



# D6.3 Five-year ETHNA System Sustainability Plan

May 2023

Marko Hajdinjak



This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 872360.

Project Information	
<b>Project Number:</b>	872360
<b>Project Full Title:</b>	ETHNA System. Ethics Governance System for RRI in Higher Education, Funding and Research Centres
<b>Project Acronym:</b>	ETHNA System
<b>Funding Scheme:</b>	SwafS
<b>Call identifier:</b>	H2020-SwafS-2019-1
<b>Start Date of Project:</b>	01/01/2020
<b>Duration:</b>	42 months
<b>Project Website:</b>	Ethnasystem.eu

Deliverable Information	
<b>Deliverable No:</b>	6.3
<b>Deliverable Title:</b>	Five-year ETHNA System Sustainability Plan
<b>WP Number:</b>	6
<b>Lead:</b>	Applied Research and Communications Fund (ARC Fund)
<b>Contributing Partners:</b>	Lars Øystein Ursin and Giovanni De Grandis (NTNU), Ülle Must (Harno), Ramón A. Feenstra and Elsa González-Esteban (UJI), Filipa Ferrada, Ana Inês Oliveira and Luis Camarinha-Matos (UNINOVA), Juan Bertolin (Españtec), Gabor Szudi and Dietmar Lampert (ZSI), Zoya Damianova (ARC Fund)
<b>Related Task(s):</b>	Task 6.3 Implementation plan of the ETHNA System
<b>Type:</b>	Report
<b>Author(s):</b>	Marko Hajdinjak
<b>Due Submission Date:</b>	31/05/2023
<b>Actual Submission:</b>	31/05/2023

Dissemination Level	
<b>PUBLIC</b>	

**ABSTRACT:** This deliverable represents a detailed, but practical and user-friendly plan for implementation of the ETHNA System in different types of research and/or innovation performing and research funding organisations. It contains a brief overview of the ETHNA System, a general part applicable to a variety of organisations, and four specific sections suggesting a possible implementation plan for universities, innovation ecosystem institutions, smaller research centres, and research funding organisations. The Five-year Sustainability Plan draws from the experience and lessons learned during the implementation process in six piloting organisations from five countries. The piloting phase lasted about one year and made it possible to realistically assess the viability of the process in the six organisations. Based on this critical evaluation, the Five-year ETHNA System Sustainability Plan, presented in the current document, has been developed.

## **ACKNOWLEDGMENT & DISCLAIMER**

This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 872360.

The information and views set out in this report are those of the author(s) and do not necessarily reflect the official opinion of the European Union. Neither the European Union institutions and bodies nor any person acting on their behalf may be held responsible for the use which may be made of the information contained therein.

Reproduction is authorised provided the source is acknowledged.

Cover page illustration © stock.adobe.com/NDABCREATIVITY; © stock.adobe.com/brankospejs;  
© stock.adobe.com/JEGAS RA

<b>Versioning and contribution History</b>			
<b>Version</b>	<b>Date</b>	<b>Modified by</b>	<b>Reason for Modification</b>
<b>1.0</b>	28.04.2023	Marko Hajdinjak	The first draft
<b>1.1</b>	15.05.2023	Ramón A. Feenstra, Elsa González-Esteban, Elsa Alves, Ülle Must	Peer review editing suggestions
<b>2.0</b>	31.05.2023	Marko Hajdinjak	The final version

<b>Abbreviation</b>	
ARC Fund	Applied Research and Communications Fund
CEGP	Code of Ethics and Good Practices
EC	European Commission
Espatec	Science, Technology and Business Park
EU	European Union
H2020	Horizon 2020
Harno	Education and Youth Board
NTNU	Norwegian University of Science and Technology
R&D	Research and Development
R&I	Research and Innovation
RFO	Research Funding Organisation
RPO	Research Performing Organisation
RRI	Responsible Research and Innovation
UJI	University Jaume I
UNINOVA	Institute for the Development of New Technologies

## Table of contents

<b>Introduction</b> .....	<b>6</b>
<b>1. About the ETHNA System – a brief overview</b> .....	<b>7</b>
<b>2. Implementation overview</b> .....	<b>8</b>
<b>3. Stage 1 – Preparation (Year 1)</b> .....	<b>9</b>
3.1 Appointment of a working group .....	9
3.2 Analysis of the internal organisational situation / RRI Review .....	10
3.3 Identification of priorities and goals of ETHNA System implementation .....	11
3.4 Mapping of internal and external stakeholders.....	12
<b>4. Stage 2 – Planning (Year 2)</b> .....	<b>13</b>
<b>5. Stage 3 – Construction (Years 2 and 3)</b> .....	<b>16</b>
5.1 Designation of the RRI Officer / RRI Office .....	16
5.2 Writing of the Code of Ethics and Good Practices in R&I .....	16
5.3 Establishment of the Ethics Committee on R&I.....	17
5.4 Set up the Ethics Line.....	17
5.5 Involvement of internal and external stakeholders .....	18
<b>6. Stage 4 – Consultation (Year 3)</b> .....	<b>19</b>
6.1 Workshop(s) with internal stakeholders .....	19
6.2 Workshop(s) with external stakeholders .....	19
6.3 Revision of ETHNA System and its blocks.....	19
<b>7. Stage 5 – Promotion (Years 4 and 5)</b> .....	<b>20</b>
<b>8. Stage 6 – Evaluation and review (Years 4 and 5)</b> .....	<b>21</b>
<b>9. Specific features of different organisational contexts</b> .....	<b>21</b>
9.1 Universities.....	21
9.2 Higher education funding agency .....	22
9.3 Innovation ecosystem.....	23
9.4 Applied research centres.....	23
<b>10. Five-year ETHNA System Sustainability Plan – activity timeline</b> .....	<b>25</b>
<b>11. Conclusion</b> .....	<b>27</b>
<b>12. References and further reading</b> .....	<b>27</b>

## Introduction

This document represents a sustainability plan for the integration of the ETHNA System into the management structure and practice of organisations in four different contexts: Higher Education, Research Funding, Innovation Ecosystems and Research Centres. The sustainability plan is based on the final version of the ETHNA System Guide and builds on the lessons learned during the pilot implementation in six organisations: two universities (UJI and NTNU), one higher education funding agency (Harno), one science, technology and business park (Espaitec), one applied research institute (UNINOVA) and one private research centre (ARC Fund). The plan also builds on the D4.3 Blueprint for Institutional Change to Implement an Effective RRI Governance – an important document which provides further guidance to organisations aiming to implement the ETHNA System.

The current sustainability plan includes a general part, which can be applied in different types of organisations, and four specific sections to account for the differences among universities, research centres, technology parks and research funders.

The sustainability plan lists and explains the main suggested activities, proposes who should be tasked with proper and timely execution of these activities, sets the reasonable timeframe, and provides a set of indicators to monitor and evaluate the progress.

