



# FoTRRIS

Fostering a Transition towards Responsible Research and Innovation Systems

## Design and mandate of the competence cells

### Deliverable D2.3

**Nele D'Haese<sup>1</sup>,**

**Country reports written by Nele D'Haese<sup>1</sup>, Sandra Karner<sup>2</sup>, Jelena Mazaj<sup>3</sup>, György Pataki<sup>4</sup> and Juan Pavon<sup>5</sup>.**

<sup>1</sup> VITO – Flemish research and technology organisation (Belgium)

<sup>2</sup> IFZ – Inter-university research centre on technology, work and culture (Austria)

<sup>3</sup> CESIE – European centre for studies and initiatives (Italy)

<sup>4</sup> ESSRG – Environmental Social Science Research Group (Hungary)

<sup>5</sup> UCM – Universidad Complutense de Madrid (Spain)

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## About the FoTERRIS project

FoTERRIS develops and introduces new governance practices to foster Responsible Research and Innovation (RRI) policies and methods in Research and Innovation (R&I) systems.

FoTERRIS stresses that RRI is a collaborative activity from the very beginning. Therefore FoTERRIS adds the prefix 'co' to the acronym RRI. Important present-day challenges are of a global nature but manifest themselves in ways that are influenced by local conditions. Thus, FoTERRIS focusses on glocal challenges, i.e. local or regional manifestations of global challenges and on local opportunities for solving them.

FoTERRIS performs a transition experiment, i.e. an experiment to support the transformation of present-day research and innovation strategies into co-RRI-strategies. It designs, tests and validates the organisation, operation and funding of co-RRI competence cells. A competence cell is conceived as a small organisational unit, which functions as a local one-stop innovation platform that encourages various knowledge actors from science, policy, industry and civil society to co-design, -perform, and -monitor co-RRI-projects that are attuned to local manifestations of global sustainability challenges.

Since research and innovation systems and practices in EU member states and within different research performing organisations vary, FoTERRIS experiments the implementation of new governance practices in five member states. These five experiments are evaluated, validated and constitute the basis for FoTERRIS policy recommendations towards EU and member states policy makers so as to enforce co-RRI into the national and EU R&I systems. Training is dispensed to various stakeholders, so as to form them to establish other co-RRI competence cells.

**For more information see <http://www.fotrris-h2020.eu>**

### Coordinator contact:

Dr. Nele D'Haese / Unit Sustainable Materials Management / VITO NV / Boeretang 200, 2400 MOL, Belgium.

t: +32/14 33 59 70 | e: [nele.dhaese@vito.be](mailto:nele.dhaese@vito.be) | w: [www.vito.be/english](http://www.vito.be/english)

## 1 Introduction to this report

One of the main objectives of the FoTERRIS project is the **establishment of a competence cell** in each of the regions or countries where one of the partners experimented with co-RRI. These competence cells are conceptualized as an organisation, or a well-defined part of an (already existing) organisation, fostering the transition towards more responsible research and innovation systems. In deliverable D2.5 ‘Activity models’ a rather exhaustive overview is given of the activities or tasks that will be performed by these competence cells, and hence of the exact way each of the competence cells choose to contribute to this transition in the short- and longer-term. This report intends to complement D2.5 by explaining the **governance** of these organisations. A key question that will therefore be answered in this report is: ***Who decides on what, in relation to these competence cells, and how?***

In the next chapters this question will, step by step, be analyzed and further clarified. First, this is done in a more theoretical way, explaining the key concepts in the analytical framework used to present the governance models. As the main elements in this framework are inextricably linked with the insights on (co-)RRI gathered throughout the FoTERRIS project, this part is directly related to D1.1 ‘Review of and perspectives on RRI’, D1.2 ‘Conceptual framework for co-RRI’ and the essence of the co-RRI approach as presented in the deliverables of WP3 and WP4. In the following chapters, this theoretical explanation is then enriched with information about the real situation in Austria, Flanders, Italy, Hungary and Spain. Five separate ‘country reports’ give more detailed information about the governance models of the competence cells in each of these regions or countries. Similar to D2.5, a distinction is made in these reports between the situation **immediately after FoTERRIS**, that is the **short term**, and the **longer term**, or the **future these competence cells aspire**. Also important to mention here, is that the regional and national contexts in which these competence cells are embedded show some resemblances, but more importantly, also some remarkable differences. Therefore the partner institutions were given ample opportunity in these reports to clarify how the context they are working in moulded the actions they have undertaken until now, and how it will probably further affect their developmental path in the future.

Finally, this report presents the **letters of intent** signed by each of the partner organisations contributing to the development of a competence cell. By means of these letters, in which CESIE, ESSRG, IFZ, UCM and VITO declare that they will continue contributing to their best efforts to the development of the competence cells, the project consortium wants to underline its long-term ambition to further invest in embedding co-RRI in the European research and innovation landscape. More details on these letters of intent can be found in the explanatory part preceding the presentation of the letters themselves.

## 2 Governance models of the competence cells

### 2.1 Explaining the core concepts

#### 2.1.1 Governance: what is understood by this?

‘Governance’ is a concept used in many different contexts. One can read about the governance of corporations, the governance of non-for-profit organisations, the governance of systems, the governance of a state, the governance of a network, governance undertaken by the market, etc. There seem to be as many interpretations of the word ‘governance’ as there are authors writing about it. We therefore decided to start here from a very basic definition found in Oxford dictionaries: governance is the action or manner of governing. In this case, the action or manner of governing a competence cell. The word ‘governing’ itself is defined by words such as ‘controlling’, ‘influencing’, ‘regulating’, ‘steering’ and ‘managing’, and can therefore be understood as ‘giving direction in a controlled way’. On the one hand this concerns the development of the competence cell itself, but this element of steering is certainly also relevant in relation to the intended impact of the competence cells on actions in their broader environment.

A second reason to go back to this rather basic definition, is the fact that, at the moment of writing, there was no clarity yet about the organisational format of each of the competence cells developed within FoTERRIS. And given the diversity of institutional environments these competence cells will have to work in, their organisational structure will, most probably, evolve in different directions, going from a ‘classical’ non-for-profit organisation, over a self-sufficient working group embedded in a vested research institute, to a network structure that is shaped through bottom-up processes. So in order to present the governance models of this diversity of organisational structures in a meaningful way, we had to search for main common factors. In our opinion, these common factors can all be reduced to the following elementary question: What responsibilities are given to whom, and, hence, who can decide on what? A question that should certainly be complemented by the following one – as there are always two sides at a coin: Who is accountable for what in case of success or failure?

#### 2.1.2 Values underlying the governance models of the competence cells

The competence cells are considered essential and necessary new infrastructures to work on the institutionalisation of co-RRI practices. Depending on who is consulted, these entities should initiate and manage co-RRI projects, function as matchmakers between traditional and non-traditional knowledge workers, lobby for innovative funding structures in line with the needs of co-RRI practices, work on co-RRI community building, etc. So one of the conclusions that can be drawn based on the experiments and outreach workshops organised during the FoTERRIS project, is that each of the competence cells will have to develop a set of objectives, and corresponding tasks and services, tailor-made to regional and national needs and circumstances (see also D3.3). What has also become clear, is that the organisation and culture of the regional and national research and innovation landscapes across the partners’ countries differ

substantially at certain points, which will certainly affect the position and future embedding of each of the co-RI competence cells. It is therefore impossible to think of a single governance model for all the competence cells. Each of them will be confronted with particular challenges, needs and barriers. As a consequence, the governance models presented in this report are developed ‘in the field’ by the researchers who already experimented with the concept and who know the regional and national circumstances best. They are the outcome of a process of (intense) negotiations between these researchers and their home institutions, which have been hosting the competence cells until now.

However, this does not mean that these governance models have nothing in common. Before considering the development of a governance model, it’s always best to first set a step back. As has been explained before, ‘governance’ is about “Who decides on what?”. Yet, decisions cannot be separated from the value framework underlying them. Decisions are taken based on facts, but the interpretation and contextualisation of these facts is value-driven. For instance, an organization in which ‘reflexivity’ is highly valued will try harder to incorporate a way of thorough reflection on choices and potential outcomes of decisions in their governance than an organization in which this isn’t found very important. A governance model is therefore not only answering the question “Who decides on what?”, but gives also an idea of the ‘how’. How autonomous is an organization in its decision-taking? How transparent? How inclusive? Etc. It therefore also says something about the *manner* of decision making, which brings us back to the definition we started from...

As a result, the governance models presented in this report first focus on a set of core values and explain how the different competence cells will bring them into practice, both in the short and longer term. These core values are key characteristics of co-RI processes. As has been shown in the empirical part of FoTERRIS, they can be considered essential to the approach developed during the project (see also D3.1). An overview of these core values is given below:

1. Autonomy: An autonomous competence cell has the right to govern itself, and hence to determine its organisational and administrative structure, set its own priorities, manage its budget, hire its personnel, decide on the content and forms of its research, etc.
2. Gender equality: This concept describes the absence of obvious or hidden disparities among individuals based on gender. Disparities can include the discrimination in terms of opportunities, resources, services, benefits, decision-making power and influence.<sup>1</sup>
3. Diversity: This term refers to the involvement of people with different backgrounds (gender, race, religion, ...) in order to have different interests, values and norms represented in decision taking processes.
4. Inclusiveness: A competence cell is meant to act on the junction between the science community, policy, industry and civil society. Inclusiveness is therefore defined here as a process of deliberative participation in which a transdisciplinary team of actors is involved representing this quadruple helix.

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<sup>1</sup> <http://www.oecd.org/gov/Toolkit-for-gender-%20equality-in-governance-FINAL.PDF>

5. Reflexivity: The act of ‘holding up a mirror’ to the competence cell’s activities and commitments while being aware of the limits of knowledge, the lock-ins of (scientific) paradigms and normative frameworks often taken for granted.
6. Responsiveness: This term refers to the capacity of a competence cell to change its vision and mission in response to changes in its environment so that the cell’s actions can become even more socially desirable, acceptable and in line with public interests. Responsiveness therefore comprises three critical elements that are vital to learning processes, namely anticipation (~ future), reflection (~ past) and deliberation.
7. Transparency: The characteristic of being open in the clear disclosure of information, rules, plans, processes and actions.<sup>2</sup>

After having explained how these core values will be integrated in the decision-making processes of the competence cell, the governance model aims at making this more concrete in a second, more detailed part. The general introductory part should therefore be understood as a sketch of the outlines of the governance model that helps to understand the choices made in the part following on it. This second part then concentrates on five areas of responsibility one can discern in almost every governance structure, namely ‘vision and planning’, ‘finances’, ‘human resources’, ‘organisational operations’ and ‘external relations’. Within each of these five categories a set of questions is formulated<sup>3</sup>. By means of these questions an assessment is made of the allocation of responsibilities within the competence cell as well as the accountability of key actors. Finally, this part also gives an overview of the organisational structure of the competence cell.

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<sup>2</sup> <https://www.transparency.org/glossary/term/transparency>

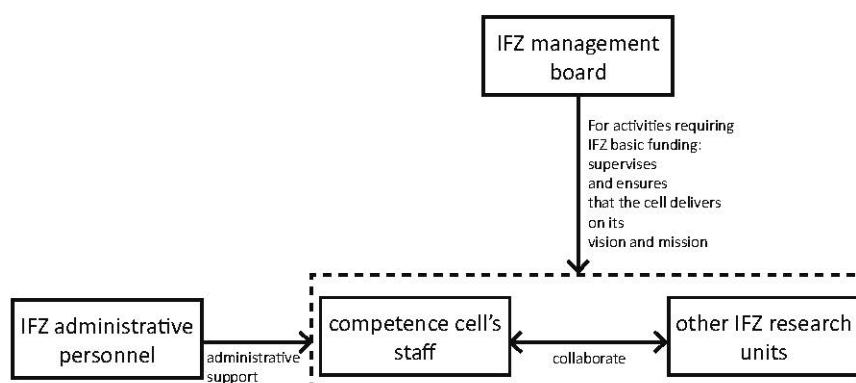
<sup>3</sup> The structure of this questionnaire is based on the questionnaire provided at [literacybasics.ca/board-governance/governance-structures/](http://literacybasics.ca/board-governance/governance-structures/)



## 2.2 Governance model of the Austrian competence cell

The governance model presented in this chapter will be implemented in the Austrian competence cell. In principle, no further changes are envisaged.

