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WP 1: Project Coordination, Standardisation and Methodology

D1.5

Stakeholder selection and consultation guidelines

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About RRING

The overall project aim is to bring Responsible Research and Innovation (RRI) into the linked up global world to promote mutual learning and collaboration in RRI. This will be achieved by the formation of the global RRING community network and by the development and mobilisation of a global Open Access RRI knowledge base. RRING will align RRI to the Sustainable Development Goals (SDGs) as a global common denominator.
The RRING project acknowledges that each region of the world is advancing its own agenda on RRI. Therefore, RRING will not be producing a Global RRI framework or strategy that is meant to be enforced in a top-down manner. Rather, increased coherence and convergence will be achieved via a bottom-up approach, learning from best practices in RRI globally and from linkages, via the new RRING community, to develop the RRI linked-up world.

Six Objectives of RRING

Objective 1: Promote a linked up global world of RRI by creating the global RRING community network, thereby enabling mutual learning, collaboration, mobilisation of RRI concepts.
Objective 2: Mobilise, promote and disseminate a global open access knowledge base of RRI based on the State of the Art (SoA) and comparative analysis across the key geographies, all stakeholders and sectors. It will cover key platforms, spaces and players, role and influence of stakeholders, drivers and policies for R&I, regulation in public,private sectors and nation states and international organizations.
Objective 3: Align RRI to the UN Sustainable Development Goals (SDGs) to provide a global common denominator for advancement of RRI, and address Grand Challenges globally.
Objective 4: Determine the competitive advantages of RRI and also understand how and where RRI is perceived as a barrier and/ or disadvantage.
Objective 5: Create high level RRI strategy recommendations for the seven geographic zones, trial RRI best practice learning in 2 EU case studies.
Objective 6: Promote inclusive engagement of civil society and researchers.

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Executive Summary

Stakeholder selection and consultation is a vital part of the RRING project. These guidelines give an overview over the stakeholder groups relevant to the RRING project: Research Performing Organisations (RPO), Research Funding Organisations (RFO), Industry, Civil Society, Policy, Non Governmental Organisations (NGOs), researchers and grassroot societies.

RRING follows a bottom-up approach, learning from best practices in RRI globally and from linkages, via the new RRING community, with the aim to develop the RRI linked-up world. RRING uses different communication channels to approach potential stakeholders and this document outlines the tasks partners undertake to get in touch with potential stakeholders.

In addition, it refers to general principles and minimum standards for consultation that all partners have to respect.

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Table of Contents

This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 788503.

1. Stakeholder selection process

1.1. Introduction

RRING will bring Responsible Research and Innovation (RRI) into the linked up global world to promote mutual learning and collaboration in RRI. This will be achieved by the formation of the global RRING community network and by the development and mobilisation of a global Open Access RRI knowledge base. Stakeholders involved in the project will be an integral part of that community and will be able to use Open Access RRI knowledge base. The stakeholder selection process follows a methodology of amalgamating different contact lists and datasets to create a wide ranging list of stakeholders for the purpose of the RRING project.

1.2. Collecting data

As this is a truly global project, it is therefore critical to understand the substantial differences between stakeholders in the various geographies from many aspects, including Sustainable Devolopment Goals (SDG), culture, level of advancement and governance, before embarking on the RRING Aim.

One of the first tasks carried out at the very beginning of this project is the collection of relevant stakeholders within databases. Each of the partners in the RRING project shares their relevant contacts into specifically designed databases in our intranet. Specific work-packages (WP) are tasked with collating and organising the data.

- WP 1 has created an advisory board database that list potential candidates for the RRING advisory board. Many of these are representatives of trade associations or networks/clusters that are relevant to RRING project.
- WP 2 will create a database of stakeholders that have expressed an interest in engaging with the RRING project. These contact details are gathered through the networking efforts of RRING partners at various dissemination events and also through the RRING website. WP 2 also takes focus on public forum events and school visits where stakeholders can be found as well.
- WP 3 will create a database that will list potential candidates for the RRING project. This database/list will identify players in RRI in each geography and will populate the RRING database for all contacts with specific information required, such as the desire to be in a global network or a suitability as key representative for a particular category. In WP 3, industry is the major stakeholder focus because industry will play a full participative and inclusive role in the RRING project. WP 3 also investigates the role of all societal actors and the interaction of stakeholders. This includes desk based research to establish stakeholders and their roles. Based on these criteria we will select the best candidates.
- WP 4 is also dedicated to create the Open Access RRI knowledge base, reflecting RRI stakeholder dynamics in the key geographies. This database will be populated in the same way as the WP 3 database.
- WP 5 will select 14 candidate policy makers and companies to secure cooperation for the Key Performance Indicator (KPI) review. WP 5 will also draw from workshops targeting industry, Research Performing Organisations (RPO), Research Funding Organisation (RFO) and social media.

