

RI IN-DEPTH ASSESSMENT TOOL
ANNEX TO DESCRIPTION AND GUIDELINES TO
ROSIE RI WORKBOX
D.T1.1.5

prepared by



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AZIENDA SPECIALE
Camera di Commercio della Romagna
Forlì-Cesena e Rimini

RI In-depth Assessment Tool

This RI In-depth Assessment Tool template will help you reflect on responsible innovation themes, their level of implementation within your organisation and plan possible improvement of your innovation practices to make them more sustainable, socially accountable, and competitive.

The tool is largely based on the RRI Tools RI Self-Reflection Tool (<https://www.rri-tools.eu/self-reflection-tool>), as revised upon discussion among ROSIE partners and stakeholders during the Train the Trainer #1 training course held in Prague on 28th and 29th November 2017.

The revision is limited to the simplification and/or grouping of some questions, the elimination of a few questions not entirely geared to SMEs (ROSIE main focus) and the inclusion of a few questions, again to better suit SMEs.

The tool guides the reflection by providing questions organised according to the EU RRI Policy Agendas: Ethics, Gender Equality, Governance, Open Access, Public Engagement and Science Education.

For each question, examples are provided to support identifying if and to what extent the specific RI elements are managed within the enterprise's innovation processes. The objective is primarily to provide food for thoughts and indications for improvement planning.

From 09/2018 until 12/2019, the ROSIE project offers one-to-one support to SMEs from partner territories to carry out the in-depth assessment and to plan improvement. To check eligible areas and contact the local ROSIE partner, go to ROSIE web site <http://www.interreg-central.eu/Content.Node/ROSIE.html>.



ETHICS

Does your organization take into account possible ethical considerations for your innovation practices?

Examples:

- Environmental impacts
- Human and animal health impacts
- Local economic and development impacts
- Social justice
- Education
- Data management and security
- Gender equality
- Cultural heritage
- Equal access for disabled



Who is involved in ethics-related reflection and decision-making for your innovation practices, and how?

Examples:

- We engage all actors and beneficiaries (civil society organisations, local government, education community, customers, patients, families, etc.), through...
- We involve selected actors through different channels, because...
- We do not include external actors, because...



How does your organisation deal with different potential conflicts, interests and ideals?

Examples:

- Having strong guidelines protecting our principles
- Resolving differences through rational arguments
- Acknowledging different values, interests and ideals
- Addressing conflicts of interest ...



How does your organisation prevent potentially harmful impacts of your innovation practices on the public or the environment?

Examples:

- Anticipating, balancing and monitoring the benefits and risks of our project
- Ensuring project outcomes are used responsibly even after the project ends
- Actively resolving the issues during the innovation development
- Being responsive to external inputs
- Ensuring transparency and open access from the beginning
- Looking long-term and anticipating possible negative side effects (for example, creating social inequality, being environmentally harmful)



How does your organisation ensure the integrity of your innovation practices?

Examples:

- Aligning our practices with the Code of Conduct for Research Integrity in all phases, from research design to reporting results
- Encouraging critical peer review and internal discussion on research integrity throughout the process
- Consulting an external research ethics expert or ethics committee



In addition, in your organisation who else should be responsible for the impacts of innovation?

Examples:

- Responsibility should be shared among all actors involved (scientists, policy makers, research institutions, universities, industry, civil society organisations, etc.), because...
- Responsibility should lie with the individual researchers throughout the entire process, because...



How may your organisation benefit from incorporating ethics?

Examples:

- Avoiding possible research misconduct or market failure
- Gaining credibility
- Improving quality by aligning our work with integrity principles and standards
- Winning greater support from other actors by being open, transparent and honest
- Developing new perspectives and ideas and creating new INNOVATION opportunities
- Better market recognition



GENDER EQUALITY

Does your organisation have a gender equality plan?

Examples:

- A plan has been described and implemented
- A plan has been described, but not yet implemented
- Some gender equality strategies have been added to our overall strategy
- There is no gender equality plan, because...



What are your organisation's gender equality practices regarding staff and working conditions?

Examples:

- We aim for gender-balanced teams
- We aim for gender-balanced management positions
- We have family-friendly work spaces
- We have equal salary guarantees
- We have equal contract conditions
- We promote awareness and support of diverse working approaches
- We do not prioritise gender equality, because...



How is gender equality evaluated within your organisation?

Examples:

- We have specific actions and criteria for evaluating gender equality
- We have a team dedicated to evaluating gender equality
- We evaluate gender awareness through career development activities
- We monitor gender balance of teams



How does your organisation address gender stereotypes?

Examples:

- We aim to identify any gender stereotypes in our activities
- We discuss what we can do to avoid gender stereotypes
- We address biased attitudes, treatments and discrimination
- We are not active in trying to break gender stereotypes, because...
- We do not prioritise evaluating gender equality, because...



How is gender in education, communication or training supported at your organisation?

Examples:

- We provide gender equality training
- We consider gender sensibility in our publications
- We emphasise gender awareness in training activities
- We stress gender awareness in all our activities
- We do not address gender in education, communication or training, because...



How is gender equality addressed in your innovation practices?

Examples:

- Gender-balanced teams
- Sex and gender considered in our chosen topics
- Sex and gender considered in our methodology
- Sex and gender considered in our data
- Gender-balanced publication strategies
- Gender considered in our dissemination activities
- Gender equality is not considered in our INNOVATION practices, because...



GOVERNANCE

Who is involved in setting your organisation's innovation agenda?

