

The background of the page features a complex network diagram. It consists of numerous small, semi-transparent nodes in various colors (red, teal, black, grey, orange) connected by thin, light grey lines. The nodes are scattered across the page, creating a web-like structure that suggests interconnectedness and innovation.

MARIE

MAinstreaming **R**esponsible Innovation in **E**uropean S3

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MARIE: the Project and the Action Plan

The European Commission states that "research and innovation must respond to the needs and ambitions of society, reflect its values, and be responsible." This means that while innovation is essential for our enterprises to compete on the global market, it also has the potential to change lives for the better.

However, there are too many examples of innovations that have reached the market only to reveal negative impacts. We have seen examples of medicine that has had fatal consequences; we have seen the impact that large-scale transport and mass- agricultural production techniques have had on our environment; we are still finding out about the health and safety issues surrounding digitalisation.

Responsible Innovation (RI) is an attempt to anticipate such negative impacts and to redirect innovation towards a model that reflects on impact from the start of product invention, design and production. RI engages with the public, with the end users of the product, in all development phases. RI encourages innovators to reflect on diversity, on ethics, on openness. It encourages them to anticipate and to govern their innovation.

RI is a new concept and enterprises, particularly SMEs, are not always aware of it and of its potential benefits or ready to apply it in their innovation processes. Public Authorities have a role here: they can raise awareness and capacity; they can provide incentives for its uptake; they can create favourable, collaborative environments for RI; they can provide funding to experiment with tools to integrate RI into innovation processes.

The MARIE project, co-funded by Interreg Europe, was designed to help the public

sector to do just that. Public Authorities from 8 European regions have worked together to share experiences in RI in the context of their smart specialisation priority sectors. They have developed Action Plans that detail how major innovation funding programmes, including ERDF Regional Operational Programmes, will promote RI across their territories. Their objective is to ensure that regional public policy supports delivery of RI to enterprises' product, process and service design, production and distribution.

Interregional exchange has helped partners to learn and to design improvements to their own policy. Exchange has included:

- 8 Interregional Learning Events, organised across Europe and using different methods to share ideas, knowledge and challenges;
- Analysis of 11 Good Practices, coming from different areas of Europe and representing different aspects of the RI process;
- An Enterprise Survey carried out with 23 companies from the MARIE regions, to gather feedback from the ground, from the enterprises that can and must drive Responsible Innovation and that represent the beneficiaries of public policy for research, development and innovation;
- RI Maturity Assessment¹ carried out in all MARIE regions and then grouped for an interregional comparison;
- 2 large scale public events, organised in Dublin (October 2018) and Galicia (November 2019) and engaging with other international projects working on RI.

¹ The templates and methodologies for both the Enterprise Survey and the Maturity Mapping were both designed by MARIE Exchange Manager, Athens

University of Economics and Business – RC, who was also responsible for the interregional comparison and preparation of the joint reports.

The MARIE Action Plan template² was designed to lead partners through various stages of interregional exchange leading to definition of concrete activities for policy improvement. The steps included within the Action Plan template were carefully designed to create a seamless flow between:

- the current ("where are we now?") and envisaged ("where do we want to be?") policy situation,
- the description of the policy improvement and its positioning within the MARIE RRI concept,
- the utilisation of the collected GPs, and
- the alignment with the regional RRI maturity level and needs.

The MARIE Action Plan development strategy, showing the relationships between the current policy context, the envisaged policy improvement, the MARIE outputs, and the Action Plan development and implementation, is illustrated in Figure 1 below.

The Action Plan is, as such, divided into three parts:

- Part 1 – Policy Context: this part describes the current policy situation, the need(s) that render necessary its improvement and the envisaged / enhanced policy context.
- Part 2 – Policy improvement(s) and relevance to MARIE: this part describes the proposed policy improvement(s), how it contributes towards the enhancement of the policy context, and its alignment with the MARIE outputs and the Interreg Europe policy improvement classification.
- Part 3 – Actions and feasibility check: this part describes the actions and other dimensions included in the development of the Action Plan and to assess the feasibility of its implementation.

