	Description of the case (history, data, relevant facts)	English	Public
Samsø_3b	District Heating Plant, Nordby-Maarup	<a href="http://seacourse.dk/wiki/tiki-index.php?page=District+Heating+Plant%2C+Nordby-Maarup&amp;structure=REE">http://seacourse.dk/wiki/tiki-index.php?page=District+Heating+Plant%2C+Nordby-Maarup&amp;structure=REE</a>	Qualitative and quantitative	html	Description of the case (history, data, relevant facts)	English	Public
Samsø_3c	Appraisal of Renewable Energy Projects with Cases from Samsø	<a href="http://seacourse.dk/wiki/">http://seacourse.dk/wiki/</a>	Qualitative and quantitative	html	Description of the case (history, data, relevant facts)	English	Public

Samsø_4a	Original project grant Samsø	Energy Academy Archive	Qualitative, grant application	html	Grant application	Danish	Public
Samsø_4b	Energy Plan 1997	<a href="http://arkiv.energiinstituttet.dk/177/">http://arkiv.energiinstituttet.dk/177/</a>	Qualitative	pdf	Scan of the original Energy Plan for Samsø (1997)	Danish	Public
Samsø_5a	SMARTEES deliverable 2.2: Catalogue of elements to be considered in modelling for comprehensive and exhaustive reflection of relationships between the relevant agents in the ABM	SMARTEES deliverables	Qualitative, report, literature review, catalogue of elements	pdf	This is a report to support the integration of social science perspectives with agent-based modelling and the comparison of ABM frameworks from the various modelling teams. It describes findings from a collection of partners' inputs and feedback on respective and a primary literature research. Furthermore, it includes a catalogue of elements that social science literature has identified as relevant for social innovations	English	Public
Samsø_5b	SMARTEES deliverable 3.1: Report about profiles of social innovation "in action" for each cluster	SMARTEES deliverables	SMARTEES deliverable, report, qualitative, document analysis and interviews	pdf	An overview of social innovations in action in the five thematic clusters (document analysis and interviews with key informants)	English	Public
Samsø_5c	SMARTEES deliverable 3.4: Report on "Five models of social innovation"	SMARTEES deliverables	SMARTEES deliverable, report, qualitative	pdf	Sketch of the models of social innovation processes in the five thematic clusters and further inputs for the implementation of the quantitative survey (WP4)	English	Public
Samsø_5d	SMARTEES deliverable 6.1 Report on social innovation drivers, barriers, actors and network structures	SMARTEES deliverables	SMARTEES deliverable, report, qualitative, policy recommendations	pdf	Description of analysis of relevant actors and their social networks as well as drivers of and barriers to social innovations in clusters' cases	English	Public
Samsø_5e	SMARTEES deliverable 7.1: Report on the conceptual model of the SMARTEES simulation and data types to be included	SMARTEES deliverables	SMARTEES deliverable, report, qualitative	pdf	Description of the conceptual model of the SMARTEES simulation and data formats to be included	English	Public
Samsø_6a	Interview_coding_Samsø_DM650 057	Stored locally	Interview coding report	docx	Description of interview content by code	English	

Samsø_6b	Interview_coding_Samso_DM650 058	Stored locally	Interview coding report	docx	Description of interview content by code	English	
Samsø_6C	Interview_coding_Samso_DM650 059	Stored locally	Interview coding report	docx	Description of interview content by code	English	
Samsø_6d	Interview_coding_Samso_DM650 060	Stored locally	interview coding report	docx	Description of interview content by code	English	
Samsø_6e	Interview_coding_Samso_DM650 061	Stored locally	Interview coding report	docx	Description of interview content by code	English	
Samsø_6f	Interview_coding_Samso_DM650 062	Stored locally	Interview coding report	docx	Description of interview content by code	English	
Samsø_7a	Interview_coding_Samso_DM650 057	Stored locally	Interview transcription	docx	Description of interview content by code	English	
Samsø_7b	Interview_coding_Samso_DM650 058	Stored locally	Interview transcription	docx	Description of interview content by code	English	
Samsø_7c	Interview_coding_Samso_DM650 059	Stored locally	Interview transcription	docx	Description of interview content by code	English	
Samsø_7d	Interview_coding_Samso_DM650 060	Stored locally	Interview transcription	docx	Description of interview content by code	English	
Samsø_7e	Interview_coding_Samso_DM650 061	Stored locally	Interview transcription	docx	Description of interview content by code	English	
Samsø_7f	Interview_coding_Samso_DM650 062	Stored locally	Interview transcription	docx	Description of interview content by code	English	
Samsø_8a	Interview Samsø 009	Case researcher (Stored locally)	Interview audio	m4a	Interview with key informant, audio	English	
Samsø_9a	Adaptation preparedness scoreboard - Draf country fiche for Denmark	European Commision Directorate General Climate Action Policy briefs	Policy document	pdf	Dragt country fiche for the implementation of the EU's Strategy for Adaptation to Climate Change	English	Public
Samsø_10a	SMARTEES Qualitative Research Phase 2: Samsø	SMARTEES deliverables	Qualitative report	pdf		English	Public
Samsø_11a	ABM description	Stored locally	Qualitative	pdf	Description of what is modelled	English	
Stockholm_01a	K. Dekker (2007) Social Capital, Neighbourhood Attachment and Participation in Distressed Urban Areas. A Case Study in The Hague and Utrecht, the Netherlands, Housing Studies, 22:3, 355-379.	<a href="https://www.tandfonline.com/doi/pdf/10.1080/02673030701254103?needAccess=true">https://www.tandfonline.com/doi/pdf/10.1080/02673030701254103?needAccess=true</a>	Qualitative; scientific article	pdf	According to Putnam's definition of social capital, not only social networks, but also norms and trust give people the tools they need for participation. This paper describes the combined effect of social capital	English	Public

					together with neighbourhood attachment in explaining participation.		
Stockholm_01b	MF Hrast, K Dekker (2009) Old habits die hard? Neighbourhood participation in post-WWII neighbourhoods in Slovenia and the Netherlands. Cities 26 (2006), 148-157.	<a href="https://reader.elsevier.com/reader/sd/pii/S026427510900420?token=504DDA792E83585C543E888EED1E5CF2488FFA31E9FFA6577161287C68DC788CD6C7AE02BC9B5B449321094C14626696">https://reader.elsevier.com/reader/sd/pii/S026427510900420?token=504DDA792E83585C543E888EED1E5CF2488FFA31E9FFA6577161287C68DC788CD6C7AE02BC9B5B449321094C14626696</a>	Qualitative; scientific article	pdf	The differences in social capital and participation in neighbourhood improvement between the residents of post-WWII neighbourhoods in Slovenia and the Netherlands are analysed with multivariate modelling procedures on the neighbourhoods and the local state. The conclusions underline the theoretical assumptions that social capital influences participation.	English	Public
Stockholm_01c	Devereux, E., Haynes, A. & Power, M.J. At the edge: media constructions of a stigmatised Irish housing estate. J Hous and the Built Environ 26, 123–142 (2011). <a href="https://doi.org/10.1007/s10901-011-9210-4">https://doi.org/10.1007/s10901-011-9210-4</a>	<a href="https://link.springer.com/article/10.1007/s10901-011-9210-4">https://link.springer.com/article/10.1007/s10901-011-9210-4</a>	Qualitative; scientific article	pdf	Background on how neighbourhood reputations are constructed in the media and effect those neighbourhoods' opinions of themselves.	English	Public
Stockholm_01d	Ozcan, Erdem et al (2015) Structural neighbourhood conditions, social cohesion and psychological distress in the Netherlands. European Journal of Public Health Vol. 25. No. 6. 995-1001.	<a href="https://academic.oup.com/eurpub/article/25/6/995/2467500">https://academic.oup.com/eurpub/article/25/6/995/2467500</a>	Qualitative; scientific article	pdf	This gives some interesting background on social cohesion related to neighbourhood conditions. It details how social cohesion was measured in a survey.	English	Public
Stockholm_02a	Hållbara Järva. Samlade erfarenheter från Svenska Bostäders renovering i Akalla, Husby och Rinkeby 2010-2014	<a href="https://insynsverige.se/documentHandler.ashx?did=1834195">https://insynsverige.se/documentHandler.ashx?did=1834195</a>	Qualitative; report	pdf	Summary of experiences with renovating houses in the neighbourhoods of Akalla, Husby and Rinkeby.	Swedish	Public
Stockholm_02b	Hållbara Järva. Utvärdering av olika värmeåtervinningsaggregat i ombyggda flerbostadshus - förstudie	Stored locally	Qualitative; report	pdf	Evaluation of different heat recovery units in rebuilt apartment buildings.	Swedish	Public