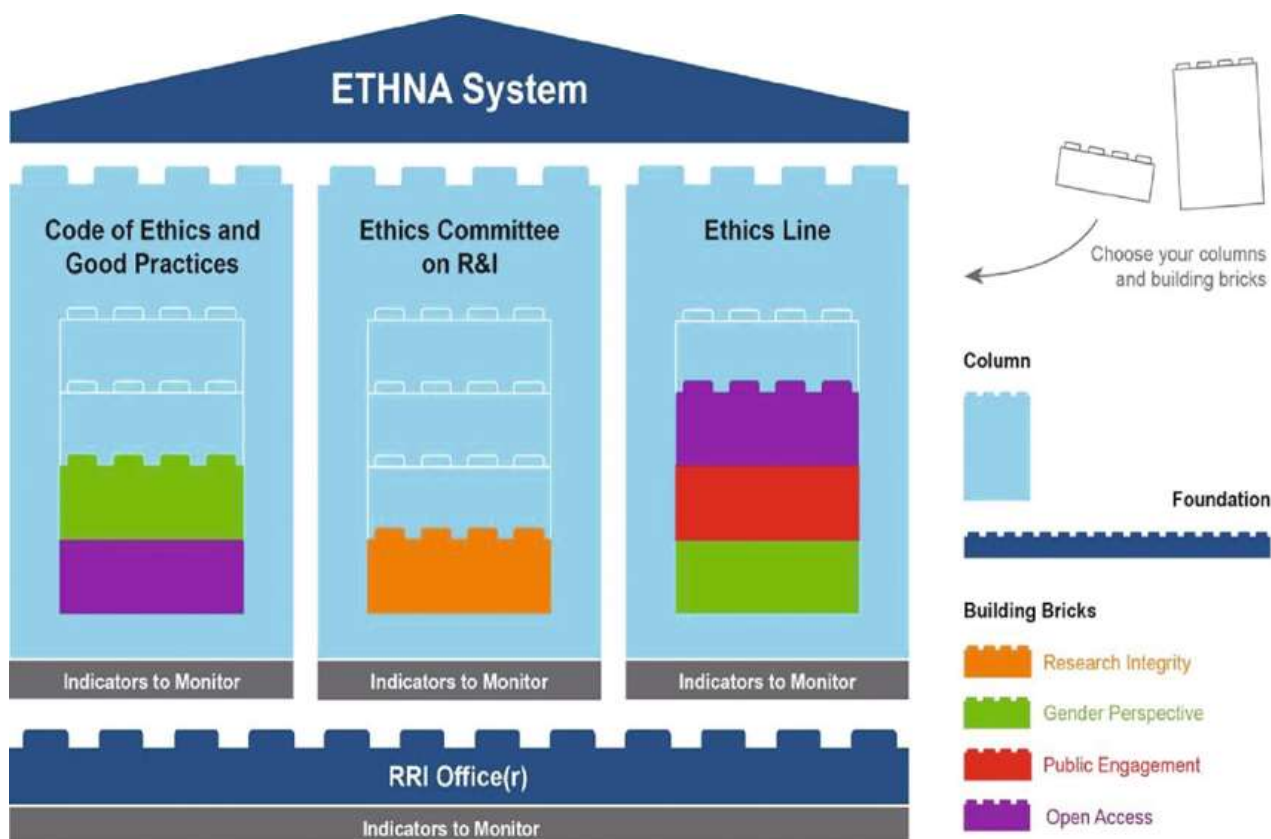
The implementation process is divided into six main stages, following the philosophy of continuous improvement under which the ETHNA System was designed: preparation, planning, construction, consultation, promotion, and evaluation/review.

**IMPORTANT:** The current document (Five-year ETHNA System Sustainability Plan) is not envisaged to be used independently and is not sufficient for successful adoption of ETHNA System into the organisational structure. This is an auxiliary document providing a clear and easy-to-follow guidance and can only be used in combination with [D6.2 Final ETHNA System Guide](#). It is intended for the organisations that have already decided to implement the ETHNA System. The main purpose of the document is to propose a practical timeline for putting into practice the detailed instructions contained in D6.2 Final ETHNA System Guide.

## 1. About the ETHNA System – a brief overview

The **ETHNA System is a flexible ethical governance tool** for the management of R&I activities in higher education, research funding organisations, research performing organisations, and organisations that bring scientific and technological innovation to the market. It consists of several building blocks that can be arranged and adapted according to the needs, resources and priorities of each organisation, and can be easily modified over time.

Figure: Blocks for constructing the ETHNA System



The **Foundation Block**, or the central element supporting the entire ETHNA System structure, is **the RRI Office (for large organisations) or RRI Officer (for smaller organisations)**. The RRI Office involves a small team (ideally 2 or 3 persons). Its work would be greatly facilitated if the team is provided with an appropriate room or other suitable fully equipped working space. This, however, is associated with certain costs and availability of sufficient resources, and might not be feasible for all organisations, including universities.

An easier and more practical option, at least in the initial period, is therefore an appointment of an RRI Officer. Both RRI Office and RRI Officer are responsible for similar tasks. In general, they need to prepare the ETHNA System Implementation Plan, present it to the management of the organisation and obtain its endorsement, monitor the implementation of the Plan, facilitate the continuous revision and improvement of the ETHNA System, maintain the regular communication with the internal and external stakeholders, promote the principles and values of ethical management and disseminate information pertaining to the ETHNA System and RRI issues within and outside the organisation.

While the RRI Office team or the RRI Officer can commit themselves to take up these roles voluntarily and perform the work pro bono alongside their regular obligations, this is not recommended, as it will in

most cases result in undue pressure and stress due to the need to balance between the two roles. The suggested approach is to designate a permanent position of the RRI Officer, based either on a full-time or part-time contract (depending on the size of the organisation), for a limited period of time (a two-year term is recommended).

After laying the Foundation Block, the organisation can proceed with adding the Column Blocks. As shown on the figure above, there are **three Column Blocks (Code of Ethics and Good Practices, Ethics Committee on R&I, and the Ethics Line)**, each consisting of up to **four bricks (RRI keys of Research Integrity, Gender Perspective, Public Engagement and Open Access)**. The organisations are completely free to select the number and type of columns and bricks, as their decision will in no way compromise the stability of the entire structure. Any potential combination of elements is designed to help the organisations achieve and maintain the high ethical standards of their R&I activities in accordance with the internationally recognised ethical standards of RRI.

The Code of Ethics and Good Practices in R&I is the essential document that explicitly outlines the principles, values, and good practices that should guide the activity of the people involved in R&I processes, as well as the policies and programmes of the organisation.

The Ethics Committee on R&I is an internal consultation and arbitration body that acts as a forum for participation, reflection, and dialogue between the organisation's different stakeholders in R&I matters.

The Ethics Line is a communication channel that allows all stakeholders to easily and safely submit their suggestions, warnings, complaints, and reports.

The organisations can opt for **three different levels of implementation**:

- **Level 1:** The organisation appoints the RRI Office or the RRI Officer and supports its activity. The RRI Office(r) will be in charge of disseminating the ETHNA System concepts, promoting awareness of principles and values, establishing activities and performance indicators for the Implementation Plan, and monitoring the progress of the ETHNA System in the organisation through progress indicators.
- **Level 2:** The organisation appoints the RRI Office or the RRI Officer and implements some of the Column Blocks (the Code of Ethics and Good Practices in R&I, the Ethics Committee on R&I, the Ethics Line). The Implementation Plan should incorporate at least one of the four major RRI keys: Research Integrity, Gender Perspective, Open Access, and Public Engagement.
- **Level 3:** The organisation fully develops the ETHNA System. It designates the RRI Office(r), implements all three Column Blocks and applies a proactive attitude in all RRI key areas: Research Integrity, Gender Perspective, Open Access, and Public Engagement.

Progress and performance indicators are used at all three levels to monitor and evaluate the progress and achievements of the ETHNA System. Each organisation will choose the progress indicators in relation with their specific commitment to the ETHNA System in order to evaluate the level of accomplishment. Performance indicators are meant to provide information about the effect of the implementation actions.

## 2. Implementation overview

The implementation of the ETHNA System is divided into six main stages spread over a five-year period. In the piloting stage, these six stages were condensed into a single year. The piloting showed that one year is highly insufficient and two to three years are necessary for the full implementation. In the current guiding document, we propose a five-year sustainability plan to allow sufficient time for proper monitoring, evaluation and review of the process – something which was not done in the satisfactory way during the year-long testing phase.



