

NEW HORIZON

D7.3 NewHoRRizon Social Lab Manual – Final Version

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1 Scope of this manual

This manual guided the Social Lab team over three years through the three learning cycles of the 19 Social Labs of the NewHoRRizon project. It was conceptualized as a living document with two updates. The final version of this manual provides information about the methodology of Social Labs as well as examples how to apply the Social Lab in the specific context of NewHoRRizon. The initial manual is based on the Description of Action of the NewHoRRizon project and was further developed in a continuous co-creation process, starting with a “Social Lab Design Workshop” in November, 2017 in Vienna and the First Cross Sectional Workshop at Reichenau (Austria) in October 2018. Moreover, it includes the reflection of the Second online Cross-Sectional Workshop in October 2020 (see D.7.4).

The document starts with a short invitation to the journey of a Social Lab, sketches thereafter some of the challenges of RRI. It continues with explaining the Social Lab and some of its key terms, and provides an overview on the Social Lab process (diagnosis, setting up, labbing), roles and tasks (participants, manager, facilitator, researcher, work package leader) as well as phases of the Social Lab. The Annex provides Literature, sample letters for invitations, generic Social Lab designs, minutes of the Social Lab Design Workshop in 2017 as well evaluation templates (Moment I, II, III, IV, V, VI).

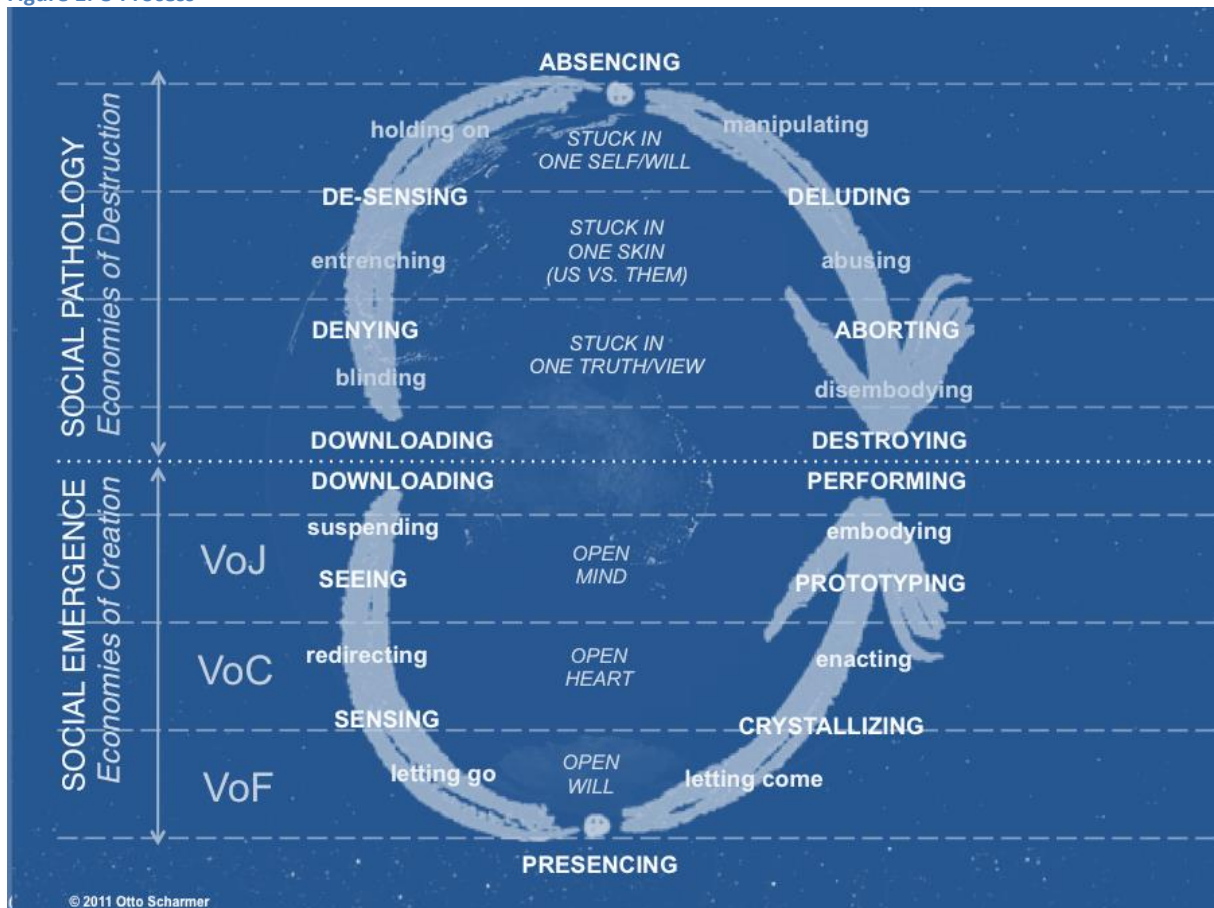
2 As a starting point of our journey ...

The social lab idea originates from Zaid Hassan’s inspiring book “The Social Labs Revolution” (2014). He quotes H.L. Mencken, an influential American journalist and social theorist from the early decades of the last century, as having said: “For every complex problem, there is an answer that is clear, simple, and wrong” (ibid. 17.). The NewHoRRizon consortium adapted Hassan’s approach and further developed it for its 19 Social Labs (see Timmermans et al. 2020). This Deliverable is a practical guidance how the Consortium organized the Social Lab process.

Social labs are about passionate ideas! In order to be successful in assisting the uptake of Responsible Research and Innovation (RRI) in EU funding (H2020 and beyond) we need to do our best, to engage not only intellectually and academically, but emotionally as well.

We must truly understand the U-process or the idea of presencing (see below): that we must engage with mind, heart and action; that we need to understand the fact that we are also part of the system we want to change (<https://www.presencing.com/principles>). There is nothing – us included – that is outside the system we are about to disrupt with our social labs.

Figure 1: U Process



(Source: <https://www.presencing.com/principles>)

When selecting social challenges, cases and people for the social labs it’s “all in”: this must be our best shot; the wellbeing of future worlds weighs on our shoulders.

Before reading on, you need to ask yourself:

- What am I passionate about?
- How can I translate my passion into what we do in a social lab?
- What is the social issue I really care about?
- If I had only one shot what would I really try to change?
- How does this apply to my social lab?

In NewHoRRizon we were assisting the uptake of Responsible Research and Innovation (RRI) in EU funding (H2020 and beyond) by engaging not only intellectually and academically, but emotionally as well. We focus on solutions that are not neat (e.g.: complex and controversial) and barely plausible (e.g. cutting edge, frontier, unpredictable and disruptive). And they may still be wrong. Failure is part of our remit.

3 Before we commence: Some challenges of implementing RRI

RRI faces many challenges. A main obstacle for implementing RRI¹ is the established separation in research and innovation (R&I) between natural sciences, engineering, and social sciences/humanities. Another tough obstacle will be making businesses (SMEs, start-up, venture capital) and RRI principles work together. Moreover, a gap exists between R&I communities and society in general and R&I and particular “publics” as they arise from various technological controversies (such as nuclear waste, genetic modification, cyber security etc.). In addition, there is separation between entities (e.g. European and national funding organizations) and fragmentation within the organizations themselves (e.g. between different departments responsible for different H2020 programmes or different areas of innovation). In addition, there is a significant difference in RRI in basic research, applied research and innovation process in commercial sphere.² As a consequence, the potential of RRI today is not fully realized, utilized and consolidated.

NewHoRRizon provides opportunities to overcome these different kinds of separation: The social labs will apply collaborative as well as participatory and interactive approaches to generate exchange, engagement and commitment to RRI.

Commitment of Social Lab participants can only be achieved through clearly defined and attractive incentives for participation. Explaining them clearly to potential participants is paramount in recruitment and maintaining commitment.

Face-to-face events such as workshops and cross-sectional workshops will account for spaces – hybrid forums, in the words of Michel Callon et al. (2009) – for personal encounters, networking, and learning platforms for stakeholders and other actors who would not meet otherwise.

NewHoRRizon starts from state of the art of RRI and includes existing knowledge, experience, and practices of RRI. NewHoRRizon recognizes and thoroughly utilizes existing research on experience with RRI activities, tools and forms of training.

¹ This section draws heavily on the results of the country monitoring (RRI Trends) within the Res-AGorA project: <https://rritrends.res-agera.eu/> (31.07.2017).

² Krakauer (2004) suggests not differentiating between basic and applied research but between research, invention and innovation. We therefore have to keep in mind that RR and RI are interdependent yet distinct processes with distinct outcomes and distinct success criterions because.

4 Social Lab

Social Labs were the main instruments of our project.

