



SHERPA

Shaping the ethical dimensions of smart information  
systems– a European perspective (SHERPA)

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## **Deliverable No. 5.1**

### **Dissemination, communication, exploitation and advocacy plan - UPDATED**

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V2.4



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<b>Abstract</b>	This deliverable elaborates the SHERPA dissemination, communication, exploitation and advocacy plans (DCEAP) that will help maximise the impact of the project and secure a legacy for it. The document covers: <ol style="list-style-type: none"> <li>1. Dissemination channels and tools (benchmarks and key performance indicators) and stakeholder analysis as developed in WP2 (Task 2.1) and dissemination measures</li> <li>2. Communication with key stakeholder groups throughout the project</li> <li>3. Exploitation activities</li> <li>4. Advocacy strategy and activities</li> </ol>
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# Executive Summary

This deliverable elaborates the SHERPA dissemination, communication, exploitation and advocacy plans (DCEAP) that will help maximise the impact of the project and secure a legacy for it. Broadly, SHERPA's DCEAP has three key goals:

1. Tell stakeholders about the SHERPA project, its results and recommendations (dissemination) and engage and interact with stakeholders, including the media and the public (communication), by various means to ensure project partners are updated and integrate stakeholders' views and requirements within the research development.
2. Prepare the ground for exploitation of SHERPA's outcomes and results.
3. Advocate SHERPA recommendations to key policymakers to facilitate effective actions to address the ethical and legal challenges of Smart Information Systems (SIS).

The SHERPA project, as a coordination and support action, will reach out to a large number and variety of stakeholders to find the optimal strategies for dealing with SIS, informing diverse audiences about the latest research in this field and promoting these outcomes in a way that will support research further development and implementation.

The document covers:

1. Dissemination channels and tools (benchmarks and key performance indicators) and stakeholder analysis as developed in WP2 (Task 2.1) and dissemination measures
2. Communication with key stakeholder groups throughout the project
3. Exploitation activities
4. Advocacy strategy and activities.

This deliverable's implementation will be documented in the dissemination, communication, exploitation and advocacy reports (D5.4) and other WP5 deliverables: D5.2 (Website and social media accounts), D5.3 (Artistic representation) and D5.5 (Events).

## Revision notes

The deliverable has been fully revised, given that an update of the DCEAP was scheduled for M18 as MS7 of WP5. Rather than doing this in M18 (October 2019) as planned, we have taken advantage of the reviewer's feedback and having to resubmit the deliverable to revise the full document in M17 (September 2019) instead.

In particular, we made changes to respond to the reviewer's comments and update specific actions/activities by adding/updating information regarding:

- Gender balance of stakeholders (see section 2.1) and categories of stakeholders in the SB (see Section 2.3)
- List of avenues for publication of blogs, opinion pieces, articles etc. (see Section 3.2.2)
- Newsletters and mention of GDPR compliance in relation to MailChimp (see Section 3.2.4)
- List of third-party events (see Section 3.2.5, Table 4)
- Posters (see Section 3.2.6 and Annex 14)



- Project events (see Section 3.2.7, in particular Table 5)
- Collaboration with EU projects – activities with SIENNA and PANELFIT projects (see Section 3.2.8)
- Webinars – topics and dates, choice of platform (see Section 3.2.9)
- Dissemination risks and mitigation measures (see Section 3.3, Table 6)
- Dissemination KPIs (see Section 3.4.1)
- Partner involvement in communication activities, Visibility Working Group and content calendar (see Section 4.1)
- Social media accounts and strategy, including specific KPIs for social media (see Section 4.2.2)
- Communication KPIs (see Section 4.4.1)
- Visual identity (see Section 4.5.1 and Annexes 1, 7, and 12)
- Exploitation workshop timetable – updated dates (see Section 5.2.2, Table 13)
- Advocacy plan (see Section 6 and Annexes 16, 17, and 18) and KPIs (see Section 6.4.1)
- Other new
- New project flyers (see Section 4.2.3 and Annexes 4 and 5), infographics (see Section 4.2.4 and Annex 13), and press releases (see Section 4.2.5 and Annexes 10 and 15)
- Artistic Representations of AI and SIS in Society (see Section 4.2.7)
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## List of acronyms/abbreviations