### PART I – Presentation of the governance structure



type of organisation	research and service unit embedded in IFZ
separate legal entity	no
location	Graz (Austria)
Why this type of organisation?	<p>As the TE was implemented in the institutional context of IFZ, and all the necessary skills are with IFZ staff, people, who will also represent the core team of the CC, it suggests itself to continue already started activities within the same institutional context. To organise the CC as a unit within the institute implies the advantage of using already established structures (administrative, managerial). By means of IFZ's basic funding the CC's cell basic operation will be guaranteed.</p> <p>Moreover, the mission of the CC fits very well into IFZ's mission, and co-RR1 will be implemented as transversal competence in close cooperation with other IFZ research units. Finally, the IFZ is since 30 years well established in the regional R&amp;I landscape and has long-standing co-operations with Universities and other R&amp;I institutions as well as with non-academic actors, which increases the visibility and legitimacy of the CC.</p>

definition of main actors

competence cell's staff = people paid to work (part-time) for the competence cell: a core team of 3 people; further staff (most likely from other IFZ research units) to be engaged for the implementation of co-RRI projects based on project funding

IFZ management board

IFZ administrative personnel

co-RRI project participants = people, who collaborate in designing and implementing co-RRI projects (IFZ staff and staff from other R&I institutions and non-academic actors)

IFZ research units (RU): RU Energy & Climate, RU Ecological product Policy, RU Food Systems, RU Modern Biotechnology, RU Women\* - Technology - Environment

## PART II – Explaining the co-RRI values underlying the governance structure

How will the following co-RRI core values be integrated and laid down in the decision-making processes of the competence cell, and therefore be brought into practice?

### **AUTONOMY**

The CC will be as autonomous as any of the other research units at IFZ. This means that it will not be fully autonomous in regard to overarching management and strategic decisions, as these are to be taken in accordance with the IFZ management board. However, there is still much of autonomy in decision making with each research unit, which refers to the choice of topics and projects to be applied for and carried out (as long as they are in line with the institute's overall mission, which is well in line with co-RRI), the recruitment of personnel, and the stewardship of project resources.

### **GENDER EQUALITY**

IFZ is from its founding on committed to gender-equality, which is part of its mission and also mirrored in its organisational and governance structure. The institute runs a research unit specifically dedicated to this topic, which specifically deals with gender equality measures in research and education institutions and other organisations with a focus on science and technology as well as with the implications of Science and Technologies on gender and intersectionality related issues and the stabilisation/transformation of social norms.

As the head of this research unit will be part of the CC core team, gender equality will be thoroughly considered.

## DIVERSITY

The CC core team will be based on researchers, who have long standing experiences in implementing trans-disciplinary projects bottom-up. Thus all co-RRI activities implemented by the CC will consider the engagement of various actors in line with what fits the respective activities. Ex ante stakeholder/actor mappings will ensure a structured process of covering the broadest range of diversity necessary to implement co-RRI properly.

## INCLUSIVENESS

Inclusiveness will mainly be responded to by means of process designs (including the elaborations of co-RRI project concepts), which allow the participation of as many actor groups, who wish to participate, and support participants in regard to capacity building for engaging in co-RRI. Tailored communication, accessibility of information, trainings, appropriate compensation strategies, bottom-up approaches, dan democratic decision structure are relevant measures to support inclusiveness as well as specific regard to marginalised voices or minorities.

## REFLEXIVITY

Reflexivity will be institutionalised through several activities:

- Regular team meetings and research unit conclaves (usual practice at IFZ)
- Regular institute's meetings: a brownbag seminar series on RRI has already started in January 2017
- IFZ conclaves (institutionalised 1-2 times/year)
- Reflections and exchange of experiences within peer community: regular meetings with the Austrian RRI-Platform; special sessions at conferences, such as implemented in 2016/2017/2018 in the scope of the annual IAS-STs-conference 'Critical issues in Science and Technology Studies'
- regular reflections activities being part of any co-RRI project process.

## RESPONSIVENESS

The IFZ co-RRI unit will be responsive in regard to the choice of research topics through its close and regular interaction with other IFZ research units, which work in the interface between research, policy, practitioners and other parts of civil society, and which are explicitly oriented towards addressing societal relevant issues. Moreover, the CC will be responsive to local communities' needs, which will be identified in the scope of meetings with co-RRI participants before starting a project and/or throughout the project implementation. Responsiveness will be considered throughout the overall process by means of reacting to upcoming needs and concerns, as co-RRI processes are organised in recursive loops of making sure that the content as well as the process is attuned to participants' needs and concerns.

## TRANSPARENCY

Communication about the co-RRI unit's mission and vision as well as about its activities will be done through the IFZ webpage. Communication and transparency in the context of specific co-RRI projects will be tailored and will depend on the degree of engagement of the audience and the aims of the project.

On the project management level full transparency will be conveyed in regard to decision making processes, project aims, and the course of co-RRI process. However, that does not necessarily mean that always democratic decisions will be taken.

### Part III – More detailed analysis of the governance model

Who will be responsible for the following tasks?

Area or responsibility: **ORGANISATION, VISION AND PLANNING**

defining the vision and the mission	co-RRI unit's core team in attunement with the IFZ management board
defining the core values	co-RRI unit's core team in attunement with the IFZ management board
setting mid-term objectives (5-year period) and aligning them with the mid-term financial objectives	co-RRI unit's core team in attunement with the IFZ management board
setting annual objectives and aligning them with the annual financial objectives	co-RRI unit's core team
determining the competence cell's structure (co-op, not-for-profit organisation, unincorporated association, ...)	IFZ management board
determining the competence cell's governance model	co-RRI unit's core team in attunement with the IFZ management board
taking all strategic decisions to bring this governance model into practice (e.g. selecting members for an advisory board, describing the tasks of the executive director, determining the obligations of co-op members, etc.)	co-RRI unit's core team in attunement with the IFZ management board
planning and developing agendas, and other administrative work, related to the meetings following out of the implementation of the competence cell's governance model (e.g. weekly staff meeting, annual review meeting, meeting of the advisory board, etc.)	co-RRI unit's core team

**Area of responsibility: FINANCES**

setting mid-term financial objectives (5-year period) and aligning them with other mid-term planning documents	co-RRI unit's core team in attunement with the IFZ management board
setting annual financial objectives and aligning them with other annual planning documents	co-RRI unit's core team
developing monitoring system	co-RRI unit's core team in attunement with the IFZ management board
monitoring of financial objectives, incomes and expenses	co-RRI unit's core team in cooperation with IFZ administrative staff
setting financial procedures and controls so that the outcome of financial monitoring processes result into action	co-RRI unit's core team
writing financial statements	co-RRI unit's core team
applying for non-project based subsidies and other governmental grants	co-RRI unit's core team
applying for project funding	co-RRI unit's core team in cooperation with other IFZ research units
signing offers, invoices, cheques, contracts, etc.	Head of the co-RRI unit or IFZ management board (clear rules about the competencies of IFZ research unit heads)

**Area of responsibility: HUMAN RESOURCES**

set personnel policies (e.g. setting the compensation for staff members)	for staff members paid through IFZ basic funding: IFZ management board; for staff members paid via third party funding: co-RRI unit core team
executing administrative work related to personnel management (e.g. making payslips)	Administrative IFZ staff
deciding on the number of staff members	for staff members paid through IFZ basic funding: IFZ management board; for staff members paid via third party

	funding: co-RRI core team
recruiting and hiring staff members	for staff members paid through IFZ basic funding: IFZ management board; for staff members paid via third party funding: co-RRI unit core team
paying staff members	IFZ
supervising staff members	for staff members paid through IFZ basic funding: IFZ management board; for staff members paid via third party funding: co-RRI unit core team
discharging staff members	IFZ management board
accepting and using the services of volunteers	co-RRI unit core team
reimbursing volunteers' expenses	IFZ
supervising and discharging volunteers	co-RRI unit core team
settling grievances among staff and/or volunteers	Ombudspersons at IFZ
assigning work to staff members and volunteers	co-RRI unit core team

#### Area of responsibility: **CORE ACTIVITIES**

determining the competence cell's core activities (e.g. research, consultancy, community building and networking, teaching, etc.)	co-RRI unit core team in cooperation with IFZ management board
operationalising the competence cell's core activities	co-RRI unit staff
executing the competence cell's core activities	co-RRI unit staff
writing the annual report	co-RRI unit staff
engaging expert advisors or consultants	co-RRI unit core team
monitoring the competence cell's compliance with the laws, rules, regulations and contracts that govern its daily activities	co-RRI unit core team

**Area of responsibility: EXTERNAL RELATIONS**

speaking on conferences, networking events, etc. on behalf of the competence cell	co-RRI unit staff
speaking on social media on behalf of the competence cell	co-RRI unit staff
speaking to media on behalf of the competence cell	co-RRI unit staff
settling complaints from stakeholders	co-RRI unit core team in cooperation with IFZ management board
managing (inter)national partnerships with entities providing necessary resources (monetary and non-monetary)	co-RRI unit core team
advocating with the government for greater priority to the competence cell's issues	co-RRI unit core team in cooperation with IFZ management board

**Who will be accountable?**
**Area of accountability: VISION AND PLANNING**

the vision and the mission	IFZ management board
the core values	IFZ management board
non-compliance of performance with mid-term objectives (5-year period)	co-RRI unit core team
non-compliance of performance with annual objectives	co-RRI unit core team
non-compliance with the regulations and obligations linked to the competence cell's structure (cooperative, not-for-profit organisation, unincorporated association, ...) (e.g. bylaws that do not contain all mandatory elements)	co-RRI unit core team
governance model not meeting the organisation's needs	co-RRI unit core team
badly implemented governance model	co-RRI unit core team

**Area of accountability: FINANCES**

non-compliance with mid-term financial objectives (5-year period)	co-RRI unit core team
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non-compliance with annual financial objectives	co-RRI unit core team
inadequate monitoring system	co-RRI unit core team
inadequate financial monitoring	co-RRI unit core team
<b>Area of accountability: HUMAN RESOURCES</b>	
dissatisfaction about personnel policies	co-RRI unit core team
dissatisfaction about volunteer policies	co-RRI unit core team
structural unbalance between available manpower and workload causing a too heavy workload	co-RRI unit core team
structural unbalance between available manpower and workload causing a too light workload	co-RRI unit core team
no clear job descriptions content-wise	co-RRI unit core team
unbalance in the assignment of work among staff and/or volunteers	co-RRI unit core team
<b>Area of accountability: CORE ACTIVITIES</b>	
non-compliance of core activities with vision and mission	co-RRI unit core team
negative evaluation of the operationalisation of the competence cell's core activities	co-RRI unit core team
negative feedback from clients and other stakeholders regarding the execution of projects and other operational tasks	co-RRI unit core team
non-compliance of the competence cell with the laws, rules, regulations and contracts that govern its daily operations	co-RRI unit core team
<b>Area of accountability: EXTERNAL RELATIONS</b>	
content of speeches, interviews and other verbal communication of people representing the competence cell	co-RRI unit staff
content of articles, papers and other non-verbal	co-RRI unit staff



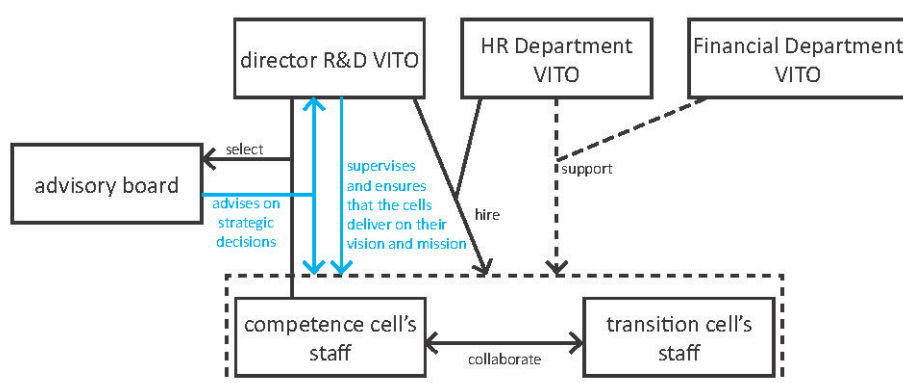
communication of people representing the competence cell	
negative feedback on the quantity and/or quality of partnerships	co-RRRI unit staff

## 2.3 Governance model of the Flemish competence cell

### 2.3.1 Governance model for the period immediately following on FoTERRIS

The governance model presented in this chapter will be implemented in the start-up phase of the Flemish competence cell.