Stockholm_02c	Invånarna i Hållbara Järva: Miljö och miljövanor hösten 2010	Stored locally	Qualitative; report	pdf	Survey of inhabitants of Järva's environmental behaviour 2010	Swedish	Public
Stockholm_02d	Invånarna i Hållbara Järva: Miljö och miljövanor hösten 2014	Stored locally	Qualitative; report	pdf	Survey of inhabitants of Järva's environmental behaviour 2014	Swedish	Public
Stockholm_02e	Medborgarenkät. Stadsdelsinvånarna om Miljö och miljövanor i Stockholm 2010	<a href="http://miljobarometern.stockholm.se/content/docs/me/2010/Enkat_2010_inkl_tabel.pdf">http://miljobarometern.stockholm.se/content/docs/me/2010/Enkat_2010_inkl_tabel.pdf</a>	Qualitative; report	pdf	Presents findings from a survey amongst Stockholms' residents about their experiences of the environment in the area in which they live, and in the city in general. 5600 received the survey, 57% answered.	Swedish	Public
Stockholm_02f	Hållbara Järva Media 2013-2014	Stored locally	Qualitative; report	pdf	Presents an overview of all media coverage of the Järva project.	Swedish	Public
Stockholm_02g	Sustainable cities Energy_efficiency Renovation and its Economy 2015	Stored locally	Qualitative; report	pdf	WSP has been commissioned by the City of Stockholm to report results, in a comparative way, from the renovation of the four post-war building renovation projects that received support from the National Delegation for Sustainable Cities. The report should clarify the profitability criteria used for energy-efficiency measures in connection with the renovation.	English	Public
Stockholm_02h	Cykelskola uppföljning. 2014	Stored locally	Qualitative; report	pdf	Summary from interviews with 66 participants from the "bike_school" for adults about their experiences.	Swedish	Public
Stockholm_02i	Skolaktivitet i Hållbara Järva.	Stored locally	Qualitative; report	pdf	Report from experiences at 3 schools with various "bike_initiatives"	Swedish	Public
Stockholm_02j	Projektmål för Hållbara Järva.	<a href="https://insynsverige.se/documentHandler.ashx?did=95777">https://insynsverige.se/documentHandler.ashx?did=95777</a>	Qualitative; report	pdf	List of Hållbara Järva's project objectives.	Swedish	Public
Stockholm_02k	Hållbara Järva. Slutrapport till Boverket. 2014	<a href="https://www.boverket.se/contentassets/847d62f86bca4e97b32c51099ffb2523/hallbara-jarva.pdf">https://www.boverket.se/contentassets/847d62f86bca4e97b32c51099ffb2523/hallbara-jarva.pdf</a>	Qualitative; report	pdf	Final report from the Järva project to the state administrative agency.	Swedish	Public
Stockholm_02l	Slutrapport för Hållbara Järva projektet, 2010_2014	<a href="https://insynsverige.se/documentHandler.ashx?did=1834194">https://insynsverige.se/documentHandler.ashx?did=1834194</a>	Qualitative; report	pdf	Final report from the Järva project, from the plan and environment agency in Stockholm City.	Swedish	Public

Stockholm_02m	Francisco Francés et al (2016) Toolkit on social participation. World Health Organisation.	<a href="http://www.euro.who.int/en/publications/abstracts/toolkit-on-social-participation.-methods-and-techniques-for-ensuring-the-social-participation-of-roma-populations-and-other-social-groups-in-the-design,-implementation,-monitoring-and-evaluation-of-policies-and-programmes-to-improve-their-health-2016">http://www.euro.who.int/en/publications/abstracts/toolkit-on-social-participation.-methods-and-techniques-for-ensuring-the-social-participation-of-roma-populations-and-other-social-groups-in-the-design,-implementation,-monitoring-and-evaluation-of-policies-and-programmes-to-improve-their-health-2016</a>	Qualitative; report	pdf	Presents various social participation activities into a toolkit format using templates.	English	Public
Stockholm_03a	Nyhetsbrev. Hållbara Järva. No.8 2014	Stored locally	Qualitative; Newsletter	pdf	Local news from the Järva area	Swedish	Public
Stockholm_03b	Nyhetsbrev. Hållbara Järva. No.9 2014	Stored locally	Qualitative; Newsletter	pdf	Local news from the Järva area	Swedish	Public
Stockholm_03c	Nyhetsbrev. Hållbara Järva. No.10 2014	Stored locally	Qualitative; Newsletter	pdf	Local news from the Järva area	Swedish	Public
Stockholm_04a	Interview with Stockholm actor involved in case study	Stored locally	Qualitative; interview	pdf	Interview with participant from the Stockholm case study. English translations used.	Swedish, English	Public
Stockholm_04b	Interview with Stockholm actor involved in case study	Stored locally	Qualitative; interview	pdf	Interview with participant from the Stockholm case study. English translations used.	Swedish, English	Public
Stockholm_04c	Interview with Stockholm actor involved in case study	Stored locally	Qualitative; interview	pdf	Interview with participant from the Stockholm case study. English translations used.	Swedish, English	Public
Stockholm_04d	Interview with Stockholm actor involved in case study	Stored locally	Qualitative; interview	pdf	Interview with participant from the Stockholm case study. English translations used.	Swedish, English	Public
Stockholm_05a	Stockholm-Järva residents statistics	<a href="https://start.stockholm/om-stockholms-stad/utredningar-statistik-och-fakta/statistik/omradesfakta/">https://start.stockholm/om-stockholms-stad/utredningar-statistik-och-fakta/statistik/omradesfakta/</a>	Quantative; reports	html	Various public statistics for residents and households in Jarva broken down by Delområden (Neighbourhood) level and covering various years between 2017-2019 (with different ranges for different statistics).	Swedish	Public