Abbreviation	Explanation
DCEAP	Dissemination, communication, exploitation and advocacy plans
SIS	Smart Information Systems
AI	Artificial Intelligence
DoA	Description of action
GDPR	General Data Protection Regulation
MEPs	Members of European Parliament
EGE	European Group on Ethics in Science and New Technologies
CSO	Civil Society Organisations
EESC	European Economic and Social Committee
EPP	European People's Party



Abbreviation	Explanation
PES	Party of European Socialists
KPIs	Key performance indicators
EP	Exploitation plan
GA	General Assembly
CA	Consortium Agreement
EM	Exploitation Manager
IPR	Intellectual Property Rights
SWAFS	Science with and for society

Table 1: List of acronyms/abbreviations

## Glossary of terms

Term	Explanation
Target Audience	Group for which SHERPA communication, dissemination and advocacy is targeted.
Dissemination <sup>1</sup>	The public disclosure of project results tailored to stakeholders that may exploit/reuse project results, i.e. sharing research results with potential users - peers in the research field, industry, other commercial players and policymakers <sup>2</sup> .
Communication	Reaching out to society and communicating about the project and its results to a multitude of audiences, including the media and the public <sup>3</sup>

<sup>1</sup> EC definitions taken from <https://www.iprhelpdesk.eu/sites/default/files/EU-IPR-Brochure-Boosting-Impact-C-D-E.pdf>

<sup>2</sup> [http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/grant-management/dissemination-of-results\\_en.htm](http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/grant-management/dissemination-of-results_en.htm)

<sup>3</sup> EC definitions taken from <https://www.iprhelpdesk.eu/sites/default/files/EU-IPR-Brochure-Boosting-Impact-C-D-E.pdf>



Term	Explanation
Exploitation	The use of project results for any purpose (further research, development and commercial exploitation, policy support, education, standards, etc.) <sup>4</sup>
Advocacy	A set of activities aiming at influencing the EU and national decision-makers by recommending concrete actions to take based on the SHERPA project research.
Key messages	The main points SHERPA wants target audiences to hear, remember and act upon.
Stakeholder	A relevant actor (persons, groups or organisations) who: (1) might be affected by the project; (2) have the potential to implement the project's results and findings; (3) have a stated interest in the project fields; and, (4) have the knowledge and expertise to propose strategies and solutions in the fields of SIS and artificial intelligence (AI)
Visual identity	Graphical identity and other visual components (such as logo, colour scheme, fonts) used in SHERPA communication/dissemination tools (i.e. web, printed materials, report and presentation templates).
Search Engine Optimisation (SEO)	The practice of increasing the quantity and quality of traffic to a website through search engine results. Optimizing a website may involve editing its content, adding content, coding etc. to increase its relevance to specific keywords
Scenario	A tool for ordering one's perceptions about alternative future environments in which one's decisions might be played out concretely, so people can help people make better decisions <sup>5</sup>
Delphi study	Expert survey in two or more 'rounds' in which, in the second and later rounds of the survey the results of the previous round are given as feedback. <sup>6</sup>
ACT-ON model	The long-term advocacy planning tool that will help with assessing SHERPA's internal and external advocacy capacities. The ACT-ON model will focus on SHERPA's advocacy advantages, challenges, threats, opportunities and next steps.
SMART model	Ensuring that each objective is specific (S), measurable (M), achievable (A), realistic (R) and time-bound (T).

<sup>4</sup> EC definitions taken from <https://www.iprhelpdesk.eu/sites/default/files/EU-IPR-Brochure-Boosting-Impact-C-D-E.pdf>

<sup>5</sup> Wright, D. et. al, 2013

<sup>6</sup> Cuhls, K., "The Delphi method", Undated.

