

The ETHNA System

A Guide to the **Ethical Governance** of RRI in Innovation and Research in Research Performing Organisations and Research Funding Organisations¹.

Disclaimer:

This deliverable has not yet been reviewed by the European Commission. Its content might therefore change as a result of the review process.

¹ It has been developed by 13 organisations from 8 European countries as part of the European Union's H2020 programme.

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Annexes 1 to 7 in the publication: Toolbox to implement the ETHNA System

LIST OF ACRONYMS

BAs	Biological Agents Regulations
CEGP	Code of Ethics and Good Practices in R&I
ETHNA	E thical Governance of RRI in Innovation and Research in Research Performing Organisations and Research Funding Organisations.
GAP	Analysis with the ETHNA System
GMOs	Genetically Modified Organisms
KPIs	Key Performance Indicator
RFO	Research Funding Organisation
RRI	Responsible Research and Innovation
RPO	Research Performing Organization
R&I	Research and Innovation
SMART	Specific, Measurable, Achievable, Realistic, and Time-bound

A. WHY IS IT IMPORTANT TO HAVE AN ETHICAL SYSTEM OF GOVERNANCE FOR RESEARCH AND INNOVATION IN ORGANISATIONS?

Organisations involved in Research and Innovation (R&I) are encouraged to consider the consequences of their activities and incorporate society's expectations into their work so they can develop in a sustainable and effective way.

An ethical governance system for research and innovation helps organisations to achieve these aims.

The **implementation of the system and its structures** (or tools) allows for the generation of spaces and mechanisms for participation where science and society can discuss:

- › the goals to be pursued,
- › the resources to be used,
- › the regulatory framework to be followed, and
- › the results to be expected in terms of research and innovation.

ETHNA is a **flexible ethical governance system** designed for implementation in:

- › Research Performing Organisations (hereinafter RPOs) and Research Funding Organisations (hereinafter RFOs).
- › In four Responsible Research and Innovation (RRI hereinafter) contexts:
 - › higher education,
 - › organisations funding research and innovation,
 - › research performing organisations,
 - › research and development centres, and
 - › public-private partnership for innovation.

The ETHNA System offers **ethical governance structures** based on **a system of flexible blocks** that can be adapted to the needs and particular features of each organisation and their available resources.

The ETHNA System has been designed in a way that allows RPOs and RFO's organisations to:

- › **build their own ethical governance** structure for knowledge-generation and innovation processes based on the structure of the ETHNA System, and
- › make progress by **continuously improving over time**.

B. WHO IS THE ETHNA SYSTEM AIMED AT?

- For any organisation that performs research and innovation or funds it.
- For any organisation that aspires to have a more effective ethical commitment.
- For any organisation that desires to **perform their activity in accordance with internationally recognised ethical criteria and carry out science with and for society** so that research excellence goes together with attention for social responsibility and public trust.
- For any organisation that intends to apply ethical governance in the field of RRI can use the **ETHNA System methodology** to align their activity with the ethical standards appropriate for their organisation.
- For **RPOs** to have specialist structures to generate RRI that supports and guides researchers to achieve responsible R&I as well as generate policies and strategies for continuous improvement.
- For **RFOs** to have **specialist structures to promote RRI** in their environment, so that the medium- and long-term results and impacts of the research and innovation they finance or promote will be **better aligned with society's** economic, social, and environmental needs, values, and expectations.

C. WHY ADOPT THE ETHNA SYSTEM?

Today, research and innovation organisations are constantly in the public eye because of their influence and contribution to progress and social transformation. **Trust in research and innovation organisations, and those responsible for their funding, depends on the appropriate societal-ethical justification** they can offer for their activities, which results in the maintenance of their credibility and reputation. In today's global context, **adopting a public commitment to RRI** and managing it through communication and participation is the best way to achieve the goals of the **2030 Agenda for Sustainable Development**.

A fundamental benefit provided by the ETHNA System is to ensure that **R&I activities are financed and carried out in a responsible way**. The ETHNA System does this by providing a system of supporting tools, which then helps to build trust among people, administrations, and organisations. The positive impacts of the system derive from public commitment to manage the ethical basis for trust. It is a system based on the inclusion of all stakeholders, so it requires sustainable engagement with citizens and society to become institutionalised. The ETHNA System also includes the assessment of activities to transparently communicate achievements and disseminate measures for improvement.

The ETHNA System will help organisations to achieve strong impacts such as:

1. **Generate credibility and reliability (trustworthiness)** in the activity and the achieved results by the organisation in R&I.
2. **Align the policies and strategies of the organisation with European guidelines** and thus increase the possibilities for cooperation and funding.
3. **Facilitate stable relationships with stakeholders** by including them in participatory spaces so their legitimate interests are considered and, as a result, the quality of results improved.
4. **Promote a culture that fosters cohesion and a common decision-making position**, as well as a healthy working environment that inspires confidence.
5. Encourage a **proactive position towards the current challenges of R&I**: integrity, gender perspective, public engagement, and open access.
6. Involve stakeholders to increase economic profitability with the rational and sustainable use of scarce resources.
7. **Reduce internal and external coordination costs** deriving from possible conflicts and misconducts that have an economic and reputational impact.
8. Position the organisation in terms of RRI by **building trust and a reputation for excellence in R&I**.
9. Build the character of the organisation by promoting or complying with various existing political and legal frameworks.
10. **Promote a close relationship with the community and its needs by responding to the expectations of society** (e.g., sustainability, social justice, gender perspective, and integrity research, etc.).

D. WHAT IS THE ETHNA SYSTEM?

ETHNA is a **flexible ethical governance system** 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.

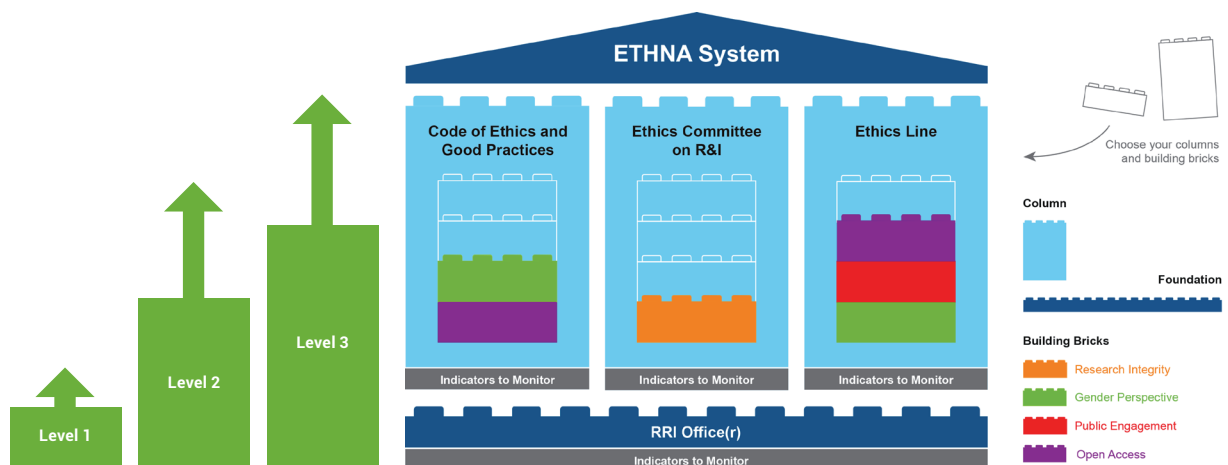
The ETHNA System consists of a **set of building blocks that are flexible and adaptable to the needs**, idiosyncrasies, and resources of each organisation to progress in RRI over time.

The ETHNA System is based on three **Guidance tools (Column Blocks)** that allow any organisation to guarantee that their R&I activities will be performed in accordance with the internationally recognised ethical standards of RRI (see box on the right).

These three Guidance tools are developed in the Foundation Block and the Column Blocks.