#### PART I – Presentation of the governance structure



type of organisation	research and service unit embedded in VITO
separate legal entity	no
location	Mol and Antwerp (Belgium)
Why this type of organisation?	As will be explained below in relation to the longer-term governance model, the Flemish competence cell is conceptualised as a decentralised organisation composed of different cells that are embedded in research and innovation centres in Flanders. The co-RRI competence cell established in VITO will be the first one. Because this VITO cell will be staffed with VITO employees and will closely collaborate with other entities within VITO, it is most convenient to organise this cell similarly to these other VITO entities.
definition of main actors	<u>competence cell's staff</u> = people paid to work for the competence cell <u>transition cell's staff</u> = people paid to work for the transition cell <u>advisory board</u>

director Research and Development (R&D) VITO

HR Department VITO

Financial Department VITO

## **PART II – Explaining the co-RRR values underlying the governance structure**

How will the following co-RRR core values be integrated and laid down in the decision-making processes of the competence cell, and therefore be brought into practice?

### **AUTONOMY**

The vision and mission of the competence cell, as well as the long-term objectives, will be defined in mutual agreement with the director Research and Development of VITO. Also other strategic decisions, such as the longer-term allocation of human, financial and other resources, will be taken in close collaboration with the R&D director of VITO. Translating these strategic lines into yearly planning documents, a project portfolio and day-to-day practices, however, will be the full responsibility of the competence cell's staff members.

### **GENDER EQUALITY**

VITO treats people fairly and with respect, and assesses their work based on their qualities, skills and talents irrespective of their gender, age, ethnical background, language, religion, political opinions, disabilities, etc.<sup>4</sup> This means, more precisely, that daily practices related to the management of the competence cell, project development, networking, etc. will be organised in such a way that equal chances, opportunities and power are given to all staff members.

### **DIVERSITY**

See 'gender equality' above.

### **INCLUSIVENESS**

The competence cell's staff and the director R&D will be assisted in their choices by an advisory board. This board will meet at least once a year, and will be composed of knowledgeable actors equally representing the pillars of the quadruple helix, that is civil society, industry, policy and science. They will be informed about the competence cell's functioning and achievements of the last year. Furthermore, they will be asked to reflect on the long-term strategic lines of the competence cell set down in, for instance, the vision and mission and the cell's core activities.

### **REFLEXIVITY**

The competence cell will institutionalize a reflective way of working at the following three levels:

<sup>4</sup> See also the 'VITO code of conduct' version 20151215.

- management of the competence cell: Meetings will be organised at a regular basis with different bodies, such as the advisory board, the director R&D of VITO and the transition cell's staff, to reflect on the cell's activities and to assess (critical) choices that have been made. Not only internal benchmarks (e.g. short- and longer-term objectives) will function as a reference point in these meetings, but also responses from outside will be given a place.
- project management: Dynamic learning agendas and reflective monitoring are seen as essential tools in the cell's project management. Reflection moments will therefore be part of each project plan, which means, in practical terms, that after each critical phase in a project a reflection moment will be built in.
- long-term development: Based on experiences and insights resulting from the cell's daily activities (projects, meetings with stakeholders, etc.) as well as longer-term developments within the Flemish research and innovation landscape, reflection sessions will be organised at a regular basis to (re)frame and optimize the blueprint for the future competence cell. Both VITO employees and external actors will attend these sessions. Advisory board meetings are seen as essential in this, as scaling up the competence cell to the Flemish level will be a process carried to a large extent by the people composing this board.

## **RESPONSIVENESS**

Through its daily activities the competence cell's staff will be in contact with people with different societal backgrounds. Especially in projects there will be put much effort into the development of co-creative methods which allow to closely collaborate with relevant actors who are traditionally only rarely involved in research and development trajectories. This way, the competence cell aspires to develop a well-balanced group of stakeholders, going beyond the advisory board, who can be consulted to reflect on (topic-specific) societal issues.

## **TRANSPARENCY**

The competence cell will communicate about important strategic decisions, for instance the vision and mission and longer-term objectives, via its website, which will be linked to the VITO website. Also documents reporting about strategic decisions, such as the annual reports and minutes of advisory board meetings, will be published on this website. In addition to this, all requests for information on (the history of) certain decisions and procedures will be considered and answered when possible. Finally, at the project management level, the competence cell will use the FoTTRIS platform or other digital means to, on the one hand, inform and involve project partners in decision making processes and, on the other hand, to create openness about the data, reports, literature and other content that has been processed and used.

### Part III – More detailed analysis of the governance model

Who will be responsible for the following tasks?

Area of responsibility: **ORGANISATION, VISION AND PLANNING**

defining the vision and the mission	competence cell's staff in mutual agreement with director R&D VITO and advisory board
defining the core values	competence cell's staff in mutual agreement with director R&D VITO and advisory board
setting mid-term objectives (5-year period) and aligning them with the mid-term financial objectives	competence cell's staff in mutual agreement with director R&D VITO and advisory board
setting annual objectives and aligning them with the annual financial objectives	competence cell's staff
determining the competence cell's structure (co-op, not-for-profit organisation, unincorporated association, ...)	director R&D VITO
determining the competence cell's governance model	competence cell's staff in mutual agreement with director R&D VITO
taking all strategic decisions to bring this governance model into practice (e.g. selecting members for an advisory board, describing the tasks of the executive director, determining the obligations of co-op members, etc.)	competence cell's staff in mutual agreement with director R&D VITO
planning and developing agendas, and other administrative work, related to the meetings following out of the implementation of the competence cell's governance model (e.g. weekly staff meeting, annual review meeting, meeting of the advisory board, etc.)	competence cell's staff

Area of responsibility: **FINANCES**

setting mid-term financial objectives (5-year period) and aligning them with other mid-term planning documents	competence cell's staff in mutual agreement with director R&D VITO
setting annual financial objectives and aligning them with	competence cell's staff

other annual planning documents	
developing monitoring system	Financial Department VITO
monitoring of financial objectives, incomes and expenses	competence cell's staff
setting financial procedures and controls so that the outcome of financial monitoring processes result into action	competence cell's staff
writing financial statements	Financial Department VITO
applying for non-project based subsidies and other governmental grants	competence cell's staff and director R&D VITO
applying for project funding	competence cell's staff
signing offers, invoices, cheques, contracts, etc.	CEO VITO

#### Area of responsibility: **HUMAN RESOURCES**

set personnel policies (e.g. setting the compensation for staff members)	HR Department VITO
executing administrative work related to personnel management (e.g. making payslips)	HR Department VITO
deciding on the number of staff members	competence cell's staff in mutual agreement with director R&D VITO
recruiting and hiring staff members	HR Department VITO
paying staff members	HR Department VITO
supervising staff members	director R&D VITO
discharging staff members	director R&D VITO
accepting and using the services of volunteers	not applicable
reimbursing volunteers' expenses	not applicable
supervising and discharging volunteers	not applicable
settling grievances among staff and/or volunteers	competence cell's staff and director R&D

	VITO
assigning work to staff members and volunteers	competence cell's staff
<b>Area of responsibility: CORE ACTIVITIES</b>	
determining the competence cell's core activities (e.g. research, consultancy, community building and networking, teaching, etc.)	competence cell's staff in mutual agreement with director R&D VITO and advisory board
operationalising the competence cell's core activities	competence cell's staff
executing the competence cell's core activities	competence cell's staff in collaboration with transition cell's staff
writing the annual report	competence cell's staff
engaging expert advisors or consultants	competence cell's staff
monitoring the competence cell's compliance with the laws, rules, regulations and contracts that govern its daily activities	competence cell's staff
<b>Area of responsibility: EXTERNAL RELATIONS</b>	
speaking on conferences, networking events, etc. on behalf of the competence cell	competence cell's staff
speaking on social media on behalf of the competence cell	competence cell's staff
speaking to media on behalf of the competence cell	competence cell's staff
settling complaints from stakeholders	competence cell's staff
managing (inter)national partnerships with entities providing necessary resources (monetary and non-monetary)	competence cell's staff in mutual agreement with director R&D VITO and advisory board
advocating with the government for greater priority to the competence cell's issues	competence cell's staff in mutual agreement with director R&D VITO and advisory board

## Who will be accountable?

### Area of accountability: **VISION AND PLANNING**

the vision and the mission	director R&D VITO
the core values	director R&D VITO
non-compliance of performance with mid-term objectives (5-year period)	competence cell's staff and director R&D VITO
non-compliance of performance with annual objectives	competence cell's staff
non-compliance with the regulations and obligations linked to the competence cell's structure (cooperative, not-for-profit organisation, unincorporated association, ...) (e.g. bylaws that do not contain all mandatory elements)	director R&D VITO
governance model not meeting the organisation's needs	competence cell's staff and director R&D VITO
badly implemented governance model	competence cell's staff

### Area of accountability: **FINANCES**

non-compliance with mid-term financial objectives (5-year period)	competence cell's staff and director R&D VITO
non-compliance with annual financial objectives	competence cell's staff
inadequate monitoring system	VITO Financial Department
inadequate financial monitoring	competence cell's staff

### Area of accountability: **HUMAN RESOURCES**

dissatisfaction about personnel policies	HR Department VITO
dissatisfaction about volunteer policies	not applicable
structural unbalance between available manpower and workload causing a too heavy workload	competence cell's staff and director R&D VITO
structural unbalance between available manpower and workload causing a too light workload	competence cell's staff and director R&D VITO

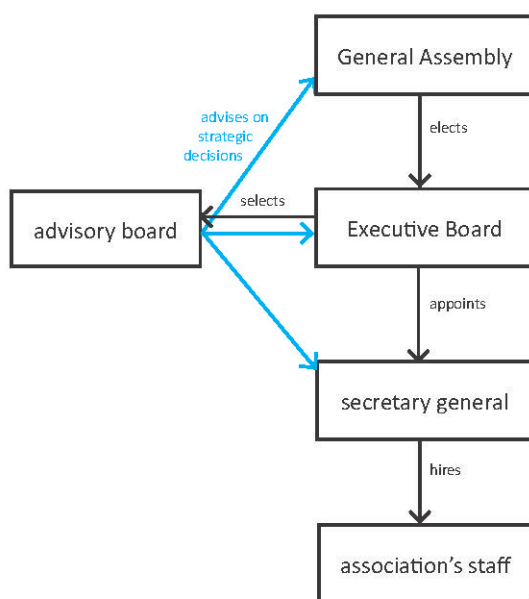


no clear job descriptions content-wise	competence cell's staff and director R&D VITO
unbalance in the assignment of work among staff and/or volunteers	competence cell's staff
<b>Area of accountability: CORE ACTIVITIES</b>	
non-compliance of core activities with vision and mission	competence cell's staff
negative evaluation of the operationalisation of the competence cell's core activities	competence cell's staff
negative feedback from clients and other stakeholders regarding the execution of projects and other operational tasks	competence cell's staff
non-compliance of the competence cell with the laws, rules, regulations and contracts that govern its daily operations	competence cell's staff
<b>Area of accountability: EXTERNAL RELATIONS</b>	
content of speeches, interviews and other verbal communication of people representing the competence cell	competence cell's staff
content of articles, papers and other non-verbal communication of people representing the competence cell	competence cell's staff
negative feedback on the quantity and/or quality of partnerships	competence cell's staff in mutual agreement with director R&D VITO

### 2.3.2 Blueprint of future governance model

The governance model presented in this chapter must be seen as a blueprint for the governance model of the mature Flemish competence cell. This blueprint will be used as a tool in further negotiations. There is, however, no certainty at the moment of writing about its real future implementation.