<https://pdfs.semanticscholar.org/21a4/a0ac70928452880eae6c51e171aa9289a00a.pdf>



# 1. Introduction to the project, the DCEAP and its objectives

SHERPA will identify and address the ethical dimensions of SIS by working with a broad range of stakeholders to clarify and represent ethical, human rights and security issues of smart information systems. The project collects existing and develops novel ways of responsibly addressing, evaluating and prioritising these issues and communicating and advocating those solutions that are most socially acceptable, desirable and sustainable.

The SHERPA dissemination, communication, exploitation and advocacy plan (DCEAP) sets the strategy used by SHERPA to ensure that this goal is achieved. The overall strategy focuses on defining the *what*, *when* and *how* we will convey key messages and outcomes of the project to stakeholders, how we want to engage them in order to make an impact in the SIS landscape and transfer knowledge and results in order to enable others to use and take up SHERPA's results either for exploitation. The primary focus of SHERPA's dissemination and communication activities is on communicating with specialists in the field and policymakers, while the secondary focus lies on informing the general public about project developments.

The DCEAP is organised into sections to guide partners in communicating the project key messages, disseminating and exploiting results and in using the necessary tools to achieve the strategic and quantitative goals of SHERPA. The document covers:

1. Dissemination channels and tools (benchmarks and key performance indicators) and stakeholder analysis as developed in WP2 (Task 2.1) and dissemination measures
2. Communication with key stakeholder groups throughout the project
3. Exploitation activities
4. Advocacy strategy and activities

## 2. SHERPA target stakeholder communities and groups

The stakeholder analysis will underpin the work developed in Dissemination, Communication, Exploitation and Advocacy. Core stakeholder groups will serve as multipliers to raise awareness in the relevant wider communities.

The SHERPA consortium will undertake targeted activities to ensure that the findings and results of the project are delivered to its stakeholders and pave the way for future action in building SIS that adequately address ethical, societal and human rights concerns.

This section outlines in which ways SHERPA will engage with stakeholders. EUREC is the lead partner of the stakeholder analysis and consultation (WP2), however all partners are contributors. The partners will deliver the project results to SHERPA stakeholders via diverse channels in line with the DCEAP.



## 2.1 Identification of stakeholder groups

As a first step EUREC and the other SHERPA partners identified the relevant stakeholder groups, by taking the following steps (as described in the DoA):

1. Identifying relevant stakeholder groups/categories: the SHERPA partners will bring their different expertise and knowledge together to elaborate a systematic structure of stakeholder categories.
2. Identifying individual representatives of the stakeholder groups: EUREC is compiling a list of relevant stakeholders. The contact list will be used for SHERPA engagement and communication activities, including interviews, the online survey and the Delphi study. The list will be managed and used in line with the General Data Protection Regulation (GDPR).
3. Analysing stakeholder interests and concerns are based on literature/press/media: a first assessment of interests and concerns will be important to finalise the strategy and develop relevant questions for the stakeholder engagement activities. These outlines of assumed interests will be refined thanks to stakeholders' direct feedback via interviews and surveys.

A report of this work (D2.1) was submitted at the end of August 2018. This deliverable contains information about the development of the stakeholder list and the results of the stakeholder analysis.

In addition to this report, and following the P1 review, efforts have been made to increase the diversity of the demographics to include more female and geographically diverse candidates. So far 170 contacts of female stakeholders were already added to the list. This process began in M17 and will continue throughout the project.

According to the [global gender gap report of the World Economic Forum](#) only 22% of AI professionals globally are female, compared to 78% who are male. At the moment 30% of the stakeholder board members are women. Still, efforts will be made to make the stakeholder board gender balanced.