The ETHNA System is **based on**:

- the **four dimensions of responsible innovation**: anticipation, inclusion, reflexivity, and responsiveness; and
- applies to the following **key areas of RRI**: research integrity, governance, gender perspective, public engagement, and open access.



Guidance tools

The Code of Ethics and Good Practices in R&I: This is a self-regulatory 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: This 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: This is a communication channel that allows all stakeholders to easily and safely send the organisation suggestions, warnings, complaints, and reports.

The ETHNA System allows for **three levels of institutional commitment**, which depends on the capabilities and willingness of each organisation. This encourages the RFO or RPO's organisations to continuously improve their RRI policies.

Progress and performance **indicators are used at all three levels** to monitor the progress of the ETHNA System.

The **indicators**:

- have a **scorecard to assess the implementation level** of the ETHNA System (build up by the link among Foundation and Column Blocks); and
- clarify the **level of commitment** to the system.

The Levels of Institutional Commitment (hereinafter The Levels of Commitment):

Level 1:

The organisation appoints an RRI Office(r) and supports its activity.
(Foundation Block)

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 three-year Action Plan for continuous improvement, and
- monitoring the progress of the ETHNA System in the organisation through progress indicators.

Level 2:

The organisation implements some of the Column Blocks.
(Column Block)

The organisation should implement 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.

The organisation has designated the RRI Office(r) and implemented the three Columns.

The organisation applied a proactive attitude in all the RRI key areas: research integrity, gender perspective, public engagement, and open access.

E. HOW IS THE ETHNA SYSTEM IMPLEMENTED?

TO DO: Develop the blocks in line with the Three Levels of Commitment.

This guide is complemented by the publication of the **Toolbox to implement the ETHNA System** composed of seven Guidance tools (**Annex 1 to 7**) that intends to make the implementation of the system easier. In this toolbox, RPOs and RFO's organisations will find guidance to implement each system structure:

NOTE:

The ETHNA system will **provide guidance to RPOs and RFO's organisations to achieve RRI standards** through a systematic and flexible model.

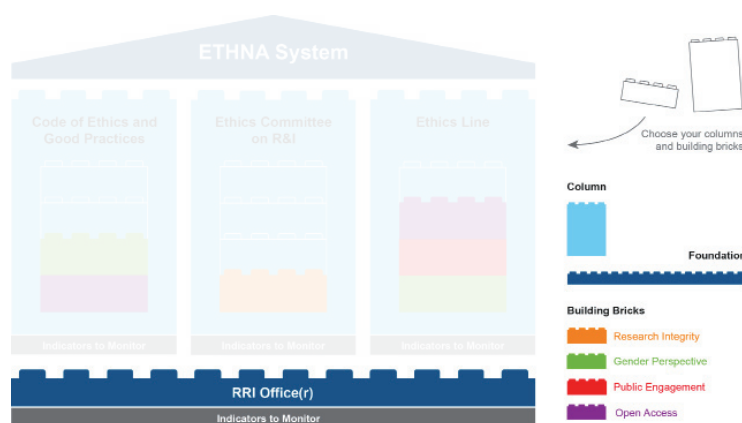
The **Three Levels of Commitment** to the ETHNA System consist of the designation of an RRI Office(r) (Foundation Block), the implementation of some of the columns (Column Blocks), and the full development the ETHNA System.

Toolbox to implement the ETHNA System:	page
ANNEX 1. GUIDANCE TO CREATE THE ETHNA SYSTEM ACTION PLAN	5
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Level 1.

Foundation Block: The organisation will begin the implementation of the ETHNA System with the designation of an RRI Office(r) (see *Toolbox Annex 1*).

- This may be an **individual or a unit** that will be approved by the competent governing bodies within the organisation.
- **The RRI Office(r)** will be in charge of oversee:
 - The preparation of a **three-year ETHNA System Action Plan**
 - **The monitoring of its implementation** as well as facilitate the continuous improvement of the ETHNA System in accordance with the agreed level of commitment, which is based on the monitoring indicators.
 - The implementation of the necessary **promotion and dissemination of activities inside and outside the organisation**.
 - The **promotion of the principles and values of ethical management** in the organisation.
 - The implementation of **one or all the column blocks** (to be chosen by each organisation).



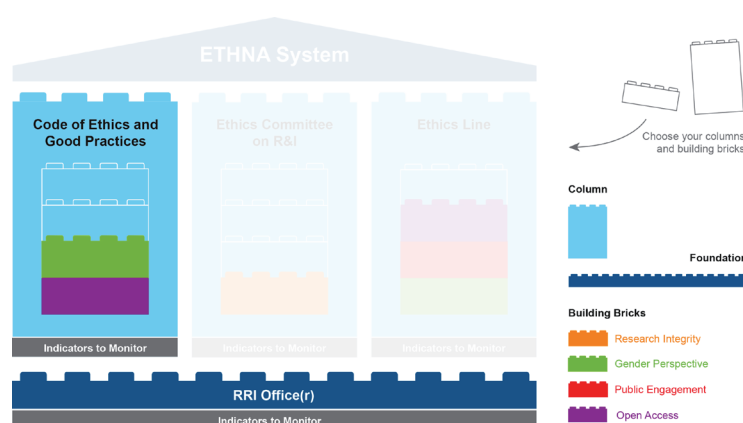
Level 2.

Column Block: The organisation will choose whether to implement one or three of the column blocks.

- It should be decided and implemented depending on the resources, capabilities, and objectives of the organisation:
 - **Option A:** **Code of Ethics and Good Practices in R&I (CEGP)** covering at least one key area.
 - **Option B:** **Ethics Committee on R&I** covering at least one key area.
 - **Option C:** **Ethics Line column** covering at least one key area.

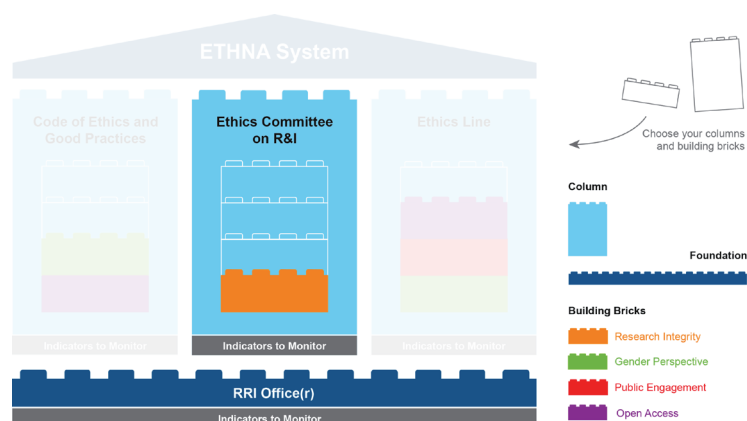
Option A: Code of Ethics and Good Practices in R&I (see *Toolbox Annex 3*). The organisation will have a Code that aligns with the ETHNA System guidelines.

- The organisation is encouraged to have the explicit commitment of senior management and have the approval of the competent governing bodies within the organisation.
- The RRI Office(r) is encouraged to ensure internal and external awareness of the Code of Ethics through training and communication activities.
- The Code is encouraged to be monitored using progress and compliance indicators.

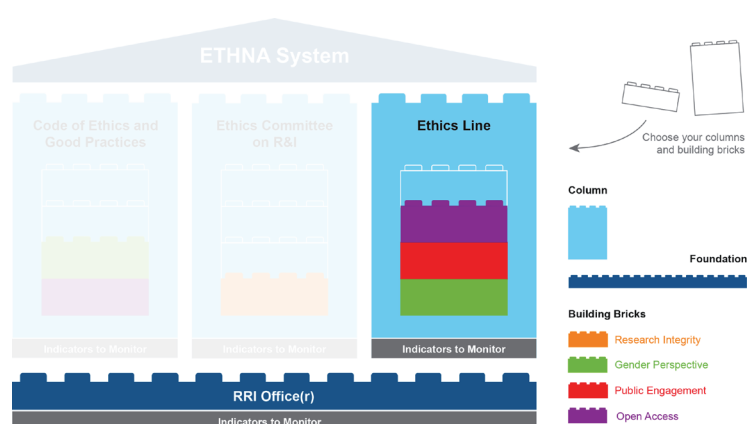


Option B: Ethics Committee on R&I (see *Toolbox Annex 4*). The organisation should define and create their own space for consideration and deliberation that align with the ETHNA System guidelines.