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Information about the data management can be found in the Data Management Plan (RRING_D1.4_DMP_20180808) and data collection is also addressed in WP 8 as part of RRING's ethic approval from UCC.

1.3. Stakeholder selection

RRING follows a bottom-up approach, learning from best practices in RRI globally and from linkages, via the new RRING community, with the aim to develop the RRI linked-up world. The new RRING community network aims to rapidly advance the global linked up world of RRI for the benefit of all stakeholders. The RRING community will facilitate less developed countries and stakeholders in accessing the shared knowledge and experience. Likewise the community will benefit from the advantages that RRI bring to all stakeholders. The RRING community targets 8 stakeholder groups – Research Performing Organisations (RPO), Research Funding Organisations (RFO), Industry, Civil Society, Policy, Non Governmental Organisations (NGOs), researchers and grassroot societies.

1.3.1. Civil Society

RRING will engage with the civil society as well as Civil Society Organisations (CSOs) and other societal actors. These stakeholder groups will be invited to workshops, case studies and trials. The feedback from civil society groups is essential for the diversity of views provided, whilst acknowledging the absolute importance of inclusiveness. RRING anticipates that this inclusiveness will help trigger the goals of the European Comission (EC) of co-creation, social innovation, and social entrepreneurship.

1.3.2. Researchers

The scientific community is currently divided, between the traditional "academics" (which today comprise a small percentage of the total research workforce) and the new cohort of researchers (Ph.D. students, postdocs, research fellows and other early stage researchers), now forming the majority of the research works force. Moreover, researchers working in academic settings are a minority compared to the massive numbers of researchers in industry, governmental and non-governmental organisations. The divide persists mainly due to employment conditions for researchers being highly unstable (a small minority of academics with a fixed position versus the majority of researchers working on temporary contracts). This divide is also relevant for RRI. While senior academics develop RRI practices for instance in the context of developing grant applications or fostering international research networks, the actual RRI work has to be carried out by researchers working in temporary positions, for whom high impact papers may be more crucial (in terms of career uncertainties) than investments in RRI activities. RRING aims to reach expert researchers throughout the sectors.

1.3.3. Industry

Best practice RRI approaches will be derived from case studies and workshops across the globe focussing on the four key domains Information and Communication Technology (ICT), energy, bio economy and waste management (WP3). WP 4 will conduct global industry workshops on RRI and WP 5 will leverage RRI competitive advantage to reduce negative perceptions for stakeholder.

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1.3.4. Policy makers

RRING will provide this stakeholder group with substantial global evidence of best practice RRI as well as convincing competitive advantage data. In particular, WP 6 will make recommendations on the MORRI indicators[1].

1.4. Knowledge Database

The database will be designed from the outset to be permanent, sustainable and accessible by all stakeholders. Issues such as initial and post project hosting location and management will be fully explored. The database will be hosted on the UNESCO Global Observatory of STI policy Instruments Go-SPIN. WP 1 will be ultimately responsible for the delivery of the database, led by UNESCO. UNESCO will support the database post-project. Further Information on the provision of FAIR data can be found in the Data Management Plan (RRING_D1.4_DMP_20180808).

1.5. RRING Community network and platform of RRI stakeholders and experts

RRING project will create the RRING community network. The premise for this objective is based on established Network Theory. A central community network offers a more powerful base for actions. As the density of relations between stakeholders grows, it strengthens coordination and communication and promotes shared behaviour thus increasing the chance of joint action. The nature of collaborative networks lends itself to a coproduction model—a joint effort between network researchers, who bring the latest theories and research on networks; and network practitioners, who bring the latest experience of networks. Previous RRI projects (eg. MORRI, FOTRISS) only went as far as recommending RRI communities, and no formal research was conducted to understand the requirements for a successful independent network. RRING will go that extra significant step to establish a sustainable RRI community based on latest network theory and real world success stories (Objective 1). Objective 2 outlines that the RRING network and platform will be active by accessing the knowledge database created in WP3&4 in the areas of key platforms, players, contacts, country debates, sector debates, panel of experts by country and domain, proactively seeking active members especially in civil society, and other societal actors. RRING wants to be an active community, accessible in all countries, not a passive blog or forum. WP2 entails this mobilisation and promotion ensuring the aim of mutual learning and collaboration.

1.6. RRING Dissemination and Communication methods and tools

WP2 will develop a full dissemination and exploitation plan in the initial phase of the project. It will be evaluated and updated on a frequent basis to ensure efficiency.