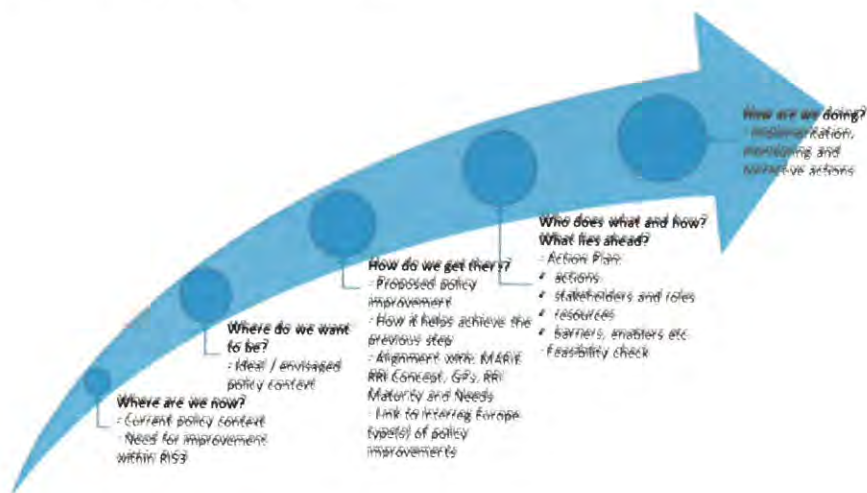


Figure 1: MARIE Action Plan development and implementation strategy

² The methodological flow of the project and the template was designed by MARIE Exchange Manager, Athens University of Economics and Business – RC, with some input used from templates provided by the

programme and by previous, successful projects (Interreg Europe Action Plan Template / COGITA Interreg IVC project Road Map Template).

Part 1: Policy context of Action Plan

Description of the regional Policy Context

Tampere region is the second largest region in Finland, in terms of population (almost 500.000 citizens), with 22 municipalities. The Regional Council, which is responsible for the regional development and land use planning, administers also the EU Structural Fund programmes (ERDF and ESF) in the region. This makes the Council an important strategic actor in the regional governance of innovation. Innovation activities are a high priority for the regional policymakers and are the basis for the future development of the region.

To maintain regional competitiveness and create international networking, it is considered necessary to create innovative ecosystem-like environments. At the same time, to obtain investments and EU funding, it is vital to have an attractive innovation environment and development platforms.

To achieve this vision of the future, a more dynamic and ecosystem-like innovation environment, we fund and support actions that create value adding processes. We encourage platform thinking and co-creation of different organisations and actors. Over the last decade, this has been achieved with an active open innovation platform policy. Our aim has been to publicly support and finance innovation environments that could work as sustainable and responsible platforms of innovation and are/will be attractive and vital for talents and for different organisations, including SMEs.

Description of the need(s) to be addressed through the policy improvement

The concepts of responsibility in research, development and innovation (RDI) has been recognised as a way to develop sustainability of the innovation environments. Many of the dimensions of RRI already exist in platform thinking, such as open access/innovation, engagement and equity. However, ethical issues are not comprehensively discussed related to RDI and ethical considerations are not included in the evaluation of projects financed in the region by ERDF and ESF funds.

Therefore, substantial room for improvement exists in terms of enhancing the formalisation of evaluation of ethical aspects. There is a need to provide clear guidelines for funding applicants and innovation actors, to ensure the common understanding of ethical concerns, and to increase awareness of the regional actors for RRI.

Description of the policy instrument selected for improvement

The addressed policy instrument is **Sustainable growth and jobs 2014 – 2020 Finland's Structural Fund programme**. The programme has five priority axes and 13 specific objectives. Within MARIE, Tampere Region focused on the ERDF measure *Producing and using the latest information and*

knowledge. The special emphasis is on Open Innovation Platforms as part of this measure. The Structural Funds Programme of Finland steers the selection of development projects and investments, but the regional smart specialisation policies have a key role in defining the actual implementation plans and resource allocation.

The main objectives of the addressed measure are:

- Development of centres of research, expertise and innovation on the basis of regional strengths
- Strengthening innovation in enterprises

The Smart Specialisation Strategy of Tampere region has four development topics:

- Digital manufacturing,
- Smart city solutions,
- Circular economy,
- Well-being and health services and systems.

Another essential perspective of the smart specialisation of Tampere region, along with the key content, are intelligent operating modes that support specialisation. These smart specialisation practises are:

- Inclusive innovation and development platforms and services,
- Systemic experiments, piloting and demonstration,
- Talent and human capital aspects in development,
- International co-learning and investments.

Currently, the yearly budget for ERDF of the Council of Tampere Region is about 2M€, delivered once or twice a year through application processes. The funding rate in development projects is 60% and in investments (always included into a development project) 50%. The measure is targeted primarily to SMEs, but the funds can only be given to a consortiums and partnerships including universities, municipalities and different development organisations.

Funding calls of ERDF in Tampere region are not usually opened with a specific thematic focus, but in 2018 the Council decided to deliver all the remaining ERDF funding for developing artificial intelligence hub in the region. This decision with AI focus gave the final justification for the policy improvement described in this document, as AI includes disrupting innovations with huge influence on the society. When funding projects related to AI, it is even more important to evaluate responsibility and ethical aspects of the innovation projects.