- The training plan for members of the Committee, if it is permanent, will be defined in this block. It will be disseminated, and all members of the organisation will be encouraged to be informed.
- The progress and performance indicators to assess implementation will also be established.



Option C: Ethics Line column (see *Toolbox Annex 5*). The organisation will implement their own communication channel that aligns with the ETHNA System guidelines. They will also define the process to create a database of frequently asked questions and will conduct a promotional campaign for the communication and participation channel. The progress and performance indicators to assess implementation will also be established.



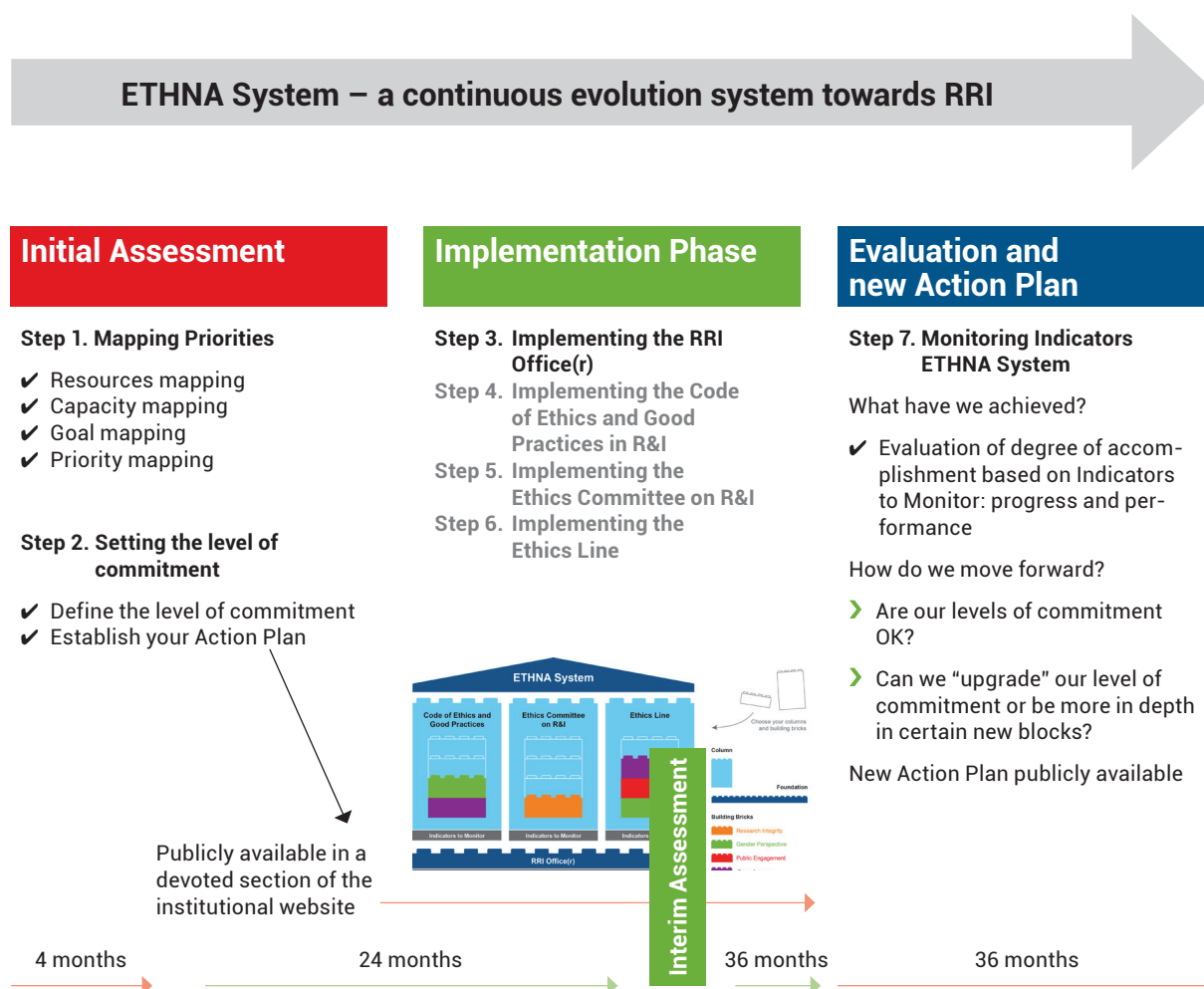
Level 3.

The organisation will fully develop the ETHNA System.

The ETHNA System has been designed so that each block can be monitored through progress and performance indicators. In this way, the organisation will be able to select the performance indicators that better suit their circumstances and culture. This will allow each organisation to monitor their compliance with each structure and block.

- It is **recommended that** the results measured by the indicators and the adequacy of the indicators themselves have an annual or biannual review that is integrated into the RRI Action Plan. The RRI Office(r) will be responsible to review these indicators and make progress visible, both internally and externally.

(See Toolbox **Annex 1: Guidance to use and to create the Action Plan** & **Annex 2. Guidance to create the Monitoring Indicators**).



E.1. PHASE I: INITIAL ASSEMENT (STEPS 1&2)

E1

A **working group** designated by the organisation will be **in charge of** performing the implementation steps of the ETHNA System (hereinafter the working group).

Step 1.
Stage 1.1.

The **size and composition** of the working group depends on the size and complexity of each organisation.

- It is **recommended that** the working group include **at least 2 members, but no more than 5 members**. And at least **one representative in senior management** should be appointed.

STEP 1. Mapping priorities

To best benefit from an ethical governance system, such as the ETHNA System, your organisation might first want to determine their priorities.

STEP 1 Structure:

STAGE 1.1. Resource mapping

STAGE 1.2. Capacity mapping

STAGE 1.3. Goal mapping

STAGE 1.4. Priority mapping

NOTE:

- **Not all blocks are equally relevant** to all organisations.
- It is therefore necessary to identify and evaluate the priorities of your organisation, considering their capabilities and available resources.
- This will help focus the effort of your organisation to implement the system in a viable, effective, and sustainable way and to increase the possibilities and benefits of the system.

STAGE 1.1. Resource mapping

TO DO: Identify the material, technological, economic, and human resources available to establish the RRI Office(r).

- Some of the needed resources are a physical and/or a virtual space, funds for operation, technical equipment including ICT, and people qualified in RRI to manage it (e.g., gender research expertise, open access expertise).

STAGE 1.2. Capacity mapping

E1

TO DO: Identify the capabilities of your organisation to implement the RRI Office(r).

Step 1.
Stage 1.2.
Stage 1.3.
Stage 1.4.

Your organisation should identify the following:

- Staff with expertise in the different dimensions (anticipation, inclusion, deliberation, reflection, and responsiveness) and the key areas (research integrity, gender perspective, public engagement, and open access) of RRI
- Activities, action plans, policies, and strategies that already exist in the organisation with respect to the dimensions and areas of RRI
- Commissions or committees related to R&I
- A general Ethics Line for communication with the organisation

STAGE 1.3. Goal mapping

TO DO: Conduct consultations with internal and external stakeholders of your organisation on the aspects of RRI considered to already be covered and discuss which aspects need to be reviewed.

Establish goals based on capabilities and resources.

Then **consult and identify** the elements of the ETHNA System that will enable your organisation to achieve these goals.