**Stage 1 – Preparation** (Year 1): appointment of a working group; internal RRI Review; identification of priorities and goals; mapping of internal and external stakeholders.

**Stage 2 – Planning** (Year 2): drafting of the Implementation Plan; approval of the Implementation Plan.

**Stage 3 – Construction** (Years 2 and 3): designation of RRI Officer / RRI Office; writing of the Code of Ethics and Good Practices in R&I; establishment of the Ethics Committee on R&I; set up of the Ethics Line.

**Stage 4 – Consultation** (Year 3): workshop(s) with internal stakeholders; workshop(s) with external stakeholders, revision of the ETHNA System and its blocks.

**Stage 5 – Promotion** (Years 4 and 5): training on research ethics for all members of staff (internal stakeholders); awareness-raising campaigns; promotion events.

**Stage 6 – Evaluation and review** (Years 4 and 5): annual evaluation of the ETHNA System performance; report about the ETHNA System performance and adjustment/revision of the weak elements.

### 3. Stage 1 – Preparation (Year 1)

The objective of the preparation stage is to **establish the current state-of-play regarding the embeddedness of ethical governance of research and innovation activities** in the organisation and prepare the smooth implementation of the ETHNA System. This is done through detailed mapping and review of internal organisational resources, practices and policies. The review includes interactions (interviews and a focus group) with the relevant internal stakeholders. If deemed appropriate, external stakeholders can also be engaged at this stage, but this is not mandatory. On the other hand, the involvement of internal stakeholders (management and researchers) is essential, because this preliminary step marks the beginning of the co-creation process. The piloting has shown that participation of staff in the different stages of the process is one of its most rewarding and beneficial aspects. Not only does it improve the quality and relevance of the introduced ETHNA System tools, but also guarantees that they are not seen by the personnel as something imposed on them from the top.

#### 3.1 Appointment of a working group

The preparation starts with the **designation of a working group to conduct the internal assessment or an RRI Review**. The size and composition of the working group may depend on the size and complexity of each organisation. It is recommended that it includes at least 2, but no more than 5 members. The working group members will need to select a group leader – a person responsible for the coordination of the work, and for communication with internal and external stakeholders.

When appointing the working group, it needs to be taken into consideration that the implementation process will require considerable engagement in terms of effort and time. While not a necessary obligation, the process would be greatly facilitated if those involved have an above average knowledge of the entire RRI concept or some of its elements, and have a solid understanding of the organisation's modus operandi.

In smaller organisations, the selection of the working group members can be done rather quickly through nomination of candidates, while in larger ones, the process might go through several steps – internal call for expression of interest, submission of applications, evaluation of applications and selection.

**Timeline: Months 1-3.**

## 3.2 Analysis of the internal organisational situation / RRI Review

The aim of this step is to **identify the existing organisational resources and capacities**, and set the goals and priorities for improvement of the institutional/organisational policies and practices through implementation of the ETHNA system. The RRI Review encompasses three or four main activities:

- 1) A detailed **examination** of the relevant internal organisational **documents**.
- 2) (Optional) In large organisations such as universities an **online survey** can be conducted.
- 3) **Interviews** with several key members of staff (recommended at least two interviews at each of the following three levels: senior managers; middle-level managers/researchers/lecturers/experts; junior level).
- 4) A **focus group** to explore issues not sufficiently addressed during the interviews. The number of focus groups depends on the size of the organisations. Larger ones can consider organising up to four focus groups – one for each of the four key areas of RRI (Research Integrity, Gender Perspective, Public Engagement, and Open Access).

These activities will help the organisation to achieve the following:

- **Identify and describe the current state-of-play regarding the embeddedness of ethical governance of research and innovation activities** in the organisation;
- **Identify and describe the existing resources of the organisation related with the ethical governance of research and innovation** and/or the individual RRI key areas (mapping of the internal organisational resources);
- **Identify and set the goals** for improving the existing resources and establishing new ones to overcome the current gaps.

The existing internal organisational resources may include:

- Documents and policies (for example Code of Ethics, Code of Conduct, Data Management Plan, Gender Equality Plan, Annual reports, guidelines, assessments and evaluations, mission statements, action plans, strategies, etc.);
- Human resources (for example staff with knowledge, experience and/or expertise in the different RRI key areas, members of research ethics boards and committees, etc.);
- Material resources (for example departments, units, programmes, commissions or other structures related to different aspects of RRI, such as research ethics board, organisational unit for strategic development, team experienced in public and stakeholder engagement, gender equality officer, etc.).

The aim of the interviews is to highlight the relevant areas where further actions are needed to embed the ethics governance system into organisational policy and practice. The interviews will help the working group to determine which column blocks and which bricks are the most appropriate for the “construction” of the ETHNA System in the organisation, and will outline the areas where there is the greatest need for improvement. Lastly, the interviewees themselves might suggest some possible solutions for strengthening the organisation’s work on different aspects of responsibility in research and innovation.

The survey serves the same purpose as the interviews and can be conducted in addition to or instead of the interviews – depending on what is most appropriate for the organisational context. Although the interviews are more time-consuming, they generally delve deeper into the topics of interest and the interviewee has the possibility to ask for clarification. For this reason it would be more beneficial to conduct the survey first (if needed) and then use the interviews to obtain a richer and more detailed information.

The focus group can further clarify issues not sufficiently explored during the desk research and the interviews. It is suggested that the focus group includes the following stakeholders: at least one

participant from each of the three indicated hierarchy levels (low, middle and high) and at least one participant from each unit mapped during the desk research (mapping of the internal organisational resources).

Findings from these research tasks (document review, interviews, survey, focus group) can be summarised in a short report, which will also outline the areas for targeted measures towards implementation of the ethics governance system in the internal policies and practices of the organisation.

The report based on the RRI Review should provide concise answers to the following questions:

- To what extent is the ethics governance system a relevant issue in the organisation?
- Who is responsible for the governance, management, implementation, monitoring and evaluation of policies and practices pertaining to different RRI key areas?
- Which RRI key areas are already integrated in the organisational documents and policies, and to what extent?
- Which RRI key areas are most prominently featured in the organisational practices?
- What is still missing? How could the integration and implementation of ETHNA System or its building blocks further improve the R&I policy and practice in the organisation?

**Timeline:**

**Review of the documents: Months 4-5.**

**Interviews and/or survey: Months 6-7.**

**Analysis of the interviews and survey: Month 8.**

**Focus group: Month 9**

**Analysis of the focus group: Month 10**

**Writing of the report: Month 11**

### 3.3 Identification of priorities and goals of ETHNA System implementation

Before proceeding with the implementation, the working group should use the results of the RRI Review to **identify and list the main priorities and goals for the organisation** in regards to the ethical management and conduct of research and innovation activities. Ideally, these priorities should be formulated in such a way to maximise the impact of already existing capabilities of the organisation and to clearly demonstrate the potential of the ETHNA System to overcome the identified gaps and weak points in the organisation's R&I governance.

**Timeline: Month 12**

**Examples of priorities and goals:**

- Create a competent and efficient ethical governance system, consisting of RRI Officer, Code of Ethics and Good Research Practices, Ethics Committee and Ethics Line.
- Involve the stakeholders in the creation of an ethical governance system.
- Raise awareness about the ethical and responsible R&I.
- Educate and train researchers on all four RRI key areas.
- Minimise cases of research misconduct.
- Adapt funding/support measures and evaluation criteria to RRI requirements.
- Organise RRI information repository with guidance and recommendations.
- Further strengthen the credibility and position of the organisation vis-à-vis the society, stakeholders, funding programmes.