#### PART I – Presentation of the governance structure



type of organisation	decentralised non-profit association having members in research and development, technology and innovation organisations, such as the research and service unit embedded in VITO presented above  (The latter is called 'embedded cell' in the remaining part of this chapter.)
separate legal entity	yes
location	to be defined
Why this type of organisation?	The outreach workshop's discussions (see also D3.3) made clear that research and innovation institutes in Flanders are more in favour of the establishment of co-RRI cells embedded in the institutes themselves. These cells' functioning should then be supported and coordinated by a unit, the association presented here, having the responsibility over all tasks of which the cells have decided to handle them centrally. This decentralised co-RRI organisation won't affect the autonomy of these research and

	<p>innovation institutes, which aligns with the organisational culture of this kind of institutes in Flanders. Making a non-profit association of this coordinating entity creates the opportunity to make an autonomous and impartial organisation of it, in which a diversity of stakeholders is represented on an equal basis (e.g. by defining in the articles of the association that (in each of the categories) the members have an equal number of votes).</p>
definition of main actors	<p><u>general assembly</u> = supreme governing body comprising all members of the association, the executive board and the secretary general</p> <p><u>executive board</u> = governing body managing the affairs of the association and performing for this purpose all acts judged necessary for achieving the objectives of the association</p> <p><u>secretary general</u> = person in charge of the daily management of the association</p> <p><u>association's staff</u> = persons executing the association's core activities</p> <p><u>advisory board</u></p>

## PART II – Explaining the co-RRIs values underlying the governance structure

How will the following co-RRIs core values be integrated and laid down in the decision-making processes of the competence cell, and therefore be brought into practice?

### **AUTONOMY**

The association will function autonomously in accordance with prevailing law.

### **GENDER EQUALITY**

The association will treat all people fairly and with respect, and assesses their work based on their qualities, skills and talents irrespective of their gender, age, ethnical background, language, religion, political opinions, disabilities, etc. This means, more precisely, that daily practices related to the management of the competence cell, project development, networking, etc. will be organised in such a way that equal chances, opportunities and power are given to all people involved. Furthermore, the target ratio between male and female members of all governing bodies will be 50:50.

### **DIVERSITY**

See 'gender equality' above.

## INCLUSIVENESS

The competence cell's general assembly, executive board and secretary general will be assisted in their choices by an advisory board. This board will meet at least once a year, and will be composed of knowledgeable actors equally representing the pillars of the quadruple helix, that is civil society, industry, policy and science. They will be informed about the competence cell's functioning and achievements of the last year. Furthermore, they will be asked to reflect on the long-term strategic lines of the competence cell set down in, for instance, the vision and mission and the cell's core activities.

## REFLEXIVITY

The competence cell will institutionalize a reflective way of working when relevant in relation to its task description.

## RESPONSIVENESS

Co-RRi is research and innovation not only *for*, but also *with* society. Being aware of societal evolutions will therefore be a prerequisite for the well-functioning of the association, although the responsive character of the competence cell will become visible in the cells embedded in the research and innovation institutes in Flanders in the first place.

## TRANSPARENCY

In accordance with prevailing law, major decisions regarding the association's organisation and functioning will be published in the Annexes of the Bulletin of Acts, Orders and Decrees. Other strategic decisions will be made public through the association's website and other relevant means of communication. Furthermore, all requests for information on (the history of) certain decisions and procedures will be considered and answered when possible.

## Part III – More detailed analysis of the governance model

Who will be responsible for the following tasks?

Area or responsibility: **ORGANISATION, VISION AND PLANNING**

defining the vision and the mission	general assembly
defining the core values	general assembly
setting mid-term objectives (5-year period) and aligning them with the mid-term financial objectives	executive board in mutual agreement with the secretary general
setting annual objectives and aligning them with the annual financial objectives	secretary general
determining the competence cell's structure (co-op, not-	general assembly

for-profit organisation, unincorporated association, ...)	
determining the competence cell's governance model	general assembly
taking all strategic decisions to bring this governance model into practice (e.g. selecting members for an advisory board, describing the tasks of the secretary general, etc.)	executive board
planning and developing agendas, and other administrative work, related to the meetings following out of the implementation of the competence cell's governance model (e.g. weekly staff meeting, annual review meeting, meeting of the advisory board, etc.)	secretary general

#### Area of responsibility: **FINANCES**

setting mid-term financial objectives (5-year period) and aligning them with other mid-term planning documents	executive board
setting annual financial objectives and aligning them with other annual planning documents	secretary general
developing monitoring system	executive board in mutual agreement with the secretary general
monitoring of financial objectives, incomes and expenses	secretary general
setting financial procedures and controls so that the outcome of financial monitoring processes result into action	secretary general
writing financial statements	secretary general
applying for non-project based subsidies and other governmental grants	executive board in mutual agreement with the secretary general
applying for project funding	association's staff
signing offers, invoices, cheques, contracts, etc.	secretary general

#### Area of responsibility: **HUMAN RESOURCES**

set personnel policies (e.g. setting the compensation for staff members)	executive board
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executing administrative work related to personnel management (e.g. making payslips)	association's staff
deciding on the number of staff members	secretary general
recruiting and hiring staff members	secretary general
paying staff members	association's staff
supervising staff members	secretary general
discharging staff members	secretary general
accepting and using the services of volunteers	secretary general in mutual agreement with the association's staff
reimbursing volunteers' expenses	association's staff
supervising and discharging volunteers	association's staff
settling grievances among staff and/or volunteers	secretary general
assigning work to staff members and volunteers	association's staff

#### Area of responsibility: **CORE ACTIVITIES**

determining the competence cell's core activities (e.g. research, consultancy, community building and networking, teaching, etc.)	executive board
operationalising the competence cell's core activities	secretary general
executing the competence cell's core activities	association's staff
writing the annual report	secretary general
engaging expert advisors or consultants	association's staff
monitoring the competence cell's compliance with the laws, rules, regulations and contracts that govern its daily activities	secretary general

**Area of responsibility: EXTERNAL RELATIONS**

speaking on conferences, networking events, etc. on behalf of the competence cell	association's staff
speaking on social media on behalf of the competence cell	association's staff
speaking to media on behalf of the competence cell	association's staff
settling complaints from stakeholders	secretary general
managing (inter)national partnerships with entities providing necessary resources (monetary and non-monetary)	secretary general
advocating with the government for greater priority to the competence cell's issues	secretary general and association's staff

**Who will be accountable?**
**Area of accountability: VISION AND PLANNING**

the vision and the mission	general assembly
the core values	general assembly
non-compliance of performance with mid-term objectives (5-year period)	executive board
non-compliance of performance with annual objectives	secretary general
non-compliance with the regulations and obligations linked to the competence cell's structure (cooperative, not-for-profit organisation, unincorporated association, ...) (e.g. bylaws that do not contain all mandatory elements)	executive board
governance model not meeting the organisation's needs	general assembly
badly implemented governance model	secretary general

**Area of accountability: FINANCES**

non-compliance with mid-term financial objectives (5-year period)	executive board
non-compliance with annual financial objectives	secretary general

inadequate monitoring system	executive board
inadequate financial monitoring	secretary general
<b>Area of accountability: HUMAN RESOURCES</b>	
dissatisfaction about personnel policies	executive board
dissatisfaction about volunteer policies	secretary general
structural unbalance between available manpower and workload causing a too heavy workload	secretary general
structural unbalance between available manpower and workload causing a too light workload	secretary general
no clear job descriptions content-wise	secretary general
unbalance in the assignment of work among staff and/or volunteers	secretary general
<b>Area of accountability: CORE ACTIVITIES</b>	
non-compliance of core activities with vision and mission	executive board
negative evaluation of the operationalisation of the competence cell's core activities	secretary general
negative feedback from clients and other stakeholders regarding the execution of projects and other operational tasks	association's staff
non-compliance of the competence cell with the laws, rules, regulations and contracts that govern its daily operations	association's staff and secretary general
<b>Area of accountability: EXTERNAL RELATIONS</b>	
content of speeches, interviews and other verbal communication of people representing the competence cell	association's staff
content of articles, papers and other non-verbal communication of people representing the competence cell	association's staff



negative feedback on the quantity and/or quality of partnerships | secretary general

### *2.3.3 Necessary steps to bridge the gap between the short-term and future governance model*

To be able to evolve from the governance model implemented shortly after finishing the FoTERRIS-project to the future governance model, the following steps will be necessary:

#### **Community building and networking**

- linking the VITO cell with other actors and organizations from the quadruple helix developing RRI activities in Flanders
- working on a shared vision on the establishment of the coordinating association
- developing a commonly accepted vision, mission and task description of the coordinating association
- giving advice on the development of other embedded cells in research and innovation institutes in Flanders
- supporting the interaction among embedded cells

#### **Awareness raising and advocacy for co-RRI**

- advocacy of co-RRI through, for instance, position papers and networking, in order to keep co-RRI high on the scientific and political agenda
- enriching the debate on reforming the R&I system in Flanders
- closing the knowledge gap in Flanders about co-RRI
- mapping and communicating about best practices in Flanders and elsewhere

## **2.4 Governance model of the Hungarian competence cell**

### *2.4.1 Governance model for the period immediately following on FoTERRIS*

The governance model presented in this chapter will be implemented in the start-up phase of the Hungarian competence cell.

#### **PART I – Presentation of the governance structure**

ESSRG is a small research and development enterprise owned by four researchers. All operations are based on project funding. ESSRG has been operating in the niche of action research, community-based research, and cooperative research since its very foundation. Being small implies that it is a networked organisation, having linkages to international and Hungarian academic sphere. However, beyond academia, ESSRG has developed direct connections with NGOs, CSOs, and citizen movements working for ecological sustainability and social justice. Projects carried out by ESSRG follow a participatory worldview, thus they are designed and carried out in a collaborative, co-created and action-oriented manner. Practically, ESSRG always works with, and engages, a diverse set of research partners and participants – diversity and inclusivity constitute the rule, not the exception. Thus, working in equally respectful partnerships provides the operating logic or value of ESSRG. Depending on the substantive topic of each project, diverse knowledge-holders are invited and cooperated with in designing and carrying out project activities. In a sense, operating a competence cell for co-created RRI provides an opportunity for ESSRG to clarify and (re-)define its own organisational identity as embedded in and collaborating with a network of diverse set of actors. While ESSRG's core team of four owner-researchers constitutes the resilience of the co-RRI competence cell over time, there is an organisational fluidity depending on projects and activities in the boundaries of the competence cell (engaging other knowledge-holders as necessary for carrying out each project). ESSRG operates best in a democratic setting, where all partners give equal respect to each other. No special units, therefore, characterise the co-RRI competence cell, but ESSRG, and the partners ESSRG is working with, constitute together a co-RRI competence cell. Thus, the boundaries of the competence cell is changing according to the needs and possibilities of each project ESSRG is involved with.

#### **PART II – Explaining the co-RRI values underlying the governance structure**

How will the following co-RRI core values be integrated and laid down in the decision-making processes of the competence cell, and therefore be brought into practice?

##### **AUTONOMY**

ESSRG is a privately owned, small research and development organisation, completely free from any interferences by any other actors beyond its four owner-researchers. Related to the value of autonomy,

freedom and independence are constitutive values of ESSRG. ESSRG also respects individual autonomy of all staff members, partners, and stakeholders.

### **GENDER EQUALITY**

ESSRG has operated in a way that creates an enabling work environment that is flexible and responsive with regard to diverse life cycles of all staff members. Gender equality is part of this approach. All members of the same task category earn the same salary (differences are exclusively due to current state taxation policy). No discrimination by gender is allowed in any respects.