Possible goals:

- Raise awareness and communicate the definition of responsible R&I.
- Improve society's trust in your organisation
- Increase the participation of stakeholders in processes like decision-making or the generation of knowledge and innovation to improve results.
- Minimise cases of bad practice
- Promote dialogue between the organisation and society to improve the generation of knowledge and innovation.
- Promote RRI in specific R&I competitive processes.

STAGE 1.4. Priority mapping

TO DO: Consider the available resources, the capabilities, and identified objectives of your organisation.

- **Decide the priorities of your organisation** with respect to the different building blocks of the ETHNA System.

STEP 2. Set the level of commitment with the ETHNA System

E1

TO DO: Define the ETHNA System design that best matches the possibilities, objectives, and priorities of your organisation in each part of the system (consider the results of the mapping priorities)

Step 2.
Stage 2.1.

STEP 2 Structure:

STAGE 2.1. Define the Level of Commitment through the selection of Progress Indicators

STAGE 2.1.1. Define the RRI Office(r) [Foundation Block]

STAGE 2.1.2. Set priorities concerning the Column Blocks

OPTION A: Set the priorities with the Code of Ethics and Good Practices in R&I

OPTION B: Set the priorities with the Ethics Committee

OPTION C: Set the priorities with the Ethics Line

STAGE 2.2. Design an Action Plan

NOTE:

- › The existence of the Three Levels of Commitment with the ETHNA System (See chart on page 7).
- › The Level of Commitment is expected to be set in an Action Plan (Annex 1).
- › The Action Plan will be used by the RRI Office(r) as the compass for the three-year period.
- › **After the three-year period an evaluation of progress and performance** should be performed and a new Action Plan with a higher or deeper Level of Commitment should be established. The “required” actions ensure a good implementation of the ethical governance system. However, some of these actions may not be applicable due to the characteristics of the organisation. In this case it should simply be recorded that they do not apply. In the case of the “optional” actions, they allow to deepen and improve the ethical governance system.

STAGE 2.1.

TO DO: Define the Level of Commitment through the selection of Progress Indicators

- › Based on the mapping priorities, your organisation can select the level of their engagement with the system.
- › The implementation of each block needs some planned actions to show progress and that should be included in the Action Plan.

STAGE 2.1.1.

TO DO: Define the RRI Office(r) [Foundation Block]

Any RPO or RFO's organisation that wishes to implement the ETHNA System is recommended to implement at least the Foundation Block (the designation of RRI Office(r)), the indicators to monitor progress with the ETHNA System, and establish a public Action Plan that seeks continuous development towards RRI.

STAGE 2.1.2. Set priorities concerning the Column Blocks

E1

TO DO: Choose if your organisation will need to implement any of the three columns (**see below OPTIONS A, B & C) of the ETHNA system.**

Step 2.
Stage 2.1.

- These should be implemented depending on the resources, capabilities, and objectives of your organisation.

OPTION A:

TO DO: Set the priorities with the Code of Ethics and Good Practices in R&I (CEGP).

- **If your organisation has decided to implement the CEGP, define:** its scope (some or all the keys: research integrity, gender perspective, public engagement, and open access), objectives, and content based on the proposal offered by the ETHNA System.

LEVEL 2		
Required: Implement the Foundation block [RRI Office(r)] and at least one of three Column blocks [Code of Ethics and Good Practices, Ethics Committee on R&I (permanent or ad hoc) and/or Ethics Line]. At least one of the four RRI keys [research integrity, gender perspective, open access, and public engagement] must be covered.		
Code of Ethics and Good practices (CEGP)		
Action 1	Required	Appoint a working group to adapt the ETHNA System’s proposed CEGP
Action 2	Required	Establish the goals, tasks, and responsibilities of members of the working group
Action 3	Required	Establish the relevant aspects to be included in the adapted CEGP considering the research, innovation, and/or funding activity of your organisation
Action 4	Required	Decide which RRI aspects the CEGP should cover [cover at least one of the four RRI keys: integrity, gender, open access, and public engagement]
Action 5	Required	Define a participatory Code of Ethics and Code of Practice based on the ETHNA System
Action 6	Required	Develop a first draft of CEGP for your organisation
Action 7	Required	Launch a participatory process with stakeholders from your organisation to discuss the first draft of the CEGP
Action 8	Required	Develop a second draft of the CEGP reflecting the relevant aspects drawn from the participatory process with stakeholders
Action 9	Required	Obtain the approval of the senior management
Action 10	Required	Take actions to raise internal awareness concerning the Code of Ethics and Good Practices
Action 11	Optional	Take actions to raise external awareness concerning the Code of Ethics and Good Practices
Action 12	Optional	Establish an updating process
Action 13	Optional	Establish a professional/institutional compliance monitoring process
Action 14	Optional	Report to the stakeholders of your organisation about the progress and performance of the CEGP

OPTION B:

E1

TO DO: Set the priorities with the Ethics Committee

Step 2.
Stage 2.1.

- **If your organisation has decided to implement the Ethics Committee, define:** its scope (some or all the keys: research integrity, gender perspective, public engagement, and open access), composition, competencies, communication channels, and action protocol based on the Ethics Committee proposal offered by ETHNA System.

LEVEL 2

Required: Implement the Foundation block [RRI Office(r)] and at least one of three Column blocks [Code of Ethics and Good Practices, Ethics Committee on R&I (permanent or ad hoc) and/or Ethics Line]. At least one of the four RRI keys [research integrity, gender perspective, open access, and public engagement] must be covered.

Ethics Committee on R&I

[decide between a permanent or an ad hoc Ethics Committee on R&I]

Permanent Ethics Committee on R&I

Action 1	Required	Take an explicit decision that the Ethics Committee on R&I will be permanent
Action 2	Required	Establish the composition of the Permanent Ethics Committee on R&I
Action 3	Required	Clearly set out the basic functions of the Permanent Ethics Committee on R&I
Action 4	Required	Elaborate an Action Protocol as a guide for the operation of the Permanent Ethics Committee on R&I
Action 5	Optional	Elaborate an Action Plan to implement the Permanent Ethics Committee on R&I
Action 6	Optional	Organise the first meeting to constitute the Permanent Ethics Committee on R&I
Action 7	Optional	Designate and implement actions to promote the Code of Ethics and Good Practices in R&I or, if your organisation does not have one, use the international guidelines on RRI
Action 8	Optional	Decide which RRI aspects the permanent Ethics Committee should cover [cover at least one of the four RRI keys: research integrity, gender perspective, open access, and public engagement]
Action 9	Required	Designate and implement actions to monitor and control the safeguards required for ethical and responsible R&I
Action 10	Optional	Establish and implement actions to consider, issue reports and make recommendations on principles related to R&I involving ethics.
Action 11	Optional	Establish the link between the Ethics Committee and the governing body of your organisation (e.g., Office of the Vice-Rector for Research, Management Board, Ministry of Science, Science Quality Agency, etc.)
Action 12	Optional	Conduct trainings for the members of the Permanent Ethics Committee on R&I to discuss and resolve conflicts related to RRI

Ad Hoc Ethics Committee on R&I

Action 1	Required	Take an explicit decision that the Ethics Committee on R&I will be ad hoc
Action 2	Required	Clearly set out the basic functions of the Ad Hoc Ethics Committee on R&I and the person responsible for it
Action 3	Required	Elaborate an Action Protocol as a guide for the operation of the Ad Hoc Ethics Committee on R&I
Action 4	Required	Develop a database of experts to provide members for the Ad Hoc Ethics Committee on R&I or to advise it every time it meets
Action 5	Optional	Decide which RRI aspects the Ad Hoc Ethics Committee should cover [cover at least one of the four RRI keys: research integrity, gender perspectives, open access, or public engagement]

OPTION C:

E1

TO DO: Set the priorities with the Ethics Line

Step 2.
Stage 2.1.

- **If your organisation has decided to implement the Ethics Line, define:** its scope (some or all the keys: research integrity, gender perspective, public engagement, and open access), communication channels, types of preferred notifications to manage, and the action protocol in line with the model offered by the ETHNA System.