Description of the envisaged / enhanced policy context

The envisaged, enhanced policy context should facilitate increased awareness about RRI among beneficiaries for RRI and increases the chance of financing projects characterised by high level of responsibility. This can be activated by adding additional criteria to the evaluation of project applications. Such improvements should facilitate ethical and sustainable development in the region.

The aim of creating explicit evaluation criteria strongly related to responsibility (ethics, engagement, openness / transparency, safety / reliability) is in strong connection to social needs and expectations. It can increase the safety of new innovations created in the region and being introduced to the market.



Photo: Atacan Ergin, Visit Tampere

Part 2: Policy improvement and relevance to MARIE outputs

The proposed policy improvement	
Title	Additional evaluation criteria for ERDF projects supporting responsible research and innovation (RRI)
Description of policy improvement	<p>As a policy improvement, we implement additional, regional evaluation criteria for ERDF projects. The implementation includes two stages: a pilot phase and the scale-up phase.</p> <p>Pilot phase</p> <p>The first pilot was already implemented in the end of 2018 to open a call including additional RRI evaluation criteria. The call was targeted for projects related to responsible artificial intelligence (AI) with the funding instrument 'Sustainable growth and jobs 2014 - 2020 - Finland's structural funds programme'. The call targets projects applying and utilising AI in fields of business in which AI is not yet commonly used and that have multidisciplinary challenges and high innovation potential. The objective of the call is to create new and sustainable cooperation and innovation models for the region, between the public sector, HEIs, research organisations and private sector.</p> <p>For this call, a new regional RRI evaluation criteria was created including four RRI elements: ethics, engagement, openness/transparency and safety/reliability. The RRI evaluation criteria was included as one of the 10 criteria that are used when evaluating the project proposals and making the final decisions of funding.</p> <p>To evaluate the RRI criteria, the applicants had to describe how the four elements of RRI were implemented to the project plans and activities. The answers that were delivered with the funding application were evaluated qualitatively. The questions for the applicants were:</p> <ol style="list-style-type: none"> 1. What ethical questions and possible challenges have been identified in the project and how will you respond to them? 2. What actors and stakeholders will be involved in innovation activities and why? How will they participate? 3. How will the project achieve openness and transparency? 4. How will you ensure the reliability and safety of project activities and results? <p>To support the application process and to increase the knowledge of RRI, a brief description and examples of all four areas of responsibility were provided in the RRI evaluation sheet:</p>

Areas of responsibility	Brief explanation
Ethics	<p>Project activities and outputs must be in line with prevailing values</p> <ul style="list-style-type: none"> • Integrity, human dignity and individual freedom: actions and their outputs must serve needs of the society in a way that supports human rights, freedom and cultural diversity. • Equity and equality: Innovation must promote equal opportunities for use and be accessible to different groups of people, regardless of physical and psychological differences. • Privacy: people must have the right to manage and control their personal and self-generated data.
Engagement	<p>Key stakeholders and relevant groups of civil society should be identified and genuinely involved in project development</p> <ul style="list-style-type: none"> • Comprehensibility: decisions and actions should be explained and justified to users and other stakeholders. • Acceptability: Innovations and actions must be acceptable, usable and desirable from the point of view of stakeholders and citizens. • People's control over innovation: people must be able to choose how and when innovations are introduced to achieve goals.
Openness/transparency	<p>Activities and outputs should be as transparent as possible, to enhance learning and interaction, which support development.</p> <ul style="list-style-type: none"> • Transparency: the objectives, activities and results of the project should be discussed and communicated to stakeholders and citizens in a truthful and transparent way.
Safety/Reliability	<p>Operational outputs must be reliable and safe</p> <ul style="list-style-type: none"> • Reliability: Innovation must be reliable enough for the purposes for which it is used. For example, users should be ensured that the data collection is reliable, and that the system does not transfer data to third parties uncontrollably. • Safety: Innovation safety should be auditable whenever necessary and the risks of misuse should be minimized.