### 3.4 Mapping of internal and external stakeholders

For detailed guidance how to identify internal and external stakeholders, see [D3.1 Mapping stakeholders and scoping involvement. A guide for HEFRCS](#).

Internal and external stakeholders are involved in most of the stages of the implementation process. Their engagement enables the bottom-up approach within the organisation and ensures that the staff of the organisations sees the process as co-created by them and not imposed from the top. Stakeholder engagement further enriches the ETHNA System implementation process, as it brings onboard different perspectives and allows the exchange of knowledge and experiences, which leads to new ideas and better solutions.

**Internal stakeholders** are employees of the organisation. They are the ones that will be most directly affected by the introduction of the ETHNA System in the organisation. On the other hand, the internal stakeholders can also play an important role in the development of the system, as they have the best knowledge of existing ethical governance procedures, including their shortcomings and advantages.

**External stakeholders** may include partners, donors, beneficiaries and other types of organisations or individuals, who cooperate with the organisation in different capacities. External stakeholders can also provide valuable and unbiased input for improvement of the ETHNA System, or may be willing to learn about it and considered implementing it in their own organisations.

Each organisation can use its own approaches to the mapping of stakeholders. To start the process, the core team working on the ETHNA System implementation can have several meetings to discuss and identify the initial pool of stakeholders, and later on snowballing technique can be applied whereas the identified stakeholders are consulted about additional relevant persons to be added and approached.

After identifying the stakeholders and compiling the stakeholder list, the team can proceed with the analysis of the information. A useful approach would be to arrange the stakeholders according to their position in the quadruple helix (research and academia, business/industry, policymakers, and civil society), their knowledge and expertise with RRI key areas (Research Integrity, Gender, Public Engagement, Science Education, Open Access) and the dimensions of the R&I process (Anticipation, Inclusion, Reflexivity, Responsiveness).

The results of the analysis can be summarised in a stakeholder mapping table, similar to this one:

Position of stakeholder	Organisation	Type of organisation	Relation to RRI key areas					Relation to dimensions of the R&I process			
			Research Integrity	Gender	Public Engagement	Science Education	Open Access	Anticipation	Inclusion	Reflexivity	Responsiveness

**Timeline: Months 11-13.**

## 4. Stage 2 – Planning (Year 2)

The planning stage focuses on the **preparation of the Implementation Plan** and its subsequent approval by the senior management.

Before proceeding with the development of the Implementation Plan, the organisation should do the following:

- Select the appropriate unit / department / programme in which to implement the ETHNA System (the ETHNA System can be easily applied on the level of the entire organisations, but in large organisations such as universities it may be initially implemented only in one faculty or department).
- Define realistic goals that match the available capabilities and resources of the organisation.
- Identify those elements of the ETHNA System that will enable the organisation to achieve the defined goals.
- Decide about the level and type of implementation.
- List the resources (including human) that will be necessary to conduct the process.

It is recommended that the Implementation Plan is prepared by the same working group that conducted the internal RRI Review of the organisation. If this is not possible, at least the working group leader should be engaged with the preparation of the Plan.

Ideally, the same person(s) who will write the Plan should also be responsible for the execution and monitoring of all stages of the process, as outlined in the Plan. As this is actually one of the main responsibilities of the RRI Officer, in the best-case scenario the working group leader would be appointed as the RRI Officer. If this is not the case, it is highly recommended to involve the potential nominee(s) for the position of the RRI Officer in the preparation of the Implementation Plan.

The Implementation Plan is the foundation of the ETHNA System implementation process, but this does not mean that once it is written and approved, it needs to be set in stone. On the contrary, the Plan should be flexible and allow for the necessary changes and adjustments to be made whenever the need arises.

The experience of the six piloting organisations has shown that the methodology and the Implementation Plans designed at the start of the process considerably underestimated the effort and time that needed to be invested into the process. In all cases, the envisaged activities proved to be more demanding and time-consuming than expected. This is especially true for the writing of the Code of Ethics and Good Practices (several drafts will need to be produced before the final document is approved and endorsed), the setting up of the Ethics Committee (different versions and variations of the Committee might be discussed before the final form is agreed on), and the development of the Ethics Line (there might also be several options to discuss and select from).

As a rule of thumb, the Implementation Plan should not be overly ambitious, but realistic and focused on the most important aspects, as identified during the RRI Review. Most researchers (and other employees) are busy with their own obligations and tasks and will not be available to participate in all the activities envisaged in the Plan – at least not always within the planned timeframe. The Plan should therefore foresee that certain activities will need to be repeated on alternative dates to include employees that were unavailable for the original event.

The Implementation Plan should be applicable and relevant for different units, departments, programmes or faculties of an organisation, which can also be a challenging task. The Plan has to be general enough to fit a variety of internal organisational contexts, yet at the same time detailed and concrete enough to enable a meaningful process.

Once completed, the Implementation Plan should be approved by the senior management of the organisation. In general, support and encouragement from the management is extremely important throughout the process, but without its unconditional endorsement of the Plan, the implementation process cannot begin.

**Timeline: Months 13-16.****Implementation Plan – a model**

<b>LEVEL OF COMMITMENT</b>		
<input type="checkbox"/> Level 1 <input type="checkbox"/> Level 2 <input type="checkbox"/> Level 3		
<b>COLUMN BLOCKS</b>		
<input type="checkbox"/> The Code of Ethics and Good Practices in R&I	<input type="checkbox"/> The Ethics Committee on R&I	<input type="checkbox"/> The Ethics Line
<b>RRI KEYS (BUILDING BRICKS)</b>		
<input type="checkbox"/> Research Integrity <input type="checkbox"/> Gender Perspective <input type="checkbox"/> Public Engagement <input type="checkbox"/> Open Access	<input type="checkbox"/> Research Integrity <input type="checkbox"/> Gender Perspective <input type="checkbox"/> Public Engagement <input type="checkbox"/> Open Access	<input type="checkbox"/> Research Integrity <input type="checkbox"/> Gender Perspective <input type="checkbox"/> Public Engagement <input type="checkbox"/> Open Access

	<b>Activity</b>	<b>Deadline</b>	<b>Responsible Unit</b>	<b>Performance Indicator</b>
1	Meeting with senior management			Meeting with senior management held
2	Determine the level of commitment			Level of commitment to the ETHNA System determined
3	Development of Implementation Plan			Implementation Plan developed
4	Nominate the RRI Officer			The RRI Officer nominated
5	Designate the RRI Office(r)			The RRI Officer appointed
6	Define the responsibilities of the RRI Office(r)			List of the core duties of the RRI Officer Actions undertaken by the RRI Officer
7	Establish the working group to write the Code of Ethics and Good Practices in R&I (CEGP)			Working group to write the CEGP formed
8	Define the responsibilities of the CEGP working group			Goals, actions, and responsibilities of the working group defined
9	Set up the schedule for the working group meetings			Meetings of the working group held regularly
10	Define the content of the CEGP (RRI key areas)			Decision made which RRI areas to be covered by CEGP
11	Mapping of external stakeholders			List of external stakeholders to be involved
12	Complete the first draft of CEGP			First draft of CEGP written
13	Start the participatory process with internal stakeholders to discuss the first draft of CEGP			Participatory process with internal stakeholders launched Meetings with internal stakeholders to discuss the content of the CEGP