LEVEL 2

Required: Implement the Foundation block [RRI Office(r)] and at least one of three Column blocks [Code of Ethics and Good Practices, Ethics Committee on R&I (permanent or ad hoc) and/or Ethics Line]. At least one of the four RRI keys [research integrity, gender perspective, open access and public engagement] must be covered.

Ethics Line

Action 1	Required	Designate a person responsible for the Ethics Line
Action 2	Required	Designate and make explicit the group of experts or body/bodies responsible for managing and resolving notifications received via the Ethics Line (e.g., Permanent or Ad Hoc Ethics Committee, RRI Office(r), etc.)
Action 3	Required	Define and make explicit the communication channels of the Ethics Line (e-mail, telephone, online form, app, etc.)
Action 4	Required	Define and make explicit the type of notifications that can be made via the Ethics Line (e.g., suggestions, proposals, queries, complaints, alerts and/or reports)
Action 5	Required	Define and make explicit the way in which the information is collected and managed through the Ethics Line (e.g., confidentially, anonymously, or publicly)
Action 6	Required	Define and make explicit the way in which the information collected and managed through the Ethics Line is archived
Action 7	Required	Define and make explicit the basic functions of the Ethics Line
Action 8	Required	Draw up an action protocol as an operating guide to receive and manage notifications via the Ethics Line (phases, timing, prevention, correction, promotion and dissemination actions, investigation processes for warning, or complaint notifications, etc.)
Action 9	Optional	Decide which RRI aspects the Ethics Line will cover [cover at least one of the four RRI keys: research integrity, gender perspective, open access, and public engagement]
Action 10	Required	Design and implement a process to monitor the proper operation of the Ethics Line
Action 11	Required	Communicate and promote the knowledge and use of the Ethics Line by the internal and/or external stakeholders of your organisation
Action 12	Required	Report to the stakeholders of your organisation about the performance of the Ethics Line (e.g., monitoring report, impact report, web dashboard, newsletter, etc.)

NOTE:

Once your organisation has defined their priorities the Level of Commitment for the next three years will be established and can be reviewed at the end of this period.

For this review your organisation will have the progress and performance indicators (see detailed information Annex 2) and can decide to continue at the same level or to move to a higher Level of Commitment and therefore improve with the elaboration of a new three-year Action Plan.

STAGE 2.2.

TO DO: Design an Action Plan

NOTE:

- › The ETHNA System is **intended to help generate a culture of continuous improvement**. To do this, it is necessary to design an Action plan, which sets goals and helps your organisation to monitor their progress in achieving them.
- › The ETHNA System **provides a set of indicators for your organisation to track the continual development of ethical governance to promote RRI**.
 - › Your organisation should adapt the indicators in accordance with the chosen Level of Commitment **Annex 1**).
- › The **priorities of your organisation in the implementation of the ETHNA** System will determine the final design and complexity of the Action Plan. Further guidance is provided in the Toolbox (**Annex 1**).
- › The Action Plan **should be publicly available** on the organisation’s website and should include the progress and performance indicators (in accordance with the chosen Level of Commitment).
- › The Action Plan **should include all the activities that will be carried out over a three-year period**, such as:
 - › This **includes internal awareness activities and actions** to promote the ethical governance for R&I aligned with the ETHNA System concerning the four RRI keys: research integrity, gender perspective, public engagement, and open access.
 - › planning and setting possible activities related to the priorities concerning the Column Blocks.

E1

Step 2.

Stage 2.2.

E.2. PHASE II: IMPLEMENTATION PHASE (STEP 3 to 6)

E2

STEP 3. Implement the RRI Office(r)

Step 3.
Stage 3.1.
Stage 3.2.
Stage 3.3.
Stage 3.4.

If your organisation wishes to implement the ETHNA System, it is recommended that they at least establish the Foundation Block (RRI Office(r)) and activate the progress and performance indicators related to this block.

STEP 3 Structure:

STAGE 3.1.	Select RRI Office(r)
STAGE 3.2.	Decide the specialist support staff, if necessary
STAGE 3.3.	Choose the location of the RRI Office(r), if applicable
STAGE 3.4.	Develop the Action Plan
STAGE 3.5.	Develop a communication, motivation, and awareness plan for the RRI Office(r)
STAGE 3.6.	Develop monitoring indicators for the RRI Office(r)

NOTE:

The RRI Office (r) has two main functions: (1) assessing the current state-of-the-art of RRI readiness and progress of the institution, based on which taking responsibility for planning the activities to adopt the ETHNA System and (2) coordinating the actions to develop the envisaged tools by deciding upon the level of commitment and the related activities.

STAGE 3.1. Select RRI Office(r)

TO DO: 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.

- It is recommended to have a person in the RRI Office (r), but, if it is not possible, these responsibilities can be assigned to a unit or service in the R&I administrative structure or unit.
- It is not necessary to create a new job position or a new physical and administrative structure, just that the functions of ETHNA Representative are well assigned inside the organisation.

STAGE 3.2. Decide the specialist support staff, if necessary

TO DO: Decide whether the RRI Office(r) will have specialist support to implement the ETHNA System.

- If yes, define their number, roles, and functions within the system.

STAGE 3.3. Choose the location of the RRI Office(r), if applicable

TO DO: Decide whether the RRI Office(r) will have a physical and/or virtual space within your organisation.

- If no such space is available, the RRI Office(r) can also be an external service linked to the R&I decision-making bodies of your organisation.

STAGE 3.4. Develop the Action Plan

E2

- TO DO:** Develop the performance indicators in the Action Plan to generate internal awareness and a self-assessment of the pre-conditions to implement the ETHNA System.
- It is recommended to organise activities to spread the idea of ethical governance of R&I in line with the ETHNA System.
 - Remember the four aspects of RRI (research integrity, gender perspective, public engagement, and open access) should be addressed in this Action Plan.

Step 3.
Stage 3.5.
Stage 3.6.

STAGE 3.5. Develop a communication, motivation, and awareness plan for the RRI Office(r)

- TO DO:** Define the communication, motivation, and awareness-raising actions so that stakeholders are aware of the RRI Office(r) and can participate.

STAGE 3.6. Develop monitoring indicators for the RRI Office(r)

- TO DO:** your organisation will need to produce two lists of indicators that should be included into the Action Plan:
- The RRI Office(r) should use progress and performance indicators as a compass to monitor implementation and also evaluate the degree of accomplishment and the areas of improvement after the three-year period.

LEVEL 3

Required: Implement the Foundation block [RRI Office(r)] and three Column blocks [Code of Ethics and Good Practice, Ethics Committee on R&I (permanent or Ad Hoc) and Ethics Line]. All four RRI keys [research integrity, gender perspectives, open access, and public engagement] must be covered.

RRI Office(r)

Action 1	Required	Self-assessment of the preconditions necessary for the implementation of the ETHNA System
Action 2	Required	Ensure that all necessary preconditions for the implementation the ETHNA System are met
Action 3	Required	Designate an RRI Office(r)
Action 4	Required	Formulate the core duties of RRI Office(r)
Action 5	Required	Design an Action Plan for the implementation of the RRI Office(r)
Action 6	Required	Take actions to raise internal awareness concerning the ETHNA System
Action 7	Required	Disseminate the idea of ethical governance of R&I in line with the ETHNA System
Action 8	Required	Generate actions to promote RRI key research integrity
Action 9	Required	Generate actions to promote RRI key gender perspectives
Action 10	Required	Generate actions to promote RRI key open access
Action 11	Required	Generate actions to promote RRI key public engagement
Action 12	Required	Establish the link between the RRI Office(r) and governing body of your organisation
Action 13	Required	Offer accountability to RPO or RFO stakeholders for the progress and impacts of the ETHNA System

STEP 4. Implement the Code of Ethics and Good Practices in R&I

E2

(See Toolbox **Annex 2**: Guidance for Creating or Adopting a Code of Ethics and Good Practices in R&I).