4.1 What is a Social Lab?

A Social Lab is a container of social experiments for addressing complex ground-breaking social challenges on a systemic level. In the NewHoRRizon project these are social challenges related to Responsible Research and Innovation (RRI) within the frame of Horizon 2020 (H2020) and beyond (Framework Programme 9 and national R&I funding programmes).

Social labs address complex social challenges that require a transformative approach such as social design and imaginaries; institutions; business models and value chain heuristics; regulatory and policy practices as well as stakeholder identities, attitudes and behaviour. In **Social labs the issue at hand is to be approached by all stakeholders in concert negotiating their stakes as well as positions, engagement and impact.** The group of societal actors involved and engaged in the social lab may change over time depending on the process, the issue at hand and the solutions proposed. The social lab process thus reflects not only on the specific **social** challenge, the issue and social experiment, but also on the actors involved, their stakes and positions as well as the impacts they endure and the impact they provide. During the life of a social lab, different stakeholders may become relevant in addressing the social challenge.

The NewHoRRizon project organized 19 Social Labs. Each Social Lab focused on a different theme of H2020, for example, Future and Emerging Technologies (FET), Leadership in Enabling and Industrial Technologies (LEIT) and Smart, green, and integrated transport (TPT).

Social Labs consist of a **team**, a **process** and **space(s)** supporting social innovation and experimentation. The team is made up of societal actors invited into the Social Lab to work together on the Social Lab process. The process consists of three interdependent, iterative activities:

- Diagnosis of the current RRI practices with H2020. This results in an understanding of barriers and enablers of embedding of RRI.
- designing & implementing of social experiments to test overcoming the barriers
- Reflect on the outcomes of the experiments & to learn lessons for further experimenting and future embedding of RRI into R&I policies & funding programmes.

Social Labs offer spaces that facilitate this process. They enable diagnosis, observation and experimentation to take place at the same time and as part of the same intertwined process.

4.2 What is the objective of a Social Lab

The objectives of the Social Lab process are as follows:

- To create a “**team**” that represents the diversity of the program line as well as the RRI challenge at hand (e.g. an ensemble of **stakeholders**; researchers; experts in relevant fields).
- To create a specific Social Lab “**process**” beyond the standard Social Lab process described in this document (workshop methods; modes of reflection; channels and modes of cooperation)
- To create appropriate “**spaces**” (i.e. Social Labs) in which the selected and diverse participants are empowered, engaged to design interventions and address the complexity of the issue at hand. Therefore, workshops should not necessary be at an artificial location (seminar rooms,

hotels etc.) but can, perhaps are advised to be taking place at “real spaces” visiting stakeholder/project venues, onsite visits etc.;

- To define a “social challenge”, frame it in specific terms to the program line the Social Lab is addressing.
- To define a “case” based on a social challenge.
- To take “sponsors” on board who will see through a social experiment.
- To diagnose the barriers and obstacles (“the problem”) why RRI is not properly addressed in the “case(s)”.
- To develop and design “social experiments”: case interventions that may change the course of action to assist “institutional change” on the case level to properly address the RRI challenge defined (social experiment design is not only a verbal exercise; use artefacts, objects, design tools to create your experiment).
- To reflect on the process: what were the key characteristics of the barriers and hindrances of the case re: RRI challenge; what were the “meanings” that instigated change via the intervention; how could these be encapsulated in storylines;
- To develop narratives and storylines about the cases, interventions, successes and failures: look for “transformative stressors” that may trigger institutional transformation; look for basic overarching meaning-producing narratives while assessing cases and reflecting on social experiments.

4.3 Why did we select this approach?

The strength of the approach consists in its ability to bring together different actors, their knowledge, and expertise and apply it to solve complex problems. This method allows different solutions to be tested, with results shared and discussed in such a way that barriers and problems can be overcome collectively. Social Labs also facilitate the sharing of experiences and lessons learned. Throughout the life of Social Lab mutual trust among Social Lab participants is cultivated as well as a serious commitment to the cause at hand.

To create storylines and narratives we have to keep in mind that complex problems tend to be dynamic in nature. Here Social Labs provide a **socially based, experimental, and systematic** approach to solve them.

- The **social** element means that not only scientists, but also various individuals who are involved in the problem and will be affected by the solutions are included.
- The **experimental** element allows trial and error, and the use of a portfolio of tools and solutions to solve these complex problems. It concerns a “laboratory” in which experiments take place in a supportive and stable environment (either in the lab or in field experiments).
- The **systematic** element highlights the level upon which the lab aims to solve issues, i.e. the root causes of problems (Hassan 2014).

4.4 What do we mean when we talk about Social Labs?

A social lab is a container of social experiments for addressing complex social challenges with **a team, a process and space(s)** supporting social innovation and experimentation on a system level.

The primary goal of social labs is to focus on complex ground-breaking issues, **in the case of our project social challenges that are related to RRI in the frame of Horizon 2020 and beyond (FP 9 and also national R&I funding)**. In social labs a diverse ensemble of stakeholder work on complex social issues that are (1) emergent, (2) information is to be shared and negotiated and (3) actors are constantly adapting their behaviour (Hassan 2014).³

In NewHoRRizon, Social labs are spaces to offer diagnosis, observation and intervention/experimentation at the same time and as part of the same intertwined process. Societal actors invited to the social lab work together on a diagnosis of current practices; establish the barriers and opportunities related to the social challenge at hand; offer ideas for social experiments to overcome them and reflect on the outcomes of those experiments to draw conclusions. Social labs, in our case, aim at conclusions that are to be narrated: not statistically valid datasets of experiments, but storylines that are to be told and retold and capture both the complexity and the societal nature of the issue at hand and aim at changing institutional practices.

4.5 What do we mean when we say social labs are social?

Social Labs are social because they address complex social challenges that are not to be solved by a technological fix approach; these challenges require a transformative approach to socio-operational patterns; social design and imaginaries; institutions; business models and value chain heuristics; regulatory and policy practices as well as stakeholder identities, attitudes and behavior. **Social Labs are social in as much as the issue at hand is to be approached by all stakeholders in concert negotiating their stakes as well as positions, engagement and impact.** The group of societal actors involved and engaged in the Social Lab may change over time depending on the process, the issue at hand and the solutions proposed. The Social Lab process thus reflects not only on the specific **social** challenge, the issue and social experiment, but also on the actors involved, their stakes and positions as well as the impacts they endure and the impact they provide. During the life of a Social Lab, different stakeholders may become relevant in addressing the social challenge. In summary, Social Labs are social because they address a complex social challenge by setting up a complex process of involving social actors.

4.6 What do we mean when we talk about stakeholders?

Stakeholders are societal actors that have an impact on the R&I process at hand or are impacted by the same process. They are stakeholders in as much as they have a stake in the process: a legitimate interest, a valuable resource, a risk to tackle or the combination thereof. Stakeholders need to be aware of their stake(s) as well as their (societal) interests stemming from these stakes. During the process stakes may change as well as the relevance and importance of such stakes and their “holders”. The Social Lab process is also a negotiation and mediation process of such stakes and the claims arising of such stakes and the (constantly changing) hierarchies they may involve.

Another definition NewHoRRlzon could learn from comes from community development work/studies, e.g., a general definition of community is “a group of people with diverse characteristics who are linked by social ties, share common perspectives, and engage in joint action in geographical locations or settings.” (MacQueen et al. 2001) Beyond physical or geographical place, when it comes to environmental or political issues, it’s common to talk about “affected communities.” In this context “affected communities” may include:

- politically defined entities, such as local host municipalities, counties, and states in which a site is located, as well as abutting municipalities, counties, and states
- social groups, including neighborhoods
- interest groups, forged around a common set of values, fears, or experiences, regardless of location

4.7 What do we mean when we say Social Labs are labs?

Social labs create (an) innovation environment(s) or **spaces** – a “room“, a “lab“, a “hybrid forum” (Callon et al. 2009) – in which stakeholders meet, discuss, team up and reflect); where stakeholders form a partnership (e.g. team) of enterprises, users, local communities, public agencies and research organizations; a collaboration within a social lab is established in order to engage societal actors in a process of creating, prototyping and applying new modes of operation (e.g. forms of cooperation; governance structures; products or services) in real-life environments.

4.8 What do we mean when we talk about social experiments?

A social experiment is an intervention that is co-designed on the level of the social lab and tested in the different “cases” that are part of the social lab. The aim of the interventions is to accelerate the process that is taking place within the cases. Social experiments change or influence the dynamics of cases; they are interventions that create openings changing the flow of information; patterns of operation; structure of governance or the societal actors involved. They may propose the addition of new elements to the existing process or change the course of action in more radical ways. The social experiments are built around a consensus of the participants and also a non-coercive acceptance of the role of case representative or sponsor⁴. In the course of this project social experiments will revolve around the idea of RRI (as represented by the “keys” and the “three O’s”). In the context of NewHoRRlzon social experiments or interventions are called pilots⁵ which are tested in the organization of the sponsor.