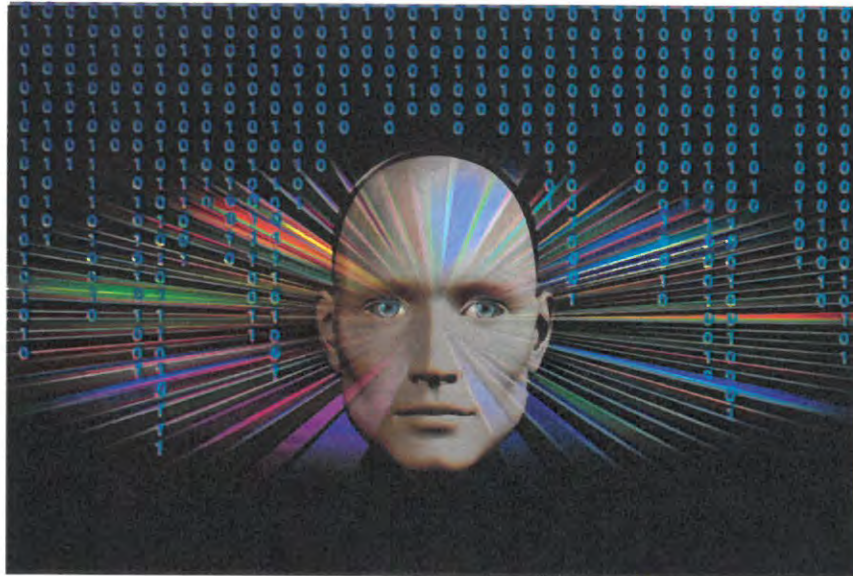
To ensure the understanding of the meaning of RRI in AI, an info event, with 25 participants, was organised on 16th Jan 2019. In the event, we provided information about RRI and responsible AI, details of the call and the additional evaluation criteria for the potential funding applicants.

	<p>Direct outputs of the policy improvement:</p> <ul style="list-style-type: none"> • 6 project proposals for responsible AI call • 4 of them had completed the RRI evaluation sheet and described how RRI elements are implemented in the project • 2 projects are funded with ERDF support of 750 000€. • 3 projects will be still funded, with estimated ERDF support of 1 010 000€. • RRI focus in AI interested new applicants for ERDF • New, very RRI specific projects were applied • Even the most technical projects had applied RRI into their activities and had RRI requirements for the companies joining the project <p>Scale-up phase</p> <p>The pilot phase will provide important knowledge about the implementation of RRI criteria into an ERDF funding and its impact on the funded projects. This knowledge and information will be gathered together and analysed. Based on the experiments, further adjustments for the criteria will be done.</p> <p>Scale up of the RRI criteria will be done for the ERDF funding call in Dec 2019. This call will have two thematic focuses: AI solutions and innovation environment development. RRI evaluation criteria will be used for both themes. The amount of ERDF that can be delivered in this call is about 2 M€. The evaluation criteria were developed based on the experiences from the pilot phase. The info event will be held on 20th Jan 2020 to disseminate information about the criteria and RRI in RDI.</p>
<p>Improvement over current policy instrument</p>	<p>The improvement has a direct link to the current policy instrument. For the first time in the ERDF regional funding programmes in Tampere, additional evaluation criteria related to RRI was used.</p> <p>The improvement included evaluation of RRI elements into the ERDF project assessment in a standardised way, which has never been done before.</p>
<p>Type of policy improvement</p>	<p>The policy improvement represents two types of policy improvement:</p> <ul style="list-style-type: none"> • Firstly, it represents Type 2 – change in the management of the policy instrument. The proposed policy improvement is based on existing structure of funding procedures. The change includes a modification in the procedure of applying funds and evaluation of the project proposals, by adding evaluation criteria for RRI; • Secondly, it represents Type 1 – implementation of new projects. The change will create new projects with more focus on RRI and it changes the administration of the project proposals in evaluation (already 5 funded in the pilot phase). In addition, the RRI criteria will increase the awareness and understanding of RRI issues in regional innovation actors.

Impact of the proposed policy instrument	
<p>Impact of proposed policy improvement on the envisaged / enhanced policy context</p>	<p>The expected impact of the proposed policy Improvement on the envisaged policy context is to increase implementation of RRI into the innovation project activities. RRI has a significant role particularly in technological development of AI, as these technologies have been noticed to include complex challenges of ethics, transparency and safety. With increased focus on RRI issues in AI related R&D, it is more likely to create technologies that serves the values of the society and people.</p> <p>Adding an RRI specific evaluation criteria into a public innovation funding raised the awareness of responsible innovation and its importance in AI.</p>
<p>Elements of improvement of the current policy context</p>	<p>The potential impact of the proposed policy improvement on the regional development programme refers to improvement of better projects that are aware of and implementing RRI elements in their research and innovation activities. With these RRI focused AI projects, it is possible to start building a responsible AI ecosystem to the region.</p> <p>The element which will be improved in the current policy context is the mentality for designing more responsible project proposals. The proposed change covers additional measures aiming at including responsibility in the evaluation of proposals. Projects to be funded should take into account the responsibility in a comprehensive way in project design, implementation and exploitation of project results. This applies both to technology development projects and to the development of co-creation platforms and networks. Projects should aim to create operational models that ensure the responsible and ethical behaviour also in the participating actors, e.g. AI companies.</p> <p>The learnings of the pilot and scale up phase will be feed into the post 2020 period.</p>
<p>Impact assessment indicators</p>	<ul style="list-style-type: none"> • Number of RRI elements included into the evaluation criteria (pilot phase and eventual inclusions in scale up phase) • Number of potential applicants participating in the information event of the RRI call at 16th of January 2019 (pilot and scale up phase) • Number of applications evaluated by the improved instrument in each call in which the measure is used (pilot phase and scale up phase) • Number of projects that will start from the calls including RRI evaluation (pilot phase and scale up phase)

- Number of calls, in which the criteria will be used till the end of the phase II of the MARIE project (pilot phase and scale up phase)

The impact monitoring of the funded projects will be developed with Tampere University and with support of SFI during the first half of the phase 2 of MARIE project. The learnings of monitoring and follow up will be feed into the post 2020 period.