There are 3 main RRING outputs that need to be disseminated to key stakeholders:

1. The RRING Community is the most important feature of RRING which needs to be communicated to stakeholders. The plan will consist of two endeavours:
   a) Promotion of membership to the RRING community, so that the community continues to grow and become increasing self-sustainable. Membership will include all stakeholders: RPO, RFO, NGO representative associations, policy etc. Membership can be paid, or voluntary, depending on the community model developed.
   b) Awareness of the community and the community's activities
2. The knowledge database (WP4)

3. Policy briefs from WP6 on RRI alignment with SDGs + RRI recommendations to the MORRI indicators.

RRING uses the following general methods or tools for either dissemination or communication. Table 1 summarizes the activities for the key stakeholders.

1.6.1. Website

A website (www.rring.eu) was developed as the main communication medium for the project; providing user-friendly access to content. The website is being used for both dissemination and communication, therefore the main pages will present the project in non-technical language, and, in addition a dedicated section for project outputs aimed at stakeholders.

1.6.2. Non-technical project factsheet

Non-technical project factsheet will be designed to inform the public about the project. The text will be accessible to non-experts outside of the project's own community.

1.6.3. RRING Community membership factsheet

This factsheet will give information about the RRING community and its objectives, stakeholders of the RRING Community, outlinining the benefits of joining as well as member duties and obligations.

1.6.4. Newsletter, media and press releases

Detailing upcoming events that stakeholders could get involved in and with outcomes of completed events. WP2 will compile a mailing list for the project with frequent updates. Media and Press releases will be issued in tandem with the project's participation at conferences to maximise the exposure and publicity of the project. We secured the support of the World Federation of Science Journalism (WFSJ) to ensure a maximum of outreach.

1.6.5. Journal and book publications

Each partner will aim to publish twice a year in key RRI journals in collaboration with other partners in the consortium (list of key journals in WP2). The RRING project team aims to publish one book on the RRI Linked-up World at project end.

1.6.6. Conference attendance and presentations

Each partner will aim to publish twice a year in key RRI conferences in collaboration with other partners in the consortium (list of key conferences in WP2). Conference presentations should advertise and acknowledge the RRING project.

1.6.7. Interviews

Interviews will be conducted with the 8 stakeholder groups during RRING workshops. Particular attention is given to Civil Society interviews and CSOs.

1.6.8. Social Media

RRING uses LinkedIn and Twitter to raise awareness about the project, its activities and outputs and to engage with stakeholders where possible. Stakeholders can access both accounts via the website.

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Tab. 1 : Key stakeholders, methods and channels, and information type

Target Group	Method or Channel	Type of Information
RPO and RFO	Website WP1 Factsheet and newsletter WP2 Newsletter WP2 Open-access publications WP2 Conference presentations WP2 Social media WP2 Community membership factsheet WP2 RRING community stakeholder first meeting forum WP7	Project description and updates. Project publications Project questionnaires RRING Community information factsheet such as *"what, who, where, and how much"*
Policy makers and public bodies: - EC - Science Europe - Unions - University associations:	High-impact publications WP2 such as - Journal of Responsible Innovation - Gender and Society - Sustainability - EuroScientist Social media WP2 Newsletter WP2 Community membership factsheet WP2	Project deliverables including, WP4 RRI Best Practice, WP6 Policy brief on improving MORRI indicators Community information such as what, who, duties, and how much
Researchers	Via ICoRSA and other international associations Website WP1 Factsheet and newsletter WP2 Newsletter WP2 Open-access publications WP2 Conference presentations WP2 Social media WP2 Community membership factsheet WP2 RRING community stakeholder first forum WP7	Project description and updates. Project publications Project questionnaires Community information such as *what, who, duties, and how much*
Recruitment	Newsletter WP2 Open-access publications WP2 Conference presentations WP2 Social media WP 2	RRI in recruitment and careers

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1.7 Stakeholder selection summary per Work Package

<table>
<tr><th>Work Package</th><th>Stakeholder selection process</th></tr>
<tr><td>3</td><td>Interviews
<u>Number of interviews</u>
A minimum of 5 stakeholders interviewed per country, representing all stakeholder categories: RPO, RFO, industry, policy and civil society. Therefore, in total this would result in 100 interviews minimum (20 countries with 5 interviews each).

<u>Country selection</u>
5 geographic regions were included. In each region, 5 countries were selected, resulting in 20 countries taking part. Within each country, 4 selection categories for interviews applied:
- High and low GDP
- High and low GERD

<u>Gender of interview participants</u>
Aim for 50% male, 50% female or other gender identities gender split between participants. If this target could not be met, then a minimum of 40% female or other gender identities representation is acceptable.