The relevant SHERPA stakeholder categories have been defined as follows:

- Companies
- Industry associations
- Civil society organisations
- Policymakers
- Professional bodies
- Researchers
- Media

The stakeholders have been further differentiated by their interests in SIS respectively their relevance for SHERPA. These categories are as follows:

- Sharing/Transfer of knowledge
- Promotion and Implementation of SIS
- Responsible and beneficial use of SIS
- Protection of rights and freedom
- Excellence of business
- Research and Development of SIS

Furthermore, we are analysing the stakeholder categories (e.g., companies or researchers) according to the areas of application. These might be specific sectors such as mobility or agriculture or they may comprise a variety of possible applications.

We have focused on European stakeholders, but stakeholders from overseas were not excluded.



## 2.2 Use of the stakeholder list for SHERPA's engagement and communication activities

The stakeholders in the SHERPA stakeholder list will be engaged through different activities (which are described in more detail in the DoA), for example:

- Case studies (task 1.1)
- Scenario development online consultation (task 1.2)
- 45 interviews with stakeholders (task 2.2)
- Online survey with 1000 participants (task 2.3)
- Delphi study with 60 experts (task 2.4)
- Newsletters

## 2.3 Communication activities to engage the Stakeholder Board members

The Stakeholder Board is a permanent body and an ongoing source of expertise in SHERPA. It comprises individuals who are thought leaders in areas of relevance to the project. This is to strengthen the relation between SHERPA and them and to develop a platform for dissemination of the findings and results of SHERPA.

The Stakeholder Board members represent actors from different stakeholder categories:

- Companies (e.g., Google, SAP, Cogitanda Dataprotect)
- Professional associations (e.g. Data Science Association, Council of European Professional Informatics Societies)
- Civil society organisations (e.g., Helsinki foundation for human rights, The European Consumer Voice in Standardization)
- Policymakers (e.g., Science and Technology Options Assessment, National Commission on Informatics and Liberty)
- Media and academia (e.g. journalists, academics, research centres)

The main role of the Stakeholder Board members is to:

- share their views on how they perceive different issues related with SIS;
- serve as independent experts during the project;
- comment and contribute to all activities of the project;
- act as ambassadors for the project's efforts.

EUREC leads the management of the Stakeholder Board (WP2, task 2.5).

### *Information activities for the stakeholder board members*

EUREC has planned the following activities to inform the members of the Stakeholder Board about the project:

- send the project's newsletters to all Stakeholder Board members to inform them about SHERPA's activities, its deliverables, recommendations and relevant news items (every 3 months).
- send regular reports containing general information about the project, partners' meetings, upcoming Stakeholder Board members' meetings and other relevant proceedings (every 6 months).



EUREC will develop a report of the Stakeholder Board activities and stakeholder recommendations at the end of month 42 of the project (Oct 2021).

### *Communication with the Stakeholder Board members*

As external participants, the stakeholder board members will be engaged to provide feedback, opinions and views on the various decision points. They will be targeted to pilot wider stakeholder consultations; to seek advice on approaching the wider expert community; to ratify key deliverables; to participate in webinars and the final conference, and the like. In an ambassadorial capacity, the stakeholder board will be invited to recommend opportunities to publicise (conferences, events, roundtables, publications, etc.) and act as liaisons for engaging their professional or expert groups, as well as sanction and provide recommendations for the SHERPA work that can lend it credibility with the wider stakeholder community.

EUREC will organise five Stakeholder Board meetings which will serve as a platform for a two-way exchange between SHERPA and the different stakeholders. The first Stakeholder board meeting was held in July 2018 in Brussels. The upcoming meetings will be organised for project months 13, 19, 29 and 41.

Aside the face to face meetings, general and targeted ad hoc communication between EUREC and the Stakeholder Board will be organised via email and group calls or one-to-one interviews. Emails will be used to communicate with Stakeholder Board members individually, if any documents (without personal information) need to be disseminated or Stakeholders' views or comments need to be collected. Group calls will be organised when needed (before Stakeholder Board members' meetings, when solving organisational issues, etc.).

