



WP 5- RPO&RFO Working Groups setup, and audit and impact assessment of RRI maturity

D5.1 – Self-tailored RPO&RFO Audit Plans – parts A&B

23rd December 2019



About GRRIP

The overall aim of GRRIP is to implement Responsible Research and Innovation (RRI) to improve research in the Blue Economy. GRRIP will embed sustainable RRI practices in four Research Performing Organisations (RPO) and one dual-function RPO and Research Funding Organisation (RPO/RFO) in the marine and maritime sectors to achieve institutional and cultural change. This will be accompanied by establishing a platform for engagement with the Quadruple Helix (QH) for each RPO&RFO, and a platform for mutual learning between the 5 RPO&RFOs and QHs. The project will revolve around five RRI key dimensions: ethics, gender equality, open access & data, science education, public engagement. Whilst marine and maritime (M&M) research is a high priority in the EU, this project acknowledges that M&M is extremely exposed to non-RRI alignment between Research and Innovation, societal actors, and the environment, affecting its performance and competitiveness.

Objectives of GRRIP:

1. To co-develop, implement and evaluate self-tailored RRI Action Plans (AP) to enable institutional and cultural change processes for the 5 Marine and Maritime (M&M) Research Performing Organisations and research funding Organisations (PPO&RFOs).
2. Establish structures to facilitate, promote and maximise real sustainable engagement with, and input from, the Quadruple Helix (QH).
3. Establish indicators and methodology for impartial Monitoring, Reflection and Evaluation cycles.
4. Develop a mutual learning process across the M&M FPO&RFOs and the QH, both during the institutional and cultural change project and ongoing evaluation feedback loop cycles.
5. Legacy: to enable more M&M RPO&RFOs to ground RRI practices through institutional and cultural changes by creating a practical user-friendly RRI AP framework template and launching an M&M RRI community.
6. Examine how an RFO can positively influence and encourage an RPO towards RRI via its funding policy and interaction.



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Index

Terms	6
Executive Summary	6
The goals of the GRRIP Audit Plan	7
Identification of data and information to be collected.....	8
Surveys 9	
Top-down survey	9
Bottom-up survey	12
Interviews	13
Timing of interviews	14
Target people	14
Length 14	
Information asked	14
ML audit workshops.....	15
Timing of workshops.....	15



Attendees	15
Pre-workshop preparation.....	15
Sample agenda	16
Enabling mutuality of learning from audit processes	16
The process for the GRRIP Audit Plan definition	16
The GRRIP Audit Plan.....	17
References.....	21
Appendix –Document shared with Working Group Manager related to their involvement in the Audit Plan implementation	21

Terms

AP - Action Plan

EU - European Union

CNR – Consiglio Nazionale delle Ricerche

HSRW - Rhine-Waal University of Applied Science

M&M - Marine and maritime

QH - Quadruple Helix

RPO - Research Performing Organisations

RFO - Research Funding Organisation

RRI - Responsible Research and Innovation

WG – Working Group

Executive Summary

This deliverable was produced within the activities of the “WP 5: RPO&RFO Working Groups setup, and audit and impact assessment of RRI maturity” and in particular it is the result of the “Task 5.2 - Develop self-tailored Audit plans” of the GRRIP project.

The auditing process is a sequenced, coordinated activity aimed at obtaining a specific result. The Audit Plan, as defined in the GRRIP project, aims at establishing the objectives, activities, teams, and timing of the audit activities, for collecting information and assessing the initial state of the institutionalization of RRI into the Research Performing Organisations (RPO) and the Research Funding Organization (RFO) that are the case study demo sites involved in GRRIP. This will enable each organization to establish the baseline to



evaluate and change the structural and cultural assets to include RRI.

An audit process consists of different phases, i.e. planning, fieldwork, and reporting. This document describes the planning phase, i.e. the Audit Plan of an audit process. It plans the activities to be implemented in the fieldwork for assessing procedures and practices to identify RRI gaps (knowledge acquisition).

The task “T5.2 - Develop self-tailored Audit Plans” of GRRIP has to define the Audit plans for RPOs and RFOs that are described in this deliverable. This document will be the basis of the implementation of the Audit Plans (Task 5.3 - Conduct Audit parts A&B for each RPO&RFO).

The Audit Plan is delivered in each Organisation through the representatives (the Working Group manager) of the Working Groups, which has been already established in GRRIP (see task T5.1). Each Working Group member is invited to participate in the Audit of her/his organization to assess the maturity level of RRI practices and determine how well the organization is currently performing and is also invited to share and facilitate the dissemination of the survey that is addressed to the researchers of the organisation.

The remaining of this document contains one section about the goals of the GRRIP Audit Plan, one section that gives a picture of the type of information and data to be collected with the audit activity and necessary for the audit analysis, one section that describes the process for the Audit Plan definition, and one section containing the General framework of the Audit Plan on which the RPOs and the RFO base their tailored Audit Plans. Finally, this document includes an appendix containing the Process for Working Group Manager related to the Audit Plan.