<u>Domains – coverage across interview participants</u>
There have to be at least one of each domain category in the sample (ICT/digital; energy; waste; bio-economy).

<u>Stakeholder types of interview participants:</u>
• Research organisation: entity such as institute, centre or university, regardless of whether it is public or private, whose main goal is to conduct basic or applied research
• Research funding organisation: entities, either public (e.g. governmental organizations) or private (e.g. charities) who are major funders of research projects
• Industry and business: entity involved in a commercial or industrial enterprise
• Civil society organisation: entities separated either from the State or the market; they exclude industry or any for-profit organizations; have a declared social mandate
• Policy bodies: public entities that explore issues and concerns of public interest and develop policies and recommendations

<u>Nationality and country of residence</u>
WP3 is interested in research and innovation experiences in the selected countries. However, due to the global nature of research and innovation and the increased mobility of professionals in these fields, potential interview participants with in-depth knowledge of particular country contexts might not be citizens or even residents of those countries at the time of the interview. Such participants can and should be selected, provided that their expertise and knowledge in the country context that can be proven.

<u>RRI-like focus of interview participants' work</u></td></tr>
</table>

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	Responsible Research and Innovation (RRI) is a European term. Even within Europe, there is considerable disagreement over the possible interpretations of the term. Thus, it was assumed that participants would not be familiar with the term and associated practices. However, without using the RRI terminology, their approaches to research and innovation might display RRI-like characteristics (e.g. efforts to enhance gender equality, a collaboration with a wide array of stakeholders in development of research and innovation, concerns and plans for future social impacts of a technology). The most revealing interviews may come from individuals involved in work that includes such characteristics. A short online search into the background of the participants, prior to selection, could indicate the presence of any publicly visible RRI-like activities undertaken by the respondents. **Surveys:** Mostly an uncontrolled sampling approach was chosen in order to get the widest possible participation globally. Therefore, no sampling criteria have been applied to limit countries or participants beyond them needing to work in research or innovation. In addition, a small part of the database was provided by the partners, indicating that contacts had agreed to be on the database and contacted.
5	**Task 5.2 interviews** One expert case in RRI and CA in each of the geographical areas. The target cases will practice RRI or RRI-like practices (based on the definition provided above) and will be selected on the basis of "best practices" in their geographical region. This best practice involve a) tackling a socio-ethical concern (global, regional or local) and b) engaging in at least some of the RRI-like activities in business as identified in the systematic review by Lubberink et al. (2017) (see Appendix 1). This means that 2 or 3 interviews might be conducted on a case to case basis (based on the indication of the first interviewee on which other roles within the organization (or a stakeholder deeply engaged with the innovation process) are most involved with RRI-like practices in the context of its relationship with CA. Following the gender diversity endeavour in RRING, and as per the Gender Diversity Protocol, we will aim to include at least one woman per case, in order to be better able to triangulate the different visions within each organization. Since the aim is to obtain information about RRI and CA, market actors (i.e., businesses) will be the preferred sample. Marketing or innovation managers will be targeted as prime respondents, since they are expected to be the most involved with RRI and CA; however, this will also be assessed on a case to case basis, since other respondents may be more suitable in certain organizations. Once the primary respondent is identified, others within the same case will be approached through snowballing after the first interview / contacts. In any case, in order to determine to what extent the interviewee is involved in the RRI-like activities and has a concern with competitive advantage, beyond primary interviewee referral the following criteria will be followed (traditional positions that cover this functions are listed as examples, but focus will be placed on function – not work title): • The interviewee has a procedural (e.g., innovation manager, project manager) or strategic (e.g. CEO, strategy manager) involvement in innovation, and / or is responsible for the performance and marketing of new products / services / processes (e.g. quality manager, marketing manager, product manager). • The interviewee is aware of the socio-ethical intention behind the innovation process. • The interviewee engages in collaborations with other stakeholders. **Task 5.4. interviews** Sampling will be carried out based on socio-ethical issues in each of the domains. This will aim to identify practices compatible with RRI that lead to competitive advantage (or not), as well as other

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practices that are not compatible with RRI, but are commonplace in each of the regions to handle socio-ethical issues for competitive advantage. This will allow for the exploration of how the socio-ethical issues are managed in different regions, with industry as the focal point, but also exploring how other stakeholders participate in decision-making, standard-setting, and in the establishment of requirements in the innovation process. The selection of stakeholders (other than industry) will be determined based on the prior desk research and snowballing during the interviews. These stakeholders will either be collaborating with the focal stakeholders (e.g., research, certain NGOs), or may be shaping the context for the development of their activities (e.g., critical NGOs, civil society, policy-makers)