### **DIVERSITY**

ESSRG's respect for diversity is partly stemming from its commitment to ecological sustainability (nature teaches us to value diversity) and partly from a social justice perspective that highly appreciates the diversity human beings, social groups, and societies are characterised with. We believe that preserving and enhancing diversity is a key to ecological sustainability and social justice. By implication, ESSRG not only favours diversity in its immediate work environment, but engages with diverse audiences of society in the participatory and co-creative processes of research and development activities practised by ESSRG.

### **INCLUSIVENESS**

ESSRG believes in the high potential for learning if one is confronted with diverse perspectives of multiple social actors. Inclusiveness is therefore the rule for deep learning which is required by research and innovation to be action-oriented and transformative. ESSRG has developed skills for facilitating the collaboration of diverse knowledge-holders and offers process management based on inclusion and participation. ESSRG research and development is characterised by an action research, community-based research, and cooperative research approach which entertains a participatory and inclusive worldview.

### **REFLEXIVITY**

ESSRG highly values the practice of reflexivity, particularly self-reflexivity aiming for self-correction. Action research approaches have developed a research cycle in which analysis-action-reflection are interdependent phases of the research and development process. ESSRG cultivates an organisational culture open to discussion, criticism, and constructive feedback. If necessary, we turn to professional mediation or coaching services in order to constructively and respectfully treat conflict situations. Reflexivity requires an approach of learning by doing, as a result of which there will always be room for further improvement.

### **RESPONSIVENESS**

ESSRG has always followed an approach to research that is well characterised by the term "science with and for the people". As action researchers, we believe that research is a collaborative, co-creative endeavour among diverse actors who are learning from each other while generating actions and improving situations. By implication, our projects always attempt to be responding to immediate social needs, preferably shared by diverse actors, from the very beginning of formulating the research questions throughout the research process until generating outcomes/outputs useful to multiple actors. In order to

accomplish this, ESSRG works with a flexible process design that can easily accommodate changes responding to emerging action and knowledge needs.

## TRANSPARENCY

All research projects in which ESSRG is involved, are financed by public money. Therefore, whatever is produced by our research work, will be available to all interested according to relevant public regulations applied to the specific projects (while privacy issues are highly appreciated). ESSRG favours an open access approach to science and is always ready to share knowledge and experiences.

### Part III – More detailed analysis of the governance model

Who will be responsible for the following tasks?

Area or responsibility: **ORGANISATION, VISION AND PLANNING**

defining the vision and the mission	four owner-researchers of ESSRG
defining the core values	four owner-researchers of ESSRG
setting mid-term objectives (5-year period) and aligning them with the mid-term financial objectives	four owner-researchers of ESSRG
setting annual objectives and aligning them with the annual financial objectives	four owner-researchers of ESSRG
determining the competence cell's structure (co-op, not-for-profit organisation, unincorporated association, ...)	four owner-researchers of ESSRG
determining the competence cell's governance model	four owner-researchers of ESSRG
taking all strategic decisions to bring this governance model into practice (e.g. selecting members for an advisory board, describing the tasks of the executive director, determining the obligations of co-op members, etc.)	four owner-researchers of ESSRG
planning and developing agendas, and other administrative work, related to the meetings following out of the implementation of the competence cell's governance model (e.g. weekly staff meeting, annual review meeting, meeting of the advisory board, etc.)	four owner-researchers of ESSRG + staff members

**Area of responsibility: FINANCES**

setting mid-term financial objectives (5-year period) and aligning them with other mid-term planning documents	four owner-researchers of ESSRG in consultation with the accountant-controller staff member
setting annual financial objectives and aligning them with other annual planning documents	four owner-researchers of ESSRG in consultation with the accountant-controller staff member
developing monitoring system	four owner-researchers of ESSRG in consultation with the accountant-controller staff member
monitoring of financial objectives, incomes and expenses	accountant-controller staff member in consultation with the four owner-researchers of ESSRG
setting financial procedures and controls so that the outcome of financial monitoring processes result into action	accountant-controller staff member in consultation with the four owner-researchers of ESSRG
writing financial statements	accountant-controller staff member in consultation with the executive manager (one of the four owner-researchers) of ESSRG
applying for non-project based subsidies and other governmental grants	no previous experience
applying for project funding	four owner-researchers of ESSRG
signing offers, invoices, cheques, contracts, etc.	the executive manager (one of the four owner-researchers) of ESSRG

**Area of responsibility: HUMAN RESOURCES**

set personnel policies (e.g. setting the compensation for staff members)	four owner-researchers of ESSRG initiated by the executive manager
executing administrative work related to personnel management (e.g. making payslips)	accountant-controller staff member

deciding on the number of staff members	four owner-researchers of ESSRG in response to the request of the lead researcher of each project
recruiting and hiring staff members	four owner-researchers of ESSRG in response to the request of the lead researcher of each project
paying staff members	four owner-researchers of ESSRG
supervising staff members	four owner-researchers of ESSRG
discharging staff members	four owner-researchers of ESSRG
accepting and using the services of volunteers	four owner-researchers of ESSRG
reimbursing volunteers' expenses	four owner-researchers of ESSRG in consultation with the accountant-controller staff member
supervising and discharging volunteers	four owner-researchers of ESSRG
settling grievances among staff and/or volunteers	four owner-researchers of ESSRG
assigning work to staff members and volunteers	four owner-researchers of ESSRG

#### Area of responsibility: **CORE ACTIVITIES**

determining the competence cell's core activities (e.g. research, consultancy, community building and networking, teaching, etc.)	four owner-researchers of ESSRG
operationalising the competence cell's core activities	four owner-researchers of ESSRG in consultation with project partners
executing the competence cell's core activities	four owner-researchers of ESSRG + staff members
writing the annual report	no annual report is required
engaging expert advisors or consultants	four owner-researchers of ESSRG
monitoring the competence cell's compliance with the laws, rules, regulations and contracts that govern its daily	executive manager + accountant-controller staff member

activities

Area of responsibility: **EXTERNAL RELATIONS**

speaking on conferences, networking events, etc. on behalf of the competence cell	four owner-researchers of ESSRG, but everyone involved in a project is encouraged to disseminate experience
speaking on social media on behalf of the competence cell	four owner-researchers of ESSRG + staff members, but again every partner is encouraged to do so
speaking to media on behalf of the competence cell	four owner-researchers of ESSRG + staff members, but again every partner is encouraged to do so
settling complaints from stakeholders	four owner-researchers of ESSRG
managing (inter)national partnerships with entities providing necessary resources (monetary and non-monetary)	four owner-researchers of ESSRG
advocating with the government for greater priority to the competence cell's issues	four owner-researchers of ESSRG + partners are encouraged to engage with public policy

Who will be accountable?

Area of accountability: **VISION AND PLANNING**

the vision and the mission	four owner-researchers of ESSRG
the core values	four owner-researchers of ESSRG
non-compliance of performance with mid-term objectives (5-year period)	four owner-researchers of ESSRG
non-compliance of performance with annual objectives	four owner-researchers of ESSRG
non-compliance with the regulations and obligations linked to the competence cell's structure (cooperative, not-for-profit organisation, unincorporated association, ...) (e.g. bylaws that do not contain all mandatory elements)	four owner-researchers of ESSRG
governance model not meeting the organisation's needs	four owner-researchers of ESSRG

badly implemented governance model	four owner-researchers of ESSRG
<b>Area of accountability: FINANCES</b>	
non-compliance with mid-term financial objectives (5-year period)	four owner-researchers of ESSRG
non-compliance with annual financial objectives	four owner-researchers of ESSRG
inadequate monitoring system	four owner-researchers of ESSRG
inadequate financial monitoring	four owner-researchers of ESSRG + accountant-controller staff
<b>Area of accountability: HUMAN RESOURCES</b>	
dissatisfaction about personnel policies	four owner-researchers of ESSRG
dissatisfaction about volunteer policies	four owner-researchers of ESSRG
structural unbalance between available manpower and workload causing a too heavy workload	four owner-researchers of ESSRG
structural unbalance between available manpower and workload causing a too light workload	four owner-researchers of ESSRG
no clear job descriptions content-wise	four owner-researchers of ESSRG
unbalance in the assignment of work among staff and/or volunteers	four owner-researchers of ESSRG
<b>Area of accountability: CORE ACTIVITIES</b>	
non-compliance of core activities with vision and mission	four owner-researchers of ESSRG
negative evaluation of the operationalisation of the competence cell's core activities	four owner-researchers of ESSRG
negative feedback from clients and other stakeholders regarding the execution of projects and other operational tasks	four owner-researchers of ESSRG + staff members involved in projects and operational tasks under question
non-compliance of the competence cell with the laws, rules, regulations and contracts that govern its daily	four owner-researchers of ESSRG, but specific legal responsibility lies with the



operations

executive manager

Area of accountability: **EXTERNAL RELATIONS**

content of speeches, interviews and other verbal communication of people representing the competence cell	four owner-researchers of ESSRG + staff members involved
content of articles, papers and other non-verbal communication of people representing the competence cell	four owner-researchers of ESSRG + staff members involved
negative feedback on the quantity and/or quality of partnerships	four owner-researchers of ESSRG

#### 2.4.2 *Blueprint of future governance model*

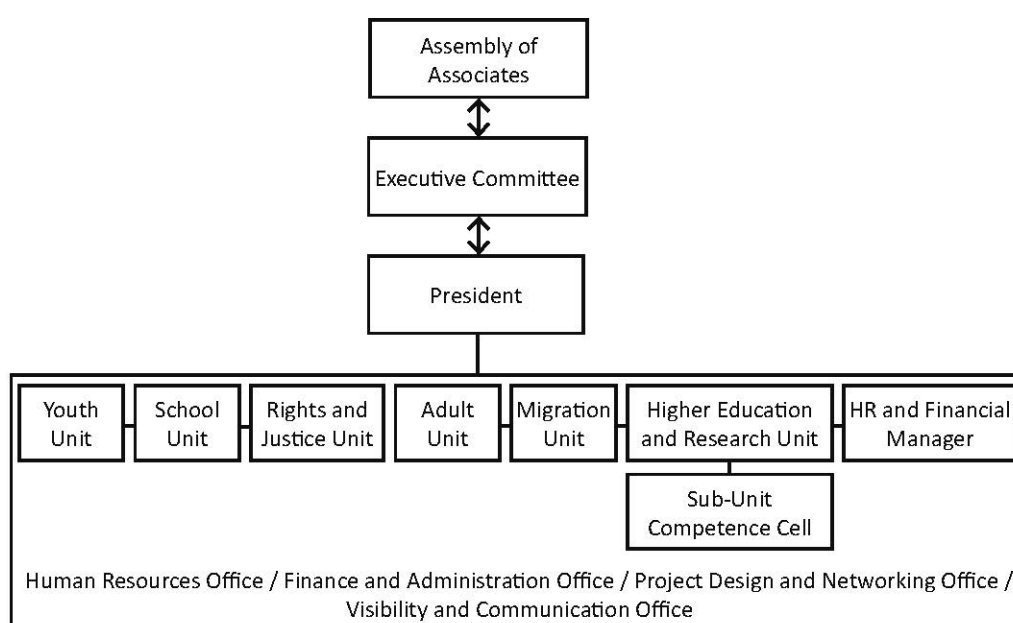
Time and experience will inform ESSRG how to re-design, if necessary, the existing governance model of the co-RRRI competence cell. Being small and responsive, ESSRG is ready to learn and, accordingly, transform the governance model to fit with changing conditions and expectations. At this point in time, no transformative changes are envisaged to the existing governance model. However, ESSRG will initiate a collaborative process with like-minded researcher-activists in order to build up a “critical mass” of actors committed to co-RRRI. This process has partly started with the validation/outreach workshop of the FoTERRIS TE process and through informal discussions with researcher-activists (incl. action researchers, community-based researchers, etc. see the partners of ESSRG in the activity model report). The aim is to co-create a process from which – ESSRG hopes – a network of actors committed to co-RRRI will emerge in Hungary and keep on collaborating in various ways. At this stage, this is unpredictable how and in what form this network will be formed, if at all. If this cooperation will be successful, a new governance model might emerge over time.