Policy improvement and relation to MARIE RRI concept

MARIE RRI Concept Dimensions	Components of RRI dimension	How is the dimension addressed in the policy improvement?
RRI dimensions	Public Engagement	Public and stakeholder engagement was one of the elements of RRI that included in the new evaluation criteria (pilot phase, with possible continuation in scale up phase). The applicants are expected to think which stakeholders need to be engaged to the innovation activities during the project. With improved engagement in AI related R&D, it is more likely to create technologies that serves the values of the society and people.
	Ethics	The new evaluation criteria include ethical principles (pilot phase, with possible continuation in scale up phase). For the evaluation, applicants need to explain which risks have been identified related to ethics and

		how these risks are being managed and prepared for in the project.
	Open Access	Openness and transparency are key issues when taking about developing AI technologies. Therefore, the applicants need to explain in the application how they will enhance openness and transparency during the project (pilot phase, with possible continuation in scale up phase).
	Information and Tools	The improvement refers to an internal tool for project evaluation, but also to a tool for applicants to increase their RRI awareness in the project activities.
RRI inclusion in policy improvement lifecycle		If this call proves successful, further activities could consider how responsibility could become an integrated part of other ROP calls. Should this approach be approved, RRI would become part of the regional policy agenda.

Good Practice used to define the Policy Improvement	
Title of Good Practice	Broadening the Scope of Impact
GP owner (region)	Science Foundation Ireland (SFI), shared with the MARIE partnership by Partner Southern Region Ireland.
Can this GP address the policy need(s) identified in the previous section? If yes, how?	This GP addresses the policy needs identified in the previous section, due to its focus on broader impacts of publically funded projects with standardised criteria. Project applications must include information on the impact that their RDI will have. The impacts of these projects are classified according to 8 pillars: economic, societal, international engagement, policy & public service, health & wellbeing, environmental, professional services human capacity.
What elements of this GP are included in the policy improvement presented in Table 4-1?	The GP has a broad linkage with RRI, considering ethics, science education and open access as evaluation criteria. The impact assessment is used for selection of the funded projects. The proposed policy improvement in Tampere includes RRI into the policy instrument in a similar way with the elements of ethics, engagement, openness / transparency, safety / reliability. Moreover, the technical execution of the evaluation criteria gained important input from the GP. Applicants submitting proposals are required to prepare report on the implementation of responsibility in the project, which is evaluated during the application process. This mirrors the application procedure in the Irish GP.

<p>Exchange / Transfer process</p>	<p>The exchange of good practices took place multiple times during the process of development of the Action Plan:</p> <ul style="list-style-type: none"> • Exchange started at the international meeting in Athens by a GP poster session, in May 2017. This was followed by the completion of the MARIE GP template, which was made available to all partners. • Deeper interregional learning was done in the 4th MARIE meeting in Tampere 30th May 2018 where MARIE GP session was held. Partners from Tampere region joined a session where the partners from Ireland presented the GP. • Direct exchange with Science Foundation Ireland (SFI) happened in Dublin, during the 5th MARIE meeting 16th of Oct 2018. A side meeting between Tampere region, VTT as an external expert and SFI was held to discuss specific questions about the good practise. <p>The shared experiences helped us to focus the evaluation to the specific elements of RRI and make the necessary decisions regarding the evaluation questions and the technical execution of the evaluation tool.</p>
<p>Match between Regional RRI Maturity and selection of GP</p>	<p>On the basis of the RRI maturity mapping carried out within the MARIE project, the overall level of regional RRI maturity was Moderate/Substantial and the required regional level of RRI maturity for implementing GP was Moderate. There is a match between this level and the selected GP.</p> <p>The results of this assessment of the Tampere region showed that the only thematic element of RRI, which was evaluated as "modest" in case of both indicators, was ethics. That is why it is considered the primary RRI need for the region. During the regional stakeholder meeting where the maturity mapping was presented, the low level of the score was discussed. The conclusion of the meeting was that the main reason for it was the lack of standardised RRI criteria within the funding instrument, especially concerning ethics. The proposed action is a step towards improving the situation in this aspect.</p>



Other elements of the MARIE Interregional Exchange process used to define the Policy Improvement

The project kick-off meeting was a good start for the project, because of the initial presentation about what RRI means in regional context by Professor Simone Arnaldi (CIGA, University of Padua).