Based on recent debates in media on controversial issues for each of the domains, the following issues are proposed for each of the domains:

- ICT: machine / deep learning and racial bias in identity recognition (including facial recognition, and other forms of biometric recognition as fingerprint or voice). This case involves a normative social-ethical implication: the discrimination bias or inequality by design, but also a technical “data representation bias” at the core of machine learning. They learn from data that does not represent to the same extent the individuals who have to deal with those technologies or are affected by them; in this regard they reflect known existing societal inequalities, but could also introduce new ones - if not anticipated, reflected and actively (normatively) corrected.
- Bio-economy: the application of CRISPR-CAS and other gene-editing techniques. Gene editing techniques have been controversial and have been regulated differently in different regions, with European regulations being the most stringent. Recently, CRISPR-CAS was included under the GMO regulation in the European Union. These techniques are considered by some to be dangerous because of risks posed to biodiversity and unanticipated consequences of manipulating genome; however, they are also perceived to be a potential contributor to solving sustainability problems, such as food security (SDG 2); particularly, in the context of climate change, and genetic diseases (SDG 3).

In addition to these, gender equality concerns will be examined as a transversal issue in each of the cases.

The aim is to see the maximal geographical variation within each of the case studies, in order to evaluate how these issues have been approached in different contexts. The sample will be determined based on preliminary research on the main actors for each of the issues in each of the domains. The aim will be to have at least one case from each of the geographical areas (10 cases in total). In order to select the cases, it is important to determine, based on the background desktop research, that the cases are involved in practices that may be consider RRI (see, for instance, Lubberink et al., 2017), or, if not possible for some regions, are addressing the SDGs. Having previous publications supporting this selection, and the previous desktop research should help to identify whether these practices have been implemented. Self-identification with RRI-like practices and the researcher’s positive assessment based on their knowledge on RRI practices identified in the literature will suffice for the selection.

In any case, in order to determine to what extent the interviewee is involved in the RRI-like activities and has a concern with competitive advantage, beyond primary interviewee referral the following criteria will be followed (traditional positions that cover this functions are listed as examples, but focus will be placed on function – not work title):

- In the case of industry, the interviewee has a procedural (e.g., innovation manager, project manager) or strategic (e.g. CEO, strategy manager) involvement in innovation, and / or is

	responsible for the performance and marketing of new products / services / processes (e.g. quality manager, marketing manager, product manager). The interviewee engages in collaborations with other stakeholders. • In the case of other stakeholders, the interviewee is an a position to provide sufficient knowledge about the context for the socio-ethical issue at hand in each of their regions; either because of their research record, collaboration in or criticism of the development of the technology. **Task 5.4. Survey:** • Respondents from businesses and policy makers were targeted. • Initially, clusters in different areas of the world were contacted to (via global cluster network). However, that did not yield enough responses. In order to supplement the responses provided by the cluster contacts, a data scrapping exercise has been carried out, significantly increasing the response rate.
7	**Networks selection** One of the strengths of this section of overall RRING project is the diversity of partners, and within this section, or work package, there were initially 16 formal institutional partners, plus advisors, spanning 11 time zones and covering three continents. The Middle East, China and India were initially not represented. However, we also had partners who themselves were connected to various networks, and so indirectly we had good connections to Latin America and the Caribbean, central Africa, and some parts of the Middle East. While these partners change as the project evolved, our membership was important, as we utilized this network to solicit an extremely diverse array of cases for our networks analysis. It must also be pointed out that most of these partners and the individuals within them were connected to many partners and included individuals who were with research funding organizations (RFO) as well as research performing organizations (RPO) as well as public sector organizations (UNESCO, ICoRSA, Vitae).

Formal Section Partners who Participated in Case Selection	
Germany	Fraunhofer Institute
Paris	UNESCO
Ireland	University County Cork
South Africa	National Research Foundation
Ukraine	State Fund for Fundamental Research
Italy	National Research Council
Ireland	International Consortium of Research Staff Associations
UK	DeMonford University
Lithuania	University of Vilnius
UK	VITAE
Netherlands	Wageningen University
Germany	Rhine-Waal University
Japan	Meiji University Educaitonal Foundation
Netherlands	Stichting Katholieke Uniersiteit
Spain	University of Madrid
Serbia	Centrar ZA Promociju Nauke
UK	Bradford University (Advisory)

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Partners included stakeholders from research, civil society, policy and decision making, education and business. Across all the reviewers, diverse organizations included: four foundations, ten science centres, four universities and research centres, a science shop, a chamber of commerce and a technological partner, plus six related European networks. Together, these partners had relevant experience in all different aspects of Responsible Research and Innovation.