The goals of the GRRIP Audit Plan

The Audit Plan defines the process of collection of data and assessment by which the RRI state-of-art at an organization is analysed. This internal audit activity should be beneficial to an Organisation, as it will be extremely useful for determining its current state concerning RRI integration in the organisation’s policies and decision-making structures, considering processes and practices and, its employees’ perception. Thus, audit activities assist an organization in achieving its objectives that align to RRI (such as gender equality).

In RPO specifically, the audit will also evaluate to what extent the RRI perspective is integrated into the policy, in research, in course curricula and in the management of work balance and employee welfare and wellbeing.

The GRRIP Audit Plan indicates the actions to be carried out for knowledge acquisition for auditing and it includes three surveys that were defined and have been launched for collecting data. GRRIP uses five key concepts including Gender, Open Access, Public Engagement, Ethics and Science Education. In GRRIP, Governance is not considered as a separate key. In particular, the GRRIP Audit Plan implies, the collection of objective statistics and information as well as perceptions about the inclusion of RRI in the Organisations



to define their current situations. The understanding the RPOs/RFO current practices and situation from an RRI perspective is obtained following both: a top-down and a bottom-up approach.

The top-down approach aims at collecting objective statistics and documents regarding the five organisations that are the case study demo sites. This approach requires involving the Working Groups established in the “Task 5.1 - Establish RPO&RFO Working Group” and (if necessary) the RPOs and RFOs offices that return objective data.

The bottom-up approach aims at addressing data collection: 1) from the staff of the five RPOs/RFO, 2) from the Quadruple Helix stakeholders also in conjunction with the activities carried out in WP4 for collecting data.

Interviews will be conducted to complement information collected with the top-down and bottom-up survey and guarantee the interconnection with the other WPs.

All information and data collected will be analysed within the audit activity that will be implemented according to the scheduling established in the Audit Plan (see the section titled “Audit Plan”). In particular, the Audit activity aims to:

- Verify and discuss data provided in the GRRIP proposal and as such it is recommended to check and guarantee the quality of data and information.
- Collect qualitative and quantitative data for understanding the Organisation’s current practices and situation from an RRI perspective.
- Analyse current practices, documents, information and data collected, identifying gaps, strengths and weaknesses, creating the baseline on which the design of the Action Plan will be based upon.
- Analyse documents such as the “Research Ethics and Governance Framework”, the “Code of conduct” and, other data collected allows to identify strengths and weakness in current practices.
- Identify indicators for quantifying strengths and weaknesses in the current practices. The MORRI project [1] has already identified indicators for the different RRI Keys. Other RRI projects suggested further indicators. Indicators specific to GRRIP will be developed throughout the project by relevant partners including CNR, ICoRSA, DMU and EUR.

Identification of data and information to be collected

The GRRIP Audit Plan identifies the qualitative and quantitative data to collect for understanding the Organisation's current practices and situation from an RRI perspective. As already explained before, it will be carried out according to both using surveys, interviews and Mutual Learning workshops to reflect on



draft findings from survey and interview data.

Surveys

The top-down approach (defined by CNR with the contribution of ICorsa, EUR, of the five RPOs/RFO and the comments of the other partners involved in Task 5.2) will enable collecting objective statistics based on responses to surveys distributed to each of the Working Group managers. Data collection will also enable Mapping the RPO&RFO RRI related institutional governance, policy and processes within the RPO&RFO relating to R&I and the five RRI keys. Identify key decision-makers and controllers.

Each working group manager contributed to refining the survey, according to the characteristics of the Organisation, maintaining the general common structure of the top-down survey.

If the Working Group manager is unable to provide the inputs required directly, they will liaise with members of the Working Group via working group meetings and where necessary officers in their Organisation in order to complete the survey.

The bottom-up approach will collect data from the research staff and stakeholders of each Organization, based on two questionnaires prepared by ICoRSA (with the contribution of EUR, CNR, the five RPOs/RFO and the comments of the other partners involved in Task 5.2). These questionnaires are designed to be integrated with and complementary to the information already collected in the questionnaire for external stakeholders produced in the WP4 (Task 4.1) of GRRIP.

SWOT Analysis would draw upon both, the top-down (CNR - one survey per WG manager) and bottom-up (HSRW - two questionnaires, one for employees and external stakeholders) phases (questionnaires identified in the bottom-up approach) in order to identify strengths and weakness in current practices and procedures. This analysis, integrated with the discussions that will be carried out for discussing the surveys draft results.