Along with the 4th MARIE meeting in Tampere (30th May 2018), the Council and the University of Tampere organised a seminar with the 6Aika project that brought RRI into the innovation platform context. This Seminar for Responsibility in Open Innovation Platform Development on 29th May 2018 and the workshop organised within it gave necessary input for us to think what RRI can be in innovation platform policy and in platform operations. This helped us to think how to support platform actors to implement RRI into their activities.

In addition to the meetings, interregional cooperation and peer to peer on maturity mapping had a great influence on the development of the policy improvement. It allowed us to clearly identify the strong and weak points of the regional policy in terms of RRI.

In addition to above-mentioned means of exchange process, online meetings took place, including meetings of all MARIE partners, which were organised each semester. The exchange process took place also at a regional level, during organised each semester stakeholder groups.

Part 3: Definition of actions and feasibility check

Stakeholders involved in the development and implementation of the policy improvement	
Name of stakeholder	VTT TECHNICAL RESEARCH CENTRE OF FINLAND LTD
Type of stakeholder	Academia / Research
Responsibilities / role within the development and implementation of the policy improvement	This improvement could not have been done without an external knowledge of RRI monitoring and implementation at a practical level. Therefore, the Council made a public procurement for external expertise. VTT as service providers has experienced researchers in terms of RRI and its monitoring. They played an important role within the development of the policy improvement by sharing their expertise and providing a catalogue of relevant examples of RRI implementation used for funding in Europe. With the wide experience of RRI monitoring and evaluation, the VTT team helped the development of the RRI evaluation criteria. Their role included exchange with the original GP owner, Science Foundation Ireland (see participation at the meeting in Ireland).
Does this organisation provide political backing to the implementation of the policy improvement? If yes, how?	This is a research organisation, which provides expert knowledge, but not the political backing to the implementation of the policy improvement. The political backing is provided by the Regional Council, partner of MARIE.

Specific tasks and timing		
Task number	Development of the policy improvement	Timing
1	Initial presentation of the GP "Broadening the Scope of Impact", during the 2nd MARIE Meeting in Athens (followed up by GP template prepared by Southern Regional Ireland and shared with partners)	30-31.5.2017
2	RRI maturity mapping exercise carried out at regional level and shared with regional stakeholders (resulting in focus on ethics and on standardised RRI evaluation criteria)	Second half of 2017, with final RRI mapping completed in February 2018
3	Interregional exchange of a GP "Broadening the Scope of Impact" during the 4th MARIE Meeting in Tampere	30.5.2018

4	Preparation of the draft version of the Action Plan with the University of Tampere, including Feasibility Check carried out at regional level on the measures (results included as an annex to the Action plan)	August 2018
5	Public procurement process for the external expertise in action development	September 2018
6	Evaluation criteria development starts with VTT	October 2018
7	Organisation of a regional stakeholder group meeting with the University of Tampere – consultation on key topics in ethics & innovation, presenting and getting feedback for the RRI criteria	4.10.2018
8	GP consultation with SFI in the MARIE meeting in Dublin	16.10.2018
9	Workshopping with the University of Tampere and VTT, and preparation of the first version of the RRI evaluation criteria	End of October 2018
10	Preparation of the final version of the evaluation criteria	End of November 2018
11	Regional Management Committee accepts the additional criteria and decides to add it to the ERDF funding call	10.12.2018
Task number	Implementation of the policy improvement	Timing
10	The improved call with the RRI evaluation criteria is launched	14.12.2018
11	Info event for the potential applicants about the RRI in AI, organised with the University of Tampere	16.1.2019
12	The improved funding call finishes	4.3.2019
13	Evaluation meeting of the project proposals with the improved criteria	27.3.2019
Task number	Scaling up the pilot and monitoring of the impact	Timing
14	Analysis and reporting of the results of the improved call and new projects with the University of Tampere	March – August 2019
15	Regional Management Committee accepts the additional criteria and decides to add it to the ERDF funding call	21.10.2019
16	Disseminating information about the funded projects and the importance of RRI in AI in an AI Morning event.	1.11.2019
17	Redevelopment of the evaluation criteria for the scale up phase	Oct-Nov 2019

18	Opening of the ERDF funding call and the second implementation of the evaluation criteria	Dec 2019
19	Info event for the potential applicants about the RRI evaluation criteria.	January – March 2020
20	Developing impact monitoring/follow up of RRI with Tampere University for the funded projects	February – April 2020