## **2.4 Challenges and how to address them**

The SHERPA project wants to engage with a large number of stakeholders that are experts in their fields to find the optimal strategies for dealing with smart information systems. Therefore, the SHERPA partners have to engage and interact with stakeholders with various backgrounds, knowledge and interests. Accordingly, the stakeholders have to be carefully chosen and a working long-term relationship has to be established.

The best way to find out about the different views is to have a direct and productive discussion. It poses a considerable challenge to get a workable result from a dialogue between people who have such different knowledge, expertise, interests and approaches. On top of that, the experts will have busy schedules and be interested in efficient processes and tangible results. The SHERPA partners will select the stakeholders for the different SHERPA meetings very carefully to facilitate open and productive dialogue. The workshops and reports have to be to the point as well.

It is crucial for success that the meetings are valuable not only for the SHERPA project, but also for the stakeholders. During the first 6 months of the project, EUREC will engage the stakeholder board to elicit their personal interests in the project, and catalogue their personal aspirations and desired outcomes, as well as their preferred modes of communication and involvement, so that a more tailored communications and stakeholder engagement approach towards the board can be designed. This will also serve as an opportunity to explain the aspirations of the consortium, the SHERPA requests likely to take place throughout the project and the rationale for them and explain the overall role the consortium would like them to assume during the project.



# 3. Dissemination

## 3.1. Objectives and strategy

The aim of SHERPA dissemination will be to raise awareness about the project, but most importantly, to disseminate the project results to audiences (identified during the process of creating a stakeholder contact list) that may take an interest in the potential use of the results (e.g., scientific community, policymakers). SHERPA dissemination will focus on engaging with stakeholders to gather their views about the good and bad aspects of SIS, and how they think ethical, human rights issues and security challenges should be addressed.

Dissemination will take place throughout the project's lifespan and will continue after the project ends via initiatives taken on by individual partners. All materials and dissemination lines will be specifically designed to address the needs of the different target groups.

SHERPA goes beyond the usual dissemination and exploitation activities and explicitly sets out to advocate its main insights to key policymakers to achieve impact and pave the way for socially acceptable, desirable and sustainable SIS. In order to achieve this, partners will individually engage with key policymakers, such as members of European Parliament (MEPs), European Commission officials, industry representatives, leaders of knowledge innovation communities, the European Group on Ethics in Science and New Technologies (EGE) amongst others (see section on advocacy below).

## 3.2. Dissemination tools

Different tools will be used throughout the project according to the targets we want to reach, the messages we wish to convey and the availability of results. The main tools to reach stakeholders include the following:

- Articles for peer-reviewed journals
- Blogs, opinion pieces and shorter articles for newspapers and magazines
- Emails
- Newsletters
- Third-party events and conferences (presentations)
- Posters
- Project events
- Collaboration with other EU projects
- Webinars

### 3.2.1. Articles for peer-reviewed journals

The SHERPA project will aim to publish a minimum of five peer-reviewed journal articles on a range of topics. To ensure their relevance, the topics will be related to the research activities that are being undertaken in the SHERPA project. The topics will be determined and discussed by the consortium partners at task, work package and project levels. For example, the SHERPA project plans to publish the results from five scenarios and the 10 case studies. All partners that are involved in the SHERPA project will collaborate with other partners in writing articles.

The table below shows some of the potential outlets and its intended audience.