⁴ In the course of the NewHoRRlzon different Social Labs started to use different but synonymous names to designate the role of a sponsor such as pilot action host or driver.

⁵ In the course of the NewHoRRlzon different Social Labs started to use different but synonymous names to designate pilots such pilot actions or pilot activities. They designate the same meaning.

4.9 What do we mean when we talk about failure in a Social Lab?

Social experiments are interventions that enter into unexplored territory. They aim to instigate change and generate new knowledge and learning. However, the ideas that social lab participants may come up with do not always work. Actually, in most of the cases they do not for a number of reasons. Therefore, social experiments should be designed in a way venture capitalist spread their bets. They are aware that most of their investments will fail and only a very few start-up companies will survive and even fewer will be disruptive. However, the power of innovation rests on this ability to fail. Social lab experiments should affect big not small change. Therefore, ideas should be bold, risky and unconventional. What sometimes may feel useless and unviable may gradually turn out to be significant urban innovation – a cultural image to encapsulating the essence of a construction such as the Eiffel tower.

4.10 What do we mean when we talk about teams in a Social Lab?

At the social lab level, a panel is created which represents the diversity of the challenge at stake. Furthermore, it is inherent of the set-up of the social lab that the members of a social lab combine theory, technology and practical or embodied knowledge of all actors involved, not just experts and researchers. To incorporate the practical or embodied knowledge it is important that the social lab panel reflects the diversity of the challenge at hand. The members of a social lab are recruited from the cases and complemented with experts and researchers to initiate and set-up the social experiments (i.e. pilot actions).

4.11 What do we mean when we talk about storylines?

Storylines are narratives that influence institutional transformation by discursively framing specific issues. The frames establish specific meanings as compelling to institutional actors. Particular storylines can strongly condition institutional transformation by attaching meaning to circumstances and allowing institutional actors to conceptualize or re-conceptualize both general and specific facets of particular change imperatives. An example of a storyline is (in the case of climate change in the early 2000s in Australia): “mitigation should be the principal planning response to climate change stresses” (cf. Matthews 2015).

Storylines contain what are called transformative stressors: “chronic large-scale phenomena which trigger a process of institutional transformation whereby institutions seek to re-orientate, reorganize, and restructure their activities in order to better manage the social, economic, and environmental impacts created by the transformative dynamic” (Matthews 2015). There are three key issues that characterize “transformative stressors”: (1) the stressor must be chronic, meaning that it must present a combination of social, environmental and economic impacts that are acute, severe and intense; (2) they must be multiscale, occurring at global, transnational, national, regional and, in limited circumstances, local spatial scales; (3) the temporal impact of transformative stressors is generally expected to occur in the medium to long term (for details see Loeber and Cohen 2019)).

4.12 What do we mean when we talk about diagnosis?

“Each Social Labs will start with an ‘RRI diagnosis’ for its specific part of H2020 (programme, instrument, or initiative of H2020). Diagnosis will cover RRI relevant issues of the specific scientific-technological areas addressed in the programme line, institutions and processes of R&I, including relevant societal aspects. The Social Labs will identify barriers for RRI as well as critical issues. The participants will exchange their expectations about and experiences with (including barriers) as well

as successful strategies to achieve RRI. This diagnosis will also build on results of past or current RRI projects funded by the European Commission within FP7 and H2020” (European Commission 2017: Part B 13).

“The objective of identifying relevant participants is inseparable from starting to analyse the specifics of the current use and practices of RRI within the respective programme line. Together with the analysis of expert interviews, text and data analysis they will also provide a first and preliminary diagnosis of the current usage of RRI in the respective programme line. Work in Social Labs starts with Subtask 1.3 of the WPs. This process would commence with the final recruitment of 15 to 25 Social Lab participants. In order to deepen the preliminary diagnosis of RRI uptake in a specific programme line before the first workshop, the Social Lab manager will carry out an online survey among Social Lab participants about their experiences with the programme line and RRI. The Social Lab manager will present the results at the first workshop” (European Commission 2017: Part B 16).

4.13 What do we mean when we talk about pilot actions?

In this project the terms pilots, pilot actions experiment and interventions are used interchangeably.

“Based on the diagnosis, the Social Labs will design, test, reflect, adapt and implement tailor-made pilot actions and activities, which address the critical issues of RRI in a programme line identified in the diagnosis. The objective of the pilot activities is to achieve RRI in the specific disciplinary, institutional, and technological areas as well as societal challenges addressed by the respective part of H2020. They will be concrete, specific and applicable because they address a certain H2020 programme line and have been developed by an appropriately diverse group of concerned and experienced practitioners and stakeholders of R&I. For the same reason they will also be sensitive to the particularities of R&I, the needs and processes of different stakeholders (universities, non-university research institutes, industry, CSOs, the public(s), research funding organisations, policy-makers, etc.) as well as different disciplines and technological areas. The Social Labs and the pilot actions and activities developed therein will help to create awareness for RRI and familiarise key stakeholders of the H2020 community with RRI. Ultimately, they will contribute to the development of R&I projects in H2020 and beyond that fully recognise RRI” (European Commission 2017: Part B 13ff.).

In each Social Lab “2 to 3 pilot activities” are planned “that promote the use of RRI within the respective part of H2020” (European Commission 2017: Part B 16). “The pilot actions and activities will be tested and implemented in the sponsors’ organisations.” (European Commission 2017: Part B 16).

4.14 What type of pilot actions take place within a Social Lab?

The 1st Cross Sectional Workshop (First CSW 2018: 18 ff., see also D7.4) showed that the Social Labs are developing a large variety of different pilots. Pilots focused on:

- Workshops (10)
- Trainings (9)
- Dissemination and Awareness (9)
- Analysis and Assessment Tools (8)
- Institutional Change (in one specific institution, 7)
- Case studies (3)

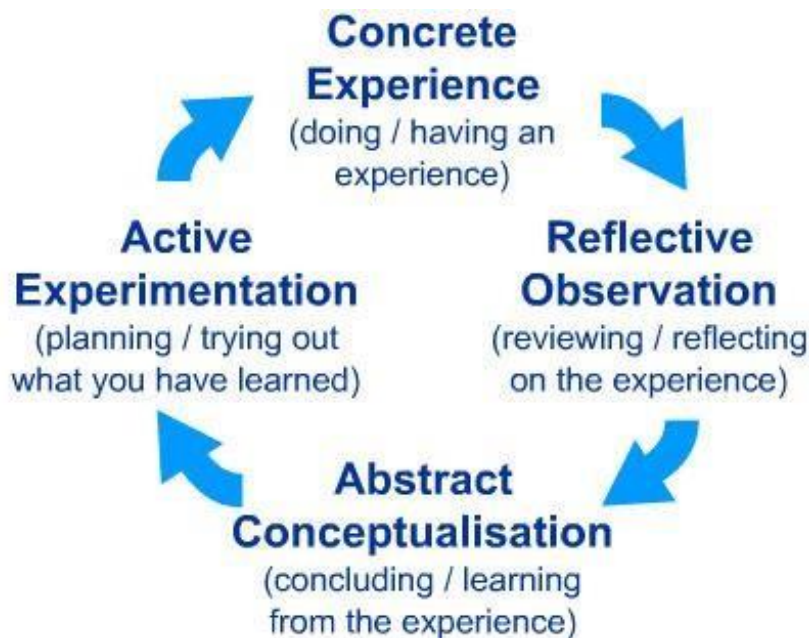
4.15 How will pilot actions be coordinated across Social Labs?

During the Cross-sectional Workshops the issue of synergies between Social Labs and pilots were discussed and synergies exploited. Pilot actives were clustered and pilot actions in the area of training were discussed in an open space (see D7.4).

4.16 What do we mean when we talk about experiential learning?

Experiential learning will be central for NewHoRRizon. Experiential learning is a process of learning through experience, and is more specifically defined as “learning through reflection on doing”. WP2, WP3, WP4, WP5, and WP7 are conceptually based on Kolb’s model of the experiential learning cycle (see Figure 2).

Figure 2: Kolb’s model of the experiential learning cycle



(Source: Moon 2004)

4.17 What are learning cycles?

“Testing, analysing, and adapting training tools are at the core of the experiential learning cycles of the Social Labs” (European Commission 2017: Part B9).

4.18 Why are there several learning cycles in a social lab?

“The series of experiential learning cycles is geared towards concrete actions and activities. These will be assessed and adapted. Analysis within the evaluation phase might not only lead to the adaptation of actions but also to the creation of new ones (WP2-5)” (European Commission 2017: Part B9).