				Suggestions for improving the draft received
14	Complete the second draft of CEGP			Second draft of CEGP written
15	Participatory process with internal and external stakeholders			Workshop with internal and external stakeholders to receive feedback on CEGP External stakeholder consultations
16	Finalise the CEGP			CEGP finalised
17	Nominate the members of the Ethics Committee on R&I			The Ethics Committee members nominated
18	Establish the Ethics Committee on R&I			The Ethics Committee established and started work
19	Define the responsibilities of the Ethics Committee on R&I			List of the core duties of the Ethics Committee on R&I Actions undertaken by the Ethics Committee on R&I
20	Training of the Ethics Committee members			Members of the Board trained to uphold CEGP
21	Prepare and set up the Ethics Line			The Ethics Line established
22	Define the rules and procedures for the Ethics Line			Rules and procedures for the Ethics Line published on the website of the organisation
23	Endorsement of CEGP by the management			CEGP approved and endorsed
24	Actions to raise internal awareness concerning CEGP			Number and type of actions
25	Actions to promote RRI key Ethics and Research Integrity			Number and type of actions
26	Actions to promote RRI key Gender Equality and Diversity			Number and type of actions
27	Actions to promote RRI key Public Engagement			Number and type of actions
28	Actions to promote RRI key Open Access			Number and type of actions
29	Workshop with external stakeholders to promote the ETHNA System			Workshop organised Number of participants
30	Establish an institutional compliance monitoring process			Monitoring process established
31	Reporting on progress and performance of the CEGP			Annual report on progress and performance
32				

Note: The Implementation Plan model proposed here includes most of the activities recommended for commitment level 3. The Implementation Plans for level 1 and 2 are expected to be shorter. However, organisations are completely free to modify the proposed activities and indicators, and to add new ones.

A more detailed set of actions related to the Code of Ethics and Good Practices in R&I, the Ethics Committee on R&I and the Ethics Line can be found on pages 28-30 of the [D6.2 Final ETHNA System Guide](#).

## 5. Stage 3 – Construction (Years 2 and 3)

Once the Implementation Plan has been written by the responsible person or working group and approved by the leadership of the organisation, the actual ETHNA System implementation process can commence. Depending on the selected level of commitment, the construction stage might include some or all of the following tasks:

- Designation of the RRI Officer / RRI Office;
- Writing of the Code of Ethics and Good Practices in R&I;
- Establishment of the Ethics Committee on R&I;
- Set up of the Ethics Line;
- Involvement of stakeholders.

### 5.1 Designation of the RRI Officer / RRI Office

For detailed instructions on how to establish the RRI Office / RRI Officer, see pages 32 and 33 of the [D6.2 Final ETHNA System Guide](#).

Main steps:

STEP 1. Select the RRI Office(r): decide whether a person, unit, or department will be responsible for the proper development of the ETHNA System and then formally establish their competences and responsibilities.

STEP 2. Select the support staff, if necessary, and define their roles and responsibilities.

STEP 3. Choose the location of the RRI Office(r), if applicable: decide whether the RRI Office(r) will have a physical and/or virtual space within the organisation.

STEP 4. Develop the Action Plan for the RRI Office(r).

STEP 5. Define the communication, motivation, and awareness-raising actions to ensure all stakeholders are aware of the RRI Office(r) and know how to take advantage of this body.

STEP 6. Develop monitoring indicators for the RRI Office(r) to evaluate its progress and performance, and establish the areas for improvement in Stage 6 (years 4 and 5).

**Timeline: Months 17-18.**

### 5.2 Writing of the Code of Ethics and Good Practices in R&I

For detailed instructions on how to develop the Code of Ethics and Good Practices in R&I (CEGP), see pages 34-37 of the [D6.2 Final ETHNA System Guide](#).

Main steps:

STEP 1. Establish the working group to write the CEGP and define the responsibilities of its members on a meeting.

STEP 2. Use the report based on the RRI Review to identify the main risks and good practices in R&I linked to the activity of the organisation or to the type of research and innovation it funds.

STEP 3. Identify the relevant aspects that should be included in the CEGP considering the research, innovation, and/or funding activity of the organisation.

STEP 4. Write the first draft of the CEGP.



STEP 5. Engage in a dialogue with relevant stakeholders of your organisation to gather opinions, suggestions, and proposals for the improvement of the CEGP draft.

STEP 6. Develop the final version of the CEGP (if necessary, develop the second draft and repeat the consultation process with stakeholders, and then produce the third and final version).

STEP 7. Have the final version of the CEGP approved by the highest authority in the organisation or, if relevant, by the highest authority for research and innovation in your organisation.

STEP 8. Establish a process to disseminate the CEGP and raise the awareness about the document in the organisation. This process includes setting up communication channels for receiving suggestions to improve, update and/or revise the CEGP.

STEP 9. Develop CEGP monitoring indicators to evaluate the level of progress and performance in achieving the goals of the CEGP.

**Timeline: Months 17-26.**

### 5.3 Establishment of the Ethics Committee on R&I

For detailed instructions on how to establish the Ethics Committee on R&I, see pages 38-41 of the [D6.2 Final ETHNA System Guide](#).

Main steps:

STEP 1. Define the objectives of the Ethics Committee on R&I.

STEP 2. Define the mandate, composition, scope and principles of action for the Ethics Committee on R&I.

STEP 3. Decide whether to have a permanent or ad hoc Ethics Committee on R&I model.

STEP 4. Nominate and select the members of the Ethics Committee on R&I. The committee should at least have a chairperson, a secretary, and an ordinary member.

STEP 5. Specify the duties and responsibilities of the Committee members, considering their experience, capabilities, resources, and objectives.

STEP 6. Define the work methodology of the Ethics Committee on R&I (the meetings, decision-making process, reports, and monitoring).

STEP 7. Approve the Ethics Committee on R&I.

STEP 8. Develop the monitoring indicators for the Ethics Committee on R&I.

**Timeline: Months 19-22.**

### 5.4 Set up the Ethics Line

For detailed instructions on how to set up the Ethics Line, see pages 42-44 of the [D6.2 Final ETHNA System Guide](#).

Main steps:

STEP 1. Decide the scope of the Ethics Line (it can be either an internal or external communication channel).

STEP 2. Define the type of Ethics Line channel (anonymous, confidential, or public).

STEP 3. Designate the person responsible for the proper operation of the Ethics Line, and define their duties and competences.

STEP 4. Select the communication tools to be used by the Ethics Line (traditional mail, e-mail, web questionnaires, telephone, face-to-face, etc.).

STEP 5. Define the type of notifications that can be sent via the Ethics Line and the type of information that the notifications should include.

STEP 6. Designate the person responsible for the management, custody, and/or confidentiality of the data and information collected via the Ethics Line.

STEP 7. Formulate the Ethics Line action protocol for receiving, managing and resolving the Ethics Line notifications.

STEP 8. Develop the communication, motivation, and awareness-raising plan for the Ethics Line.

STEP 6.9. Draft monitoring indicators for the Ethics Line.

**Timeline: Months 25-27.**

## 5.5 Involvement of internal and external stakeholders

For detailed guidance how to approach and involve internal and external stakeholders, see [D3.3 Stakeholder involvement in ethical governance of R&I. A guide for HEFRCS](#).

Organisations can use a variety of approaches for engaging stakeholders. Based on the mapping process, the organisations are advised to conduct the prioritisation of stakeholders and determine which are the most suitable and relevant for a particular activity. Depending on the needs of the organisation and its implementation process, different aspects may be considered for the selection, for example, internal power relations, willingness to participate, expertise and experience of the stakeholders. However, the gender balance of the involved stakeholders is also an important issue to consider, as well as the inclusion of underrepresented groups. In general, the stakeholder recruitment should strive to maximise the variety of voices and opinions.