Top-down survey

The Top-down survey has been designed for collecting qualitative and quantitative data. Preliminary objective data related to the five RRI Keys have been already collected during the preparation of the proposal of the GRRIP project. The Collection of comprehensive RRI-disaggregated statistics has been organized providing an Excel file to the five RPO&RFO, while an on-line survey was defined and has been launched in the April 2020 for the data collection on RRI related institutional governance, policy and processes within the RPO&RFO relating to R&I and the 5 RRI keys.

The categories of data collected in each organization within the RRI-disaggregated statistics (using an Excel



file) are shown in Table 1. The categories of data/information collected in each organization using the top-down and on-line survey on RRI related institutional governance, policy and processes within the RPO&RFO relating to R&I and the 5 RRI keys are shown in Table 2.

Table 1. Categories of data collected within the RRI-disaggregated statistics

Objective data collection: RRI-disaggregated statistics	
1.	Number of staff's members by sex and grade
2.	Number of leavers by sex and grade
3.	Number of staff's members by sex and salary level
4.	Number of leavers by sex and salary level
5.	Number of staff's contracts types by gender
6.	Number of leavers contracts types by gender
7.	Number of the current staff's members by Ethnicity
8.	Number of leavers by Ethnicity
9.	Number of Staff Gender Equality Training, by gender, by Salary
10.	Number of Staff Open Access Training by gender, by Salary
11.	Number of Staff Public Engagement Training by gender, by Salary
12.	Number of Staff training in Research Ethics and Research Integrity by gender, by Salary
13.	Number of Science outreach activities; staff who performed activities, by gender, by Salary; and external teachers and students who participated in (received) these activities
14.	Number of Staff Media and Science Education / Outreach Training by gender, by Salary

Table 2 makes evident that data/information collection is organised according to the five RRI keys (Gender, Open Access, Public engagement, Research Ethics and Research Integrity and Science Education). In particular, information about official documentation produced and used in each organisation concerning the five RRI keys are collected. This kind of information is useful to understand what each organisation is doing for institutionalising RRI. Each RPO&RFO is asked to also provide these documents and the links where they are available.

RPOs and RFO are asked to provide information about the organisational structure, i.e. staff's roles and responsibilities), the official initiatives to improve the awareness or training concerning the different RRI keys.

Open Access represents a very complex challenge for all the research organisation, as it is deeply connected with the importance of sharing the results of research and innovation within the scientific community and with the different societal actors. But the openness of results also intrinsically implies addressing important challenges in terms of Intellectual Property rights, in terms of the criteria used in the research evaluation processes, etc... For this reason, the responders to the survey are asked to provide information about the



“Institutional Support for Open Access”.

Table 2. Categories of data/information collected in each organization using the top-down and on-line survey

Survey on RRI related institutional governance, policy and processes within the RPO&RFO	
1.	Section on Gender
a.	Gender Equality Documentation
b.	Organisational Structure and Gender Equality
2.	Section on Open Access
a.	Open Access Documentation
b.	Organisational Structures and Open Access
c.	Institutional Support for Open Access
3.	Section on Public Engagement
a.	Public Engagement Documentation
b.	Organisational Structures and Public Engagement
4.	Section on Research Ethics and Research Integrity
a.	Research Ethics / Research Integrity Documentation
b.	Organisational Structures and Research Ethics/Integrity
c.	Research Ethics Questions
d.	Research Integrity Process
5.	Section on Science Education
a.	Science Education/Outreach Documentation
b.	Organisational Structures and Science Education/Outreach

Some specific questions aim to understand how the organisations are supporting the inclusion of ethical issues and research integrity in the research process.

Research ethics examines how the organisation makes sure its research is relevant to society, answering their needs and concerns about which research should go forward. In human or animal research, it can also involve balancing the welfare and respect for individual research subjects against the value of research to society.

Research Integrity concerns “the body of principles and ethical values, deontological obligations and professional standards that form the basis of the responsible and correct conduct of those who carry out, finance or evaluate scientific research, as well as the institutions that promote and perform it.” [2]. Indeed, research integrity is oriented towards the professional conduct of researchers, including how researchers uphold professional research standards, conduct and report research fairly and accurately, and declare relevant conflicts of interest.



Bottom-up survey

The bottom-up survey consists of two parts: the first one is the data collection addressed to the researchers and the second-one addressed to the stakeholders of RPOs and RFO.

The two surveys are available online on a secure server. The following table gives the links to the preview of the two questionnaires.

Table 3. Links to the previews of the two bottom-up surveys

Preview of the Bottom-up survey addressed to the researchers of the five organisations	https://grrip-researcher.qualiaanalytics.org/enroll?test-survey=1&overwrite-action=enrollment&lang=en#show
Preview of the Bottom-up survey addressed to the Quadruple Helix stakeholders are released.	https://grrip-stakeholder.qualiaanalytics.org/survey/test?test-survey=1&ove

The Bottom-up survey addressed to the researchers has been designed considering the need to collect data and information from the RPOs and the RFO researchers, who return their behaviours and perception about the current state of institutionalisation of RRI and the researchers' mindset about RRI. The categories of information/data related to the bottom-up survey addressed to the research staff of the five case study demo sites RPOs/RFO are showed in Table 4.