Stockholm_05b	Residents statistics, Tensta stadsdel	Stored locally	Quantative; reports	pdf	Public statsitcs for residents and households in Tensta and covering various years between 2017-2019 (with different ranges for different statistics).	Swedish	Public
Stockholm_05c	Residents statistics, Rinkeby stadsdel	Stored locally	Quantative; reports	pdf	Public statsitcs for residents and households in Rinkeby and covering various years between 2017-2019 (with different ranges for different statistics).	Swedish	Public
Stockholm_05d	Residents statistics, Kista stadsdel	Stored locally	Quantative; reports	pdf	Public statsitcs for residents and households in Kista and covering various years between 2017-2019 (with different ranges for different statistics).	Swedish	Public
Stockholm_05e	Residents statistics, Husby stadsdel	Stored locally	Quantative; reports	pdf	Public statsitcs for residents and households in Husby and covering various years between 2017-2019 (with different ranges for different statistics).	Swedish	Public
Stockholm_05f	Residents statistics, Akalla stadsdel	Stored locally	Quantative; reports	pdf	Public statsitcs for residents and households in Akalla and covering various years between 2017-2019 (with different ranges for different statistics).	Swedish	Public
Stockholm_05g	Val til kommunfullmäktige i Stockholm_Röster_kommunvalkrets 6 Yttre Västerort	<a href="https://data.val.se/val/val2018/slutresultat/K/kvalkrets/01/80/06/index.html">https://data.val.se/val/val2018/slutresultat/K/kvalkrets/01/80/06/index.html</a>	Quantitative; public statistics	pdf	Statistics from local elections in 2018.	Swedish	Public
Stockholm_06a	Survey data from Svenska Bostäder	Stored locally	Quantitative survey data	xls	Data on neighbourhood level on survey about inhabitants view of SB, their neighbourhood, buildings and services.	Swedish	Non-public
Stockholm_07a	Map of Sockholm neighbourhoods GIS shape-file	Municipality GIS department via case researcher	Quantative, map	zip	Contains location and boundaries of all neighbourhoods in Stockholm (132) mapped to their names.	Swedish	Public
Stockholm_08a	Modelling relevant text from existing SMARTEES deliverables	SMARTEES project	Qualitative, report extracts	pdf	Agent-based model / case-study relevant text extracted from SMARTEES deliverables.	English	Public

Timisoara_01a	Actor description Timisoara	Stored locally	Qualitative; interview	xls, doc	Systematic interviews with the three key local actors	English	Public
Timisoara_01b	Energy Timisoara's drivers and barriers	Stored locally	Qualitative; interview	doc	Interviews with the three key local actors	English	Public
Timisoara_01c	Timisoara Mapping Actors and Relations	SMARTEES deliverables	SMARTEES deliverable, report, qualitative, document analysis and interviews	ppt, doc	Interviews with the three key local actors	English	Public
Timisoara_02a	Timisoara case study (In-depth interviews)	Stored locally	Qualitative; interview; secondary data	doc	individual in-depth interviews of key-informants based on an interview protocol	English	Public
Timisoara_03a	Energy consumption survey Timisoara	<a href="https://docs.google.com/spreadsheets/d/1R2hLEIAUNiNK_Pm0lAt9tvdfPzuqziEKTg6H_cOxq8/edit#gid=1939143564">https://docs.google.com/spreadsheets/d/1R2hLEIAUNiNK_Pm0lAt9tvdfPzuqziEKTg6H_cOxq8/edit#gid=1939143564</a>	Quantitative survey data	csv	Data gathered for the survey conducted in Timisoara for SMARTEES on energy consumption habits and on how people take decisions in energy consumption domain	Romanian	Public
Vitoria-Gasteiz_01a	Superblock Médico Tornay mobility study	<a href="https://udcgal.sharepoint.com/:b:/r/sites/SMARTEES-UDC/Documentos%20comp artidos/Estudios_caso_UDC/ENCUESTAS_VITORIA/CIVITAS%20MODERN%20superblocks%20survey%202012.pdf?c sf=1&amp;web=1&amp;e=QZTo5G">https://udcgal.sharepoint.com/:b:/r/sites/SMARTEES-UDC/Documentos%20comp artidos/Estudios_caso_UDC/ENCUESTAS_VITORIA/CIVITAS%20MODERN%20superblocks%20survey%202012.pdf?c sf=1&amp;web=1&amp;e=QZTo5G</a>	Qualitative; scientific article	pdf	Evaluation that was made of Médico Tornay before the works and where it is seen that there is a question of acceptance (assessment of the measure) at the end regarding the modern civitas <a href="https://civitas.eu/content/modern">https://civitas.eu/content/modern</a> that studied the superblock of Sancho el Sabio.	English	Public
Vitoria-Gasteiz_02a	CIVITAS case study	<a href="https://civitas.eu/content/civitas-case-study-streets-designed-sustainable-mobility-Vitoria-gasteiz">https://civitas.eu/content/civitas-case-study-streets-designed-sustainable-mobility-Vitoria-gasteiz</a>	Qualitative; scientific article	pdf	Streets designed for sustainable mobility of Vitoria- Gasteiz.	English	Public
Vitoria-Gasteiz_03a	Acceptance survey of the superblock Sancho El Sabio	<a href="https://civitas.eu/content/modernannex-4-vitoria-merts">https://civitas.eu/content/modernannex-4-vitoria-merts</a>	Qualitative; scientific article	pdf	Acceptance survey of the superblock Sancho El Sabio	English	Public
Vitoria-Gasteiz_04a	Superblock population data	.	Quantitative	xls	Superblock population data (Excell Document)	Spanish	Non-public
Vitoria-Gasteiz_05a	Analysis of mobility Médico Tornay	<a href="https://udcgal.sharepoint.com/:b:/r/sites/SMARTEES-UDC/Documentos%20comp artidos/Estudios_caso_UDC/">https://udcgal.sharepoint.com/:b:/r/sites/SMARTEES-UDC/Documentos%20comp artidos/Estudios_caso_UDC/</a>	Qualitative; scientific article	pdf	Analysis of mobility prior to the implementation of the superblocks of doctor Tornay	Spanish	Public

		ENCUESTAS_VITORIA/informe%20GEO%20Vitoria%202009.pdf?csf=1&web=1&e=Lb7hZI					
Vitoria-Gasteiz_06a	The cycling success story of Vitoria-Gasteiz	<a href="https://udcgal.sharepoint.com/:b:/r/sites/SMARTEES-UDC/Documentos%20comp/artidos/Estudios_caso_UDC/Supermanzana%20Vitoria-Gasteiz/Vitoria-Gasteiz%20mobility%20survey%202014.pdf?csf=1&amp;web=1&amp;e=CPhbUI">https://udcgal.sharepoint.com/:b:/r/sites/SMARTEES-UDC/Documentos%20comp/artidos/Estudios_caso_UDC/Supermanzana%20Vitoria-Gasteiz/Vitoria-Gasteiz%20mobility%20survey%202014.pdf?csf=1&amp;web=1&amp;e=CPhbUI</a>	Qualitative; scientific article	pdf	The cycling success story of Vitoria-Gasteiz Doubling the cycling share in only three years to the Spanish record level of 12.3% (Pdf Document)	English	Public
Vitoria-Gasteiz_07	The Basque Country's energy transition	<a href="https://udcgal.sharepoint.com/:b:/r/sites/SMARTEES-UDC/Documentos%20comp/artidos/Estudios_caso_UDC/Supermanzana%20Vitoria-Gasteiz/2018_HOJA_RUTA_TRANSIC_ENERGETICA_PV.pdf?csf=1&amp;web=1&amp;e=Tc8gqR">https://udcgal.sharepoint.com/:b:/r/sites/SMARTEES-UDC/Documentos%20comp/artidos/Estudios_caso_UDC/Supermanzana%20Vitoria-Gasteiz/2018_HOJA_RUTA_TRANSIC_ENERGETICA_PV.pdf?csf=1&amp;web=1&amp;e=Tc8gqR</a>	Qualitative; scientific article	pdf	The Basque Country's energy transition towards a sustainable model	English	Public
Vitoria-Gasteiz_08a	Mobility study of the Basque autonomous community 2016	<a href="https://udcgal.sharepoint.com/:b:/r/sites/SMARTEES-UDC/Documentos%20comp/artidos/Estudios_caso_UDC/Supermanzana%20Vitoria-Gasteiz/Estudio_Movilidad_PaisVasco2016.pdf?csf=1&amp;web=1&amp;e=ewyDzt">https://udcgal.sharepoint.com/:b:/r/sites/SMARTEES-UDC/Documentos%20comp/artidos/Estudios_caso_UDC/Supermanzana%20Vitoria-Gasteiz/Estudio_Movilidad_PaisVasco2016.pdf?csf=1&amp;web=1&amp;e=ewyDzt</a>	Qualitative; scientific article	pdf	Mobility study of the Basque autonomous community 2016	Spanish	Public
Vitoria-Gasteiz_09a	Sustainable mobility in Vitoria-Gasteiz	<a href="https://udcgal.sharepoint.com/:b:/r/sites/SMARTEES-UDC/Documentos%20comp/artidos/Estudios_caso_UDC/Supermanzana%20Vitoria-Gasteiz/INNOBASQUE%20SUMP%20Vitoria-Gasteiz%20(es).pdf?csf=1&amp;web=1&amp;e=T2oW1h">https://udcgal.sharepoint.com/:b:/r/sites/SMARTEES-UDC/Documentos%20comp/artidos/Estudios_caso_UDC/Supermanzana%20Vitoria-Gasteiz/INNOBASQUE%20SUMP%20Vitoria-Gasteiz%20(es).pdf?csf=1&amp;web=1&amp;e=T2oW1h</a>	Qualitative; scientific article	pdf	Sustainable mobility in Vitoria-Gasteiz: innovation from a comprehensive and participatory mobility model (Pdf Document)	Spanish	Public

