

**Responsible Research Innovation (RRI):**

**Self Assessment Tool**

**PART A: EXPLANATORY NOTES**

**Definition:**

The term ‘Responsible Research Innovation’ (RRI) refers to a way of conducting research that takes a long-term perspective on the type of world that we want to live in. Although research produces many benefits, there may also be unintended consequences of research and innovation that are not in the wider social interest. This applies to all research disciplines, although different types of RRI considerations may apply to different areas of research.

**Purpose:**

The purpose of this document is to provide researchers with a tool to idenitfy the RRI considerations associated with their research using the **AREA framework** (Anticipate, Reflect, Engage, Act). The completed document can be used as a tool to:

* Support the development of **funding applications**, or provided as an appendix (where appropriate).
* Inform discussions in **funder panel interviews** or respond to **peer review comments**.
* Develop **case studies** for use in local training for researchers or **teaching research skills** to students.
* Support **evaluation** as part of the end of project report.
* Inform **public engagement actvities** to communicate research outcomes.
* Support **open research**: sharing learning with other researchers to inform the direction of future research.

**University expectations:**

Newcastle University is committed to responsible innovation and producing research outputs that have a positive impact on our economy and society. Researchers should therefore think about their responsibilities towards society as a form of good research practice. However, in accordance with the principles of the [UKRI Framework for RRI](https://www.ukri.org/who-we-are/epsrc/our-policies-and-standards/framework-for-responsible-innovation/), the University does not wish to be prescriptive about how RRI is embedded in the research and innovation process. Although researchers are encouraged to engage with the self-assessment process, the University recognises that this approach may not be appropriate for every research project (such as literature reviews, theoretical and small-scale studies, Undergraduate and Postgraduate Taught student projects). Completion of this form is therefore **optional**, and not linked to the internal research project approval process.

**Further information:**

Please refer to the University’s online [RRI toolkit](https://www.ncl.ac.uk/research/researchgovernance/rri/) for further information about internal and external guidance, training and support.

**PART B: SELF-ASSESSMENT**

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| **A – ANTICIPATE**Describe and analyse the impacts, intended or otherwise, that might arise from the research project. As part of this process, researchers should conduct a basic impact assessment based on what is already known. The could include the issues identified via: * An initial literature review
* Policy decisions / guidance
* Previous research projects that you have worked on
* Published Impact Case Studies
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| ***WHO / WHAT?*** | ***HOW?*** |
| **People** |  |
| **Infrastructure** |  |
| **Political / economic** |  |
| **Environment** |  |

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| **R – REFLECT**Reflect on the purposes of, motivations for and potential implications, together with the associated uncertainties, areas of ignorance, assumptions, questions and dilemmas. As part of this process, researchers should think about both: * **Partnership(s):** in accordance with the [Due Diligence Framework on External University Activity](https://www.ncl.ac.uk/media/wwwnclacuk/research/files/Due%20Diligence%20Framework%20for%20External%20University%20Activity.pdf), colleagues should consider the potential ethical / reputational risks associated with the proposed partnership. For further support please contact res.policy@ncl.ac.uk.
* **Activity:** does the initial impact assessment raise any further questions / dilemmas for the project team?
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| ***LEVEL*** | ***ADDITIONAL CONSIDERATIONS*** |
| **Partnership**  |  |
| **Activity**  |  |

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| **E – ENGAGE**Ideally, researchers should explore these issues further through dialogue with external stakeholders such as:* Patients
* Community groups
* Local, national and international networks

In addition to the Equality, Diversity and Inclusion (EDI) [Toolkit for Researchers](https://www.ncl.ac.uk/research/culture/edi-toolkit/), the University’s [EDI Team](https://www.ncl.ac.uk/who-we-are/equality/) can offer advice on the potential impact of research and innovation activities on minoritized groups.  |
| *Summary of discussions / findings.* |

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| **A – ACT**How will the research team embed the lessons learned within the research design and proposed commercialisation route?  |
| *Summary of actions.* |

**Completed by:**

**Date:**