4.19 How do we understand RRI in NewHoRRizon?

“The EC has (...) articulated RRI in terms of several key areas (Public Engagement, Gender Equality, Science Literacy and Science Education, Open Access, Ethics and Governance). NewHoRRizon will initially focus its work on these key areas of RRI as defined by the EC. However, NewHoRRizon will not limit itself, but will be open to new issues of RRI as they emerge from stakeholders during the project. In that way, it will be also guided by the qualities of RRI defined by Wickson and Carew (2014), Stilgoe et al. (2013), and von Schomberg (2013). Finally, it is fundamental to the concept of NewHoRRizon to apply the very principles and core characteristics of RRI as defined by these authors in its own processes of developing actions and activities that promote the utilisation of RRI in NewHoRRizon” (European Commission 2017: Part B10).

5 Overview Social Lab process

A Social Lab is a configuration of dialogue processes, social experiments and reflection on (local) pilots. Social labs are the main instrument of NewHoRRizon. They provide a **socially based, experimental, and systematic** approach to solve social problems.

- The **social** element means that not only scientists, but also various individuals who are involved in the problem and will be affected by the solutions are included.
- The **experimental** element allows trial and error, and the use of a portfolio of tools and solutions to solve these complex problems. It concerns a “*laboratory*” in which experiments take place in a supportive and stable environment (either in the lab or in field experiments).
- The **systematic** element highlights the level upon which the lab aims to solve issues, i.e. the root causes of problems (Hassan 2014).

The strength of the approach consists in its ability to bring together different actors, their knowledge, and expertise and apply it to solve complex problems. This method allows different solutions to be tested, with results shared and discussed in such a way that barriers and problems can be overcome collectively. Social labs also facilitate the sharing of experiences and lessons learned. Throughout the life of social lab mutual trust among social lab participants is cultivated as well as a serious commitment to the cause at hand.

5.1 Getting started

- As social lab manager, get familiar with your programme line. Read relevant documents, work program description, calls, scoping papers and look at successful projects.
- Create a list of relevant stakeholders that may assist in identifying cases, social lab participants and also help set the baseline for the social lab that will be further explored in the diagnosis phase.

5.2 Diagnosis

- Establish a preliminary panel of experts, scientists and some other key stakeholders. These actors are going to identify relevant cases for this social lab.
- Diagnosis is based on desk-top research, interviews (guidelines for interviews); databases deliver a diagnosis of RRI uptake in the programme line. This should target specifically the social challenge and how state-of-the art RRI applied assists in addressing the challenge at hand. The diagnosis should also reflect on the barriers and hindrances of RRI.
- Do a set of interviews with relevant stakeholders to get an idea of the programme-line, the challenges at hand, the approaches applied, the underlying principles of research, the goals and ideas that guide calls and outcomes; expected impacts and spill overs. Look for social challenges addressed; openings created for intervention on program, call or project level; learn about issues related to RRI, focus on RRI keys and three O's but go beyond and try to connect social challenges, research issues, processes and practices of RRI and RRI prospects.

5.3 Set up a scene for the Social Lab

- Select and invite a core team of stakeholders.
- Identify/create cases. Cases are connected to the challenge at hand and operate on a meso level: they are cross-cutting issues put together as assemblages of “projects” and “calls” within a program line.
- Establish an extended social lab panel that consists of representatives of all cases (and of all groups affected in the cases) and reflects all stakeholder groups affected by the challenge.
- Strategic thinking:
 - Do what Kahneman calls a “pre-mortem” (Kahneman 2011; also, Klein 2007): run ahead to the end of the Lab (in three years), think of what can go wrong and why your Lab could fail and then work through what can go wrong and what you need to do to avoid it;
 - Do a “success plan”: define as exactly as you can what constitutes success (in one sentence) and use that as “strategic intent” in all your steps along the life-time of the lab.

5.4 Start the lab

- The social lab creates a common ground – negotiating about a shared view of RRI and the challenge at stake (shared problem definition) and specifying the research question that is central in the social lab (shared goal of the social lab). The research question entails for instance the identification of the enablers and barriers of working on social challenges, the development of successful strategies etc.
- The social lab defines a baseline study approach which has to be done in each case, using a case-study design. This baseline must be considered as the starting point for the social experiments.
- The social lab has to analyse the baseline of all cases within the social lab.
- Definition and development of social experiments (pilots) which will take place in the cases. Social experiments or interventions are developed to accelerate the process within the cases. The social

experiments are the same for each case and therefore should be developed in close cooperation with the cases.

- Members of the social lab, together with stakeholders in the different cases are going to do the social experiments. Social lab managers and assistants as well as researchers from WP8 are going to collect data on a systematic way with predetermined methods.
- The social lab analyses the outcomes of the experiments and reflects their experiences within each case and across cases.
- For the second time a baseline is defined and compared with the first baseline measurement.
- The social lab is going to draw conclusions about the enablers and barriers to work on social Getting started/diagnosis

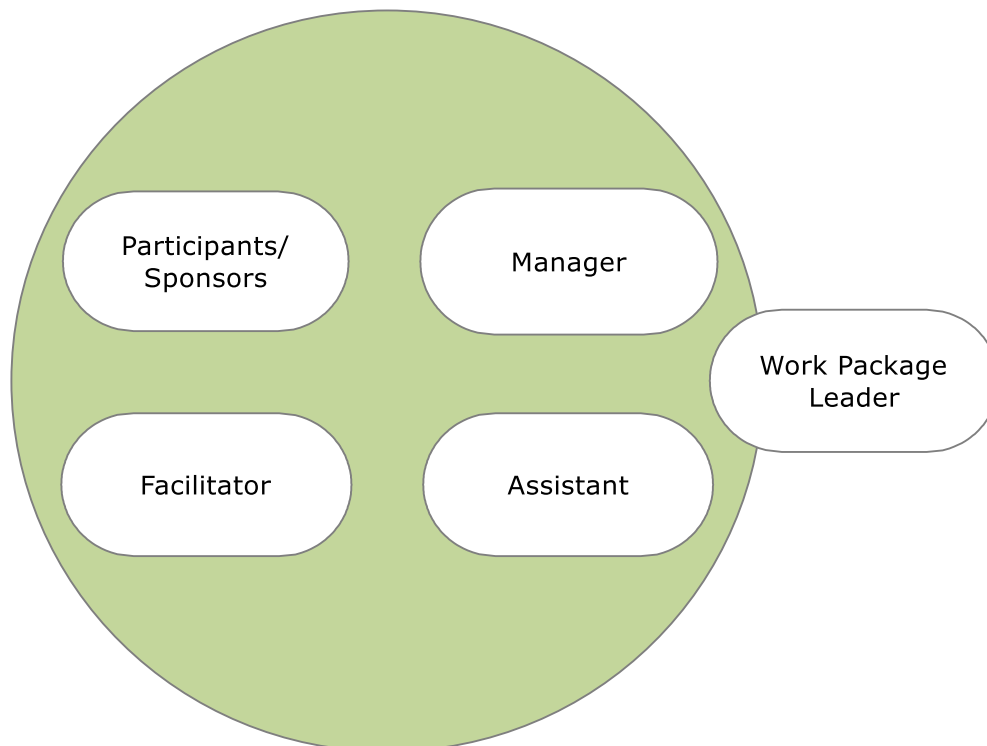
5.5 Sharing and Cross-Fertilizing

ZSI in cooperation with IHS developed an agenda for the 1st Cross Sectional Workshop (1st CSW 2018: 1) which used primarily interactive methods for sharing experiences and cross fertilization. Generating and exploiting synergies of different pilots was one of the central issues of this workshop. The second Cross-Sectional Workshop scheduled for March 2020 had to be canceled last minute because of the imminent Covid 19 pandemic and was organized as online meeting in October 2020 (see D7.4).

6 Roles and tasks

For a NewHoRRizon social lab different roles have to be filled.

Figure 3: Roles within a social lab



6.1 Participants and sponsors/hosts/drivers

NewHorizon **social lab participants come from different stakeholder groups** from different parts of Horizon2020 and beyond, e.g., project coordinators, and participants as well as representatives of key institutions. **Sponsors are participants** who take up the role of being part of a “pilot” and manage the implementation of a specific social experiment (pilot). They will oversee the development of a “prototype” intervention, take it to the field and implement the experiment in the case (project, call or program level) and take care of appropriate feedback to the team and the social lab in general. Sponsors are core social lab team members.

Table 1 - Examples for Stakeholder Groups

Stakeholder Group	Examples	Specific “stake”	Relevance to program line
Academia/Research	Researchers, administrators, Big business; SME; Fablab/ maker spaces, innovation managers, R&D experts as well as early adopters		
Industry/Business	EC, national organizations, policy makers, research funding		
Governance	Sustainability; Human rights		
CSO			
Lay people	Consultant; Project evaluator; Adviser, experts on ethics; Gender, open access, science education, public engagement, ...		
Experts	Educator; Museum; Science communication etc.		
Education			

6.2 Manager

In each social lab a consortium member has appointed social lab manager. He/she is and responsible for:

- setting up, managing and maintaining the social labs during its lifetime;
- stimulating discussions;
- ensuring that work in the social lab and its sub-labs is carried out effectively and efficiently.