Vitoria-Gasteiz_10a	Diagnosis and proposals for the elaboration of the Vitoria-gasteiz roadmap, municipal energy transition strategy 2020-2030	.	Qualitative; scientific article	pdf	Diagnosis and proposals for the elaboration of the Vitoria-gasteiz roadmap, municipal energy transition strategy 2020-2030	Spanish	Public
Vitoria-Gasteiz_11a	Pages from D2.2_catalogue of elements-2	Stored locally	Qualitative	pdf	Extracted from Deliverable D2.2 - Catalogue of elements to be considered in modelling	English	Public
Vitoria-Gasteiz_12a	Pages from SMARTEES-D3.1_SI_in_Action_R1	Stored locally	Qualitative	pdf	Extracted from Deliverable 3.1 (Report) Report about profiles of social innovation "in action" for each cluster	English	Public
Vitoria-Gasteiz_13a	SMARTEES-D6.1_Barriers_Drivers_Networks_R1	Stored locally	Qualitative	pdf	Extracted from Deliverable 6.1 (Report) D6.1 Report on social innovation drivers, barriers, actors and network structures November 2019	English	Public
Zürich_01	Population's transport behaviour 2015	<a href="https://www.bfs.admin.ch/bfs/en/home/news/whats-new.assetdetail.1840613.html">https://www.bfs.admin.ch/bfs/en/home/news/whats-new.assetdetail.1840613.html</a>	Quantitative	pdf	It deals with phenomena such as: Share of households with one or more vehicles in the respective category; Mobile persons over the course of the day; Average daily distance and travel time per person in Km and in minutes per day; Average daily distance per person by weekday, gender, age and household income; Shares in daily travel time by foot, bike, motorcycle, private car, public transport, railway and daily distance; Occupancy of passenger cars; Trip purposes by weekday; Mobile persons over the course of the day by trip purpose; Share of households with car(s); Share of persons (as of 16 years) with public transport season	English, German, French, Italian	Public

Zürich_02	Population survey of the Departement of City Development	<a href="https://www.stadt-zuerich.ch/prd/de/index/stadtentwicklung/gesellschaft-und-raum/entwicklung-wohnstadt-2/bevoelkerungsbefragung.htm">https://www.stadt-zuerich.ch/prd/de/index/stadtentwicklung/gesellschaft-und-raum/entwicklung-wohnstadt-2/bevoelkerungsbefragung.htm</a>	Quantitative	html	Documents related to the survey implemented in 2015. Same survey was implemented in 2019 but are not available presently. The questions focus on general life in Zurich, but contain a part about citizens' mobility; e.g. transport by public transport, car and bikes; Satisfaction with the traffic situation; Assessment of specific aspects of different modes of transport..... Demographic aspects are also taken into account (e.g. Perception and assessment of the structural density of the residential areas)	German	Public
Zürich_03	Mobilität in Schweizer Städten („Mobility in Swiss Cities“)	not available	Quantitative		Opinion survey about political attitude regarding traffic / transportation policies	German	Non-public
Zürich_04	Parkplatzverordnung (PPV)	<a href="https://www.stadt-zuerich.ch/ted/de/index/stadtverkehr2025/programm_sadtverkehr_2025.html">https://www.stadt-zuerich.ch/ted/de/index/stadtverkehr2025/programm_sadtverkehr_2025.html</a>	Map	html	Parking Regulation with mapped disaggregated data for the whole municipality	German	Public
Zürich_05	Results of the Referendum on "less parking spaces on private ground and the possibility to build houses without any parking space"	<a href="https://www.stadt-zuerich.ch/portal/de/index/politik_u_recht/abstimmung_en_u_wahlen/vergangene_termin/101128/resultate.html?path=sg_resultate_vorlage1003&amp;context=standalone">https://www.stadt-zuerich.ch/portal/de/index/politik_u_recht/abstimmung_en_u_wahlen/vergangene_termin/101128/resultate.html?path=sg_resultate_vorlage1003&amp;context=standalone</a>	Quantitative	html		German	Public
Zürich_06	Results of the Referendum held on "Higher prices for public on-street parking"	<a href="https://www.stadt-zuerich.ch/portal/de/index/politik_u_recht/abstimmung_en_u_wahlen/vergangene_termin/160925/resultate.html?path=sg_resultate_vorlage1002&amp;context=standalone">https://www.stadt-zuerich.ch/portal/de/index/politik_u_recht/abstimmung_en_u_wahlen/vergangene_termin/160925/resultate.html?path=sg_resultate_vorlage1002&amp;context=standalone</a>	Quantitative	html		German	Public