Publication	Readership	Impact factor
<b>Artificial Intelligence (Elsevier)</b>	Broad readership, AI researchers	Impact Factor: 3.034
<b>Ethics and information technology (Springer)</b>	Readers interested in technology assessment, cultural studies, public policy analysis, cognitive science, social and anthropological studies in technology, mass-communication, and legal studies	Impact factor: 1.500
<b>European Journal of Information Systems (EJIS) (Palgrave)</b>	Researchers and information system professionals	Impact factor 2.819
<b>Innovation: The European Journal of Social Science Research</b>	Readers interested in European developments that contribute to the improvement of social science knowledge and to the setting of a policy-focused European research agenda.	Impact factor 1.018
<b>IEEE Security &amp; Privacy</b>	Academic researchers to industry practitioners	Impact factor 1.239
<b>IEEE Technology and Society Magazine</b>	Academic researchers to industry practitioners interested in social implications of technology	Impact factor 1.019
<b>International Review of Law, Computers and Technology (Taylor &amp; Francis)</b>	Information technologies legal researchers, academics.	Not found
<b>Journal of Information, Communications and Ethics in Society (JICES) (Emerald Publishing)</b>	Academics from anthropology, business, computer science, information systems, law, library and information sciences, media, philosophy, politics, psychology and sociology; practitioners who are involved in providing information within organisations; Government officials; Policy makers	Not found (Cite score: 0.77)
<b>Journal of Responsible Innovation, Science and Public Policy (Taylor &amp; Francis)</b>	Humanists, social scientists, policy analysts and legal scholars, and natural scientists and engineers	Not found
<b>The ORBIT Journal - An Online Journal for Responsible</b>	Broad audience/ those interested in responsible research and innovation in	Not found



Publication	Readership	Impact factor
Research and Innovation in ICT	information and communication technology and beyond	

Table 3: Avenues for journal articles

### 3.2.2. Blogs, opinion pieces and/or shorter articles for newspapers and magazines

Over the course of three years the SHERPA project will write at least three opinion pieces or short articles related to their research and the outcomes of the project to publish in industry magazines. By targeting policymakers, innovators, security companies and professional bodies, who are most likely the main readers of such magazines, we seek to influence the public opinion on SIS, but mostly to influence public policy within the smart information sectors.

Examples of potential magazines we could target include (but are not limited to):

- Research\*eu Magazine: <https://cordis.europa.eu/research-eu/en>
- Horizon, The EU research and innovation magazine: [https://horizon-magazine.eu/content/about-horizon\\_en.html](https://horizon-magazine.eu/content/about-horizon_en.html)
- Intelligent Transport: <https://www.intelligenttransport.com/advertising-editorial/?target=information-for-authors>
- Projects: [http://www.projectsmagazine.eu.com/about\\_us](http://www.projectsmagazine.eu.com/about_us)
- The Conversation: <https://theconversation.com/uk>
- NEN Magazine (NEN's in-house magazine): <https://www.nen.nl/Over-NEN/Publicaties/NENMagazine-Online-1.htm>
- iBestuur online magazine: <https://ibestuur.nl>

As of September 2019 (M17), SHERPA has already published, for example, a piece on [Horizon Magazine](#), one on [iBestuur](#), a series of blogs on the [F-Secure](#) and [Trilateral](#) websites, and more. For more details see Annex 10.

We will identify other good avenues for publication of opinion pieces and shorter articles based on the topic, the need and audiences we wish to reach out to.

### 3.2.3. Emails (also a communication tool)

Depending on the project needs, the partners will contact SHERPA stakeholders, present the project and its objectives, distribute information material, convey news and promote participation in our events. Through a direct approach, the partners will be able to create a network of contacts with the various players in the artificial intelligence and big data analytics sectors at the national and international level, to promote synergies and future collaborations. For example, we will email civil society organisations (CSOs) and policymakers to provide information on the work being carried out in SHERPA and gather their feedback which will help influence the outcomes of the project and the future directions of SIS.

Reaching out to stakeholders via email will also be part of the advocacy work carried out by EUREC in collaboration with EBS (see section 6). EBS in collaboration with project partners will seek direct contact mainly with the following target groups:

1. Members of the European Parliament



2. Parliamentary Group advisors in the European Parliament and advisors in pan-European parties represented on the EU level (European Peoples Party, Party of European Socialists, Alliance of Liberals and Democrats for Europe etc.)
3. European Commissioners relevant to the SHERPA project
4. European Economic and Social Committee (EESC)
5. National ministers attending Council of the EU meetings
6. 27 permanent representations to the European Union to bring to the attention of Member States and influence their agenda on the EU level
7. EU Presidency – EBS will engage closely with the forthcoming presidencies to influence their thinking about SIS and the related ethical issues
8. Opinion leaders, such as influential journalists
9. NGOs, think tanks and academia in order to strengthen the advocacy outreach and impact
10. Senior executives in companies that have developed and/or are developing SIS, algorithms and AI.