## 2.5 Governance model of the Sicilian competence cell

### 2.5.1 Governance model for the period immediately following on FoTERRIS

The governance model presented in this chapter will be implemented in the Italian competence cell. In principle, no changes are envisaged from the model described above. We only expect the competence cell to generate more income in the future in order to sustain employment and to enable a more active representation at national and EU levels.

#### PART I – Presentation of the governance structure



As a civil society organisation, CESIE's competence cell will promote closer cooperation and co-creation practises among the main actors of the quadruple helix, and this at both local and EU level (through the implementation of different EU initiatives). The competence cell will contribute to the creation of a co-RRRI system based on a community-oriented approach. The aim is to foster changes, by means of co-RRRI, in local economic, political and social systems (e.g. planning of research funds, changes in decision making for policy guidelines, more structured and recognisable knowledge exchange).

The competence cell will function under the Higher Education and Research Unit (<http://cesie.org/higher-education-research/>) as a special group of knowledge actors at local level. The competence cell will therefore have its headquarter in Palermo, Sicily (Italy). It will play a proactive role in the R&I community and offer targeted and tailored services based on the specific needs of stakeholders. The competence cell will support co-creation and integration activities involving different cultures (institutional, organisational, structural, political, etc.), as well as the formation of new working groups (scientific, administrative, and

managerial) for co-RRI actions. Two staff members will be involved in the short-term operations of the competence cell. They will be supported by other local, national as well as international knowledgeable actors (e.g. renewable energy experts for the energy action). The competence cell will develop along two strategic lines: the integration of co-RRI in internal activities, on the one hand, and supporting other stakeholders in their 'co-RRI education', on the other hand. The competence cell's activities will be supported by the online platform.

Type of organisation	Research and service group (sub-unit) under Higher Education and Research Unit
Separate legal entity	No
Location	Via Roma 94, 90133 Palermo (Sicily), Italy
Why this type of organisation?	In the beginning, there are a lot of challenges to overcome for a newly created 'body' (such as developing an independent financing scheme, networking, lobbying, etc.). In order to guarantee a good functioning competence cell, this organisation will be part of CESIE, which has more than 15 years of work experience at local, national and EU levels. All the competence cell's members will be volunteers. Their work will be supported by different experts, who will be selected from CESIE's databases. The competence cell will use the infrastructure, premises, equipment and databases of CESIE.
Definition of main actors	<p>Competence cell's volunteers = a person who freely offers to undertake a task</p> <p>Coordinator of the Higher Education and Research Unit (Cell's Coordinator)</p> <p>Coordinator of the European Cooperation Department</p> <p>President of CESIE</p> <p>HR Manager of CESIE</p> <p>Financial Manager of CESIE</p> <p>Experts = people paid (rewarded) to work for their inputs in co-RRI activities and who will join the CC for a specific period of time.</p>

## **PART II – Explaining the co-RRI values underlying the governance structure**

How will the following co-RRI core values be integrated and laid down in the decision-making processes of the competence cell, and therefore be brought into practice?

### **AUTONOMY**

CESIE's competence cell shares the mission, vision and values of the organisation:

- Mission: To promote educational innovation, participation and growth.
- Vision: The world is only one creature.

As a part of the Higher Education and Research Unit, the competence cell will develop an annual activity plan with KPIs, which will be a part of the unit's activity plan and organisation's strategic plan. Strategic decisions about human and financial resources, infrastructure and the long-term vision on activities will be defined by the unit's coordinator, head of the department and the president. Administrative decisions will be taken by the unit's coordinator and the head of the department. In the meantime the unit's coordinator and the competence cell members will be in charge for the operational decisions and the implementation of the annual plan.

### **GENDER EQUALITY**

The competence cell accepts CESIE's policies on gender equality and working practices, where equal rights (to women, men and other persons) are guaranteed at hierarchical, managerial and administrative levels. Not only are different tools and trainings provided inside the organisation, CESIE also actively participates in international projects with different cultures (for example: Belgium, Germany, UK, Tunisia, Albania, Armenia, etc.) which support this topic. This means that new practises and approaches will be transferred to the daily life of the competence cell as well.

### **DIVERSITY**

The Competence Cell will be represented by the logo of CESIE, which is a pomegranate. The competence cell will become a part of the 'pomegranate', which symbolises the 'fruitful' unity of people (different by background, gender, race, ethnic group, age, personality, education, cognitive style, sexual orientation, etc.), growing together under the same peel. These different groups of people are represented in CESIE's staff, target groups, partnerships and networks, and will therefore be part of the daily work environment of the competence cell.

### **INCLUSIVENESS**

Inclusiveness will be guaranteed in the following two ways:

- Internally, the staff of CESIE will be bimonthly updated about the competence cell's activities, results and needs. All the staff members will have an equal opportunity to consult and involve the competence cell in their projects, promoting and supporting co-RRI at national and EU levels. Additionally, the executive committee of CESIE will be informed about the competence cell three times a year. The KPIs of last year and planning of the upcoming year will be monitored and evaluated, and will add to the Board's insights for a better promotion of co-RRI.

- During its first year of existence, the competence cell will invest in advertisement campaigns at local level. This way, we will inform interesting actors from R&I, business, policy and civil society about the potential of co-RRI. Furthermore, it will help us to create a pool of local quadruple helix actors, who would be willing to assist and support the competence cell. Minimum once a year this group will be informed about the competence cell's activities, results and needs, and will be asked to give feedback on the competence cell's functioning. This feedback will be included in an action plan for the upcoming year. In addition to this, the competence cell will be presented on CESIE's website publicly.

## **REFLEXIVITY**

The competence cell will institutionalize a reflective way of working at the following two levels:

- Management of the competence cell at organisational level (CESIE): Meetings will be organised at a regular basis with the President and Coordinators of Units to reflect on the cell's activities and to assess (critical) choices that have been made. Not only internal benchmarks (e.g. short- and longer-term objectives) will function as a reference point in these meetings, but also responses from outside will be given a place.
- Management of the competence at unit level: Bimonthly meetings will be organised between members of the competence cell and representatives of the Higher Education and Research Unit to reflect, understand and manage their role in the research community as a whole.
- Co-creation management: Meetings with external participants and experts will be organised periodically in order to support the development of co-created projects and to create impact at local level.

## **RESPONSIVENESS**

The competence cell is based on the values of co-RRI, one of which is responsiveness. The ethical approaches embedded within co-RRI will ensure 'smoothness' in co-creation processes involving different groups of actors, openness towards each other and acceptance of alternative ideas and visions.

## **TRANSPARENCY**

Transparency will be guaranteed by means of different information tools (such as website, social media, online storage of documentation).

For the co-creation process the competence cell will use the FoTERRIS online co-creation platform. Scientific publications will be used as a tool to present results within the R&I community. Also policy recommendations will be part of annual reports. The annual report of the competence cell will be a part of CESIE's activity report, which is always available on the organisation's website.

### Part III – More detailed analysis of the governance model

Who will be responsible for the following tasks?

#### Area of responsibility: **ORGANISATION, VISION AND PLANNING**

defining the vision and the mission	Unit's Coordinator, Head of the Department, President
defining the core values	Unit's Coordinator, Head of the Department, President
setting mid-term objectives (5-year period) and aligning them with the mid-term financial objectives	Unit's Coordinator, Head of the Department, President
setting annual objectives and aligning them with the annual financial objectives	Unit's Coordinator and the CC
determining the competence cell's structure (co-op, not-for-profit organisation, unincorporated association, ...)	President and Executive committee
determining the competence cell's governance model	Unit's Coordinator, Head of the Department, President
taking all strategic decisions to bring this governance model into practice (e.g. selecting members for an advisory board, describing the tasks of the executive director, determining the obligations of co-op members, etc.)	Unit's Coordinator, Head of the Department, President
planning and developing agendas, and other administrative work, related to the meetings following out of the implementation of the competence cell's governance model (e.g. weekly staff meeting, annual review meeting, meeting of the advisory board, etc.)	Unit's Coordinator and the CC

#### Area of responsibility: **FINANCES**

setting mid-term financial objectives (5-year period) and aligning them with other mid-term planning documents	Unit's Coordinator and the CC
setting annual financial objectives and aligning them with other annual planning documents	Unit's Coordinator, Head of the Department, President
developing monitoring system	Financial Manager of CESIE

monitoring of financial objectives, incomes and expenses	Financial Manager of CESIE
setting financial procedures and controls so that the outcome of financial monitoring processes result into action	Financial Manager of CESIE
writing financial statements	Financial Manager of CESIE
applying for non-project based subsidies and other governmental grants	Unit's Coordinator and the CC
applying for project funding	Unit's Coordinator and the CC
signing offers, invoices, cheques, contracts, etc.	President and Financial Manager of CESIE

#### Area of responsibility: **HUMAN RESOURCES**

set personnel policies (e.g. setting the compensation for staff members)	HR manager of CESIE
executing administrative work related to personnel management (e.g. making payslips)	HR manager of CESIE
deciding on the number of staff members	Unit's Coordinator, Head of the Department, President
recruiting and hiring staff members	-
paying staff members	-
supervising staff members	-
discharging staff members	-
accepting and using the services of volunteers	HR manager of CESIE
reimbursing volunteers' expenses	HR manager of CESIE
supervising and discharging volunteers	HR manager of CESIE and Unit's Coordinator
settling grievances among staff and/or volunteers	HR manager of CESIE
assigning work to staff members and volunteers	HR manager of CESIE and Unit's

Coordinator

#### Area of responsibility: **CORE ACTIVITIES**

determining the competence cell's core activities (e.g. research, consultancy, community building and networking, teaching, etc.)	Unit's Coordinator, Head of the Department, President
operationalising the competence cell's core activities	Unit's Coordinator and the CC
executing the competence cell's core activities	The CC and experts
writing the annual report	Unit's Coordinator and the CC
engaging expert advisors or consultants	Unit's Coordinator and the CC
monitoring the competence cell's compliance with the laws, rules, regulations and contracts that govern its daily activities	HR Manager of CESIE

#### Area of responsibility: **EXTERNAL RELATIONS**

speaking on conferences, networking events, etc. on behalf of the competence cell	Unit's Coordinator, Head of the Department, President, the CC
speaking on social media on behalf of the competence cell	CC
speaking to media on behalf of the competence cell	CC
settling complaints from stakeholders	CC
managing (inter)national partnerships with entities providing necessary resources (monetary and non-monetary)	Unit's Coordinator, Head of the Department, President
advocating with the government for greater priority to the competence cell's issues	President

#### Who will be accountable?

#### Area of accountability: **VISION AND PLANNING**

the vision and the mission	President & Head of the Unit
the core values	President & Head of the Unit
non-compliance of performance with mid-term objectives	Unit's Coordinator, Head of the



(5-year period)	Department, President
non-compliance of performance with annual objectives	Unit's Coordinator and the CC
non-compliance with the regulations and obligations linked to the competence cell's structure (cooperative, not-for-profit organisation, unincorporated association, ...) (e.g. bylaws that do not contain all mandatory elements)	President & Head of the Unit
governance model not meeting the organisation's needs	President & Head of the Unit
badly implemented governance model	President & Head of the Unit

#### Area of responsibility: **FINANCES**

non-compliance with mid-term financial objectives (5-year period)	Unit's Coordinator, Head of the Department, President
non-compliance with annual financial objectives	CC
inadequate monitoring system	Financial manager of CESIE
inadequate financial monitoring	Financial manager of CESIE

#### Area of responsibility: **HUMAN RESOURCES**

dissatisfaction about personnel policies	-
dissatisfaction about volunteer policies	HR manager of CESIE
structural unbalance between available manpower and workload causing a too heavy workload	Unit's Coordinator, Head of the Department, President
structural unbalance between available manpower and workload causing a too light workload	Unit's Coordinator, Head of the Department, President
no clear job descriptions content-wise	Unit's Coordinator, Head of the Department, President
unbalance in the assignment of work among staff and/or volunteers	Unit's Coordinator