During the selection process, keep in mind that inevitably a certain number of stakeholders will be unable to attend a given event scheduled on a particular date, or may otherwise be prevented from taking part in the process, hence it is good to develop a reserve list as well.

The recruitment of stakeholders can happen in several ways. Direct face-to-face contact or a phone call are highly recommended, but personalised e-mails sent to stakeholders by the senior manager or the ETHNA System implementing team are also a good way for reaching out. Regardless of the method, the approached stakeholders should be informed in a concise manner about the purpose of their involvement, what is expected from them, and why their contributions can generate an important impact.

The communication with stakeholders must not end with their participation in a certain activity. It is exceptionally important to properly share and disseminate the results of the given activity in which the stakeholders have participated. For example, reports/minutes from the meetings should be sent to stakeholders in a reasonable time, the finished Code of Ethics or other relevant documents should be sent to them, they need to be invited to relevant events, etc.

**Timeline: Months 20-28.**

## 6. Stage 4 – Consultation (Year 3)

The Consultation stage is focused on organisation of **two workshops<sup>1</sup> – one with internal and one with external stakeholders**. The detailed methodological guidance for organisations to plan and conduct stakeholder workshops are provided in [D3.3 Stakeholder involvement in ethical governance of R&I. A guide for HEFRCS](#). The ideas and opinions provided during the workshops can be used to revise and update the ETHNA System and its components.

### 6.1 Workshop(s) with internal stakeholders

As explained above, the internal stakeholders are all employees of the implementing organisation. As such, they will be directly involved in, affected by and will be the main users of the new ethics governance structure. This means that they should not be merely informed and made aware about it, but should recognise it as a vital aspect of their work and be committed to contribute to the institutional change within the organisation. The internal stakeholders have a role to play in almost all stages of the implementation process, but the Consultation stage is where their participation is especially important.

The aim of the Consultation stage is to conduct the initial testing of the ETHNA System to ensure that all the elements (columns and bricks) have been “assembled” properly to ensure the positive impact and benefits for the organisation and for the employees. For this purpose, we recommend to conduct a workshop with the internal stakeholders to discuss the new organisational units and tools, and learn from the different perspectives of the employees. The aim of the workshop is to ensure that the ETHNA System is not only serving the purpose of the organisation and the management, but that it is fully aligned with needs, values and concerns of the researchers and other employees of the organisation.

**Timeline: Months 28-30.**

### 6.2 Workshop(s) with external stakeholders

The workshop with the external stakeholders (representatives of business/industry, civil society, policy, and academia) will ensure that the ethical governance system developed by the organisation is also aligned with the needs and values of the society. The workshop can serve a variety of purposes, among which to identify society’s values, needs and expectations; identify different opinions, views and perspectives from various disciplines and areas; share knowledge; stimulate innovative thinking; connect different aspects of R&I; provide new impulses, clarify concerns and identify possible solutions to RRI problems. The discussions at the workshop can be used to fine-tune the system, but also to create or expand connections and collaborations of the organisation across sectors.

**Timeline: Months 31-33.**

### 6.3 Revision of ETHNA System and its blocks

Using the input from these workshops, the RRI Office(r) can refine the elements of the ETHNA System. This can include minor changes and updates to the Code of Ethics and Good Practices in R&I, revision of the procedures and practices of the RRI Office(r) and Ethics Committee, and the operation of the Ethics Line. If more substantial changes are necessary, the RRI Office(r) can again cooperate with the members of the working group involved in the earlier stages of the process.

**Timeline: Months 34-36.**

---

<sup>1</sup> Sometimes it can be difficult to gather everyone relevant on one specific day/time, therefore more than one workshop can be organised, if necessary.

## 7. Stage 5 – Promotion (Years 4 and 5)

Having finalised the construction and revision of the ETHNA System, the organisation can proceed with the planning and implementation of **awareness-raising and promotional activities**. The adoption of the ETHNA System will only be successful and beneficial if the organisation manages to adopt an ethical culture and to establish communication, dissemination and participation mechanisms that are attractive, effective and accessible for the entire personnel and especially for the researchers.

In order to better plan and prepare these activities, the organisations are advised to develop a detailed **Internal and External Communication Plan**. The guidance to create the Internal Communication Plan can be found on pages 138-143 and guidance to create the External Communication Plan on pages 132-137 of [D6.2 Final ETHNA System Guide](#).

The most important task is to organise proper trainings for all members of the staff, but other activities such as information campaigns and promotion events can be also very effective in popularisation of the ethics governance system.

The Code of Ethics and Good Practices in R&I will become a half-forgotten document hidden somewhere on the webpage of the organisation unless measures are taken to generate good knowledge about the Code on all levels and all units of the organisations. This can be addressed through annual trainings of the staff. The trainings will also ensure that the staff are able to properly develop, conduct and structure their research activity and will foster a culture of research integrity within the organisation. The trainings should therefore not aim only to present the ethics governance system and its tools (the Code, RRI Officer, Ethics Committee, Ethics Line), but also to inform the researchers about the ethical principles of research design, methodology, and analysis.

Our recommendation is to have (at least) four different trainings per year, separated by 2-3 month intervals. The first training would focus on the topic of research integrity, the second on the gender, inclusion and diversity issues, the third on public engagement methods and the fourth on the topic of open access. The order of the trainings is not very important, although it would make sense to start with the research integrity, which is an umbrella subject and to a certain extent affects the other three topics.

Depending on the size of the organisation, the scope and number of trainings may vary considerably. In small organisations, one training session per subject can be sufficient to involve most, if not all internal stakeholders. In larger organisations, such as universities, several training cycles would be needed, but even this will not be enough to approach all of the staff. Therefore, in addition to the training, other measures will be needed, such as practical online or offline guides, brochures, leaflets or other tools for raising the awareness of the ethics governance system. A good educational tool are also lectures or presentations of good practices delivered by researchers from different organisational units or even from other organisations, as they might share important insights and lessons learnt from their encounters with various challenges.

It is recommended to organise a training (one per each RRI key area) for all members of the staff at least once a year. However, it is essential that the new employees receive detailed instructions and training as soon as possible after they are hired – if possible within the first two months of their employment.

**Timeline: Months 37-60.**

## 8. Stage 6 – Evaluation and review (Years 4 and 5)

The final stage of the five-year process is evaluation and review of the ETHNA System performance. Due to the insufficient time, this stage has not been properly tested by the six piloting organisations. This, however, does not undermine the importance of this stage in any way. In order to ensure its relevance and adequacy for the organisation, the system needs to be regularly monitored and evaluated against the set of progress and performance indicators defined in the Implementation Plan. This evaluation should be a responsibility of the RRI Office(r). Using the monitoring indicators, the RRI Office(r) can conduct an accurate assessment of what has been achieved during the year (both according to the planned timeline or with a delay), and identify the activities which have not been completed. The evaluation should also try to define the reasons for the delays and/or failures.

After the collection of the necessary data and completion of the analysis, the evaluation results should be presented to the personnel. This can be done in a form of a brief report about the experiences, benefits, challenges and lessons regarding the ETHNA System operation during the past year, or included in the organisation's annual report, or any other usual communication tool. The report can also propose recommendations for changes and updates to the system and its elements. The evaluation is also a good opportunity for reviewing the level of commitment to the ETHNA System. The RRI Office(r) can propose to the management to “upgrade” the level of commitment or add additional “bricks” to the structure, or – in the case considerable problems or flaws have been noticed in the implementation – to review the plan and materials and see what has failed or proven to be ineffective.