Zürich_07	Results of the Referendum on "Redesign Schmiede Wiedikon"	<a href="https://www.stadt-zuerich.ch/portal/de/index/politik_u_recht/abstimmungen_u_wahlen/vergangene_terminen/100613/resultate.html?path=sg_resultate_vorlage1004&amp;context=standalone">https://www.stadt-zuerich.ch/portal/de/index/politik_u_recht/abstimmungen_u_wahlen/vergangene_terminen/100613/resultate.html?path=sg_resultate_vorlage1004&amp;context=standalone</a>	Quantitative	html		German	Public
Zürich_08	Statistisches Jahrbuch der Stadt Zürich	<a href="https://www.stadt-zuerich.ch/ted/de/index/stadtverkehr2025/programm_stadtverkehr_2025.html">https://www.stadt-zuerich.ch/ted/de/index/stadtverkehr2025/programm_stadtverkehr_2025.html</a>	Quantitative	html	The Statistical Yearbook provides a precise profile of Zurich's city life (including demographic and social data and many other related to environment, energy, transport, traffic, road accidents, health, education, security, etc.). It includes, f.i. territorial data (each of the 12 districts) on Number of parking spaces per hectare; Stock of light motor vehicles ▶ according to age group and origin of the holder and vehicle; etc.) feature	German	Public
Zürich_09	Steuerliche Auswirkungen der räumlichen Mobilität	<a href="https://www.stadt-zuerich.ch/ted/de/index/stadtverkehr2025/programm_stadtverkehr_2025.html">https://www.stadt-zuerich.ch/ted/de/index/stadtverkehr2025/programm_stadtverkehr_2025.html</a>	Quantitative	html	The study provides a systematic overview of the persons moved in and out for the years 2002/2003.	German	Public
Zürich_10	Results on all the other referenda (many on mobility issues)	<a href="https://www.stadt-zuerich.ch/ted/de/index/stadtverkehr2025/programm_stadtverkehr_2025.html">https://www.stadt-zuerich.ch/ted/de/index/stadtverkehr2025/programm_stadtverkehr_2025.html</a>	Quantitative	html		German	Public
Zürich_11	Wer bestimmt in Zürich?	<a href="https://www.stadt-zuerich.ch/ted/de/index/stadtverkehr2025/programm_stadtverkehr_2025.html">https://www.stadt-zuerich.ch/ted/de/index/stadtverkehr2025/programm_stadtverkehr_2025.html</a>	Quantitative	html	Socio-demographic profile of the electors in the municipal and city council elections 2010	German	Public
Zürich_12	Mercer worldwide Quality of Living Survey		Quantitative		Ranks 231 cities from Vienna to Baghdad on quality of life (high position of Zurich)	German	Public
Zürich_13	Zürich's transport planning for quality of living	<a href="http://www.stadt-zuerich.ch/mobilitaetskultur">www.stadt-zuerich.ch/mobilitaetskultur</a>	Scientific document	pdf	Five different types of measures: a) dynamic traffic management; b) restricting private traffic; c)	English	Public



					improvement of suburban public transport; d) strengthening pedestrian and bike mobility; and e) marketing, culture and behaviours		
Zürich_14	Lessons from Zurich's Parking Revolution	<a href="https://www.citylab.com/transportation/2012/08/lessons-zurichs-parking-revolution/2874/">https://www.citylab.com/transportation/2012/08/lessons-zurichs-parking-revolution/2874/</a>	Qualitative	html	By implementing stricter parking maximums over time, Switzerland's largest city recaptured its public spaces for its people	English	Public

## APPENDIX 5 – GUIDELINES FOR THE CASE DOCUMENT STUDY

For investigating on how social innovation works in the SMARTEES five clusters, a qualitative research strategy has been implemented.

This qualitative research entailed two steps.

### First step: document analysis

As a first step, a document analysis was implemented in all ten SMARTEES cases. Documents have been partially provided by the key actors in the ten cases and partially found on the Internet. There are many kinds of documents, such as:

- General and specific (e.g., on specific aspects) case presentation sheets
- Application reports/documents (for getting EU or other public funds)
- Planning and strategic documents
- On-going activities reports
- Evaluation reports
- Legislative and regulatory texts
- Documents/sheets on technical specificities of a case
- Up-scaling documents/reports (i.e., studies done by external actors to understand specific features of a case and facilitate its replicability) and benchmark studies
- Texts containing stories by the protagonists of the cases about their own experience
- Articles from newspapers and social media
- Eurobarometer data/National statistics documents
- PPT presentations at conferences, seminars, etc.
- Minutes of SMARTEES visits to the cases (e.g., from the follower cities/islands)
- Essays written on specific characteristics of a case<sup>4</sup>
- University dissertations prepared on a case.<sup>5</sup>

### Second step: key-informants interviews

As a second step, interviews to key-informants, in each case, were implemented, according to an interview protocol<sup>6</sup> prepared by UdC and K&I and agreed with the other SMARTEES research partners (JH, NTNU, RUG, UoT), being JH K&I, NTNU, RUG, UdC and UoT responsible of the research activities in the 10 SMARTEES cases, according to the table that follows.

**Table 1: Overview of the SMARTEES social innovation clusters, main and supporting reference cases object of study and 'case research partner' responsible for case study.**

<sup>4</sup> E.g. How does a pioneer community energy project succeed in practice? The case of the Samsø Renewable Energy Island; Intra-Party Democracy in Groningen Early in the 1970s – decision making process within the labour party concerning the traffic circulation plan; Movilidad sostenible en Vitoria-Gasteiz: innovación desde un modelo de movilidad integral y participativo.

<sup>5</sup> E.g. PhD dissertation on "Storing the Renewable Energy Island Samsø".

<sup>6</sup> Lema-Blanco I., Dumitru A. and Garcia-Mira R. "SMARTEES INTERVIEW PROTOCOL" elaborated in January 2019.

Cluster	Case study	'case research partner'
<b>Holistic, shared and persistent mobility plan</b>	<i>Main Reference Case:</i> Zürich	Knowledge & Innovation
	<i>Supporting Reference Case:</i> Groningen	University of Groningen
<b>Island renaissance based on renewable energy production</b>	<i>Main Reference Case:</i> Samsø	Norwegian University of Science and Technology
	<i>Supporting Reference Case:</i> El Hierro	University of A Coruña
<b>Alliance for a district regeneration based on energy transition</b>	<i>Main Reference Case:</i> Malmö	Norwegian University of Science and Technology
	<i>Supporting Reference Case:</i> Stockholm	Norwegian University of Science and Technology
<b>Urban mobility with superblocks</b>	<i>Main Reference Case:</i> Vitoria-Gasteiz	University of A Coruña
	<i>Supporting Reference Case:</i> Barcelona	University of A Coruña
<b>Coordinated, tailored and inclusive energy efficiency schemes for fighting fuel poverty</b>	<i>Main Reference Case:</i> Aberdeen	The James Hutton Institute
	<i>Supporting Reference Case:</i> Timisoara	West University Timisoara

Key-informants belonged to the following categories:

- Promoters and pioneers**, specific persons that participated in the beginning of the social innovation, starting out the project, and/or that have deep knowledge about the conditions, actors and development phases of the project. These key informants can be policy-makers, public servants, or business representatives involved in the energy initiative at a high level of decision making (e.g. superblocks are local initiatives launched by City Council and key informants can be municipal technicians involved in setting up the pilot initiatives as well as representatives of the transport sector, planning sector, etc.). As the different energy innovations can affect differently the various actors involved, a “representation” of each of them was aimed for.
- Third parties groups** (including business-private sector, local authorities' officials, civil society representatives, and other stakeholders) and other actors involved in each case, i.e. people, groups and institutions who know well the process, although they have not had responsibilities in carrying out the initiative.
- Key supporters**, stakeholders, social actors and public authorities which developed a significant role at any moment of the process and who are able to provide rich insights on the difficulties and opportunities that the SI experience offers for future developments.
- Recipients/beneficiaries** of the initiative. Key informants could be spokespersons of social platforms, representatives of neighbourhood/citizens associations, the commercial and business sector, which could provide different points of view and a critical vision of the process and the outcomes of the SI experience. Collecting external voices and different perspectives could contribute to identify critical points, best practices and proposals for improving and gaining effectiveness in future developments of the energy innovation.
- Experts in social innovation**; authoritative voices which provide a well-informed perspective of the process and the outcomes of the case, due to their deep knowledge (e.g., they have conducted studies on the case study). Such external visions might be people belonging to the

academy, professional associations or NGOs which might give external/non-partisan perspective about the positive and negative aspects of the energy innovation.