#### Area of responsibility: **CORE ACTIVITIES**

non-compliance of core activities with vision and mission	Unit's Coordinator and CC
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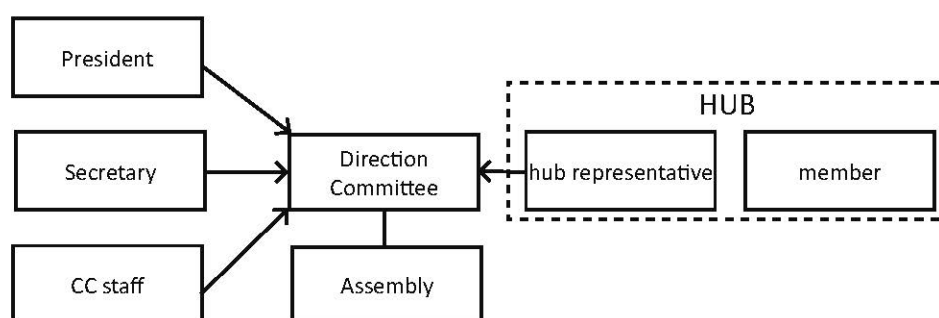
negative evaluation of the operationalisation of the competence cell's core activities	Unit's Coordinator and CC
negative feedback from clients and other stakeholders regarding the execution of projects and other operational tasks	Unit's Coordinator and CC
non-compliance of the competence cell with the laws, rules, regulations and contracts that govern its daily operations	Unit's Coordinator and CC
<b>Area of responsibility: EXTERNAL RELATIONS</b>	
content of speeches, interviews and other verbal communication of people representing the competence cell	Unit's Coordinator and CC
content of articles, papers and other non-verbal communication of people representing the competence cell	Unit's Coordinator and CC
negative feedback on the quantity and/or quality of partnerships	Unit's Coordinator and CC

## 2.6 Governance model of the Spanish competence cell

### 2.6.1 Governance model for the period immediately following on FoTERRIS

The governance model presented in this chapter will be implemented in the Spanish competence cell. In principle, no future changes are envisaged.

#### PART I – Presentation of the governance structure



type of organisation	Non-profit association
separate legal entity	Yes
location	Madrid (Spain)
Why this type of organisation?	<p>The association provides great flexibility to grow and is light in the management and administration. It provides also a good degree of autonomy.</p> <p>Deliverable 2.5 explains the rationale and the opportunity that has been identified to extend the scope of the association to the Ibero-American area, to facilitate the promotion of RRI in other countries than Europe. This will have greater impact for the competence cell and more opportunities to generate a critical mass and funding for its sustainability after the FoTERRIS project.</p>

definition of main actors

Competence cell's staff = people paid to work for the competence cell

Assembly = Group that takes decisions (all members of the association)

Direction Committee = Group that takes decisions (President, Secretary and vocals (the responsables of

the hubs))

President of the Association, chosen by the Assembly among the members

Secretary of the Association, chosen by the Assembly among the members

Members are associated to a hub and are members of the Association

Hub responsible represents the hub in the Assembly

## PART II – Explaining the co-RRI values underlying the governance structure

How will the following co-RRI core values be integrated and laid down in the decision-making processes of the competence cell, and therefore be brought into practice?

### **AUTONOMY**

One of the reasons to be constituted as an Association is to have a greater degree of autonomy as it will be not conditioned by the politics of a hosting institution. Having members from different countries and institutions will contribute to avoid biases and rely on the expertise of its members. Furthermore, the activities have been planned to be financially sustainable without dependency on a particular institution, thus getting a greater degree of autonomy.

### **GENDER EQUALITY**

The members of the association have been working in several projects where gender issues are considered highly relevant (e.g., women with disabilities, women in migration). Therefore, the association has a high degree of gender reflexivity. Furthermore, the association will look for equality in the representativeness of women and men for decision making and governance. In fact, the first Direction Committee has equal number of women and men.

### **DIVERSITY**

Following the principles of co-RRI, the association will look for representatives from different stakeholders of the quadruple helix, that is civil society, industry, policy and science, although initially there is a greater proportion of researchers from academia. There is also diversity in the origin of the members as they belong to countries with a variety of cultural and socio-economic backgrounds and working in different disciplines.

### **INCLUSIVENESS**

The association members have been working in different projects concerning inclusiveness, so this is also a relevant characteristic that will be taken into account. The association will provide the means for all its members to participate and have influence in the decision making process on an equal basis. For operational purposes, given the international scope of the association, there will be a Direction Committee

with participation of representatives from the hubs to make agile decision making, but this will be done without preventing any member to provide their opinion through the Assembly and other means.

## REFLEXIVITY

The competence cell will institutionalize a reflective way of working at the following two levels:

- Management of the competence cell: Meetings will be organised at a regular basis with different bodies, such as the Assembly, the Direction Committee, the hubs, and the staff, to reflect on the association activities and to assess (critical) choices that have been made.
- Project management: Reflection moments will be part of each project plan, hence after each critical phase in a project a reflection moment will be built in.

## RESPONSIVENESS

Responsiveness is fundamental to develop the mission of the association and a basis of the co-RRi methodology. The different activities will be developed with co-creative methods that allow to closely collaborate with relevant actors who are traditionally only rarely involved in research and development actions. This way, the association aspires to develop a well-balanced group of stakeholders, who can participate to reflect on (topic-specific) societal issues.

## TRANSPARENCY

The association will communicate about important strategic decisions, for instance the vision and mission and longer-term objectives, via the website and social networks. Also documents reporting about strategic decisions, such as the annual reports and minutes of the Assembly meetings, will be published on the website. In addition to this, all requests for information on (the history of) certain decisions and procedures will be considered and answered when possible. Finally, at the project management level, the association will use the FoTERRIS platform or other digital means to, on the one hand, inform and involve project partners in decision making processes and, on the other hand, to create openness about the data, reports, literature and other content that has been processed and used.

## Part III – More detailed analysis of the governance model

Who will be responsible for the following tasks?

Area or responsibility: **ORGANISATION, VISION AND PLANNING**

Defining the vision and the mission	The assembly
Defining the core values	The assembly
Setting mid-term objectives (5-year period) and aligning them with the mid-term financial objectives	The assembly

Setting annual objectives and aligning them with the annual financial objectives	The assembly
Determining the competence cell's structure (co-op, not-for-profit organisation, unincorporated association, ...)	The assembly
Determining the competence cell's governance model	The assembly
Taking all strategic decisions to bring this governance model into practice (e.g. selecting members for an advisory board, describing the tasks of the executive director, determining the obligations of co-op members, etc.)	The assembly
Planning and developing agendas, and other administrative work, related to the meetings following out of the implementation of the competence cell's governance model (e.g. weekly staff meeting, annual review meeting, meeting of the advisory board, etc.)	The direction committee

#### Area of responsibility: **FINANCES**

Setting mid-term financial objectives (5-year period) and aligning them with other mid-term planning documents	The direction committee
Setting annual financial objectives and aligning them with other annual planning documents	The direction committee
Developing monitoring system	The direction committee
Monitoring of financial objectives, incomes and expenses	The direction committee
Setting financial procedures and controls so that the outcome of financial monitoring processes result into action	The direction committee
Writing financial statements	Subcontracting (short term) and Competence cell's staff (long term)
Applying for non-project based subsidies and other governmental grants	The direction committee with competence cell's staff
Applying for project funding	The direction committee

Signing offers, invoices, cheques, contracts, etc.

President and Secretary

#### Area of responsibility: **HUMAN RESOURCES**

Set personnel policies (e.g. setting the compensation for staff members)	The direction committee
Executing administrative work related to personnel management (e.g. making payslips)	Competence cell's staff
Deciding on the number of staff members	The direction committee
Recruiting and hiring staff members	The direction committee
Paying staff members	The direction committee
Supervising staff members	The direction committee
Discharging staff members	The direction committee
Accepting and using the services of volunteers	The direction committee
Reimbursing volunteers' expenses	The direction committee
Supervising and discharging volunteers	The direction committee
Settling grievances among staff and/or volunteers	Competence cell's staff and President and Secretary
Assigning work to staff members and volunteers	The direction committee

#### Area of responsibility: **CORE ACTIVITIES**

Determining the competence cell's core activities (e.g. research, consultancy, community building and networking, teaching, etc.)	The assembly
Operationalising the competence cell's core activities	The direction committee
Executing the competence cell's core activities	Competence cell's staff
Writing the annual report	The direction committee
Engaging expert advisors or consultants	The direction committee

Monitoring the competence cell's compliance with the laws, rules, regulations and contracts that govern its daily activities	The direction committee
<b>Area of responsibility: EXTERNAL RELATIONS</b>	
Speaking on conferences, networking events, etc. on behalf of the competence cell	Any member and staff
Speaking on social media on behalf of the competence cell	Community manager
Speaking to media on behalf of the competence cell	Community manager
Settling complaints from stakeholders	Community manager
Managing (inter)national partnerships with entities providing necessary resources (monetary and non-monetary)	The direction committee with support of competence cell staff
Advocating with the government for greater priority to the competence cell's issues	The direction committee

#### Who will be accountable?

#### Area of accountability: VISION AND PLANNING

The vision and the mission	The assembly
The core values	The assembly
Non-compliance of performance with mid-term objectives (5-year period)	The assembly
Non-compliance of performance with annual objectives	The assembly
Non-compliance with the regulations and obligations linked to the competence cell's structure (cooperative, not-for-profit organisation, unincorporated association, ...) (e.g. bylaws that do not contain all mandatory elements)	The assembly
Governance model not meeting the organisation's needs	The assembly
Badly implemented governance model	The assembly and competence cell's staff



**Area of accountability: FINANCES**

Non-compliance with mid-term financial objectives (5-year period)	The direction committee with competence cell's staff
Non-compliance with annual financial objectives	The direction committee with competence cell's staff
Inadequate monitoring system	The direction committee
Inadequate financial monitoring	The direction committee

**Area of accountability: HUMAN RESOURCES**

Dissatisfaction about personnel policies	The assembly
Dissatisfaction about volunteer policies	The assembly
Structural unbalance between available manpower and workload causing a too heavy workload	The direction committee
Structural unbalance between available manpower and workload causing a too light workload	The direction committee
No clear job descriptions content-wise	Competence cell's staff
Unbalance in the assignment of work among staff and/or volunteers	Competence cell's staff

**Area of accountability: CORE ACTIVITIES**

Non-compliance of core activities with vision and mission	Competence cell's staff
Negative evaluation of the operationalisation of the competence cell's core activities	Competence cell's staff
Negative feedback from clients and other stakeholders regarding the execution of projects and other operational tasks	Competence cell's staff
Non-compliance of the competence cell with the laws, rules, regulations and contracts that govern its daily operations	Competence cell's staff

**Area of accountability: EXTERNAL RELATIONS**

Content of speeches, interviews and other verbal communication of people representing the competence cell	The person who made it
Content of articles, papers and other non-verbal communication of people representing the competence cell	The person who made it
Negative feedback on the quantity and/or quality of partnerships	The direction committee

### 3 Letters of intent

The Description of Action (DoA) of the FoTERRIS project states that competence cells are “institutions/organisational units with a *mandate* to bridge the gap between knowledge and action, i.e. between science and policy and, indeed, between science and society as a whole” (see also the glossary of PartB of the DoA). This deliverable was originally meant to report about this mandate. Yet, a mandate is an official order or commission to do something, and therefore lies almost completely outside the control of the FoTERRIS consortium. A mandate is given by a third party, as a result of which it is not an agreement the partner organisations could actively work on, apart from some advocacy and lobbying work.