Given our exploratory methodology, partners were asked to suggest cases would that were relatively stable (sustainable), large (reflective of our global aspirations), regionally diverse (reflective of partners), sector- and discipline-diverse (reflective of many areas of innovation and research), and deliberately favouring excellence in gender and diversity inclusion.
After receiving many suggestions, the lead partners narrowed down the selection to eight types of sector networks, based on origin, purpose, and governance.

1 Networks Stemming from a Project
2 NGO Networks
3 Policy Networks
4 RPO Networks
5 RFO Networks
6 Research Support Networks
7 Virtual Networks
8 Spin Out Company Networks

Lead partners then sought out and proposed cases that would match these types. The proposals were vetted and selected by the team as a group.

Interviews selection
One organization (network) was chosen from each type of networks that was included in the desktop review. Exclusion criteria resulted from our review: for example, we found that some organizations that sounded promising, but did not have some of the parameters we were interested in. Other organizations were complex examples that more closely approximated what we were interested. A final list of institutions/networks taking part in the interviews is presented below.
In addition to meeting technical criteria related to network characteristics, our final selection of cases for interviewing reflected our interest in emerging science and scientists, our interest in diversity, and our interests in science innovation, diplomacy and education. However, we had important gaps, as we will note in the discussion of the methodology limitations.

1. Catalyst Project: https://collectiveliberation.org/
    a. Catalyst Project (Anti-racism for Collective Liberation) "helps to build powerful multiracial movements that can win collective liberation. In the service of this vision, we organize, train and mentor white people to take collective action to end racism, war and empire, and to support efforts to build power in working-class communities of colour."
2. Vitae: https://www.vitae.ac.uk/about-us
    a. "Vitae is the global leader in supporting the professional development of researchers, experienced in working with institutions as they strive for research excellence, innovation and impact." (UK based)
3. European Business Network: https://ebn.eu/
    a. "EBN is a network of around 150 quality-certified EU|BICs (business and innovation centres) and 70 other organisations that support the development and growth of

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	innovative entrepreneurs, start-ups and SMEs. EBN is also a community of professionals whose day-to-day work helps these businesses to grow in the most effective, efficient and sustainable way." 4. National Postdoctoral Association (NPA): https://www.nationalpostdoc.org/ a. "Working in collaboration with the entire research community, the NPA envisions changing the culture of those individuals and institutions engaged in the U.S. research enterprise so that the contributions of postdoctoral scholars are fully valued and recognized." (US focused) 5. Scientix: http://www.scientix.eu/about a. Scientix is "the community for science education in Europe." It began with a conference in Brussels in May 2011. It "promotes and supports a Europe-wide collaboration among STEM (science, technology, engineering and maths) teachers, education researchers, policymakers and other STEM education professionals." 6. SPIDER: https://www.ingsa.org/divisions/spider/#what a. "The *Science Policy in Diplomacy and External Relations* (SPIDER) network is a Special Interest Division of the INGSA network that focuses on the role science can play in fostering collaboration between nations, for the advancement of society. The network is open to anyone with an interest in the practice, theory or discussion of Science Diplomacy." SPIDER is an initiative of the International Science Council, INGSA. 7. UNESCO: https://en.unesco.org/about-us/introducing-unesco a. "UNESCO is the United Nations Educational, Scientific and Cultural Organization. It seeks to build peace through international cooperation in Education, the Sciences and Culture. UNESCO's programmes contribute to the achievement of the Sustainable Development Goals defined in Agenda 2030, adopted by the UN General Assembly in 2015." 8. EARTO Network: https://www.earto.eu/about-earto/ a. "Founded in 1999, the European Association of Research and Technology Organisations (EARTO) promotes research and technology organizations (RTOs) and represents their interest in Europe. EARTO network counts over 350 RTOs in more than 20 countries. EARTO members represents 150,000 of highly-skilled researchers and engineers managing a wide range of innovation infrastructures."

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2. Consultation Guidelines

These consultation guidelines are taken from the stakeholder consultation guidelines[2] published by the EC. The RRING project team will respect those rules when engaging with stakeholders.