The role of a social lab manager is vital for the success of each social lab. S/he not only coordinates the social lab, but is also the main responsible person for all processes. Social lab managers must be acquainted with the concept of RRI as well as their respective program line of H2020. Furthermore, organizational and communication skills are required, as well as project management skills.

6.2.1 Diagnosis

As a Social Lab manager, you have to familiarize yourself with the program-line.

- You will need to read the relevant documents.
- You will have to get familiar with any other document you find informative (Ph.D. /MA dissertation; briefs; policy documents; journal articles, books etc.)
- You may get familiar with some of the public findings of recent RRI oriented H2020 projects.
- You will need to have an initial list of specialist stakeholders who will help you with the interviews during diagnosis.

- You will need to use an interview guideline. The guideline needs to apply across Social Labs to guarantee consistency and comparability of results. However, additional program-line relevant questions may be added.
- You will have to create several lists of people you will contact during the Social Lab process.

6.2.2 Setting up the Social Lab

- You will have to have a list of participants/stakeholders to include in your Social Lab.
- You will have a core team of people (approx. 5 to 8) who will be with you throughout the lifetime of the Social Lab.
- You will have a wider team of people (approx. 15) who will be members of your Social Lab and may be participating in some or all events.

6.2.3 Running the lab

- You will run workshops, meetings, fora where Social Lab participants may be able to address the main questions, ideate, prototype interventions, reflect on experimenting and data, learn from the experiments and operate the learning cycles;
- You will communicate with key stakeholders, keep them engaged, answer to their questions and needs (see also 5.3);
- Work closely with and offer guidance to “sponsors” who are responsible for implementing experiments (pilots) in “cases”;
- Invite and engage new stakeholders as participants whenever needed;
- Communicate with other Social Lab managers and your WP leader;
- Assist dissemination efforts to help the uptake of RRI during project lifetime;
- Guarantee timely delivery of Social Lab outputs.
- See also 6.4.
- Your role will be further elaborated during the lifetime of the project in updates of this manual.

6.3 Facilitator

Workshops are one way of working in social labs. Workshops need planning and facilitation, which is the task of the facilitator. Facilitators must be acquainted with R&I processes, experiential learning and co-creative group processes. Furthermore, they need specific facilitation skills like listening, positive accepting, process interventions and dealing with resistance. Together with the social lab managers, facilitator plan social lab workshops. Naturally, the manager will include in this task also the participants, particularly the sponsors.

Social lab manager and facilitator have different roles: The social lab manager is responsible for managing the content of the social lab, the facilitator for managing workshop within the overall context of the social lab. Therefore, facilitator and social lab manager cannot be the same person.

Social lab Design Workshop (formerly known as train the trainer workshop) as part of Task 1.2 (WP1) took place on November 8th/9th 2017 (see Annex 10.4.). Facilitator received a specific training during this workshop. Social lab managers participated as well at this event. The event was facilitated by Christoph Mandl.

The roles of facilitators and Social Lab Managers have been discussed at the 1st Cross-Sectional Workshop. The following issues have been raised (see D7.4).

- How to make sure that everyone gets heard?
- How to support the emergence of pilot ideas as Social Lab Manager?
- Is there room for alternative narratives to evolve?
- How to avoid biasing group opinions and results?
- How to convince people that they have agency?
- How to motivate participants towards commitment and engagement?
- How to change the mind-set of people?
- Is there a difference between how the Manager and the Facilitator are involved?

For details see D7.4.

6.4 Researcher/assistant

Social lab researchers⁶ are responsible for supporting the social lab, particularly the workshops. Therefore, they need organizational skills, as well as being able to absorb much information within a short period of time. One of their responsibilities is keeping of minutes for any further analysis. As a social lab researcher your tasks will be:

- To support the social lab manager during the entire social lab process (including, e.g., diagnosis, reflection)
- During workshops
 - You will take care that all material needed for the facilitator and social lab manager and the participants is available and ready to use.
 - You will distribute required materials (stationery, questionnaires, etc.)
 - You will take minutes and pictures. You will make sure that recording devices are available and working and turn them on as soon as the workshop starts and participants agreed on being recorded (informed consent forms have been signed). You will make sure that your minutes are complete, informative, to the point and comprehensive. You will try to follow every participant's argumentation.
 - You will lead groups to other rooms, if needed.
 - You are responsible that refreshments are ready for participants and staff.
 - You will take care of the documentation for reporting (see Section G) and attendance.
 - You will assist participants when they arrive, during breaks and lunch, and when they leave;

⁶ In some Social Labs they were called social lab assistant.

6.5 Work Package leaders

As a work package leader, you are not part of the Social Lab, but will liaise between the Social Labs of your WPs.

- As WP leaders of WP2, WP3, WP4 and WP5 you will be responsible for supporting the individual Social Labs in your WP.
- You will ensure proper communication and coordination between the Social Labs.
- You will take up issues – in terms of content and process – arising from the Social Labs that are of general interest.
- You are responsible for coordinating the Social Labs within one H2020 section.
- You will synthesize reports from individual Social Labs of your WP to a final report covering their H2020 section” (European Commission 2017: Part B 14).

7 Getting started/Diagnosis

As Social Lab manager, you have to get familiar with your program line. This is the task of the diagnosis phase. In order to achieve this goal, you have to study relevant documents, work program description, calls, scoping papers and look at relevant projects. Diagnosis and recruitment of participants for Social Lab are inseparable activities. Therefore, the objective of the diagnosis phase is twofold:

- to get to know your program line and to get a first understanding of the state of RRI therein;
- to start to identify stakeholders which can be recruited for the Social Labs.

Your diagnosis will be based on desk-top research, interviews with experts and stakeholders and analysis of the CORDIS database (which is to be carried out together with University Leiden).

As you will collect personal data pay attention to data protection by using the informed consent sheet. In May 2018 the General Data Protection Regulation (GDPR) entered into force.

7.1 Guiding Questions

The following table provides the guiding questions you will have to address in all steps of your diagnosis.

Table 2 - Guiding questions for diagnosis

Objective of the question	Guiding Questions
Get to know the program	<ul style="list-style-type: none"> • What is your program about? • What are the goals of your program? • What is the size and structure of your program in terms of budget, applications and projects?
Identify relevant stakeholders	<ul style="list-style-type: none"> • Who are relevant applicants/actors/stakeholders?
Get a picture of the current situation of RRI in the program	<ul style="list-style-type: none"> • What is the current status of RRI and how is RRI dealt with in your program? • How do the individual's interviewees think about RRI? • Are the keys of RRI covered by other terms than RRI? • Are there other concepts used than the keys and three O's and/or additional keys applied? • What are the main challenges for RRI in your program? Why? • Are there already particular solutions your Social Lab can build on?
Get first preliminary story lines	<ul style="list-style-type: none"> • What might be possible futures if RRI would be fully integrated in the program line? • Are there already good stories and practices of RRI in the respective program line? • What would be the elements of the program line

7.2 Step 1: Desk top research

You will start your diagnosis by addressing the above-mentioned guiding questions in desk-top research. In order to get to know your program line and the relevant stakeholders you will have to study, e.g., the following documents:

- Short description of the program in Grant Agreement of WP 2 to 5;
- Work programs; (e.g. <https://ec.europa.eu/programmes/horizon2020/>; 18.07.2017).
- Calls of your program line
- H2020 statistics <http://ec.europa.eu/research/index.cfm?pg=factsandfigures&lg=en>, 18.07.2017).
- H2020 evaluations (https://ec.europa.eu/research/evaluations/index_en.cfm?pg=h2020evaluation, 18.07.2017).
- Secondary literature describing your program (e.g., books, Ph.D. theses)
- “Relevant national funding programmes to identify instructive RRI examples, and especially industrial actors involved in RRI” (European Commission 2017: Part B 8).

Please keep in mind that the provided links and literature is indicative and not exhaustive. You will have to find more literature and data which is relevant for your specific program line.

- In order to diagnose the state of RRI in your program line you will have to ask yourself:
- Is RRI mentioned in the work programs and calls?
- Have there been already projects that addressed RRI within the program line? In what way? What experiences were made? Several RRI projects dealt with obstacles and challenges for RRI for particular keys (ethics, gender, public engagement, open access, governance, and science education) and actors (e.g. industry, research funding organisations, etc.)
- Use Res-AgorA as source for obstacles for different actors (<https://rritrends.res-agera.eu/>, 20.07.2017)

The results of your desk-top research will yield additional questions for the next step of diagnosis, the interviews.