**Timeline: Months 47-60.**

## 9. Specific features of different organisational contexts

The ETHNA System has been experimentally implemented in six organisations from four different Responsible Research and Innovation contexts: higher education, research funder, innovation ecosystem and research centre. It needs to be noted that the conclusions presented below are based on pilot implementation in six specific organisations from the four contexts and should be seen only as an example. The real landscape within the four organisational contexts is much wider and includes diverse types of organisations for which different implementation paths than the ones proposed below might be more suitable.

The six organisations were very different in terms of their size, activity, internal structure. They also had a very different starting point. Some were already well advanced in terms of ethics governance, having appropriate Codes and other documents, relevant units or bodies, and staff experienced in different RRI keys or even the entire concept. Others had little or no experience and have started their construction of the ETHNA System from the very beginning.

Regardless of the differences, all six organisations followed the same methodology and took similar steps, and tried to follow and complete the same six-stage process.

### 9.1 Universities

The universities are typically the largest organisations out of the four types of contexts for which the ETHNA System was developed and tested. The universities are also those organisations, which are most likely to have the most favourable starting conditions – they are likely to already have a well-developed internal resources and capacities, including the relevant documents (Ethics Code, Code of

Good Practices, Policy on Open Access / Open Science, Policy for Gender Equality and Diversity) and units (Research Ethics Committee, Deontological Committee, offices responsible for open access, gender equality, conflict resolution and research integrity and similar issues). Many universities already have a certain communication channel, such as Hotline, for reporting issues related to research ethics and integrity.

For such universities, the ETHNA System can be a good opportunity to review, revise and update their existing structures, and introduce the currently missing elements. There is a real risk that the ETHNA System would be outrightly dismissed as redundant and unnecessary in universities with a well-developed ethics governance structure with an argument that it brings no added value and would only duplicate the existing instruments. Even when such views are prevalent, it is highly recommended that at least the first stage (internal RRI Review) is conducted. Its outcome may prove that the introduction of ETHNA system might be the necessary catalyst for the further institutional change and revitalisation of the current resources.

Typically, the implementation level 3 would be most suitable for the universities.

<b>LEVEL OF COMMITMENT</b>		
<input type="checkbox"/> Level 1 <input type="checkbox"/> Level 2 <input checked="" type="checkbox"/> Level 3		
<b>COLUMN BLOCKS</b>		
	<input checked="" type="checkbox"/> The Ethics Committee on R&I	<input checked="" type="checkbox"/> The Ethics Line
<b>RRI KEYS (BUILDING BRICKS)</b>		
<input checked="" type="checkbox"/> Research Integrity <input checked="" type="checkbox"/> Gender Perspective <input checked="" type="checkbox"/> Public Engagement <input checked="" type="checkbox"/> Open Access	<input checked="" type="checkbox"/> Research Integrity <input checked="" type="checkbox"/> Gender Perspective <input checked="" type="checkbox"/> Public Engagement <input checked="" type="checkbox"/> Open Access	<input checked="" type="checkbox"/> Research Integrity <input checked="" type="checkbox"/> Gender Perspective <input type="checkbox"/> Public Engagement <input type="checkbox"/> Open Access

## 9.2 Higher education funding agency

Higher education and/or research funding agencies are usually government institutions and as such bound to a set of legal requirements, which regulate the policies and practices of the state bodies under whose jurisdiction they operate (for example, the Ministry of Education and Science). These agencies are also likely to already have their own general rules of conduct, rules for preventing corruption, policies for data management and protection, public engagement procedures, etc. Like in the case of the universities, ETHNA System can be an excellent opportunity to reassess, revise and expand the current resources and introduce new ones.

The funding agencies might want to consider the implementation level 2.

<b>LEVEL OF COMMITMENT</b>		
<input type="checkbox"/> Level 1 <input checked="" type="checkbox"/> Level 2 <input type="checkbox"/> Level 3		
<b>COLUMN BLOCKS</b>		
<input checked="" type="checkbox"/> The Code of Ethics and Good Practices in R&I	<input type="checkbox"/> The Ethics Committee on R&I	<input type="checkbox"/> The Ethics Line

<b>RRI KEYS (BUILDING BRICKS)</b>		
<input checked="" type="checkbox"/> Research Integrity	<input type="checkbox"/> Research Integrity	<input type="checkbox"/> Research Integrity
<input checked="" type="checkbox"/> Gender Perspective	<input type="checkbox"/> Gender Perspective	<input type="checkbox"/> Gender Perspective
<input checked="" type="checkbox"/> Public Engagement	<input type="checkbox"/> Public Engagement	<input type="checkbox"/> Public Engagement
<input checked="" type="checkbox"/> Open Access	<input type="checkbox"/> Open Access	<input type="checkbox"/> Open Access

### 9.3 Innovation ecosystem

There is no doubt that organisations belonging to the innovation ecosystem are committed to the ethics principles and respect of good research practices, but at the same time they are most likely to lack a formalised model of ethics governance and to have an insufficient legislative base, instead adhering to external requirements and principles.

Given the specialised area of operation, innovation ecosystem organisations might want to implement the level 2 of ETHNA System, and focus on one particular RRI key area, which is most relevant for the organisation's activities.

<b>LEVEL OF COMMITMENT</b>		
<input type="checkbox"/> Level 1 <input checked="" type="checkbox"/> Level 2 <input type="checkbox"/> Level 3		
<b>COLUMN BLOCKS</b>		
<input checked="" type="checkbox"/> The Code of Ethics and Good Practices in R&I	<input checked="" type="checkbox"/> The Ethics Committee on R&I	<input type="checkbox"/> The Ethics Line
<b>RRI KEYS (BUILDING BRICKS)</b>		
<input checked="" type="checkbox"/> Research Integrity	<input checked="" type="checkbox"/> Research Integrity	<input type="checkbox"/> Research Integrity
<input checked="" type="checkbox"/> Gender Perspective	<input type="checkbox"/> Gender Perspective	<input type="checkbox"/> Gender Perspective
<input checked="" type="checkbox"/> Public Engagement	<input type="checkbox"/> Public Engagement	<input type="checkbox"/> Public Engagement
<input type="checkbox"/> Open Access	<input type="checkbox"/> Open Access	<input type="checkbox"/> Open Access

### 9.4 Applied research centres

Applied research centres are usually rather small, but can have a rich experience with the RRI concept and keys such as public engagement, open access, ethics and gender equality. They are often obliged to respond to the requirements of funding agencies and programmes, and as such are likely to have a well-developed internal regulations, especially on issues pertaining to ethics and gender equality. What they typically lack, mainly due to their small size, are departments, teams or positions dedicated to the RRI key areas. The ETHNA System project can therefore be an excellent opportunity for implementing a comprehensive ethics governance structure, including setting up an Ethics Committee or a similar body, and update the existing documents such as the Code of Ethics.

The most recommended level of implementation would be level 2.