Below, the number of key-informants interviewed by case and category is given:

**Table 2: Key-informants interviewed per cluster, case study and category.**

Cluster	Case study	Total	a)	b)	c)	d)	e)
Holistic, shared and persistent mobility plan	Zürich	9	3	1	2	2	1
	Groningen	6	2	1	1	1	1
Island renaissance based on renewable energy production	Samsø	7+12	4	3		(12) <sup>7</sup>	
	El Hierro	8	3	0	1	3	1
Alliance for a district regeneration based on energy transition	Malmö	7	2	1	2	1	1
	Stockholm	7	4	2	0	0	1
Urban mobility with superblocks	Vitoria-Gasteiz	12	4	2	2	4	0
	Barcelona	11	2	3	2	3	1
Coordinated, tailored and inclusive energy efficiency schemes for fighting fuel poverty	Aberdeen	14	3	2	4	2	3
	Timisoara	7	2	1	1	1	2
<b>TOTAL</b>		<b>88+12</b>	<b>29</b>	<b>16</b>	<b>15</b>	<b>17</b>	<b>11</b>

Key informants were identified on the basis:

- (i) Firstly, of the case-studies contact persons that the research partners had prior to the beginning of the SMARTEES project as well as during previous conversations about the case in the frame of the Task 3.1 (Case-studies main actors involvement) implemented in the first three months of SMARTEES implementation
- (ii) Secondly, of references found in the document analysis
- (iii) Thirdly, of the use of a “snowballing” technique, which foresees asking interviewees/key informants about other persons who could have a deep knowledge or experience concerning the research questions about the concerned case and would be interested to talk about their experiences with the research team.

Being conducted according to an interview protocol and not to a questionnaire, these interviews should be considered as semi-structured and have been implemented, as far as possible, face-to-face, but also “at distance” through telephone/skype.<sup>8</sup>

<sup>7</sup> 12 members of the Steering committee of the Samsø Energy Academy (grouping representatives of all the categories).

<sup>8</sup> Following the informed consent procedures settled in the SMARTEES project, respondents have been informed prior to being interviewed and are asked for their consent. Their participation in qualitative interviews was entirely voluntary and they have been informed both written and verbally of their option for withdrawal from research activities at any time. Participants have been also informed that they can retract their consent until the data is anonymized without any disadvantages and without having to give a reason as well as about the persons in charge of the research (in each institution) and the person to be contacted (full name, telephone, address and e-mail) in case they need to report any issue, request or suggestion to a responsible person. Each research

The interview protocol was articulated in five blocks, as follows:

1. Case study profiles: general questions oriented to obtain in-depth knowledge about the case, to integrate the information already available from the document analysis (this set of questions being complementary to the document analysis)
2. Motivations for participation in social innovation
3. Factors and dynamics influencing social acceptability of energy innovations
4. How social innovations have enhanced collective empowerment
5. How social innovations have facilitated pro-environmental behaviour adoption.

According to the DoA, as well as the interviews protocol, the qualitative interviews are supposed to contribute not only to WP3 but also to WP4.

In the frame of WP3, “only” information coming from the first three blocks of the interviews mentioned above was exploited. More specifically information on the following issues:

- Case study profiles
  - Transformative ambition of the (Local) Social Innovation
  - Pioneers and main actors
  - Development of the Social Innovation process in the case
  - Critical dimensions of the social innovation process in the case
    - New ways of behaving/doing
    - New ways of organizing
    - New knowledge
    - New relations
    - Impact
    - Up-scaling/Replicability
- Motivations for participation
  - Strategies for gaining social support
  - How have conflicts and resistance been overcome
- Factors and dynamics influencing social acceptability for energy innovations
  - Motivations for people to engage in the (particular) social innovation
  - Motivations for people to maintain their commitment.

#### **Presentation sheet for each case**

On the basis of the information included in all the analysed documents, a presentation sheet for each case was prepared according to the following scheme:

- Background (context, antecedents, etc.)
- Implemented actions

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partner has saved and stored the interviews’ records at a safe place and, as far as possible, interviews have been anonymised. If it is not possible to anonymize the data (e.g., because the respondent has an easily identifiable position in the local community), the data have not been published in this deliverable without explicit written consent of the respondent.

- Stakeholders analysis (e.g., involved actors, existing partnerships, leadership, negotiation processes carried out, strategies to gain social support, communication channels)
- Milestones
- Effects (e.g., quality of life benefits, environmental benefits, new behaviours, new governance strategies, new knowledge, technology innovation)
- Critical issues
- Up-scaling (replicability).

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## APPENDIX 6 – GUIDELINES FOR THE POLICY DOCUMENT STUDY

In order to start an informed discussion on the best forms to approach to public policy analysis and developing a common criteria list for defining local policy scenarios, the following table is proposed to be fulfilled by the SMARTEES partners. The table attempts to obtain an overview of the energy relevant policies –in special climate change adaptation strategies- developed (or to be developed) at the local, regional and national context in which the SMARTEES case studies are embedded. The definition of the categories or analysis are based on the **EU's energy strategy and EC's policy priorities towards transition to a net-zero greenhouse gas emissions economy** as well as the **2030 Agenda for Sustainable Development** (United Nations, 2015) that could also guide local energy poverty strategies, health and wellbeing policies and green urban strategies.

Based on your knowledge and documentation available, please, fulfil the following table with the information regarding the case studies you are responsible for or you are involved in (reference and follower cases):

Name of the case study:				
Climate change adaptation strategies approved/implemented	National/Regional strategies and sectorial plans of interest for the definition of policy scenarios	Local strategies and sectorial plans of interest for the definition of policy scenarios in each local case study	Strategies and plans related to the Sustainable Development Goals	Strategic actors to be involved in the definition of policy scenarios in the case study
Which of the national strategies/plans at national level seem to be relevant to the definition of the SMARTEES policy scenarios?	<p>Is there any strategy/plan to maximise the benefits from Energy Efficiency (including zero emission buildings)?</p> <p>Is there any strategy/plan to maximise the deployment of renewables and the use of electricity to fully decarbonise energy supply?</p> <p>Is there any strategy/plan to promote clean, safe and connected mobility?</p> <p>Is there any strategy/plan to promote better spatial planning (<i>including green spaces that can be drivers to renovate houses, improve living conditions, reducing travel time and associated stress</i>)?</p>	<p>Is there any strategy/plan to maximise the benefits from Energy Efficiency (including zero emission buildings)?</p> <p>Is there any strategy/plan to maximise the deployment of renewables and the use of electricity to decarbonise energy supply?</p> <p>Is there any strategy/plan to promote clean, safe and connected mobility?</p> <p>Is there any strategy/plan to promote better spatial planning (including green spaces that can be drivers to renovate neighbourhoods, improving living conditions, attract people to live close to work, reducing travel time to work and associated stress)?</p>	<p>Is there any strategy/plan to tackle SD goals?, in specific, but not only:</p> <ul style="list-style-type: none"> <li>• End poverty in all its forms</li> <li>• Ensure healthy lives and promote well-being</li> <li>• Achieve gender equality and empower all women and girls</li> <li>• Ensure access to affordable, reliable, sustainable</li> </ul>	<p>List those strategic actors that might be involved in the definition of policy scenarios (in each local case-study) (<i>e.g. Renewable Energy Foundation that lobby for a legal change in energy system in Spain</i>)</p>