7.3 Step 2: Interviews

Desktop research will give you a first idea about your program line and will provide you with information and confidence to carry out meaningful interviews with experts and stakeholders of H2020. The interviews with the experts and stakeholders you identified in your desktop research will deepen your understanding of your program line and RRI.

The questions to be asked in the interviews are the same guiding questions used during desk research (see Step 1). You might have additional questions you may ask which came up during desk research. In the interviews you will get an idea of the program-line, the challenges at hand, the approaches applied, the underlying principles of research, the goals and ideas that guide calls and outcomes; expected impacts and spill overs. Look for social challenges addressed; openings created for intervention on program, call or project level; learn about issues related to RRI, focus on RRI keys and three O's but go beyond and try to connect social challenges, research issues and RRI prospects.

You will carry out a total of 15 to 20 expert interviews with various stakeholders of your programme line. The number of interviews might vary between Social Labs according to size and complexity of a program line. The following table offers you an overview of the size of your program providing an overview how budget is allocated within the Horizon 2020 framework.

You can carry out the interviews either face-to-face or by telephone or other electronic means. You will have to obtain Informed Consent from your interview partners.

You will have to record as well as transcribe all interviews and analyse them by qualitative content analysis. Full transcription of the interviews is not necessary, transcribe the relevant parts.

Method of analysis is simple thematic analysis; summarize the main results to the questions and additional issues which might have come up during the interviews.

Potential interview partners include:

- Staff of the European Commission
 - policy and project officers within the specific program line
 - Experts for certain keys within the SwafS unit
- Representatives of National Contact Points for your program
- Additional stakeholders mentioned during interviews.
- Representatives of main groups of applicants
- ...

7.4 Step 3: Identification of key words and data analysis from CORDIS database

In order to address the guiding questions of the diagnose phase you will not only do desktop research and interviews. University of Leiden will carry out with your support text and data analysis of the CORDIS⁶ data base to identify relevant projects which you will further analyse according to our guiding questions.

Based on your finding of step 1 and step 2 you will create a preliminary list of key words that University of Leiden can use for a combination of text and data analysis of the CORDIS database of projects funded in the respective programme line. This analysis will identify RRI relevant projects in your program line. In a next step you will analyse available documentation of selected project projects by qualitative analysis (again using the guiding questions or additional which came up during research). This again will result in a list of potential participants for Social Labs from RRI relevant projects (cf. European Commission 2017: Part B 16).

7.5 Step 4: Summary and Conclusions

In a final step of the diagnosis you will:

- Synthesize the results of desk-top research, stakeholder interviews and analysis of relevant RRI projects in a report (for a template see Annex I) to be used for policy brief 1 (April 2018).
- Draw up a list of relevant stakeholders that might participate in the Social Labs.

8 Recruitment of participants

After you have generated knowledge about your program line you can actually start recruiting social lab participants. Together with the social lab assistant you recruit experts who have participated within FP7 and Horizon 2020 funded projects and other stakeholders.

For you as social lab manager it is important to ask who are the primary target participants for the social labs? (e.g. only partners in current H2020 projects, partners of current or previous projects, program managers/administrators, industry, related industry organizations, NGOs, national funders with similar programs, school children etc.).

Social lab participants will be selected stakeholders. They will include **FP 7 and H2020 project coordinators and project participants**, but will not be limited to these groups. Since the project addresses H2020 in general, a broad range of stakeholder from different parts of H2020 must be included on the list, including e.g. **industry, university and non-university research organization, organisations funding R&I, policy-makers on national and European level (DG Research), civil society organisations and representatives of the various public(s), R&I stakeholders in R&I on Member States level and from non-European countries.**

As social lab manager might have a core team of people (approx. 5–8) who will be with you throughout the lifetime of the social lab. In addition, you will have to have a wider team of people (approx. 15) who will be members of the social lab and may be participating in some or all events.

The core team should:

- come from a wide range of disciplines and research fields;
- have a healthy mix of practitioners, policy/governance people, academic researchers and industry;
- be “influential” (not necessarily “important” or “senior”) people: they can make change in their own institution, field, area of research (change agents of a sort);
- include high-tech start-up entrepreneurs as well as early adopters
- offer some people familiar with the idea of RRI;
- offer appropriate gender balance;
- offer a mix of expertise ranging from research, to project management, governance, research funding, policy, science communication, education and ethics;
- be on different levels of their careers: early, mid and mature;
- provide a good mix of European countries, including representatives of Southern EU and Eastern EU Member States.

The wider team should:

- come from a wide range of stakeholder groups;
- Focus on people who have had some experience with H2020 research;
- Include some experts related to the social challenge at hand.

The following Table depicts some do’s and don’ts of recruitment

Table 3 - Do's and Don'ts of Recruitment

Do's	Don'ts
<ul style="list-style-type: none"> ✓ Start early ✓ Create a diverse team (age; gender; country of origin; expertise; maturity). ✓ Create a core team that you trust will follow through the project. ✓ Be passionate and brave with your ideas. ✓ Be ready to fail with your experiments. ✓ Don't avoid frictions, manage them. 	<ul style="list-style-type: none"> ✓ Don't invite family members, friends and colleagues. Don't invite the usual suspects but rather try to bring in people you have never worked with. ✓ Don't invite people with similar backgrounds. Get people with possibly different views, opinions on board. ✓ Don't invite only researchers. Try a bottom up approach. Try to get laypersons on board as well. ✓ Don't invite general specialists but rather get people with close knowledge of the shop-floor/practitioner level. ✓ Don't invite representatives of traditional institutions only. Try to get people who are entrepreneurial, disruptive: fablabs, makerspaces, coworking environments are inspirational.

Consider a wide range of stakeholder profiles, each playing a different but related role in Horizon 2020 and beyond, such as:

Table 4 - Recruitment Criteria

Area	Who?
H2020 and beyond	Project coordinators and participants of FP 7, H2020 projects and beyond
Industry representatives	Like high-tech start-up entrepreneurs as well as early adopters
Research funding organisations	Representatives
Policy Makers	On national and European level
Civil society	Actors from civil society and representatives of the public(s) like NGO's and CSO's
Representatives of non-European countries	

There should be a mix of 'the coalition of the committed' who already demonstrated an interest and engagement with RRI and 'others.

In addition to stakeholder group represented further criteria to be taken into consideration are:

- relevance to program line
- gender
- country
- level of knowledge about European research funding
- knowledge about h2020/fp7
- knowledge about the specific program line
- project/research experience

- impacted by EU funded research (assumed)
- assumed impact on EU funded research
- assumed knowledge/awareness about RRI
- experience with RRI
- experience with social labs

Table 5 - Stakeholder mapping – main characteristics I

Name	Stakeholder Group	Organisation	Country	Awareness for RRI	Gender	Relevance	Interviewed	Social Lab team member	Social Lab wider circle
A	academia/research	JRC	BEL	High	f	High (Expert)	No	No	No
B	industry/business	SME	CZE	None	m	Low	Yes	No	No
C	governance								
D	CSO								
E	lay people								
F	ethicists								
G	experts								

The following table aims at helping you in the recruiting process:

Table 6 - Stakeholder mapping table 2 – assessment of relevance

	High	Low	None	Unknown
Level of knowledge about European research funding				
Knowledge about H2020/FP7				
Knowledge about the specific program line				
Project/Research experience				
Involvement in EU funded research as project partner				
Involvement in EU funded research as project manager				
Impacted by EU funded research (assumed)				
Assumed Impact on EU funded research				
Assumed Knowledge/awareness about RRI				
Experience with RRI				
Experience with Social Labs				

8.1 Rationale for recruitment/incentives for participation

Before you start contacting your experts you should first create an idea about their interests and concerns about RRI and related topics. Each stakeholder group has its specific issues, interests and needs. The following rationale gives an overview on some potential issues that might arise during the recruitment phase.

Within the recruitment process you might get confronted with questions like

- “Why should I care about RRI” or
- “Why should I attend your workshop?”

Depending on their interests, some candidates will be actively pushing for RRI and participation in the workshop and others will be mostly pulled. However, no matter how much they all agree on the need to align research and social interests, participants will need to see returning benefits to attend a 1 ½ day event that might take place far away from their home. Motivating stakeholders to participate in a social lab might be particularly challenging for business people who are often – not always tough – looking for the bottom line i.e. profit. It is important that the selection of social lab members happens on a voluntary basis. It’s not the institution that is present, but the individual. S/he must have a certain level of commitment to the process to start with.

In diverse groups friction/conflict is inevitable. Friction is an important element of the social lab. Friction is not to be eliminated, but managed. Managing friction may happen through creating events – going to places together; experiencing things together – where ruptures to existing processes, ideas – Business as Usual Scenarios – may be disrupted.