The ETHNA System's Code of Ethics and Good Practices in R&I (CEGP) is **a formal and public document that identifies, outlines, and offers reasons for values, principles, and good practices**. In addition to support the commitments the organisation adopts to guide research and innovation in an ethical and responsible way.

Step 4.
Stage 4.1.
Stage 4.2.
Stage 4.3.

STEP 4 Structure:

STAGE 4.1.	Establish the working group
STAGE 4.2.	Develop a map of risks and good practices in R&I
STAGE 4.3.	Identify the aspects to be covered by the CEGP of your organisation
STAGE 4.4.	Make a first draft of an adapted CEGP
STAGE 4.5.	Promote a participatory process to improve the adapted draft of the CEGP
STAGE 4.6.	Develop the final proposal for the adapted CEGP
STAGE 4.7.	Approve the adapted CEGP
STAGE 4.8.	Implement the CEGP
STAGE 4.9.	Propose a process to communicate improvements and/or warnings concerning the CEGP
STAGE 4.10.	Develop the CEGP monitoring indicators

STAGES TO BE FOLLOWED *(always adapt it to the particular features of your organisation):*

STAGE 4.1. Establish the working group

TO DO: Select the people in the working group to adapt the ETHNA System CEGP proposal. Then, hold a meeting to organise the working group, specify goals and actions, as well as the responsibilities of the members.

STAGE 4.2. Develop a map of risks and good practices in R&I

TO DO: Formulate a map of R&I risks (possible misconduct) linked to the activity of your organisation or to the type of research and innovation they fund. Also identify the best practices the organisation wants to promote.

STAGE 4.3. Identify the aspects to be covered by the CEGP of your organisation

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

STAGE 4.4. Make a first draft of an adapted CEGP

TO DO: Make a first draft of an adapted CEGP. The final version of the document could include relevant sections such as:

Step 4.
Stage 4.4.
Stage 4.5.
Stage 4.6.

Open letter from top management	Draft it under the approval process (see Stage 4.7. Approve the adapted CEGP)
Own principles and/or values in R&I	Select and include the values and principles that best match and guide the R&I activity and R&I risks for your organisation
Professional and organisational good practices	Express the selected values and principles in the form of good practices (behaviours and specific procedures) expected of everyone involved in the research and innovation processes at your organisation. Your organisation should adopt good practice guidelines with consideration of their own activity.
Monitoring and compliance system	Explain the procedure followed to develop the Code and how suggestions for improvement or warnings regarding conduct can be communicated. Also monitor and comply the system with the Code, as well as the actions that will be implemented to raise awareness.

STAGE 4.5. Promote a participatory process to improve the adapted draft of the CEGP

TO DO: Begin a participatory process with the stakeholders of your organisation to gather opinions, suggestions, and proposals for the improvement of the CEGP draft.

- This process may include distributing questionnaires, organising group dynamics, and conducting in-depth interviews with leading figures.

STAGE 4.6. Develop the final proposal for the adapted CEGP

TO DO: Collect data from the participatory process and develop a final proposal for a CEGP adapted to the needs of your organisation.

STAGE 4.7. Approve the adapted CEGP

TO DO: Promote the approval of the adapted CEGP through the competent body. It is recommended that this function be performed by the highest authority in the organisation or, if delegated, by the highest authority for research and innovation in your organisation.

This approval will be summarised in a letter from the head of the organisation to:

- Declare the commitment of senior management and the entire organisation to the principles, values, and practices of the Code
- Underline the connection between the Code and the vision, mission, and strategic plans of your organisation
- Highlight the participatory procedure that has been followed to create the Code
- Extend an invitation to the entire organisation to learn about the Code and make a commitment to follow, improve, and uphold it
- Acknowledge the CEGP of the organisation is based on the model proposed by the ETHNA System

STAGE 4.8. Implement the CEGP

TO DO: Establish a process to disseminate the CEGP and raise its awareness.

- This includes trainings so that stakeholders are aware and can internalise it.
- The CEGP updating procedure should also involve stakeholders to improve its content.
- The process may include internal and external communication actions to disseminate the CEGP
- It may include trainings to raise awareness and provide knowledge about its content, as well as participatory processes to review and update the content of the CEGP.

STAGE 4.9.

TO DO: Propose a process to communicate improvements and/or warnings concerning the CEGP. Propose a communication process so that the stakeholders of the organisation can receive notifications.

- It could be defined by an e-mail address, a web form, a computer app, or a telephone number, among others) of improvements or alerts (reports, complaints) concerning the content of the CEGP.

Step 4.
Stage 4.7.
Stage 4.8.
Stage 4.9.

STAGE 4.10. Develop CEGP monitoring indicators

E2

TO DO: Define indicators that show the level of progress and performance in achieving the goals of the CEGP in R&I and measure the scope and results of related activities.

Step 4.
Stage 4.10.

- your organisation will need to confirm two lists of indicators and include them in the Action Plan.

LEVEL 3

Required: Implement the Foundation block [RRI Office(r)] and three Column blocks [Code of Ethics and Good Practice, Ethics Committee on R&I (permanent or Ad Hoc) and Ethics Line]. All four RRI keys [research integrity, gender perspectives, open access, and public engagement] must be covered.

Code of Ethics and Good Practices (CEGP)

Action 1	Required	Appoint a working group to adapt the proposed CEGP of the ETHNA System
Action 1	Required	Adapt the proposed CEGP of the ETHNA System and begin its duties
Action 3	Required	Establish the goals, actions, and responsibilities of members of the working group to adapt the proposed CEGP of the ETHNA System
Action 4	Required	Establish the relevant aspects to be included in the adapted CEGP considering the RPO's / RFO's research, innovation, and/or funding activity
Action 5	Required	Define a participatory Code of Ethics and Code of Practice based on the ETHNA System
Action 6	Required	Develop a first draft of the CEGP for your organisation
Action 7	Required	Launch a participatory process with RPO/RFO stakeholders to discuss the first draft of the CEGP
Action 8	Required	Compile and draw up a second draft of the CEGP reflecting the relevant aspects drawn from the participatory process with stakeholders
Action 9	Required	Comment on and approve the latest CEGP based on the ETHNA System been by senior management
Action 10	Required	Encourage actions to raise internal awareness concerning the Code of Ethics and Good Practices
Action 11	Optional	Encourage actions to raise to external awareness concerning the Code of Ethics and Good Practices
Action 12	Optional	Establish an updating process
Action 13	Optional	Establish a professional/institutional compliance monitoring process
Action 14	Optional	Offer accountability to RPO or RFO stakeholders for the progress and performance of the CEGP

STEP 5. Implement the Ethics Committee on R&I

E2

(See Toolbox **Annex 4**. *Guidance for Setting up an Ethics Committee on R&I*).

Step 5.
Stage 5.1.
Stage 5.2.

The Ethics Committee on R&I is a **participatory space for dialogue on the values, conduct, procedures, and commitments** concerning the ETHNA System's Code of Ethics and Good Practices in R&I or the four RRI keys (research integrity, gender perspective, public engagement, and open access). It is also a place to discuss notifications of proposals, suggestions, consultations, warnings, complaints, and reports received by the RRI Office(r) via the Ethics Line or any other means.

STEP 5 Structure:

STAGE 5.1.	Decide the objectives of the Ethics Committee on R&I
STAGE 5.2.	Decide the scope and principles of action of the Ethics Committee on R&I
STAGE 5.3.	Decide the Ethics Committee on R&I model
STAGE 5.4.	Decide the composition of the Ethics Committee on R&I
STAGE 5.5.	Decide the functions of the Committee on R&I
STAGE 5.6.	Establish the work methodology of the Ethics Committee on R&I
STAGE 5.7.	Approve the Ethics Committee on R&I
STAGE 5.8.	Develop monitoring indicators for the Ethics Committee on R&I

STAGE 5.1. Decide the objectives of the Ethics Committee on R&I

TO DO: Decide the general and specific objectives of the Ethics Committee on R&I.