	<p>Is there any strategy/plan to enhance citizen's engagement in climate action and/or green lifestyles? (<i>Regulatory measures, corporate responsibility initiative, emerging societal trends</i>)</p> <p>Is there any strategy/plan to enhance/facilitate local ownership of low-impact energy investments? e.g. for creating local energy companies (<i>regulatory measures, financial incentives, etc.</i>)</p> <p>Is there any strategy/plan to enhance/facilitate consumers' social innovation initiatives in energy domain? e.g. for creating renewable energy citizen's cooperatives, for ownership of self-production energy infrastructures (<i>regulatory measures, financial incentives, etc.</i>)</p> <p>- Other national/regional strategies towards energy transitions</p>	<p>Is there any strategy/plan to enhance citizen's engagement in climate action and/or green lifestyles? (<i>Regulatory measures, corporate responsibility initiative, emerging societal trends</i>)</p> <p>Is there any strategy/plan to enhance/facilitate local ownership of low-impact energy investments? e.g. for creating local energy companies (<i>regulatory measures, financial incentives, etc.</i>)</p> <p>Is there any strategy/plan to enhance/facilitate consumers' social innovation initiatives in energy domain? e.g. for creating renewable energy citizen's cooperatives, for ownership of self-production energy infrastructures (<i>regulatory measures, financial incentives, etc.</i>)</p> <p>-Other local energy transition initiatives (e.g. <i>related to sustainable consumption, health education, environmental education programs, etc</i>)</p>	<p>and modern energy for all</p> <ul style="list-style-type: none"> <li>• Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all</li> <li>• Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation</li> <li>• Make cities and human settlements inclusive, safe, resilient and sustainable</li> <li>• Ensure sustainable consumption and production patterns</li> <li>• Take urgent action to combat climate change and its impacts</li> </ul>	
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## APPENDIX 7 – GUIDELINES FOR THE INTERVIEWS WITH CASE REPRESENTATIVES

### DETAILS ON THE PROCEDURES AND CRITERIA TO THE RECRUITMENT OF RESEARCH PARTICIPANTS

Respondents will be selected following specific criteria for those profiles of interest that will provide rich information about the case study. A number of 7 to 10 interviews should be conducted per each main and supporting reference case. We would like to include (a) “social innovators”, pioneers, front-runners and persons who actively engaged in the development of each social innovation (e.g. political and technical responsible from city council, social groups starting up the project, etc) (b) further social groups of citizens or stakeholders that supported the social innovation (c) beneficiaries and recipients of the social innovation, including critical voices regarding the SI, and d) other type of informants that might provide a critical, external and well informed opinion about the social innovation.

#### **A) Profiles of interest: description of key-informant's profiles**

Key-informants will be selected by each SMARTEES research partner, consulting also the person/s of contact of each case-study, in order to create a list of participants that provide well-informed knowledge of the energy innovation under study, including the following aspects: antecedents, motivations, actors involved, critical points in the development of the project, opportunities, threatens and risks, activities conducted, outcomes, assessment of past activities and knowledge on the next steps and future energy-saving strategies to be further developed in the following years and that can be of interest of the SMARTEES project. Of course, informants can be representative of more than one of the following groups. The following is an open list of categories of key-informants, which can be modified if you consider that a new category might be relevant for the case study.

- a. **Promoters and pioneers:** specific persons that participate in the beginning of the social innovation, starting out the project, and/or that have deep knowledge about the conditions, actors and phases developed along the project. These key informants can be policy-makers, public servants, representatives of market system (depending on the case-study) involved in the energy initiative at a high level of decision (ex. Superblocks are local initiatives launched by City Council and key informants can be municipal technicians involved in setting up the pilot initiatives as well as representatives of the transport sector, planning sector, etc.). As the different energy innovations count with different actors involved, a representation of each of them would be optimal.
- b. **Civil society groups** (including business-private sector, local authorities' officials, stakeholders and other actors involved in the SI), people, groups and institutions who know well the process, although they do not had responsibilities in carrying out the initiative (as example, people engaging in deliberative processes, environmental forums, etc.).
- c. **Key supporters**, stakeholders, social actors and public authorities which developed a significant role at any moment of the process and who are able to provide rich insights on the difficulties and opportunities that the SI offers for future developments.
- d. **Recipients/beneficiaries of the initiative.** Key informants could be spokespersons of social platforms, representatives of neighbourhood/citizens associations, commercial and business sector, which could provide different points of view and a critical vision of the process and the



outcomes of the social innovation. Collecting external voices and different perspectives could contribute to identify critical points, best practices and proposals for improving and gaining effectiveness in future developments of the energy innovation.

- e. **Experts in the social innovation.** Authorised voices which provide a well-informed perspective of the process and the outcomes of the social innovation due to their deep knowledge (e.g. they have conducted studies on the case study). Such external visions might be representatives of the academy, professional associations or NGOs which might give external/non-partisan perspective about the positive and negative aspects of the energy innovation.

## B) Distribution of the sample

Each case study should conduct between 7 and 10 interviews considering, as far as possible, the following recommended distribution:

- 1-3 members of the category a)
- 1-2 representatives for each of the categories b) and c) (3 in total)
- 2-3 representatives of category d)
- 1 representative of category e)

**Table: definition of key informants in each case-study (to be completed by each research partner)**

Case-study Responsible/Promoters and pioneers	Beneficiaries	Community actors and supporters (groups involved in the development of the SI)	External actors- experts
<b>Superblocks/ -Vitoria-Gasteiz:</b> - City Council - CEA - People involved in participatory processes	(Neighbourhood & city level). - Neighbours affected by the superblocks - actors involved in transportation and business	Citizen associations, environmental associations, Cycling associations/collectives Policy-makers/ involved in the development of the SI	Researchers studying the SI (several studies have been conducted in the last 10 years)
<b>Superblocks/ - Barcelona</b> -City Council	(Neighbourhood & city level). - Neighbours affected by the superblocks (including active collectives against the SI) - actors involved in transport (taxis) and business	Citizenship associations, environmental associations,  Policy-makers/ involved in the development of the SI	Agencia para la Ecologia Urbana; Academy experts (e.g. Environmental Psychology researchers at University of Barcelona (UB))
<b>Island renaissance</b> /EI Hierro Island government	Island level Representatives of Gorona del Viento SA,	Personnel from educational system Citizens associations, Business associations (tourist sector)	Personnel from the Technological Institute, Scientific community Public energy sector representatives

<b>Island renaissance/ Samsø</b> - Social innovators (Søren Hermansen) - Citizen owners - Municipality	Island level Islanders <i>Farmers, Samsø Energy Company</i>	Representatives of business activity in the island	Energy Academy representative? Other experts in Denmark?
<b>District regeneration Stockholm (Jarva neighbourhood) - City of Stockholm</b> - Public housing company	Neighbourhood level: Jarva		
<b>District regeneration Malmö (Augustenborg neighbourhood)</b> - City of Malmö, -MKB municipal housing E.ON (renewable energy enterprise)	<b>Neighbourhood level:</b> neighbours living in social houses/ 3 new local companies started: Watreco AB, the Green Roof Institute, and the car pool,	3 new local companies started: Watreco AB, the Green Roof Institute, and the car pool, - Augustenborg School	-Malmö University -Augustenborg solar project - Former representative of the city of Malmö -Urbanisland
<b>Coordinated, tailored and inclusive energy efficiency schemes for fighting fuel poverty in Aberdeen</b> -Aberdeen City Council, - Scarf (social enterprise dedicated to energy efficiency) - Aberdeen Heat & Power Ltd. (not-for-profit company set up by Aberdeen City Council for alleviating fuel poverty and reducing the City's carbon footprint).	Neighbourhood level Neighbours living in the area of Torry		
<b>Coordinated, tailored and inclusive energy efficiency schemes for fighting fuel poverty in Timisoara</b> -Timisoara City Council			
<b>Holistic, shared and persistent mobility strategy in Zurich</b>	Citizens Associations Business Associations Bike association Car Association	-Canton of Zurich	- Former representatives of the municipality - University experts



-City Government -3 different department involved -Canton of Zurich -Public Transport Community of Zurich	Zurich Inhabitants		
<b>Holistic, shared and persistent mobility strategy in Groningen, implemented by the City Government</b>	City level		

### **C) procedure for recruiting of participants**

Concerning the forms to identify and approach the key informants, as mentioned, one of the direct sources of information are the case-studies contact persons with you might have previous conversations about the case, and they would give you a first list of names and contacts that might be persons of interest to be interviewed. However, we should not obtain only one-side perspective but be sure that other external and critical voices are also included in the study. Document analysis and media review could provide also a first overview of the different actors involved in the development of the initiative.