9 Workshop

Social labs in NewHoRRizon were initially established for a period of 32 months. The size of the social labs varied between 15 and 25 participants according to size and complexity of the program line addressed (this number includes sponsors but not facilitator, manager and assistant). Social labs consisted of three workshops; in between workshops on pilot actions and activities, as well as continuous and systematic online exchange between social lab participants.

For each Social Lab **three workshops** were conducted. Each workshop was planned to last **2 days**. Workshops were planned for ca. **March 2018** (1st Workshop), ca. **November 2018** (2nd Workshop), ca. **December 2019** (3rd Workshop). Because of the COVID 19 pandemic, some Social Labs lasted longer and had to change their workshop into online formats. Although in general synchronicity of Social Labs was desirable, there was a slight variation in timing because of practical considerations of individual Social Labs.

Localities for Social Labs should be reached easily and inexpensively (e.g. in capitals of European cities). It was possible to organize the Social Lab workshops in the city where the responsible Social Lab manager is located. This did not, however, preclude that workshops were also carried out in other cities, if appropriate. A main principle of the Social Labs was to safeguard trans-European and global balance. This principle was also to be observed in the selection of meeting places of workshops.

Participants of the Social Labs or interviewees will sign informed consent forms (addressing issues of research ethics and data storage and protection).

9.1 1st Social Lab workshop

In the 1st workshop, the Social Lab – supported by the manager and facilitator – will continue to deepen the diagnosis of RRI in the specific part of H2020. Thereafter, the social labs will generate ideas about possible pilot actions and create a preliminary list of potential actions and activities. That list will be distilled to two or three to be further developed in the sponsor organisation. Several participants will volunteer to sponsor a pilot action in which they are particularly interested and therefore committed to. The sponsors will make a strong effort to generate the necessary support for these actions in their organisations” (European Commission 2017: Part B 17). The workshop will also include evaluation (see Moment I and Moment II, Annex 10.6).

9.2 In between 1st and 2nd workshop

“After the [first workshop], the social lab manager will document the workshop and circulate a report to social lab participants”. “In between workshops, the social lab manager and the sponsors play an important role. They will continue to design the concrete pilot actions and activities and seek to embed the pilots in the sponsors’ institutions. In that way, sponsors and social lab managers will collect first experiences with pilot actions and report them back to social lab participants, who will continue to add their input. The exchange in between the workshops can happen either in the virtual social lab or in ad hoc face-to-face meetings” (European Commission 2017: Part B 17).

9.3 2nd Social Lab workshop

Before the 2nd Workshop Social Lab managers will report on the process in between Workshops via the Reflection and reporting template (Moment III, see Annex 10.7).

In the second cycle of experiential learning, pilot actions will be further designed in detail, considering the experiences made by the sponsor and responses from the respective organisations and the social lab participants. In the 2nd workshop, social lab participants will further design the pilot actions and activities, adapt them, and/or generate new ones” (European Commission 2017: Part B 17). A generic design of the 2nd workshop was developed during the 1st Cross Sectional Workshop (see Annex 10.4.) After the 2nd Workshop Social Lab managers will report on the Workshop via the Reflection and reporting template (see Moment IV, Annex 13.8).

9.4 In between 2nd and 3rd workshop

“After the [second] workshop, the social lab manager and sponsors will continue to work on the pilot within their sponsor organisation. Records of the workshop will be circulated. The social labs continued their exchange – in the virtual social lab (see WP7) and or in ad-hoc workshops – about the progress and process of testing” (European Commission 2017: Part B 17). Before the 3rd Workshop Social Lab managers will report on the piloting process (and pilots) via the Reflection and reporting template ([version will be provided in due time]; Moment V). Before the 3rd Workshop Social Lab managers will be contacted by WP8 to discuss the developing narratives. Moreover, a general workshop design has been developed (see Annex 10.5.).

9.5 3rd workshop

“In the third learning cycle (Subtask 1.5 of the WPs), pilot actions and activities will be re-assessed and consolidated. First narratives of RRI in the respective part of H2020 will be created. The adapted actions and activities will be further tested. In the third workshop, social lab participants will evaluate the pilot actions and activities. They will adapt these actions and activities after considering their own experiences and conceptualisations, as well as the feedback from the sponsor organisation and other social lab participants, and considering results of the cross-sectional workshops (see WP7). The third cycle will end with a report that provides the narratives of successful and unsuccessful actions and activities” (European Commission 2017: Part B 17). The workshop will also include a session on reflection and evaluation using a Learning History-approach provided by WP8 (see Moment V Annex 10.9). After the 3rd Workshop Social Lab managers will report on the Workshop via the Reflection and reporting template (Moment VI Annex 10.19).

10 Literature

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11 Annex

11.1 Invitation letter to interview

Dear ...

As a researcher at ... I would like to ask for your kind cooperation in our European Union funded research project “Excellence in science and innovation for Europe by adopting the concept of Responsible Research and Innovation” (NewHoRRizon). You may find information about the project [here](#).

The project is coordinated by the [Techno-Science and Societal Transformation](#) research group at the [Institute for Advanced Studies](#) in Vienna, which I’m part of. This group is also responsible among other social labs, for the social lab on ...

Individual part: (explaining why an interview might be helpful with this particular person) We would be very happy to learn more about your experiences and thoughts about ... since this might help us to better understand the ERC and its way of operating.

In brief the project aims at integrating Responsible Research and Innovation (RRI) in the Innovation and Research systems on national and international levels. In the RRI framework, multiple stakeholders (from research, business, policy making, education and civil society) are involved in research and innovation processes on the project and system level to better align its operations and outcomes with the values, needs and expectations of society. The main areas of RRI according to the European Commission are ethics, gender equality, open access, public engagement, science education and governance.

One of the key objectives of our project is to provide results on how to better integrate RRI into the European Framework Programme. We have been advised to approach you through our desktop research on the program line. We concluded that your expertise may be of utmost value to our research project.

We would like to utilize your expertise about ... to better understand the ... in Horizon 2020 and get an in depth understanding of your views on the specific program line, the challenges and opportunities at hand, as well as how research in this field may be better aligned with societal values and social desires.

Should you be ready to contribute, we would like to have a maximum on 2 hour recorded interview via skype or telephone at your earliest convenience. We would appreciate if you sent us some dates when you are be available so that we can schedule an interview. Naturally, should you have any questions about the project, the interview or the expected outcomes, we are more than happy to be of assistance.

We are grateful for your contribution. We are happy to share our findings with you as the project evolves and also welcome you in the RRI Network of likeminded researchers working on the mainstreaming responsibility in research and innovation.

Yours sincerely,

11.2 Invitation letter to Social Lab

This invitation together with project information should be sent to each potential participant. You can also add any other dissemination material to provide a better understanding of NewHoRRizon.

[NewHoRRizon logo] [EU logo], [City, date]

Dear [title, surname]

The Project “Excellence in science and innovation for Europe by adopting the concept of Responsible Research and Innovation (NewHoRRizon)” sets out to promote the utilisation of Responsible Research and Innovation (RRI) in the European Framework Programme (you can find more information about this concept in the information package). NewHoRRizon will work out the conceptual and operational basis to fully integrate RRI into European and national research and innovation (R&I) practice and funding.

[Name of your institution] is happy to invite you to become a part of this European endeavour, funded by the European Commission’s Horizon 2020 Framework Programme under Grant Agreement Number 741402.

In order to integrate RRI in European research funding, we are setting up a so-called Social Lab in [your program line] to foster Responsible Research and Innovation (RRI). Together with a wide-ranging group of stakeholders in research and innovation, in this social lab, NewHoRRizon will co-create tailor-made pilot activities that will help that RRI in [your program line]. These pilot activities will address a variety of R&I actors such as academia, business, non-university research institutes, research funding organisations, policy-makers on European, Member State and global level, civil society organisations (CSOs) and the general and specific public(s). Ultimately, the pilot activities to be developed and tested in the social lab will contribute to R&I projects that fully recognise the significance of RRI.

Write something about the process of social labs.

The first of three SL workshops will be held in [place/venue] on [date], from [hour] to [hour], with different important stakeholder groups. Our purpose is to share experiences on RRI in your previous projects and to identify promising practices, constraints and needs from all the stakeholder groups involved to develop pilots based on it.

Your experience will be essential contribution for the SL operations and further on the project, where you will have the opportunity to convey the concerns and expectations of your field of expertise. We sincerely hope that you will be able to accept this invitation. The project will cover your travel and accommodation expenses and provide you with more information before the event.

Would you kindly confirm your participation by [date], to [name], at [e-mail].

In case you will not be able to join us, we would be grateful if you could suggest any colleague who might be interested in attending the meeting.