- For example, to serve as a space for participation and deliberation on one or more of the following issues:
 - managing notifications from the Ethics Line,
 - resolving ethical conflicts related to research and innovation,
 - updating and improving the Code of Ethics and Good Practices in R&I,
 - and debating a specific case etc.

STAGE 5.2. Decide the scope and principles of action for the Ethics Committee on R&I

TO DO: Decide whether the Ethics Committee on R&I will be a space for internal and/or external participation.

- Determine if members only from within your organisation will be able to participate or if people or groups from outside your organisation can be involved.

STAGE 5.3. Decide the Ethics Committee on R&I model

TO DO: Decide whether to follow a *permanent* or *ad hoc* Ethics Committee on R&I model.

- **The *permanent model*** involves establishing a group of experts and/or stakeholders for a fixed and renewable period.
- **The *ad hoc model*** involves establishing a group of experts and/or stakeholders to discuss any aspect, proposal, specific, or emerging conflict related to the operation of the ETHNA System and to implement the values, behaviours, and procedures in its Code of Ethics and Good practices. The ad hoc committee is dissolved once the case has been resolved or the report has been prepared.

Step 5.
Stage 5.3.
Stage 5.4.
Stage 5.5.
Stage 5.6.
Stage 5.7.
Stage 5.8.

STAGE 5.4. Decide the composition of the Ethics Committee on R&I

TO DO: Begin the composition of the Ethics Committee on R&I with consideration of the general and specific objectives of the committee and the type of model desired for implementation (*permanent* or *ad hoc*). Whether your organisation has decided to implement a permanent or ad hoc committee model, they should indicate the number of experts and/or stakeholders participating and the reasons why they have been chosen. Do not forget to describe the roles of the committee members. The committee should at least have a chairperson, a secretary, and an ordinary member.

STAGE 5.5. Decide the functions of the Committee on R&I

TO DO: Detail the duties of the committee based on their capabilities, resources, and objectives.

STAGE 5.6. Establish the work methodology of the Ethics Committee on R&I

TO DO: Establish the methodology for action in the Ethics Committee on R&I.

- Take into consideration: the meetings, accord, decision making, reports, and monitoring.

STAGE 5.7. Approve the Ethics Committee on R&I

TO DO: Decide the body that will approve the establishment of the Ethics Committee on R&I, as well as its composition, roles, and functions.

STAGE 5.8. Develop monitoring indicators for the Ethics Committee on R&I.

TO DO: Establish two lists of indicators and include them in the Action Plan, which will serve to show the degree of progress and performance concerning the objectives of the Ethics Committee on R&I and measure the scope and results of its activity.

Progress indicators to check that your organisation is consolidating all phases of the process.

Performance indicators to show the implementation actions that have been performed and their effect.

LEVEL 3

Required: Implement the Foundation block [RRI Office(r)] and three Column blocks [Code of Ethics and Good Practice, Ethics Committee on R&I (permanent or Ad Hoc) and Ethics Line]. All four RRI keys [research integrity, gender perspectives, open access, and public engagement] must be covered.

E2

Step 5.

Ethics Committee on R&I

[decide between a permanent or an ad hoc Ethics Committee on R&I]

Permanent Ethics Committee on R&I

Action 1	Required	Decide and made explicit that the Ethics Committee on R&I will be permanent
Action 2	Required	Establish the composition of the Permanent Ethics Committee on R&I
Action 3	Required	Establish and clearly set out the basic functions of the Permanent Ethics Committee on R&I
Action 4	Required	Elaborate an Action Protocol as a guide for the operation of the Permanent Ethics Committee on R&I
Action 5	Optional	Elaborate an Action Plan for implementing the Permanent Ethics Committee on R&I
Action 6	Optional	Held a first meeting to constitute the Permanent Ethics Committee on R&I
Action 7	Optional	Designate and implement actions to promote the Code of Ethics and Good Practices in R&I or, if you do not have one, the international guidelines on RRI
Action 8	Required	Designate and implement actions to monitor and control the safeguards required for ethical and responsible R&I
Action 9	Optional	Establish and implement actions to consider, issue reports and make recommendations on principles related to R&I involving ethics and professional ethics
Action 10	Optional	Link the Ethics Committee on R&I with any RPO/RFO governing body (e.g., Office of the Vice-Rector for Research, Management Board, Ministry of Science, Science Quality Agency, etc.)
Action 11	Optional	Carried out actions aimed at training the members of the Permanent Ethics Committee on R&I in discussing and resolving conflicts related to RRI

Ad Hoc Ethics Committee on R&I

Action 1	Required	Decide and made explicit that the Ethics Committee on R&I will be ad hoc
Action 2	Required	Establish and made explicit the basic functions of the Ad Hoc Ethics Committee on R&I and the person responsible for it
Action 3	Required	Elaborate an Action Protocol as a guide for the operation of the Ad Hoc Ethics Committee on R&I
Action 4	Required	Develop a database of experts to provide members for the Ad Hoc Ethics Committee on R&I or to advise it every time it meets
Action 5	Optional	Design and implement actions to promote the Code of Ethics and Good Practices in R&I or, if you do not have one, the international guidelines on RRI, among the experts making up the database for the Ad Hoc Ethics Committee on R&I
Action 6	Optional	Create a guide to inform the experts appearing in the database for the Ad Hoc Ethics Committee on R&I in discussing and resolving conflicts related to RRI
Action 7	Optional	Link the Ad Hoc Ethics Committee on R&I with any RPO/RFO governing body (e.g., Office of the Vice-Rector for Research, Management Board, Ministry of Science, Science Quality Agency, etc.)
Action 8	Optional	Carried out communication actions to offer accountability to RPO/RFO stakeholders for the progress and performance of the Ad Hoc Ethics Committee on R&I (e.g., monitoring report, impact report, web dashboard, newsletter, etc.)

- 1) **Progress indicators** to check that the organisation is consolidating all phases of the process.
- 2) **Performance indicators** to show the implementation actions that have been performed and their effect.

Ethics Committees may have functions related to:

1. **Promote the Code of Ethics and Good Practices by:**
 - promoting internal (junior and senior researchers and other staff linked to R&I) and external training on the Code; and
 - encouraging reflections on aspects that might be controversial or other emerging issues.
2. **Advise** research staff, and others interested, in the committee's assessment on Research Ethics issues.
3. **Reflect, issue reports, and make recommendations on ethical and deontological principles relating to R&I activity by:**
 - providing advice on the interpretation of the Code, international guidelines, and controversial issues;
 - issuing information in the event of legal reports or allegations of bad practice;
 - promoting and publicising laws, regulations, and reports adopted on ethics in R&I; and/or
 - encouraging the revision of the Code when there is new evidence or advances in thought on controversial topics.
4. **Monitor and Control** the guarantees required to conduct scientific R&I by:
 - resolving notifications regarding suggestions, warnings, and complaints made via the ethics hotline or other channels established by your organisation;
 - implementing a procedure for action in the event of scientific or R&I bad practice; and
 - acting as an arbitration body in conflicts linked to R&I practices.

STEP 6. Implement the Ethics Line

E2

(See *Toolbox Annex the Guidance for Setting up an Ethics Committee on R&I*).

The Ethics Line will allow your organisation to have an open channel of communication with their internal and/or external stakeholders in the field of R&I. It will improve research and innovation activities and advance towards society's expectations.

Step 6.

Stage 6.1.

Stage 6.2.

Stage 6.3.

Stage 6.4.