During the second reporting period of the FoTERRIS project was therefore decided to work with *letters of intent* instead of mandates. In these letters of intent each of the partner organisations that experimented with a competence cell would be asked to declare that they will continue contributing to their best efforts to the development of these competence cells. To give each of them the opportunity to clarify what is meant by this exactly, these letters of intent would refer directly to the content of the activity model (D2.5) and the governance model (D2.3). This way, it would be possible to guarantee continuity while also better aligning the project’s results with the process dynamics characterizing the establishment of a new organisation. Within 30 months, the duration of the FoTERRIS project, it is very hard to evolve from an experiment into an organization mature enough to be given the authority by a third party, that is a mandate, to officially perform a clear set of tasks. Instead of the ‘snapshot’ that a mandate is, each of the competence cells is therefore given ample opportunity in D2.3 and D2.5 to sketch the developmental path they’re aiming for, and to explain their current position.

In line with this reasoning, a milestone (MS7) was added upon request of the Project Officer entitled ‘Letters of intent from each partner institute with respect to the establishment of the competence cells’ (see also Amendment AMD-665906-5). In this chapter an overview is given, in alphabetical order, of these letters of intent, that is of the Austrian, the Flemish, the Hungarian and the Italian competence cell. They all follow the same format, which was the outcome of a review process to which the Project Officer as well as the legal departments of the partner institutes CESIE, ESSRG, IFZ, UCM and VITO contributed. Finally, in addition to these letters of intent, the Spanish partner UCM presents the founding act of its Iberico-American Association named ‘RRIIA’.

### **3.1 Letter of intent: Austrian competence cell**

FoTERRIS aims at Fostering a Transition towards Responsible Research and Innovation (RRI) Systems. The main objective of the project is to develop and introduce new governance practices in research and innovation systems. More specifically, FoTERRIS focuses on practices to co-design transdisciplinary RRI projects attuned to local needs, values and opportunities that connect and mobilise local stakeholders.

One of the core elements of the FoTERRIS project is the design of RRI competence cells (also called 'knowledge arenas' in Part B of Grant Agreement No.665906). These are institutions or organisational units which aim to bridge the gap between knowledge and action, i. e. between science and policy and, hence, between science and society as a whole. They are specialized centres for the facilitation and management of transdisciplinary research. Staff members of these competence cells are supposed to guide and coach both formal and informal knowledge actors from science, policy, the business sector and civil society through a structured process for the design of transdisciplinary RRI projects.

The mission of each of these competence cells will be to endorse the main objective of the FoTERRIS project as described in Annex 1 of Grant Agreement No. 665906, which is summarized above. This mission will be implemented through a tailored set of tasks executed by staff members having the necessary skills to facilitate inter- and transdisciplinary activities. These tasks will contain a clear reference to the methodological framework developed within the FoTERRIS project.

As a partner in the FoTERRIS project, my organisation is dedicated to conscientiously perform the work as set out in the Description of Action, related to the design of a sustainable competence cell, including the development of:

- an activity model for this competence cell;
- a governance structure allowing the competence cell to pursue its mission of fostering RRI for the common good;
- a tailored set of tasks in line with this activity model.

This letter is to confirm that Interdisciplinary Research Centre for Technology, Work and Culture represented by Angelika Tisch is committed to:

- establish a competence cell in Austria according to the activity model described in deliverable 2.5 of the FoTERRIS project;
- provide competent staff members to implement the governance structure developed for this competence cell, described in deliverable 2.3 of the FoTERRIS project;
- provide sufficient resources in accordance with the governance structure and the terms described in the competence cell's activity model.

Graz, 27.03.2018



### **3.2 Letter of intent: Flemish competence cell**

FoTERRIS aims at Fostering a Transition towards Responsible Research and Innovation (RRI) Systems. The main objective of the project is to develop and introduce new governance practices in research and innovation systems. More specifically, FoTERRIS focuses on practices to co-design transdisciplinary RRI projects attuned to local needs, values and opportunities that connect and mobilise local stakeholders.

One of the core elements of the FoTERRIS project is the design of RRI competence cells (also called 'knowledge arenas' in Part B of Grant Agreement No.665906). These are institutions or organisational units which aim to bridge the gap between knowledge and action, i.e. between science and policy and, hence, between science and society as a whole. They are specialized centres for the facilitation and management of transdisciplinary research. Staff members of these competence cells are supposed to guide and coach both formal and informal knowledge actors from science, policy, the business sector and civil society through a structured process for the design of transdisciplinary RRI projects.

The mission of each of these competence cells will be to endorse the main objective of the FoTERRIS project as described in Annex 1 of Grant Agreement No. 665906, which is summarized above. This mission will be implemented through a tailored set of tasks executed by staff members having the necessary skills to facilitate inter- and trans-disciplinary activities. These tasks will contain a clear reference to the methodological framework developed within the FoTERRIS project.

As a partner in the FoTERRIS project, my organisation is dedicated to conscientiously perform the work as set out in the Description of Action, related to the design of a sustainable competence cell, including the development of:

- an activity model for this competence cell;
- a governance structure allowing the competence cell to pursue its mission of fostering RRI for the common good;
- a tailored set of tasks in line with this activity model.

This letter is to confirm that VITO represented by Walter Eevers is committed to:

- establish a competence cell in Flanders according to the activity model described in deliverable 2.5 of the FoTERRIS project;
- provide competent staff members to implement the governance structure developed for this competence cell, described in deliverable 2.3 of the FoTERRIS project;
- provide sufficient resources in accordance with the governance structure and the terms described in the competence cell's activity model.

Mol, 19 March 2018

Dr Walter Eevers,  
Director R&D





### 3.3 Letter of intent: Hungarian competence cell

FoTERRIS aims at Fostering a Transition towards Responsible Research and Innovation (RRI) Systems. The main objective of the project is to develop and introduce new governance practices in research and innovation systems. More specifically, FoTERRIS focuses on practices to co-design transdisciplinary RRI projects attuned to local needs, values and opportunities that connect and mobilise local stakeholders.

One of the core elements of the FoTERRIS project is the design of RRI competence cells (also called 'knowledge arenas' in Part B of Grant Agreement No.665906). These are institutions or organisational units which aim to bridge the gap between knowledge and action, i.e. between science and policy and, hence, between science and society as a whole. They are specialized centres for the facilitation and management of transdisciplinary research. Staff members of these competence cells are supposed to guide and coach both formal and informal knowledge actors from science, policy, the business sector and civil society through a structured process for the design of transdisciplinary RRI projects.

The mission of each of these competence cells will be to endorse the main objective of the FoTERRIS project as described in Annex 1 of Grant Agreement No. 665906, which is summarized above. This mission will be implemented through a tailored set of tasks executed by staff members having the necessary skills to facilitate inter- and trans-disciplinary activities. These tasks will contain a clear reference to the methodological framework developed within the FoTERRIS project.

As a partner in the FoTERRIS project, my organisation is dedicated to conscientiously perform the work as set out in the Description of Action, related to the design of a sustainable competence cell, including the development of:

- an activity model for this competence cell;
- a governance structure allowing the competence cell to pursue its mission of fostering RRI for the common good;
- a tailored set of tasks in line with this activity model.

This letter is to confirm that ESSRG Ltd represented by Bálint Balázs is committed to:

- establish a competence cell in Hungary according to the activity model described in deliverable 2.5 of the FoTERRIS project;
- provide competent staff members to implement the governance structure developed for this competence cell, described in deliverable 2.3 of the FoTERRIS project.
- provide sufficient resources in accordance with the governance structure and the terms described in the competence cell's activity model.

22.03.2018



### **3.4 Letter of intent: Italian competence cell**

FoTERRIS aims at Fostering a Transition towards Responsible Research and Innovation (RRI) Systems. The main objective of the project is to develop and introduce new governance practices in research and innovation systems. More specifically, FoTERRIS focuses on practices to co-design transdisciplinary RRI projects attuned to local needs, values and opportunities that connect and mobilise local stakeholders.

One of the core elements of the FoTERRIS project is the design of RRI competence cells (also called 'knowledge arenas' in Part B of Grant Agreement No.665906). These are institutions or organisational units which aim to bridge the gap between knowledge and action, i.e. between science and policy and, hence, between science and society as a whole. They are specialized centres for the facilitation and management of transdisciplinary research. Staff members of these competence cells are supposed to guide and coach both formal and informal knowledge actors from science, policy, the business sector and civil society through a structured process for the design of transdisciplinary RRI projects.

The mission of each of these competence cells will be to endorse the main objective of the FoTERRIS project as described in Annex 1 of Grant Agreement No. 665906, which is summarized above. This mission will be implemented through a tailored set of tasks executed by staff members having the necessary skills to facilitate inter- and trans-disciplinary activities. These tasks will contain a clear reference to the methodological framework developed within the FoTERRIS project.

As a partner in the FoTERRIS project, my organisation is dedicated to conscientiously perform the work as set out in the Description of Action, related to the design of a sustainable competence cell, including the development of:

- an activity model for this competence cell;
- a governance structure allowing the competence cell to pursue its mission of fostering RRI for the common good;
- a tailored set of tasks in line with this activity model.

This letter is to confirm that CESIE represented by Mr. Vito La Fata, President is committed to:

- establish a competence cell in Italy (Sicily) according to the activity model described in deliverable 2.5 of the FoTERRIS project;
- provide competent staff members to implement the governance structure developed for this competence cell, described in deliverable 2.3 of the FoTERRIS project.
- provide sufficient resources in accordance with the governance structure and the terms described in the competence cell's activity model.

Palermo 16/03/2018

(signature)




### 3.5 Founding act of the Spanish competence cell

**ACTA FUNDACIONAL**

**Reunidos** en Madrid, el día 12 de Marzo de 2018, a las 12:00 horas, las personas que a continuación se detallan:

Nombre	Nacionalidad	Domicilio	NIF
1.- Juan Pavón Mestras	Española	Facultad de Informática Universidad Complutense C/ Prof. José García Santesmases, 9 28040 Madrid	00802574N
2.- Esther Souto Galván	Española	Facultad de Derecho UNED C/ Obispo Trejo, 2 28040 Madrid	52364852Q
3.- José Manuel Molina López	Española	Escuela Politécnica Superior Universidad Carlos III de Madrid Avda Gregorio Peces-Barba Martínez, 22 28270 Colmenarejo (Madrid)	7228212W

**Acuerdan:**

1º Constituir una asociación al amparo de la Ley Orgánica 1/2002, de 22 de marzo, reguladora del Derecho de Asociación que se denominará:  
**Asociación Iberoamericana para la Investigación e Innovación Responsables - RRIIA**

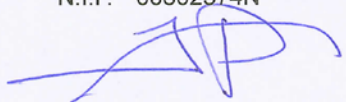
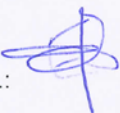
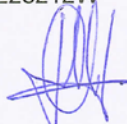
2º Aprobar los Estatutos que se incorporan a este Acta Fundacional como anexo, por los que se va a regir la entidad, que fueron leídos en este mismo acto y aprobados por unanimidad de los reunidos.

3º Designar a la Junta Directiva de la entidad, cuya composición de cargos es la siguiente:

- Presidente: Dr. Juan Pavón Mestras
- Secretaria: Dra. Esther Souto Galván
- Vocal 1: Dra. Silvia Baldiris Navarro
- Vocal 2: Dra. Mirbella Gallareta Negrón
- Vocal 3: Dra. Nayat Sánchez Pi
- Vocal 4: Dr. Paulo Jorge Freitas de Oliveira Novais
- Vocal 5: Dr. Adolfo López Paredes
- Vocal 6: Dr. José Manuel Molina López

4º Consentir a la Administración encargada de la inscripción registral para que sean comprobados los datos de identidad de los firmantes (RD 522/2006, de 28 de abril).

Y sin más asuntos que tratar, se levanta la sesión siendo las 20.00 horas del día de la fecha.

1.- D. Juan Pavón Mestras N.I.F. 00802574N	2.- Dña. Esther Souto Galván N.I.F. 52364852Q	3.- D. José M. Molina López N.I.F. 7228212W
 FDO.:	 FDO.:	 FDO.: