



# D2. Report on the state of the art and best practices

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Dissemination Level	
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ABSTRACT: This deliverable includes the reporting procedures, a quality management manual and a set of templates and organisation issues to be used within the project.

Versioning and contribution History			
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1.0	17.07.2020	NTNU	Comments to the draft by the project partners, and contribution to the literature review by the UJI and FECYT teams.
2.0	22.12.2020	NTNU	Text revised based on comments to the draft by project partners, and information from the 22 expert interviews.
3.0	18.01.2021	NTNU	Text revised based on feedback from project partners.
4.0	30.01.2021	NTNU	Text revised based on feedback in internal review process.
4.1.	13.08.2021	NTNU	Text revised based on request European Commission.

Abbreviation	
AB	Advisory Board
AP	Associated Partners
CA	Consortium Agreement
CM	Communication management

<b>EC</b>	European Commission
<b>EU</b>	European Union
<b>GA</b>	Grant Agreement
<b>IM</b>	Innovation Management
<b>IP</b>	Intellectual Property
<b>IPR</b>	Intellectual Property Rights
<b>PC</b>	Project Coordinator
<b>PMC</b>	Project Management Committee
<b>PO</b>	Project Officer
<b>STC</b>	Scientific and Technical Coordinator
<b>TL</b>	Task Leader
<b>TMC</b>	Technical Management Committee
<b>WPL</b>	Work Package Leader

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## EXECUTIVE SUMMARY

The report provides a comprehensive overview of governance theory and practices in the research and innovation (R&I) sector related to the concept of Responsible Research and Innovation (RRI). The report is based on findings from a review of the RRI literature related to the governance of research and innovation processes, and interviews with 22 European-based experts on R&I governance in the area of RRI. The purpose of the report has been to present some of the governance options - or building blocks - available when constructing the ETHNA system, both conceptually and practically speaking. Applying the governance framework of the EC-funded project Res-A-Gora, “The Responsibility Navigator”, the identified examples of governance practices were organized under the following ten governance principles: inclusion, deliberation, and moderation; modularity and flexibility, subsidiarity, and adaptability; capabilities, capacities and institutional entrepreneurship; and culture of transparency, tolerance and rule of law. The principles are referred to in the present report as *modules*. The concept of a module is used to articulate the idea that the principles of the Res-A-Gora framework can be understood as building blocks, which one can pick and choose from when constructing the ETHNA governance system. The cases organized under each module are meant to serve as an inspiration when reflecting on how a module could be adapted to a given institutional context.

# REPORT