Examples:

- Management or advisory boards
- Funding organisations
- Different stakeholders
- Other teams and colleagues
- Members of the public



What governance instruments does your organisation provide to foster shared responsibility in innovation?

Examples:

- Following inclusion and diversity strategies
- Making policies and strategies open and transparent to all actors involved
- Responding to emerging knowledge, perspectives, views and norms, by...
- Investing resources to make our innovations more responsive to societal needs and concerns
- Employing a responsible innovation governance plan
- Implementing a responsible innovation management system



How are views from other research or societal groups included in your organisation's innovation practices?

Examples:

- Exchanging views with peers, researchers and innovators from other disciplines
- Talking with potentially affected groups and end users
- Considering a wide range of relevant stakeholder groups, such as...
- Working collaboratively with...



How does your organisation ensure your innovation practices can adapt to unforeseen results or societal changes?

Examples:

- Being open to emerging societal needs
- Changing the innovation plan, if needed, in response to unforeseen results
- Maintaining dialogue with different stakeholders so we can change the practice as a response to critique or changed perspectives



What resource allocations allow responsible improvements to your innovation practice?

Examples:

- Providing time for reflection
- Sharing experiences with others, internally or externally
- Consulting external experts in the fields of (for example ethics, gender equality...)
- Encouraging participation in RRI workshops and training
- Appointing a staff RRI expert
- Encouraging participation in training, conferences, etc.



OPEN ACCESS

Has your organisation ever considered open access to applied research results?

Examples:

- We have successfully implemented open access policies with reference to, e.g.: Objectives, aims and goals, Methodologies, Data. Preliminary results, Final results, Uncertainties and limitations
- We have open access policies, but they are rarely considered, because...
- We would benefit from developing open access policies, such as...
- We do not need open access policies, because...



With whom does your organisation share the results of your work?

Examples:

- Results are shared with all actors involved or affected
- Results are shared with only some actors, because...
- Sharing results with different actors is not necessary, because...



What framework conditions are made transparent to actors involved?

Examples:

- Structures for feedback and decision trails
- Overview of financial means and expenditures
- Declaration of interests and affiliations of all actors



How transparent is the ownership of your innovation outcomes?

Examples:

- Ownership is clearly and easily traceable for all
- Ownership is transparent and traceable for certain people only, because...
- Ownership is unclear, because...



PUBLIC ENGAGEMENT

Who are your organisation's stakeholders with reference to innovation?

Examples:

- End-users
- Customers
- Public authorities and institutions
- Civil society and its organisations
- Academia and education
- Boundary organizations



What does public engagement in the innovation process mean in organisation?

Examples:

- Improving acceptability of innovation results and reducing market failure risks
- Validating our approach to innovation and our values
- Identifying hidden needs and/or scouting new ideas
- Harvesting the potential of user-centred design
- Facilitating better solutions for societal needs
- Revealing possible impacts not yet envisaged



At which stage of the innovation process is it most effective for your organisations to engage stakeholders, and why?

Examples:

- During all stages, because...
- During the exploration phase (for example, research agenda setting), because...
- During the development phase (for example, project definition), because...
- During the implementation phase (for example, the technology transfer and innovation process), because...
- During the monitoring and evaluation phase, because...
- During the dissemination phase, because...
- It depends on the context, because...



How does your organisation involve stakeholders and the public in your innovation process?

Examples:

- Conducting outreach activities and reflecting on them during team meetings
- Communicating regularly with different stakeholders (e.g.: Leveraging social media to promote reflection and get different voices involved; Offering public discussion sessions on trendy innovation topics; Fostering encounters between innovation institutions and the general public; Using our venue or partnering with other venues to offer innovation experiences to different audiences;...)
- Seeking ongoing input and feedback from stakeholders (e.g. by requesting regularly feedback from affected actors)
- Incorporating the results of public consultations in our plans
- Establishing spaces for deliberation where projects can be run collaboratively
- Seeking collaboration of diverse stakeholders through co-creation methods
- Living labs



How does your organisation ensure that stakeholders understand and accept their roles and the objectives of their engagement?

Examples:

- Providing clear statements about their roles and what can they expect from the results
- Defining the level of participation (for example, from consultation to co-decision)
- Giving briefings about public engagement to explain its benefits
- Negotiating with stakeholders and members of the public on their preferred roles and objectives
- Providing memos on the specific innovation process



How does your organisation tailor innovation processes to include stakeholders with different genders, ethnicities, classes, ages, routines, experience, or levels of power?

Examples:

- Considering studies and consultations in our strategic plan
- Running open consultations and including the results in our mission
- Considering the needs of different groups in our programme development
- Adapting the language according to the target group



SCIENCE EDUCATION

Does your organization promote science education and STEM (Science, Technology, Engineering and Mathematics)?

Examples:

- Company academia
- Internship programmes
- Academia / education sponsorship
- Awards
- Scholarships
- Public conferences / open workshops / talks



How does your organisation promote reflection on responsible innovation in your science education activities?

Examples:

- Conferring on different values, needs and perceptions, such as health inequality, animal welfare, fair investment...
- Making room for deliberations on how to frame innovation questions
- Discussing innovation methods and potential improvements to the innovation process
- Analysing the roles of the different stakeholders
- Reflect on the expected and unexpected impacts



What motivates your organisation to involve responsible innovation issues in your science education projects?

Examples:

- Making science education and STEM careers attractive to both women and men
- Helping put STEM within its societal context
- Increasing awareness that innovation can create solutions affecting lives
- Encouraging stakeholder engagement in innovation
- Improve the quality of innovation