In particular, responders are invited to provide their background information per Gender, Organisation, Level of education, subject area of interest.

In the "Sections on views about different aspects of research and innovation policy and practice and the organization" data collected will enable to understand the research staff view about different aspects of research and innovation policy and practice. In particular, the "Optional section of the survey enables collecting data for understanding the research staffs' view focusing on the marine & maritime organisation where they work.

Table 4. Categories of information/data related to the bottom-up survey addressed to the research staff

Type of information of the Researchers Survey
1. Sections on personal information
1.1. Personal Background
1.2. Employment information



1.3. Experiences and Perspectives
2. Sections on views about different aspects of research and innovation policy and practice and the organization
2.1. Diverse Perspectives
2.2. Gender Equality
2.3. Ethnic Minorities
2.4. Societal Benefit
2.5. Methods and Processes
2.6. Publicly Accessible
2.7. Societal Needs
2.8. Policies and Contexts
2.9. Ethical Principles
2.10. Recent Interactions
2.11. Engagement with External Stakeholders
3. Optional Section
3.1. Views
3.2. Final Thoughts

The Bottom-up survey addressed to the stakeholders has been to collect data and information from the RPOs and the RFO stakeholders, who return their behaviours and perception about the current state of institutionalisation of RRI and their mindset about RRI. This survey is very similar to the Bottom-up survey addressed to the researchers, but it aims at providing a point of view from actors who collaborate but are external to the organisation.

Interviews

In line with task T5.2.2.3, follow up interviews have been designed to Identify barriers to RRI existing in the RPO&RFO, prioritise and propose solutions. The interviews are designed to complement information obtained from the Top-down and Bottom-up surveys, encouraging participants to reflect about the challenges and the opportunities they face when designing and implementing their AP, and this from the point of view of the five RPOs and RFOs. The interviewer's guide was developed in two stages: first, a draft of questions for each of the five RRI keys, the questions presented depending on the possible results



of the survey. After the results of the Top-down and Bottom-Up surveys have been analysed, the second stage will refine the questions and adapt them to the specific context of each organisation.

It has been decided to use the semi-structured interview methodology that is more like a conversation with a focus on each organisation's experience, opinions and their beliefs and feelings about the considering behaviours, practices and policies adopted for embedding RRI.

Timing of interviews

Please see Audit Plan below. Interviews should occur when draft audit results are ready and it is possible to refine the questions of interviews to complement information already obtained from the surveys. (As the final version of questions of the interviews will be refined on the basis of the results of the data elaboration coming from the surveys, these questions will be included in the deliverable "D5.2-RPO&RFO audit reports", that will also contain the results from the interviews).

Target people

One or two people per each RPO or RFO will be interviewed. These persons will be members of the working groups, or alternative persons suggested by the working group.

Length

Each interview will have a length of about 45-60 minutes.

Information asked

The interviews will collect: 1) General information about the experiences of the organisation related to the RRI issues and, 2) Information about the feasibility of actions aiming to produce changes in the organisation for embedding the RRI principles. Moreover, specific questions will be formulated with respect to the five Keys of RRI, i.e. Gender equality, Open Access, Public Engagement, Ethics and Science Education.

For each of the keys, there will be four sets of questions:

1. Background questions specific to the RRI key, encouraging participants to develop a vision about *utility* of the RRI key that is specific to the organisation and what it means in practical terms.
2. Depending on the results of the survey, if the RPO does not promote a certain RRI key, follow up questions drill into the reasons for this, searching for challenges and leverage points that are needed as springboards to launch RRI promoting activities.
3. Depending on the survey results, if the RPO does promote certain RRI keys but is struggling with certain barriers and while taking advantage of certain opportunities, those barriers and



opportunities would be further unpacked and elaborated. The purpose is to identify focal points for the RPO to concentrate on, and develop a course of action that is both feasible and realistic within a defined period of time.

4. Depending on the results of the survey, if inconsistencies are established between the perceptions, beliefs and attitudes of different participants (for example, top-down vs bottom-up), these inconsistencies will be further unpacked and discussed, with the goal to find an explanation to these inconsistencies and bring about insights that would contribute to the action plan.

ML audit workshops

EUR as leader of WP8 (Reflection, Evaluation and Mutual Learning) will hold five virtual workshops (one per site) to discuss audit findings. This is a mitigation strategy for COVID 19 since ML in a virtual environment is not ideal. It has been proposed that physical environment and context is very important in creating an imaginative space for reflection and expression of relevant ideas [6]. Nevertheless, a virtual form of an ML workshop will allow multiple voices to be heard, either through speech or instant messenger chat functions, and is cheaper and more convenient for the project and workshop participants (since they can just dial in from any location with internet connection).

Timing of workshops

Please see Audit Plan below. Workshops should occur when draft audit results are ready and any interview data from interviews to assess barriers (see above) is available.

Attendees

Per site call, WG leads from the site in question and 2-4 WG members. N=3-5

Site QH members. N=1-2

GRRIP partners from (WP5) Audit, (WP6) Action Plan (DMU and DCU) and (WP4) QH WPs. Workshop held by Mutual Learning partner (EUR). N=4-5.

Pre-workshop preparation

In advance of the workshop, WP5 will issue a draft audit report to workshop participants. (Partners will also rehearse the main points in these written materials using slides during the virtual workshop). Participants will read and prepare questions and highlight issues of interest to them, being aware of the agenda and objectives for the workshop.



Sample agenda

1. Welcome, introductions, rehearsal of workshop objectives (5 minutes)
2. Audit results (sent in advance to attendees)
 - a. Site WG lead rehearses audit results (10-20 minutes of slides)
 - b. All reflect on audit findings using following structure (60 minutes):
 - i. What audit recommends for change
 - ii. Barriers and facilitators of proposed changes

Enabling mutuality of learning from audit processes

It has been decided to hold a sixth workshop to allow for learning across the five sites from their audit results. The plan for this is tbc but is likely to follow a suite of workshops organised by WP7 under the heading 'Planning for Change.' Here sites can exchange similarities and differences as they decide how their audit findings will determine plans for change actions going forward.

The process for the GRRIP Audit Plan definition

The process for the definition of the Audit Plan started including discussions and experiences from other projects on RRI and Gender equality.

Some projects, such as the H2020 project "JERRI – Joining Efforts for Responsible Research and Innovation" [3] at the beginning gather the relevant data and information for the state-of-the-art analysis in the involved organisations planning desk research activities and interviews. Information and data collected were used for producing an intermediate document on the state of the art that was shared between the participants of the meeting that JERRI organised for completing the description of the state of the art. In JERRI "the process is conceptualised as an intense mutual learning process" [4].

A similar approach with the JERRI project was adopted for defining the Audit Plan in the project "PLOTINA - Promoting Gender Balance and Inclusion in Research, Innovation and Training (G.A NO 666008)" [5] related to the institutionalisation of Gender equality. This project during the preparatory phase of the Audit Plans established Gender Audit Teams in the Organisations involved in the activities of institutionalisation. This was for engaging already at the beginning of the activities the different kinds of people internal to the Organisations, for having a common understanding of the situations and changes that can be realistically planned. The categories (Quantitative and Qualitative Key Areas) of information to be collected for the audit were identified. Based on this common framework the project team and the Gender Audit Teams defined the Audit Plans according to the needs of the different organisations [6].



Already the proposal of GRRIP established as a step in the early phases of the project to build Working Groups in the Research Performing Organisations and Research Funding Organisation that are involved in institutionalising RRI for the project. These Working groups have among their goals to work together with the GRRIP team in the Audit Plan and the Audit activities. Their members have been identified based on their competences and role in their Organisation taking into account the goal of the RRI adoption in the structure. One Working group manager for each Working group has been identified.

In meanwhile, the GRRIP project team stated to define the approach to be followed to collect data and information for the audit, i.e. the categories of information necessary to be collected and, how to collect these data and information. The categories of information to be collected are described in the section of "Identification of data and information to be collected" and they provide the framework of information and data that can be collected in the different Organisations.

The methodology decided for collecting this information foresees that each Organisation will conduct both, a top-down and a bottom-up survey involving the five RPOs and RFO at different levels. The top-down survey involves the established working groups, while the bottom-up survey is addressed to the staff of the Organisations and their stakeholders.

Once defined the framework that enables collecting information, the general Audit Plan (containing the activities to be done and the timing for the audit activities) has been defined.

The GRRIP Audit Plan

This section explains the steps of the general framework of the Audit Plan that will be used in GRRIP by the RPOs and the RFO and the five documents defined for conducting the Audit Plan. In particular, this general framework is the result of the internal discussion between the GRRIP staff and the RPOs and RFO Working groups managers. In particular, the different Organisations are following the steps identified within the general framework of the Audit Plan matching the suggested with their needs and times. The Audit Plan activities have finalised five documents:

- The current document (GRRIP Deliverable D5.1) having the objective to clarify the Audit process to the GRRIP Partners and the Working Group managers. For this reason, the target audience is constituted by the GRRIP partners involved in the Audit and the Working Group managers. If necessary, some parts of this document can be introduced by the WG managers to the WG members during the WG meetings.
- The Top-Down Survey (which consists of an Excel file and an on-line survey) having the objective to collect data and information from the organization on the current RRI practices. For this reason, the target audience is constituted by the GRRIP partners involved in the Audit and the Working Group members. This document will be introduced and explained by the WG manager (with the support of



CNR, if requested) to the WG members.