STEP 6 Structure:

STAGE 6.1.	Decide the scope of the Ethics Line
STAGE 6.2.	Decide the type of Ethic Line channel
STAGE 6.3.	Decide who is responsible for the Ethics Line
STAGE 6.4.	Decide the Ethics Line communication mechanism
STAGE 6.5.	Decide the type of notifications that can be sent via the Ethics Line
STAGE 6.6.	Decide who will be responsible for the management of the Ethics Line data
STAGE 6.7.	Formulate the Ethics Line action protocol
STAGE 6.8.	Decide the communication, motivation, and awareness-raising plan for the Ethics Line
STAGE 6.9.	Draft monitoring indicators for the Ethics Line

STAGE 6.1. Decide the scope of the Ethics Line.

TO DO: Establish whether the Ethics Line will be an internal or external communication channel and select the participating stakeholders.

STAGE 6.2. Decide the type of Ethics Line channel.

TO DO: Establish whether the Ethics Line will use anonymous, confidential, or public communication channels.

STAGE 6.3. Decide who is responsible for the Ethics Line.

TO DO: Establish the person responsible for the proper operation of the Ethics Line, as well as their duties and competences.

- It is recommended that this function be performed by the RRI Office(r).

STAGE 6.4. Decide the Ethics Line communication mechanisms.

TO DO: Establish the communication tools to be used by the Ethics Line to complete and resolve notifications.

- such as traditional mail, e-mail, web questionnaires, telephone, and face-to-face etc.

STAGE 6.5. Decide the type of notifications that can be sent via the Ethics Line

TO DO: Establish the type of information your organisation wishes to collect and manage via the Ethics Line:

- **Suggestions** to improve the ETHNA System and its different elements: Code of Ethics and Good Practices, Ethics Line, etc.
- **Proposals** for best practices in research and innovation
- **Queries** on the ETHNA System and its implementation
- **Complaints** that involve grievances, unease, and inappropriate behaviour, etc.
- **Warnings** of possible bad practice and misconduct
- **Complaints** of breaches in the values and behaviours of the Code of Ethics or non-compliance with it

Step 6.
Stage 6.5.
Stage 6.6.
Stage 6.7.
Stage 6.8.
Stage 6.9.

STAGE 6.6. Decide who will be responsible for the management of the Ethics Line data.

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

- It is recommended that this function be performed by the RRI Office(r).

STAGE 6.7. Formulate the Ethics Line action protocol

TO DO: Establish an action protocol to receive, manage, and resolve Ethics Line notifications.

- It should contain information on notification acknowledgement, resolution times, data management, and the notification resolution process.

STAGE 6.8. Decide the communication, motivation, and awareness-raising plan for the Ethics Line.

TO DO: Establish communication, motivation, and awareness actions to increase stakeholder knowledge and participation in the Ethics Line.

STAGE 6.9. Draft monitoring indicators for the Ethics Line.

TO DO: Establish indicators two lists of indicators and introduce them in the Action Plan to show the degree of progress and performance concerning the objectives of the Ethics Line and measure the scope and results of its activity.

- **Progress indicators** to check that the organisation is consolidating all phases of the process.
- **Performance indicators** to show the implementation actions that have been performed and their effect.

LEVEL 3

E2

Step 6.

Required: Implement the Foundation block [RRI Office(r)] and three Column blocks [Code of Ethics and Good Practice, Ethics Committee on R&I (permanent or Ad Hoc) and Ethics Line]. All four RRI keys [research integrity, gender perspectives, open access, and public engagement] must be covered.

Ethics line

Action 1	Required	Designate a person responsible for the Ethics Line
Action 1	Required	Designate and make explicit the group of experts or body/bodies responsible for managing and resolving notifications received via the Ethics Line (e.g., Permanent or Ad Hoc Ethics Committee, RRI Office(r), etc.)
Action 3	Required	Define and make explicit the Ethics Line's communication channels (e-mail, telephone, online form, app, etc.)
Action 4	Required	Define and made explicit the type of notifications that can be made via the Ethics Line (e.g., suggestions, proposals, queries, complaints, alerts and/or reports)
Action 5	Required	Define and made explicit the way in which the information collected through the Ethics Line is collected and managed (e.g., confidentially, anonymously or publicly)
Action 6	Required	Define and made explicit the way in which the information collected and managed through the Ethics Line is archived
Action 7	Required	Define and made explicit the basic functions of the Ethics Line
Action 8	Required	Draw up an action protocol as an operating guide for receiving and managing notifications via the Ethics Line (phases, timing, prevention, correction, promotion and dissemination actions, investigation processes for warning or complaint notifications, etc.)
Action 9	Required	Design and implemented some kind of process to monitor the proper operation of the Ethics Line
Action 10	Required	carried out communication actions aimed at improving knowledge and use of the Ethics Line by the RPO's/RFO's internal and/or external stakeholders
Action 11	Required	To carry out communication actions to offer accountability to RPO/RFO stakeholders for the progress and performance of the Ad Hoc Ethics Committee on R&I (e.g., monitoring report, impact report, web dashboard, newsletter, etc.)

- 1) **Progress indicators** to check that the organisation is consolidating all phases of the process.
- 2) **Performance indicators** to show the implementation actions that have been performed and their effect.

E.3. PHASE III: EVALUATION PHASE (STEP 7)

E3

(See Toolbox **Annex 2**. *Guidance Monitoring Indicators: progress and performance*)

Step 7.

STEP 7. Monitoring Indicators of the ETHNA System

The adoption of the different tools that constitute the blocks of the ETHNA System requires the establishment of **Guidance Monitoring Indicators to show the degree of achievement of the goals and measure the scope and results of their activity.**

The **Guidance Monitoring Indicators** includes:

➤ **Progress indicators** are common for all types of organisations.

Each organisation will choose the progress indicators in relation with their specific commitment to the ETHNA System.

➤ **Performance indicators** will be used to show the implementation actions that have been performed and their effect.

The **monitoring of progress indicators** will inform the ETHNA System of the level of accomplishment. The monitoring of performance indicators will report on compliance with the level of commitment. Both could be shown in a graphical dashboard that is easy to use by the RRI Office(r).

After the implementation phase, the Action Plan will be evaluated based on its level of accomplishment in implementation and performance indicators. Then a new Action Plan will be established for a continuous evaluation system towards RRI.

F. COMMUNICATING AND CREATING CULTURE

(See: Toolbox **Annexes 6 & 7**: *Guidance to create the Internal Communication Plan & Guidance to create the External Communication Plan*).

The **success of the ETHNA System depends**, to a large extent, on the ability of your organisation to adopt an ethical culture and establish communication, dissemination, exploitation, and participation mechanisms.

Communication is a powerful tool used to stimulate internal **change and encourage decision-making** aligned with the blocks and tools of the ETHNA System.

- It **means that** the stakeholders of your organisation are aware of the ETHNA System and use its different blocks.

It is **essential to** carry out a constant communication process to support the development of the ETHNA System at the different levels of implementation.

- It is **essential for** the stakeholders of the organisation to have reasonable expectations and be able to maintain a balanced dialogue with your organisation.
- It is **recommended that** your organisation should have an internal and external communication plan to promote the greatest possible awareness of the ETHNA System, in accordance with the guidelines provided in this report.

REMEMBER THAT YOU CAN FIND HELP IN: TOOLBOX TO IMPLEMENT THE ETHNA SYSTEM

- ANNEX 1.** GUIDANCE TO CREATE THE ETHNA SYSTEM ACTION PLAN
- ANNEX 2.** GUIDANCE TO USE AND TO CREATE THE MONITORING INDICATORS: PROGRESS AND PERFORMANCE
- ANNEX 3.** GUIDANCE TO CREATE THE CODE OF ETHICS AND GOOD PRACTICES IN R&I
- ANNEX 4.** GUIDANCE TO CREATE THE ETHICS COMMITTEE ON R&I
- ANNEX 5.** GUIDANCE TO CREATE THE ETHICS LINE
- ANNEX 6.** GUIDANCE TO CREATE THE EXTERNAL COMMUNICATION PLAN
- ANNEX 7.** GUIDANCE TO CREATE THE INTERNAL COMMUNICATION PLAN