Responsible Research and Innovation (RRI) Policy and Action Plan
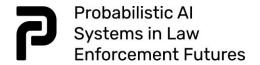
August 2024

1. Introduction

The integration of artificial intelligence (AI) into law enforcement has the potential to enhance public safety, improve efficiency, and transform investigative processes. However, it also presents ethical, legal, and social challenges that must be carefully managed. Our research project seeks to develop a holistic, rights-respecting, system-wide framework for Responsible AI in Law Enforcement and Criminal Justice Organisations. This Responsible Research and Innovation (RRI) Policy and Action Plan aims to ensure that our project is conducted ethically, transparently, and with respect for fundamental rights.

2. RRI Policy and Action Plan

This RRI Policy and Action Plan, aligned with the RAi RRI Toolkit, defined RRI as "doing research in a way that anticipates how it might affect people and the environment in the future so that we can gain the most benefit and avoid harm" (RAi, 2024, para.1)

3. Objectives

- **Diversity and Inclusion:** Promote early involvement of a range of actors and public our practice, processes and decision0making to ensure real world application of the project.
- **Anticipate:** Ensure that all AI research and development activities designed for the project align with ethical standards and respect human rights. This will include ethical principles associated with respect for human rights, fairness and non-discriminatory practices, accountability and transparencies, confidentiality and anonymity, voluntary and informed consent, and data management.
- **Reflect (Transparency and Compliance):** Maintain openness about the purpose, aims and objectives, methods, and outcomes of the research project. In evaluation RRI, a framework was designed to identify unintended consequences of the project related to the research aims – drawing on the

Social Impact Matrix© (Institute for Social Innovation and Impact (ISII) at University of Northampton).

- **Responsiveness and Adaptive to Change:** To ensure the research team internalises and consistently applies RRI principles throughout the project, we will incorporate the use of RRI Prompts and Practice Cards in various activities. The flashcards will serve as quick reference tools and conversation starters, promoting awareness and discussion of key ethical and responsible innovation concepts.
- **Openness and Transparency:** Promote active engagement with a diverse range of stakeholders pursuant to the planned research, including the marginalised groups, and law enforcement professionals in the research process. Identify and address potential risks and unintended consequences associated with AI technologies in law enforcement as part of the research process.
- **Sustainability:** Consider and promote sustainability in research.
- **Equality Diversity and Inclusion (EDI):** We will uphold the values of respect, collaboration, and support, and promote behaviours based on these values (see EDI Policy).
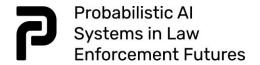
4. Measures for RRI

4.1. Ethical Review

- Ensure ethical review by relevant Ethics Review Board for research activities.
- Brief project Advisory Board on ethics to oversee the research project, evaluate potential ethical concerns, and provide guidance on ethical issues.
- Conduct regular ethical reviews and impact assessments throughout the research project lifecycle.

4.2. Stakeholder Engagement

- Develop a stakeholder engagement plan that includes consultations with law enforcement agencies, civil society organisations, and the representatives of marginalised groups via the research process.
- Organise workshops, and feedback sessions to gather input and address concerns from various stakeholders.
- Develop a framework for promoting meaningful and active community engagement, drawing on findings from the AHRC project titled 'The

potential of ethical review to support Responsible AI in Policing', as part of the research process.

4.3. Data Management and Privacy
- Implement robust data protection measures to ensure the confidentiality and security of personal data used in the research.
- Adhere to data minimisation principles and obtain informed consent where applicable.

4.4. Transparency and Accountability
- Publish progress reports and research findings to keep stakeholders informed about the project's development and outcomes.
- Ensure progress reports and research findings are accessible to stakeholders and the public by implementing accessible dissemination techniques including videos, and infographics.

4.5. Education
- Offer education opportunities for researchers, law enforcement personnel, and other stakeholders on findings from the research (for example, training opportunities on the responsible use of AI and the implications of AI technologies).
- Promote awareness of responsible AI practices and the potential ethical challenges associated with AI in law enforcement.
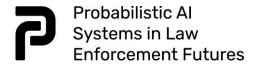
4.6. Risk Management
- Implement measures to mitigate risks and establish contingency plans for unforeseen issues.

5. Action Plan
5.1. Initial Phase (Months 1 – 6)
- Review and engagement in RRI Policy and Action Plan by Project Team and Advisory Board (drawing on RRI Prompts and Practice Cards).
- Identify and deliver training requirements for project team and partners.
- Launch the stakeholder engagement plan and schedule initial consultation meetings.
- Develop ethics and data management plan.

- Submit ethics plan for ethical approval at appropriate Ethics Review Boards.

5.2. Development Phase (Months 7 – 13)
- Conduct ongoing ethical reviews and impact assessments.
- Publish interim progress reports for dissemination with stakeholders and the public.
- Ongoing engagement with marginalised groups.
- Design and develop education opportunities based on early findings from the research.

5.3. Delivery and Evaluation Phase (Months 14 – 36)
- Review research project to identify the project success and any unintended consequences– drawing on the Social Impact Matrix© (Institute for Social Innovation and Impact (ISII) at University of Northampton).
- Gather and analyse feedback from stakeholders and adjust practices as required.
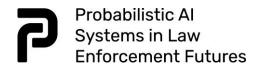
5.4. Final Phase (Months 37 – 47)
- Finalise the research and prepare a comprehensive report on the project's outcomes, ethical considerations, and recommendations.
- Organise a final forum to present findings and discuss future implications in the area of AI and law enforcement.
- Review and update policies and practices based on the research outcomes and stakeholder feedback.

6. Review and Revision
- Regularly review and update the RRI Policy and Action Plan to address emerging ethical issues in the project.
- Seek continuous feedback from stakeholders to refine practices and ensure ongoing alignment with ethical standards.

7. Summary
This RRI Policy and Action Plan is designed to guide the responsible delivery of the research project. By adhering to ethical principles, engaging stakeholders, and managing risks effectively, we aim to ensure that our research project contributes positively to public safety while respecting fundamental rights and values.

8. Version Control

Version	1.2	**Approved Date**	
Author	CPY/MO	**Approving Personnel**	
Date Written	July 2024	**Updates**	October 2024