- The Bottom-Up Survey (Which consists of two questionnaires respectively for Researchers and Stakeholders) having the objective to collect information and perception from the researchers of the organization and the QH stakeholders on the current RRI practices. For this reason, the target audience is constituted by the GRRIP partners of RPO&RFO involved in the Audit and, the staff and external stakeholders of each organization.

The general framework of the Audit Plan defined, shared and that obtained the consensus of the Working Groups managers, consists of the steps shown in Table 5.

Table 5. The Audit Plan activities

What	Who	When
<p>1 Draft Audit Plan and surveys preparation. The Internal Audit Plan and surveys (objective and subjective) is prepared and sent to the WG managers for their first review. The refinement follows a participated process (as specified in the next steps that involve the other WP leaders connected to WP5 and the five Working Groups managers of RPOs and RFOs).</p>	CNR, ICoRSA and EUR	20th of July 2019 - 30 th Oct. 2019
<p>2 Feedback from Working Groups managers, and the WP leaders of WPs connected to WP5 on the Draft Audit Plan and surveys Working Groups managers and WP leaders of WPs connected to WP5 provide feedback on the draft Audit Plan versions and surveys to CNR and ICoRSA. This step is repeated till the final version is produced and agreed.</p>	Working Groups managers and WP leaders of WPs connected to WP5	30 th October 2019, 1 st of April 2020
<p>3 Top-Down survey tailored for the five RPOs and RFOs organisation CNR provides the WGs managers, the WP leaders of WPs connected to WP5 and the task force with the revised version of the Audit Plan and the Top-down survey based on the feedbacks of step 2.</p>	CNR	10th of November 2019- 1th of April 2020
<p>4 Final Audit Plan and final version of the Top-down survey to be filled in The final Audit Plan and the final Top-down survey are produced The Top-down survey is managed using qualia analytics.</p>	CNR and ICorsa	1st of November 2019 21st of April 2020
<p>5 Meeting of each Working Group and involvement of the offices for obtaining information WG managers inform their WG members (n=8-10 in each RPO) about GRRIP during a face-to-face meeting (one per each working group). The WG managers can also opt for individual meetings with each WG members. During these meetings, WG members help managers to: a. Identify documents useful for information on the current state of RRI institutional adoption in the organization.</p>	Working groups managers will organise data collection involving the members of the Working Group and offices in the organization	25th of April 2020 – 12th of May 2020

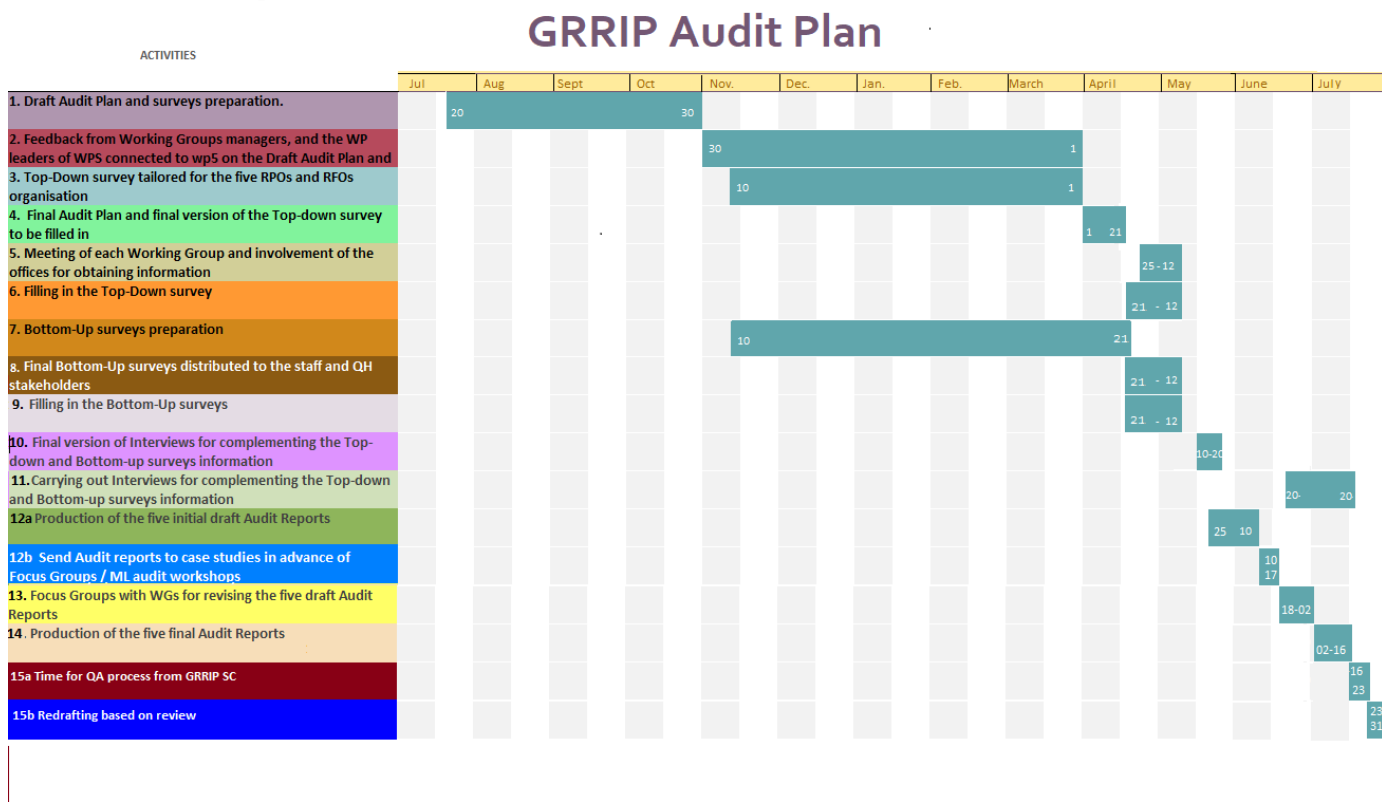


<p>b. Identify people and offices that can provide useful information on the current state of RRI institutionalization in the organization.</p> <p>c. Obtain data and information from the offices and people identified in the organization and email supporting documents and data to the WG Manager.</p>		
<p>6 Filling in the Top-Down survey WG managers, using information from Step 5, fill the objective survey (Top-down). This provides CNR with information about the procedures, data, reports collected by each Organisation, and references to other relevant documents.</p>	Working groups managers	<u>21 April. 2020–12th of May 2020</u>
<p>7 Bottom-Up surveys preparation Working Group managers and other WP leaders receive the bottom-up survey for the staff of RPOs and RFOs, and suggestions are collected. This step is repeated till the final version is produced and agreed.</p>	EUR and ICoRSA	<u>10th of November 2019 - completed 21 April 2020</u>
<p>8 Final Bottom-Up surveys preparation and distributed to the staff and QH stakeholders The Working Groups managers send the bottom-up survey (received in step 6) to the staff of their Organisation</p>	The Working Group managers	<u>21 of April 2020 to- 12th May 2020</u>
<p>9 Filling in the Bottom-Up surveys The researchers of each organization and the Quadruple Helix stakeholders fill in the two questionnaires available on-line.</p>	The Working Group managers	<u>21st of April 2020 12th of May 2020</u> <u>Deadline, 12th May</u>
<p>10 Final version of Interviews for complementing the Top-down and Bottom-up surveys information This activity will enable to complement information that comes from surveys and useful for collecting all the necessary data in WP6</p>	DMU	<u>10th of May - 20 of May 2020</u>
<p>11 Carrying out Interviews for complementing the Top-down and Bottom-up surveys information This activity will enable to complement information that comes from surveys and useful for collecting all the necessary data in WP6</p>	DMU	<u>420 of June 2020-20th July 2020</u>
<p>12a Production of the five initial draft Audit Reports Production of the five initial draft Audit Reports containing the analysis of the current state of the RRI inclusion in each one of the five RPO and RFO involved in GRRIP based on data gathered in steps (according to the task T5.3 - Conduct Audit part A&B for each RPO&RFO). This audit reports should be circulated to the Working Group Manager for distribution and comment by the specific WG.</p>	CNR with the support of other partners (in particular EUR, ICoRSA [<u>focusing exclusively on quantitative survey results</u>] and RPO/RFO)	<u>25th May to 10th of June 2020</u>



12b Send Audit reports to case studies in advance of Focus Groups / ML audit workshops		<u>10-17 June reviewing time</u>
13 Focus Groups with WGs for revising the five draft Audit Reports 5 online focus group discussions (one for each piloting Organisation) with other sites to review their audits. The outcome is a second agreed draft of the Audit Report.	CNR and EUR	<u>18 June – 2 July</u>
14 Production of the five final Audit Reports A final collated report containing Indicators is finalized and information from all the Organisations Audit Reports is produced.	Leads CNR with EUR, ICoRSA [focusing exclusively on quantitative survey results] and RPO/RFO contributions	<u>2nd July to 16th July 2020</u>
15a Time for QA process from GRRIP SC (1 month review?)		<u>16th July-23rd July 2020</u>
15b Redrafting based on review		<u>23rd of July - 31st July 2020</u>

Figure 1. GANTT of the Audit Plan





References

1. <http://morri-project.eu/>
2. <http://www.enrio.eu/country-reports/italy>
3. <https://www.jerri-project.eu/jerri/index.php>
4. Teufel, Benjamin; Lindner, Ralf; Gransche, Bruno; Goos, Kerstin; Nauta, Joram; Steen, Marc; Emmert, Sophie; Joignant, Anne, *Synthesis on existing RRI practices*, Deliverable D1.1 of the project H2020; 709747; JERRI - Joining Efforts for Responsible Research and Innovation
5. <https://www.plotina.eu/>
6. <https://stemmequality.com/wp-content/uploads/2017/06/LISBON-School-of-Economics-Management-Promoting-gender-balance-and-inclusion-in-research-innovation-and-training.pdf>