Yours sincerely, [Signature], [(Title) Name Surname], [Institution, Department], [E-mail], [Telephone], [Address]

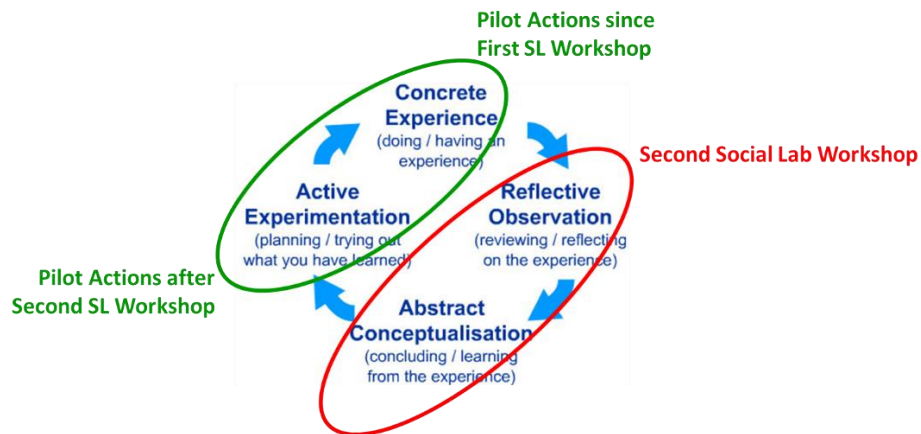
11.3 Social Lab Design

See <https://newhorizon.eu/social-labs/>

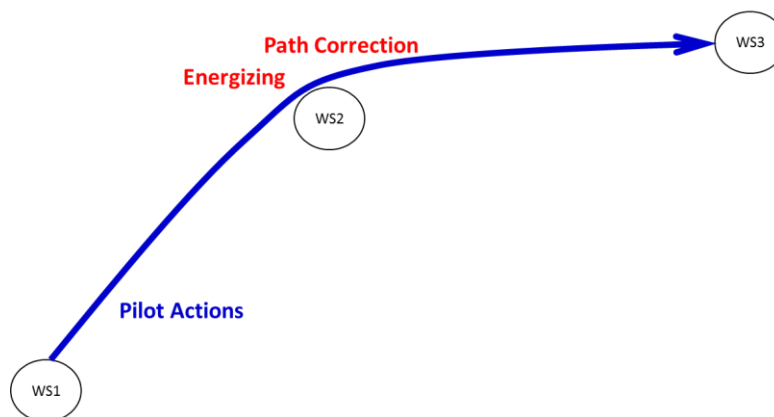
11.4 Generic Design 2nd Workshop

Authors: Christoph Mandl, Hanna Mandl & Markus Hauser

Intellectual Purpose of 2nd SL WS within the experiential learning cycle of SL



Emotional Purpose of 2nd SL WS as Swing-by between 1st and 3rd WS of SL



“**Swing-by** is the use of the relative movement and gravity of an astronomical object to alter the path and speed of a spacecraft.”

Table 7 - Generic design 2nd Cross Sectional Workshop

Nr.	What	How
1	What is the purpose of this 2nd workshop of this social lab?	Input by SL manager or SL facilitator
2	How much do I care about RRI now? What is my ambition regarding RRI?	First in groups of two then in plenary
3	Per pilot action: - What does the pilot action look like now as compared to at the 1st workshop? - What is the RRI issue at stake? - Which barriers and which enablers to RRI did/does it address? - Which organisations and actors were/are involved and why? - What was frustrating / inspiring? - What are our insights? - What are our questions?	Working on the 7 questions separately in the pilot actions groups and then presenting in plenary Newcomers join one of the pilot actions groups to listen and learn
4a	“Playful task” per pilot action: Show a scene from your story that conveys either your frustration or your inspiration	Prepare separately in the pilot actions groups Newcomers join one of the pilot actions groups to participate
4b	Each pilot actions group shows prepared scene	At the end of each scene a designated “stage director and assistant” give advice for next scene Questions with limited interest are discussed in parallel small groups Questions with interest by most participants are discussed in plenary via a variety of input, dialogue or fishbowl
5	Addressing the questions raised in 3) Creating a time structure first	
6	Personal decisions concerning pilot actions: Continue (love it) – Modify (change it) – Leave it – Create a new pilot action	Time for individual decisions first in silence and then made visible in plenary
7	Detailing until 3rd workshop per pilot action: a) What is our shared intention and aspiration? b) What is the name of our pilot action? c) Which aspects of the visions and of current reality do we address? d) Who is pilot action owner/driver, who is co-driver, and who is part of the team? e) What support do we need from SL Manager? f) What are the initial and next actions?	Prepare the answers to all six questions separately in the pilot actions groups on flipcharts and then presenting in plenary
8	Reflection on 2nd workshop: - What was inspiring and engaging for me? - What are my thoughts and feelings about fulfilling the purpose of the social lab	First individually on pin cards (for documentation) and then sharing in plenary

11.5 Generic Design 3rd Workshop

Authors: Christoph Mandl, Hannah Mandl, Markus Hauser)

Objective of the 3rd Social Lab Workshop

The Grant Agreement states the objectives of the 3rd Social Lab Workshop as follows.

Subtask X.1.5

“In the third learning cycle (Subtask 1.5 of the WPs), pilot actions and activities would be re-assessed and consolidated. First narratives of RRI in the respective part of H2020 would be created. The adapted actions and activities would be further tested. In the third workshop, **Social Lab participants would evaluate the pilot actions and activities. They would adapt these actions and activities after considering their own experiences and conceptualisations, as well as the feedback from the sponsor organisation and other Social Lab participants, and considering results of the cross-sectional workshops (see WP7). The third cycle would end with a report that provides the narratives of successful and unsuccessful actions and activities**” (Grant Agreement Part B, p. 17, emphasis added).

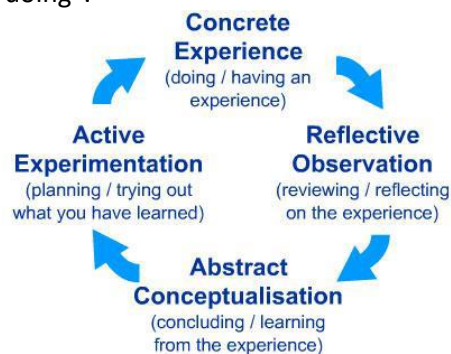
“Subtask 2.1.5. Consolidating actions and activities; creating narratives (month 32-34). This task covers the third experiential learning cycle. It reiterates the second learning cycle. The pilots will be re-assessed and finalised. In addition, narratives of RRI in the respective part of H2020 will be created.” (Grant Agreement, Annex 1, p. 15).

Narratives

“Narratives are descriptions of specific courses of events in which the narrator makes sense of what happened by adding order and plot to what he or she experienced. The relation between experience and narrative is fundamental, and a “two-way affair”: narratives not only help to make sense of the events one encounters; the stories told in turn influence and help structure future events by shaping our interpretations and by suggesting appropriate repertoires for action.” (Grant Agreement Part B, 13)

Experiential Learning Cycles

Experiential learning is a process of learning through experience, and is more specifically defined as “learning through reflection on doing”.



The 3rd Social Lab Workshop concludes the third experiential learning cycle and thus focuses on Reflective Observation and Abstract Conceptualisation.

Participants

The 3rd workshop focuses on reviewing and reflecting people's experiences with the pilot actions. Therefore, the following group of people should be invited:

- Social Lab Participants who engaged themselves in one of the active pilot actions.
- People who were not present in the 1st and/or 2nd workshop as participants but had experiences with the pilot action as addressee of the activity or have been active in the pilot activity in one way or another.

People who were present at the 1st and/or 2nd workshop but were not engaged in one of the active pilot actions in one way of another (and therefore lack practical experience with the pilot) should not be invited.

The four Phases of the 3rd Social Lab Workshop

We propose to help participants to actually make a difference to the typical presentation of a success story – the listing of the “what” in general terms. Find playful ways to ask for and inspire genuine stories that include the laborious processes of inventing new modes of “how” plus experiences of the more challenging aspects of emerging concerns, dilemmas, constraints, delays, tensions, and difficulties.

Table 8 - Generic design 3rd Social Lab Workshop

Phase	Goal	How
1	Reflective Observation	Reviewing and reflecting on the pilot action experience
2	Abstract Conceptualization as Narratives	Making sense of what happened by adding order and plot to what he or she experienced
3	Future	How may the Narratives suggest appropriate repertoires for future RRI action?
4	Cheerful Conclusion	What did I/we enjoy most about the Social Lab process as a whole and about the other pilot actions?

11.6 Evaluation template: Moment I - VI

See <https://newhorizon.eu/social-labs/>