Use “snowballing” technique, which involves asking interviewees/key informants about other persons who could have a deep knowledge or experience concerning the energy innovation and would be interested to talk about their experiences with the research team. Also doing ‘counter-snowballing’, asking for actors ‘not to talk to’ can provide interesting insights.

### **PROCEDURE FOR CONDUCTING SEMI-STRUCTURED INTERVIEWS**

This interview protocol is organized as semi-structured qualitative research interview (Kvale 1996, Flickr, 2014), which should be considered as a guide for structuring the research questions that need to be covered during the interview, in a logic order. Each interview is expected to have a length of 1-2 hours so make sure the interviewee will have appropriate time. As a key purpose of qualitative interviews is to explore the experiences, perceptions and feelings of the research participant/s (Rubin & Rubin, 2012<sup>9</sup>) in a sort of conversation, the protocol can be use in a flexible way (eg. adapting the order of the questions) but all the content should be covered. Furthermore, together with the set of predetermined open-ended questions, other questions arising from the dialogue between interviewer and interviewee might be also considered, allowing the researchers and respondents to elaborate and deeply explore the factors, dynamics and dimensions around the social innovation.

Researchers are encouraged to conduct a document analysis and desktop work in order to be very familiar with the social innovation and its contextual conditions. Each interview should be prepared considering the role and level of engagement of the respondent, taking also into account the history of the social innovation. The protocol is flexible enough to adapt certain questions to the specifics of each case study and interviewee.

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<sup>9</sup> Rubin, H.J. & Rubin, I.S. (2012). *Qualitative interviewing the art of hearing data*. Thousand Oaks, CA: Sage Publications.

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### *Other practical issues with regards to semi-structured interviews*

- Face-to-face interviews would be preferred. However, considering the distance with the case-studies, some interviews can be conducted through telephone/skype (better if videocam is activated).
- The interviews should be recorded, and the sound files safely stored for later further analysis and documentation. Researchers, before starting the interview, should make sure to ask permission about this issue and inform the interviewee that the audio of the interview is only for research purposes and audio storage would not be available in any platform. Besides, informed consent and project information sheet will be provided and explained before starting the interview.
- The interview should either be transcribed verbatim in original language although quotations would require translation for data analysis (as well as publication/dissemination purposes).

### **Informed consent procedures**

Following the informed consent procedures settled in the SMART EES project (Deliverable 9.1-9.3), to the extent that interviews are conducted by project researchers, respondents will be informed prior to being interviewed and are asked for their consent. Their participation in qualitative interviews is entirely voluntary and they will be informed both written and verbally of their withdrawal from research activities at any time. Participants will be also informed that they can retract their consent until the data is anonymized without any disadvantages and without having to give a reason. Participants will be also informed about the persons in charge of the research (in each institution) and the person to be contact (full name, telephone, address and e-mail) in case they need to report any issue, request or suggestion to a responsible person as well as to be informed about all data that is stored about them in the project.

#### **Template**

For this purpose, Annex 1 of this interview protocol contains an English version of two documents: the “informed consent form” and the “information sheet”. The content of both documents must be adapted accordingly to each case study background and in accordance to the ethical requirements of each institution. Besides, both documents must be translated (if necessary) to the language of each case study. A printed version of both documents should be given to all the respondents in advance and the content of the informed consent should be carefully explained by the researcher before starting the interview. The informed consent must be signed by the participants as well as by the researcher, which should storage it in a safe place.

### **Data protection and anonymization**

Each ‘case research partner’ is responsible for saving and storing the case study documentation on a safe place (sound files from interviews, pictures and other material from visits or fieldtrips, transcriptions of interviews as well as archives and publications that have been provided by the case studies). Internal/no-public documentation provided by the respondents will only be accessible after obtaining their informed consent. Interview data will only be accessible after obtaining their informed consent and anonymization has been performed. If it is not possible to anonymize the data (e.g., because the respondent has an easily identifiable position in the local community), the data will not be published without explicit written consent of the respondent.

Whether, due to EU’s Open Data policies, the transcription of qualitative interview is required to be included in an open access database when the project is finished, participant’s explicit consent will be requested for this purpose and an anonymized version of the interview will be sent to them in order they can review the content and give their consent.

*(Section to be further developed following the agreements of the SMART EES project regarding the treatment of empirical data).*

### **5.3. PROCEDURE FOR DATA ANALYSIS**

*(To be further developed in specific coding guidelines to be discussed in February 2019)*

We propose the following procedure for the analysis of the qualitative interviews.

#### **Phase 1. Building the Case study profiles: thematic analysis of 1-3 interviews.**

Thematic analysis of 1-3 interviews oriented to obtain in-depth knowledge about the social innovation, completing information already available from the document analysis. In order to facilitate this piece of work, each case study team does an analysis of the interviews in which to identify the main themes and issues arising from data and extract the information needed to fulfil the profiles of social innovation (analysis can be supported by a qualitative data analysis software: ATLAS.TI; MAXqda, NUD\*IST).

Researchers are recommended to transcribe the 1-3 interviews in the original language and translate into English language those parts of the interviews that serve as basis for the analysis and interpretation of data, as well as the quotations that illustrate the main results of the analysis. A thematic coding procedure (Flicker, 2014; Flicker 2009, pp.318-330) is considered appropriated for the comparative analysis of the cases. This allows identifying and analysing correspondences and differences among the participants and groups involved in the study (e.g. promoters, stakeholders, supporters, experts, etc.) and creating a thematic structure of the case analysis useful to the following phase of analysis.

Phase 1 will be developed in months January and February 2019. A Webinar will be organized in February 2019 by WP3&WP4 task leaders in order to compare the results of each case studies and clusters. This phase ends in March 2019 with the report of the results to be sent to WP3 lead (K&I) needed to write the deliverable 3.1.

#### **Phase 2. Qualitative Analysis of 7/10 interviewees**

In phase 2 about 7 to 10 interviews will be analysed following systematic qualitative analysis procedures based on processes of data condensation, data display and interpretation and verification of conclusions (Miles, Huberman & Saldaña, 2014<sup>10</sup>).

This process can be supported by a qualitative data analysis software (e.g. ATLAS.TI; MAXqda, NUD\*IST). A proposal of coding scheme will be provided with a definition of categories (theoretically-informed) that helps researchers to coding data, developing new categories and identifying patterns and relations among categories and variables.

Each research team should transcribe interviews (in the original language) in order to start the process of coding and analysis of the case. Translations of quotations and samples of text into English will be also necessary to present the results (a template will be provided). This second phase of qualitative analysis will be completed on 30th of April 2019.

#### **Internal information exchange**

A transparent flow of information across SMARTEES researchers will be ensured by using:

- SharePoint webspace (restricted only to Consortium members for internal communication) to share the outcomes of the empirical analysis. The format for the sharing of empirical analyses will be unified across

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10 Miles, M. B., Huberman, A. M., & Saldana, J. (2014). Qualitative data analysis. Sage.

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the case studies and will not include case-study participant's personal data or original interview data. Transcripts of the interviews will not be stored here without anonymization.

- Webinars organized by the task leaders with the research partners to facilitate exchange and discussion regarding the content of the protocol interview, the coding framework (to be developed) and the comparative analysis of the empirical results of each case study.