Resources for the development and implementation of policy improvement				
Type of resource	Name of resource	Associated tasks	Timeframe of use	Financial cost
Physical (e.g., facilities, buildings)	Meeting rooms	1,5,7,9,11,13,15,19	05.2018-03.2019	N/A
Human (types of personnel)	Organizers	1,3,5,7,11,13,16,17,18,19,20	05.2018-03.2019	N/A
	Stakeholders	5,9,11,15,16,19	10.2018-01.2019	N/A
	Evaluators	7, 13,14,19	10.2018-03.2019	N/A
Other	External expertise of RRI	4,6,7,8,16,17,19,20	Oct-Nov 2018	12,000€ + VAT

PESTL analysis of the external environment				
Factor type	Factor title	Description of factor	Scope (international, national, regional)	Importance
Political	Regional Management Committee	Cooperation with policymakers is necessary to put the proposed improvement into action.	regional	Crucial for the feasibility of the project
Economic	Budgetary constraints	Within the MARIE budget there is a limited budget for	regional	Limits the further adjustment of the criteria for the next calls

		implementation of the Action Plan.		
	Amount of funds for the call	The amount of funds for the call determines how many projects can be funded and how many calls will still be opened.	regional	Little importance for the project objective.
Social / cultural	Ethics	Social attitudes towards particular ethical issues.	national	Important during the stakeholders check. It may affect the choice of ethical issues treated as significant.
Technological	Technology to be used in submitted projects	The technological aspects of AI projects bring specific ethical concerns	regional	The challenge of including the technology-specific responsibility issues needed for the assessment tool.
	Technical aspects of application system	The application system does not allow adding new selection criteria, therefore the responsibility reports will have to be submitted separately.	regional	Affects to the responsibility report submission process.
Legal / regulatory	EU regulations	The EU regulations to be followed in calls for projects.	international	It is necessary to assure that changes in the policy instrument are in line with EU regulations regarding Structural Funds Programme.

Enablers of Action Plan development and implementation		
Enabler title	Description of enabler	Importance of enabler and potential impact on development and implementation of policy improvement
1	Close cooperation with policymakers and the funding team.	Positive attitude of policymakers and the funding team towards proposed changes is necessary for feasibility of the project.
2	Positive social attitudes towards responsibility of research and innovation, particularly in AI.	Moderate importance. It potentially increases the social support for proposed changes, which is a factor encouraging policymakers to implement it.
Barriers to Action Plan development and implementation		
Barrier title	Description of barrier	Importance of barrier and potential impact on development and implementation of policy improvement
1	Budgetary constrains.	The barrier has a moderate importance. It may affect the scale of stakeholder engagement and possibly needed further adjustments of the tool in the process.

Transferability factors		
Factor title	Description of factor	Importance of factor and potential impact on regional transferability of policy improvement
1	Flexibility of the funding system	It is an important factor. If there are fixed forms of project applications (for example standardised nationally) it can constrain the implementation of this action. In the case of this policy improvement, there was flexibility within the call evaluation system and this change was possible.

Funding sources	
Source	Description

1	<p>The addressed policy instrument is Sustainable growth and jobs 2014 – 2020 Finland's Structural Fund programme. The programme has five priority axes and 13 specific objectives. Tampere Region focuses on the measure 2 Producing and using the latest information and knowledge.</p> <p>The allocated amount of funds for the pilot call was 2 M€. The amount of funds delivered to the funded projects is about 1,7 M€.</p> <p>Information on funding during the scale up phase is not yet available. The political decision as to whether a further ERDF funding call for AI projects will be held is pending and dependent on funding. If funding is available, it could be published in early 2020 with an allocated budget.</p>
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Risks and Mitigating Actions			
Title of risk	Description of risk	Level of probability (High, Medium, Low)	Description of mitigating action(s)
Lack of continuity in scale up phase	It is possible that after application of the improvement in the instrument in one call (pilot phase) it will not be used by policymakers in later calls.	Low	Close cooperation with policymakers. Actions aiming at developing common understanding of the importance of the improvement.
Validity and reliability of the instrument	Due to constrain related to the evaluation process and its timeframe, it is a challenge to cover all significant measures and to ensure their accurate assessment.	Medium	Interregional Learning – use of MARIE Partners expertise and experience. Stakeholder involvement – including researchers.