2.1. Who is responsible for carrying out a consultation and what rules to respect?

The running of stakeholder consultation is decentralised to the WP responsible for the respective initiative. In some cases, external subcontractors can support or even conduct the consultation work, but the **WP leader remains responsible for the scope and objectives of the consultation, its process, outcome, and the fulfilment of the (ethical) standard requirements, where these apply.**

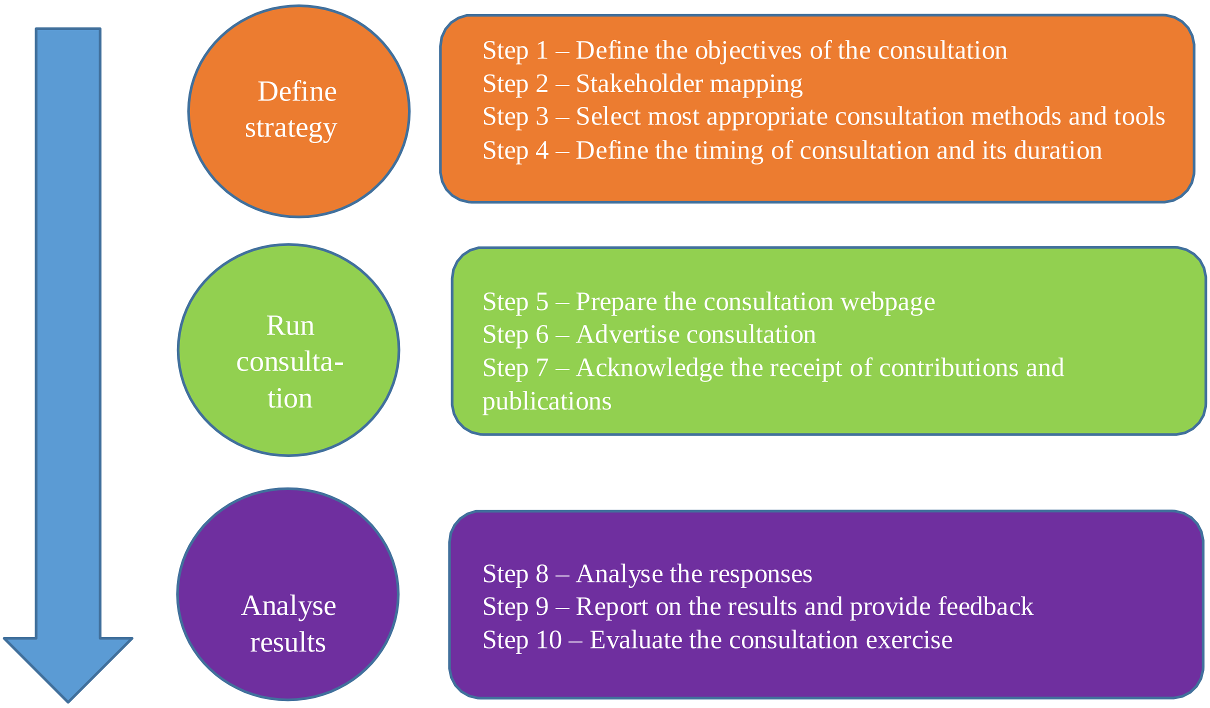
2.2. What rules must be respected?

There are five general principles governing relations with stakeholders: participation, openness, accountability, effectiveness and coherence.
They are complemented by five minimum standards which require that:

- Consultation documents are clear, concise, and include all necessary information;
- All relevant parties have an opportunity to express their opinion;
- Adequate awareness-raising publicity is ensured and communication channels are adapted to meet the needs of all target audiences;
- Participants are given sufficient time for responses;
- Acknowledgement and adequate feedback is provided.

2.3. Consultation Process

The consultation process can be structured in 10 steps. The relevance of these steps for a given consultation exercise will vary on a case-by-case basis depending on the consultations' objectives.



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Step 1: Defining the objectives of the consultation

- Stakeholders will be given the possibility to comment on a clear problem definition, on a subsidiarity analysis and on a description of the possible options and their impacts.

Step 2: Stakeholder mapping

- RRING defined 8 stakeholder groups. All/any participants in the research must be fairly selected based on the goals of the study and not on matters of convenience. There must be a favourable risk-benefit relationship, including that all potential risks to participants are minimised and all potential benefits are maximised. All participants must be treated with respect at all times.

Step 3: Selection of the most appropriate consultation methods and tools

- Ensure that the content of the publication is clear.

Step 4: Defining the timing of consultation and its duration

- Clearly communicate the timing and length of each consultation round in the consultation document and on the consultation webpage.

Step 5: Preparation of the consultation webpage

- Ensure that the content of the publication is clear – use the Transparency Register.

Step 6: Announcement/Communication of the consultation

- Ensure that advertisement of consultation and communication channels is adapted to all target audiences. The participant must have received accurate and adequate information about the research, have understood the relevance of this information and made a voluntary and uncoerced decision to participate in the research

Step 7: Acknowledging the receipt of contributions received and publication of Contributions

- Acknowledge the receipt of contributions.