<b>LEVEL OF COMMITMENT</b>
<input type="checkbox"/> Level 1
<input checked="" type="checkbox"/> Level 2
<input type="checkbox"/> Level 3

<b>COLUMN BLOCKS</b>		
<input checked="" type="checkbox"/> The Code of Ethics and Good Practices in R&I	<input checked="" type="checkbox"/> The Ethics Committee on R&I	<input type="checkbox"/> The Ethics Line
<b>RRI KEYS (BUILDING BRICKS)</b>		
<input checked="" type="checkbox"/> Research Integrity	<input checked="" type="checkbox"/> Research Integrity	<input type="checkbox"/> Research Integrity
<input checked="" type="checkbox"/> Gender Perspective	<input checked="" type="checkbox"/> Gender Perspective	<input type="checkbox"/> Gender Perspective
<input checked="" type="checkbox"/> Public Engagement	<input checked="" type="checkbox"/> Public Engagement	<input type="checkbox"/> Public Engagement
<input checked="" type="checkbox"/> Open Access	<input checked="" type="checkbox"/> Open Access	<input type="checkbox"/> Open Access



### 10. Five-year ETHNA System Sustainability Plan – activity timeline

Activity	Month																													
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30
Appointment of a working group	█	█	█																											
Review of the documents				█	█																									
Interviews and/or survey						█	█																							
Analysis of the interviews and survey								█																						
Focus group									█																					
Analysis of the focus group										█																				
Writing of the report											█																			
Identification of internal and external stakeholders											█	█	█																	
Identification of priorities and goals of implementation												█																		
Preparation of the Implementation Plan													█	█	█															
Approval of the Implementation Plan by the senior management															█															
Designation of RRI Officer / RRI Office																█	█													
Writing of the Code of Ethics and Good Practices in R&I																█	█	█	█	█	█	█	█	█	█	█	█	█	█	█
Establishment of the Ethics Committee on R&I																	█	█	█	█	█									
Analysis of data about and external stakeholders																						█								
Mapping of internal and external stakeholders																							█							
Prioritisation of internal and external stakeholders																								█						
Selection of internal and external stakeholders																									█					
Set up of the Ethics Line																									█	█	█			
Recruitment of internal and external stakeholders																										█	█	█		
Workshop with internal stakeholders																												█	█	█

Activity	Month																														
	3 1	3 2	3 3	3 4	3 5	3 6	3 7	3 8	3 9	4 0	4 1	4 2	4 3	4 4	4 5	4 6	4 7	4 8	4 9	5 0	5 1	5 2	5 3	5 4	5 5	5 6	5 7	5 8	5 9	6 0	
Workshop with external stakeholders	■	■	■																												
Revision of ETHNA System and its blocks				■	■	■																									
Training no. 1 on research integrity								■																							
Training no. 1 on the gender, inclusion and diversity issues										■																					
Training no. 1 on public engagement methods												■																			
Training no. 1 on open access																	■														
Training no. 2 on research integrity																					■										
Training no. 2 on the gender, inclusion and diversity issues																							■								
Training no. 2 on public engagement methods																											■				
Training no. 2 on open access																														■	
Information campaigns and promotion events							■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■
The first annual assessment of ETHNA System performance																															
The first evaluation report with recommendations																															
The second annual assessment of ETHNA System performance																															
The second evaluation report with recommendations																															

## 11. Conclusion

The main objective of the Five-year ETHNA System Sustainability Plan is to maximise the impact of the project by integrating conclusions and recommendations from the experimental implementation of the ETHNA System in six piloting organisations from four different research and innovation contexts. Building both on the successes and limitations of the implementation test, this document hopes to provide a clear and easy-to-follow guidance for the integration of the ethics governance structure in research and innovation conducting and funding organisations.

The plan includes a general part, which can be applied in different types of organisations, and four specific sections providing a more tailored suggestions how to proceed in the four different contexts: Higher Education, Research Funding, Innovation Ecosystems and Research Centres.

Based on the experiences of the piloting organisations, our suggestion is that universities, which are usually fairly large organisations and likely to have the most favourable starting conditions (well-developed internal resources and capacities), should opt for the level 3 of ETHNA System implementation. As many universities are expected to already have in place tools similar to the ones proposed by ETHNA System, they might use this Sustainability Plan as an opportunity to review, revise and update their existing structures, and if needed – fill the existing gaps by adding the currently missing elements.

For the other three contexts, our recommendation is to consider the implementation level 2. Again, even if these organisations already have their own general rules of conduct, codes of ethics and established routine of respecting good research practices, applying the ETHNA System can be an excellent opportunity to reassess, revise and expand the current resources and introduce new ones.

This sustainability plan for the integration of the ETHNA System into the management structure and practice of organisations is not an independent document and should be only used together with the [D6.2 Final ETHNA System Guide](#).

## 12. References and further reading

González-Esteban, Elsa; Feenstra, Ramón; Calvo, Patrici; Sanahuja-Sanahuja, Rosana; Fernández-Beltrán, Francisco and García-Marzá, Domingo. (2023). *The ETHNA System - A Guide to the Ethical Governance of RRI in Innovation and Research in Research Performing Organisations and Research Funding Organisations*. ETHNA System Project – Deliverable 6.2. [https://ethnasystem.eu/wp-content/uploads/2023/03/D6.2\\_ETHNA\\_2023\\_komplett.pdf](https://ethnasystem.eu/wp-content/uploads/2023/03/D6.2_ETHNA_2023_komplett.pdf)

Häberlein, Lisa; Mönig, Julia Maria and Hövel, Philipp (2021). *Mapping stakeholders and scoping involvement . A guide for HEFRCs*. ETHNA System Project – Deliverable 3.1. [https://ethnasystem.eu/wp-content/uploads/2021/10/ETHNA\\_2021\\_d3.1-stakeholdermapping\\_2110011.pdf](https://ethnasystem.eu/wp-content/uploads/2021/10/ETHNA_2021_d3.1-stakeholdermapping_2110011.pdf)

Häberlein, Lisa; Mönig, Julia Maria and Hövel, Philipp (2021). *Gauging the potential societal contributions of research and innovation – a guide for HEFRCs*. ETHNA System Project – Deliverable 3.2. [https://ethnasystem.eu/wp-content/uploads/2021/12/ETHNA\\_2021\\_Guide\\_3.2-gauging-contributions\\_final.pdf](https://ethnasystem.eu/wp-content/uploads/2021/12/ETHNA_2021_Guide_3.2-gauging-contributions_final.pdf)

Häberlein, Lisa; Mönig, Julia Maria and Hövel, Philipp (2021). *Stakeholder involvement in ethical governance of R&I. A guide for HEFRCs*. ETHNA System Project – Deliverable 3.3. <https://ethnasystem.eu/wp-content/uploads/2021/11/ethna-d3.3-stakeholder-engagement-guide.pdf>

Hajdinjak, Marko (2023). Evaluation report about the implementation of the ETHNA System. ETHNA System Project – Deliverable 6.1. <https://ethnasystem.eu/wp-content/uploads/2023/01/D6.1-Evaluation-report-about-the-implementation-of-the-ETHNA-System.pdf>

Holstener, Simon; Vedel Neuhaus, Sigrid; Vestergaard Bidstrup, Maya et al (2022). *Report of the selected aspects that can be tested and accompany the implementation process*. ETHNA System Project – Deliverable 5.1. <https://ethnasytem.eu/wp-content/uploads/2022/05/D5.1-ETHNA-testable-aspects-report.pdf>

Szüdi, Gábor; Lampert, Dietmar (2023). *Blueprint for institutional change to implement an effective RRI governance*. ETHNA System Project – Deliverable 4.3. [https://ethnasytem.eu/wp-content/uploads/2023/03/ETHNA\\_-D4.3\\_Institutional\\_Blueprint\\_v4.0-final\\_ngs.pdf](https://ethnasytem.eu/wp-content/uploads/2023/03/ETHNA_-D4.3_Institutional_Blueprint_v4.0-final_ngs.pdf)

Vedel Neuhaus, Sigrid; Holstener, Simon; Vestergaard Bidstrup, Maya et al (2022). *Extended Stakeholder Mapping of the Implementing Institutions*. ETHNA System Project – Deliverable 5.2. <https://ethnasytem.eu/wp-content/uploads/2022/05/D5.2-stakeholder-mapping-extended.pdf>