Signatures

Date



Esa Halme, Region Mayor



Petri Pikkuaho, Director (administration)

Annex: Feasibility check

A.1: Transfer and implementation team (Internal staff members and stakeholders)

Feasibility check items	Response	Comments / details:
Have you identified what skills are necessary to design and implement this policy improvement?	YES/ NO / N/A	Knowledge of ERDF funding instrument as well as RRI and AI specific RRI was needed in order to design and implement this policy improvement.
Have you checked which staff members / stakeholders were involved in the original GP? Are these the same in your local context?	YES/ NO / N/A	
Have you identified who is going to work on this measure from within the partner organisation?	YES/ NO / N/A	Tiina and Petri from the Council and the partner from the University of Tampere.
Have you identified the most relevant stakeholders to work on the measure from outside the partners' organisation (stakeholders)?	YES/ NO / N/A	RRI competent stakeholders and the political decision makers of the Council that decide about the implementation.
Have you contacted all the necessary stakeholders (internal and external) and involved them in the measure?	YES/ NO / N/A	Contacted and the designed concept got an approval.
Have you discussed and allocated the role of each stakeholder?	YES/ NO / N/A	Roles are clear.
Have you made agreements (formal / informal) with each stakeholders, defining their responsibilities and eventual compensation?	YES/ NO / N/A	Contract has been made in between VTT and the Council.

A.2. Technical feasibility check

Feasibility check items	Response	Comments / details:
Have you checked which facilities and equipment have been used in the original GP?	YES/ NO / N/A	We had a discussion in Ireland how the responsibility questions were included to the application.
Have you identified what kind of facilities and equipment you need according to your local context?	YES/ NO / N/A	
Have you checked if these facilities and equipment are available either within your structure or stakeholders' structures?	YES/ NO / N/A	
Have you prepared a list of facilities and equipment you need to buy or rent?	YES/ NO / N/A	
Are you aware of / have you checked the necessary procedures to buy or rent these facilities and equipment?	YES/ NO / N/A	

A.3. Financial feasibility check

Feasibility check items	Response	Comments / details:
Have you checked the provisional budget and financing plan of the GPs considered in the proposed policy improvement?	YES/ NO / N/A	
Have you prepared a provisional budget for the policy improvement (proposed implementation budget)?	YES/ NO / N/A	Implementation does not create extra costs.
If needed, have you contacted an expert to assess global costs of the policy improvement (Implementation budget)?	YES/ NO / N/A	
Have you validated the implementation budget with the transfer and implementation team?	YES/ NO / N/A	
Have you identified all possible funding sources and created a financing plan?	YES/ NO / N/A	
Have you determined cost distribution between partners and other funders?	YES/ NO / N/A	

A.4. Legal /regulatory feasibility check

Feasibility check items	Response	Comments / details:
Have you checked the laws and regulations (local / regional / national) that could affect implementation of the policy improvement in your policy context?	YES/ NO / N/A	
Have you checked if the policy improvement complies with these laws and regulations?	YES/ NO / N/A	
If needed, have you identified which adjustments have to be made to the policy improvement? Are they workable?	YES/ NO / N/A	
Have you checked if these changes lead to additional costs? What are these costs?	YES/ NO / N/A	The only costs were created due to the external expertise that VTT provided for us as an analysis. This was needed for the development phase of the action.
If applicable, have you determined who will cover these additional costs?	YES/ NO / N/A	Costs will be cover from the project budget as an external expertise.
Have you checked if changes require the involvement of stakeholders that were not originally involved in the transfer and implementation team?	YES/ NO / N/A	
Have these stakeholders been contacted and involved?	YES/ NO / N/A	

A.5. Political and socio-cultural feasibility check

Feasibility check items	Response	Comments / details:
Have you analysed the social / cultural / political context in which the policy improvement will be implemented?	YES/ NO / N/A	This context is very good for this change.
Have you identified political risks and any necessary mitigating actions?	YES/ NO / N/A	Political decision makers had to approve this change in order to implement this. Risk was low as the social context is very good for ethical discussions of AI.
Have you identified social or cultural risks and any necessary mitigating actions?	YES/ NO / N/A	
Have you met local / regional politicians to explain and validate the project, if necessary?	YES/ NO / N/A	Yes, both board of policy makers and stakeholders were met and the concept of the action was presented.
Have you planned / carried out a consultation phase with interested actors (e.g. beneficiaries, companies, local politicians, civil society representatives)?	YES/ NO / N/A	January 16th we will have an open event for the discussion.

A.6. Implementation schedule

Feasibility check items	Response	Comments / details:
Are you aware of the schedule / timing of the planning and implementation of the GPs considered in the proposed policy improvement?	YES/ NO / N/A	
Have you set deadlines for the planning of the policy improvement with the transfer and implementation team?	YES/ NO / N/A	Call is open since Dec 2018, and will close in 4th of March.

Feasibility check items	Response	Comments / details:
Have you built a schedule of implementation actions?	YES/ NO / N/A	
Have you planned meetings of the transfer and implementation team?	YES/ NO / N/A	
Have you checked if there are any political constraints to take into account in the schedule?	YES/ NO / N/A	
Have you checked if there are any other significant events that could have an impact (positive or negative) on the implementation of the policy improvement?	YES/ NO / N/A	not any