Step 8: Analysing the responses

- When the contribution gathering phase is completed, the input received for each consultation needs to be thoroughly analysed and the results fed into policy preparation.
- Keep in mind that generally responses to consultations are not statistically representative of the target population.

Step 9: Reporting on the results and providing feedback

- Provide adequate feedback.

Step 10: Evaluation of the consultation exercise

- An appraisal of necessary changes and adjustments is often called for during the consultation process itself, in order to adjust its scope, targets, tools and methods.
- Evaluation should help answer three questions:
    1. Did the consultation strategy work?
    2. Did the process work?

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3. What impact did the process have?

2.4. Ethics

WP 8 deals with the ethical requirements of the RRING research. We have to follow the UCC Code of Research Conduct[3] and the UCC Child Protection Policy[4] when dealing with stakeholders and are currently completing the application for ethical approval from UCC[5].

2.4.1 Right to withdraw from the study

The right to withdraw from the study is included in all research studies where consent is obtained. However, it cannot be open-ended; for example, once a paper has been published or a thesis submitted, withdrawal is impossible. Where data have been gathered in a manner allowing them to be linked to a specific participant (e.g. audio-recorded interviews) then one can offer the right to withdraw at any time during the interview and up to a specified time after; where the data have been gathered anonymously (e.g. through online survey) then the withdrawal of consent is only possible up to the point at which the data are submitted.

2.4.2 Data storage

As researchers, it is imperative that we can assure our participants that their data will be stored securely; this is of course particularly important where potentially sensitive personal details are involved. It is not adequate to simply say that the data will be stored safely. Exact detail is required as to the use of locked cabinets, password-protected audio files, encryption of laptopsi, and so on. UCC does not recommend the use of cloud-based storage solutions and the use of USB memory keys to store research data. As per the UCC Code of Research Conduct, data must be securely stored for ten years before disposal.

2.4.2. Confidentiality & anonymity

We must always offer these promises from ourselves, but there are limits to these. Specifically, there are limits in law such as the need to protect individuals from harm. Where a risk assessment identifies potential for such an issue to arise, the applicant must outline proposed procedures. Where data are gathered in a group format, such as a focus group, there must also be concerns about confidentiality. Again, we can offer confidentiality from ourselves, but cannot guarantee it from the other group participants. Under these circumstances, it is advisable to include in the consent form an agreement to maintain confidentiality, and to explain this before the group commences.

3. Legal issues and EC requirements

The applicant must check if a declaration on compliance and/or authorisation is required under national law for collecting and processing personal data as described in the proposal, in particular for the vulnerable populations involved. If yes, the declaration on compliance and/or authorisation must be kept on file.

In case personal data are transferred from/to a non-EU country or international organisation, confirmation that this complies with national and EU legislation, together with the necessary authorisations, must be kept on file.

Detailed information on the informed consent procedures in regard to the collection, storage, and protection of personal data is and/or will be included in the Data Management Plan. RRING will also provide a template for a project information sheet including a consent form (as part of the ethical

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approval for RRING). Templates of the informed consent/assent forms and information sheets (in language and terms intelligible to the participants) must be kept on file.

In case of further processing of previously collected personal data, an explicit confirmation of the legal basis allowing for processing of these data must be submitted as a deliverable.

4. Responsiblities

The WP leaders are responsible that consultation guidelines are adhered to by their WP members.

Minimum list of of necessary steps to be taken when approaching stakeholders for interviews:

- Provide sufficient time for planning and participation
- provide an Email/telephone contact of RRING partner conducting the interview
- provide a contact number for participants who feel distressed because of the interview
- in addition to the information sheet, provide community factsheets, flyers and/or or other relevant information about the project and the research
- provide instructions in a language/manner the interview partner can understand
- consent form (please refer to the template provided, adapt it to your needs)
    - an agreement to participate
    - that the contact may remain in the database for future projects
    - a disclaimer
    - information disclosure
- Debrief the participants at the end of their participation
- Acknowledgement of feedback

5. References

[1] http://morri-project.eu

[2] EC (2014): Stakeholder consultation guidelines. Available at http://ec.europa.eu/smart-regulation/impact/docs/scgl_pc_questionnaire_en.pdf (01.08.2018)

[3] UCC (2017): Code of research conduct. Available at: https://www.ucc.ie/en/media/research/researchatucc/policiesdocuments/UCC-CodeofResearchConductV2111thApril2017.pdf (07.08.2018)

[4] https://www.ucc.ie/en/media/support/ocla/policies/UCC_Child_Protection_Policy_5April2018_-Final.pdf (22.08.2018)

[5] https://www.ucc.ie/en/research/about/ethics/ (07.08.2018)

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