### **3.2.4. Newsletters (\*also a communication tool)**

The main objectives of SHERPA’s newsletters are to promote the project to stakeholders, promote call to actions (e.g., invite stakeholders to participate in SHERPA’s events such as the scenario workshops, etc.) and disseminate its results. However, newsletters will also represent a useful tool to increase visits to the project website (a link to the website will always be added to all newsletters) and showcase our ideas for exploitation and opportunities for follow-up. The main topics (based on timing) the newsletters will cover are scenarios, case studies, SIS workbook, survey, Delphi, general updates on SHERPA (e.g., videos, press releases, events...), other ongoing SHERPA work.

Newsletters will be short, with text limited to small paragraphs and including images wherever possible to break up the text. (See link to the first newsletter issue in Annex 10). Moreover, they will be tailored to fit with SHERPA’s visual identity (graphics will be developed by EBS and embedded into MailChimp to create an appropriate template for distribution) which will make them easily recognisable by the stakeholders who receive them, thereby strengthening the impact of SHERPA’s communication activities.

The first newsletter will focus on the launch of the project and will be used to collect subscribers for the next issues (opt in option for further communication) and to obtain informed consent and legitimate interest in line with the GDPR. This first newsletter was sent in September 2018, with subsequent newsletters being prepared and distributed every three months (four issues/year). We created an initial MailChimp list based on the project stakeholder list with people being asked to opt-in, which will then get populated on an ongoing basis. See DMP (D6.4) for GDPR compliance for MailChimp.

The newsletters will also be published on the project website and linked to tweets/posts on social media for a wider dissemination.

DMU and EBS will co-lead the preparation and distribution of the newsletters but all partners will contribute. Deadlines for providing material will be planned ahead and according to the date of the newsletter issue.

### **3.2.5. Third-party events and conferences (presentations)**

SHERPA partners will disseminate and build support for the consortium’s results by presenting the project and its findings at selected public events and conferences and publishing them in conference proceedings, whenever possible.

The partners will primarily give these presentations personally either as oral or poster presentations of papers. Although this is not the only means for disseminating project results, it represents an excellent opportunity for getting immediate feedback from the research community thus providing two-way communication.



Plans for event participation will be shared with the consortium and all the attended events must be recorded in the monitoring document available in the shared workspace. Participation in any type of public event (at local, national or international level) will be promoted on social media, on the project website and on the individual partner websites with news items.

The events and conferences in which SHERPA project might be disseminated, depending on partners' travel arrangements and acceptance of publications, are annual conferences and other particular events (this list will be updated based on the timings of the events and availability of the project's results). The table below includes examples of events SHERPA has targeted and plans to target.

Event Name and place	Website	Audience
<b>International Human Rights Summit,</b> New York, USA	<a href="https://www.humanrightssummit.com/">https://www.humanrightssummit.com/</a>	Officials and advocates from around the world who work for equality and justice through human rights education, academics from diverse fields, youth.
<b>Stakeholder Workshop - Trustworthy Artificial Intelligence – building a framework with standardization,</b> Brussels, Belgium	<a href="https://www.cencenelec.eu/news/events/Pages/EV-2018-016.aspx">https://www.cencenelec.eu/news/events/Pages/EV-2018-016.aspx</a>	Academics from diverse fields, industry, AI technology providers, consumers representatives; policy makers; the standardization community
<b>ETHICOMP conference,</b> Logroño, La Rioja, Spain	<a href="https://www.unirioja.es/ethicomp/2020/index.html">https://www.unirioja.es/ethicomp/2020/index.html</a>	Various communities involved in the development, implementation, use of computing and reflection on it in its various guises
<b>ETSI IoT Week,</b> Sophia Antipolis, France	<a href="https://www.etsi.org/events/1601-etsi-iot-week-2019">https://www.etsi.org/events/1601-etsi-iot-week-2019</a>	Academia, public and private sectors involved with ICT standards, technical planning and development, research and innovation, civil society