Appendix – Document shared with Working Group Manager related to their involvement in the Audit Plan implementation

Rationale:

The Audit Plan is designed to support the delivery of five Audit Reports, one from each of the five Research Performing Organisations (RPOs) and Research Funding Organisations (RFOs). These will be the result of an initial audit to be conducted at each of the five RPO / RFO and the outcomes from two dedicated surveys. One top-down survey conducted with the Working Group Manager in each of the sites and the other bottom-up and conducted with the researchers within the specific Organization.

These responses will then be collated, reviewed and used to produce a draft Audit Report for each Organisation and this will be discussed with the individual Organisation and amended as required before final publication as part of a collated report.

In order to support this approach, the WG Manager needs to:

1. Convene a meeting with the Working Group (established under WP5) to conduct the internal



audit based on the rationale above noting that background information about the project and RRI, if required, is available on the GRRIP website - <http://grrip.eu/>. At this meeting, each WG manager explains the process and work required with the Working Group to conduct an audit of their current state of RRI institutional adoption in order to complete the tables contained in the Excel data form available in TEAMS at: <https://teams.microsoft.com/#/files/WP%205?threadId=19%3A61728910e92146dbbfc123258a2adc82%40thread.skype&ctx=channel&context=For%2520sites%2520to%2520upload%2520data&rootfolder=%252Fsites%252FGRRIP%252FShared%2520Documents%252FWP%25205%252FTask%25205.2%252FFor%2520sites%2520to%2520upload%2520data>

2. Please also email Patrizia when you have uploaded the excel file filled in.
3. Complete the top-down survey on-line at the following links:
 - a) MaREI use: grrip-rpo.qualiaanalytics.org?tag=MaREI
 - b) IUML use: grrip-rpo.qualiaanalytics.org?tag=CN
 - c) Swansea use: grrip-rpo.qualiaanalytics.org?tag=SU
 - d) WavEC use: grrip-rpo.qualiaanalytics.org?tag=WavEC
 - e) Plocan use: grrip-rpo.qualiaanalytics.org?tag=PLOCAN
4. Send the bottom-up survey for the staff of the organisation to the research staff inviting them to answer. This is for staff at the site to complete. This staff cohort can include WG members but should not be limited to the WG. It can include any staff doing research or innovation including staff in management or support roles. Each organization can indicate whether they will send Eric Jensen their researchers' email addresses. This will allow us to send the organisation's cohort of researchers the survey and automatically track who has and has not completed it. Alternatively, you can just send the link manually to all your researchers from your email account without giving us any names/addresses. Links are per site. Use only your site's link:
 - a) MaREI use: grrip-researcher.qualiaanalytics.org/?tag=MaREI
 - b) IUML use: grrip-researcher.qualiaanalytics.org/?tag=CN
 - c) Swansea use: grrip-researcher.qualiaanalytics.org/?tag=SU
 - d) WavEC use: grrip-researcher.qualiaanalytics.org/?tag=WavEC
 - e) Plocan use: grrip-researcher.qualiaanalytics.org/?tag=PLOCAN
5. Send the bottom-up survey to the stakeholders of the organisation inviting them to answer. This



is for the list of QH stakeholders of the organisation to complete (i.e. those stakeholders collected in Task 4.1 who say they are happy to receive further information/tasks in the GRRIP project.). Also in this case, the WP managers can send Eric Jensen the full stakeholder cohort's list of email addresses. They can opt to send the link to all stakeholders from your email account. Use only your site's link:

- a) MaREI use: grrip-stakeholder.qualiaanalytics.org/?tag=MaREI
- b) IUML use: grrip-stakeholder.qualiaanalytics.org/?tag=CN
- c) Swansea use: grrip-stakeholder.qualiaanalytics.org/?tag=SU
- d) WavEC use: grrip-stakeholder.qualiaanalytics.org/?tag=WavEC
- e) Plocan use: grrip-stakeholder.qualiaanalytics.org/?tag=PLOCAN

6. Receive an initial draft of the Audit Report which, when drafted, should be circulated to the WG by CNR for consideration and to prepare for a subsequent roundtable discussion with the WP Leaders.
7. Organise a second WG meeting to facilitate this discussion. The Audit Reports will be reviewed using an on-line focus group and amended according to the responses from the respective Working Groups.
8. Agree on the outcome from this meeting to enable the production of a final report based on the Audit Plan the five resulting Audit Reports that show all the outcomes, objectives and targets for all five Organisations in a single document.