Event Name and place	Website	Audience
<b>Annual Conference on Governance of Emerging Technologies: Law, Policy, and Ethics,</b> Phoenix, USA	<a href="http://events.asucollegeoflaw.com/gets/">http://events.asucollegeoflaw.com/gets/</a>	Academics from diverse fields interested in the governance issues and challenges posed by emerging technologies. Discussions with stakeholders on regulatory, governance, legal, policy, social and ethical aspects of emerging technologies
<b>Computers, Privacy and Data Protection (CPDP) Conference,</b> Brussels, Belgium	<a href="https://www.cpdpconferences.org">https://www.cpdpconferences.org</a>	Academia, public and private sectors and civil society from over 40 different countries
<b>International Conference on Information Systems (ICIS),</b> Munich, Germany	<a href="https://icis2019.aisconferences.org">https://icis2019.aisconferences.org</a>	Information systems researchers from around the world.
<b>European Conference on Information Systems (ECIS),</b> Stockholm, Sweden	<a href="http://ecis2019.eu">http://ecis2019.eu</a>	Thinkers, innovators, Information systems researchers.
<b>UK Academy for Information Systems Conference (UKAIS),</b> Oxford, UK	<a href="https://www.ukais.org">https://www.ukais.org</a>	Academics, leading scholars in the Information Systems field from the UK and overseas
<b>The EuroScience Open Forum (ESOF) 2020,</b> Trieste, Italy	<a href="http://www.proesof2020.eu">http://www.proesof2020.eu</a>	Thinkers, innovators, policy makers, journalists and educators from over 90 countries to discuss current and future breakthroughs in contemporary science, the public
<b>Websummit,</b> Lisbon, Portugal	<a href="https://websummit.com/">https://websummit.com/</a>	Thinkers, innovators, policy makers, journalists, academics, technology companies, civil society.



Event Name and place	Website	Audience
<b>EBS 2019</b> , Brussels, Belgium	<a href="http://www.ebsummit.eu">http://www.ebsummit.eu</a>	Thinkers, innovators, policy makers, journalists, academics, technology companies, civil society.
<b>#ThinkTank, Responsible Innovation 4.0</b> , Vienna, Austria	<a href="https://www.respect.at/site/de/kalender/events/calendar/2025.html">https://www.respect.at/site/de/kalender/events/calendar/2025.html</a>	Thinkers, innovators, academics, industry.
<b>Educate to Create</b> , Sofia, Bulgaria	<a href="https://educatetocreate.bg">https://educatetocreate.bg</a>	Academics, researchers, policy makers, entrepreneurs, students.
<b>Think Digital</b> , Brussels, Belgium	<a href="https://www.thinkdigital.eu">https://www.thinkdigital.eu</a>	Business and policy experts, civil society, academics.

Table 4: Potential events relevant to SHERPA.

For the events attended by SHERPA up until M14 see Annex 10.

### 3.2.6. Posters

TRI will design five posters in accordance with the project’s visual identity and will display these at third-party events or at SHERPA workshops and at other project events such as the final conference. The first poster we will develop will be a general project poster which will provide stakeholders with a brief introduction to the project.

The remaining posters will include the key project findings and the messages that SHERPA wants to convey to stakeholders and their specific contents will be decided as results become available. Example topics include (but are not limited to):

1. Results from the case studies/scenarios
2. Delphi study results
3. Online survey results
4. SIS and human rights issues
5. SIS workbook

As of year 1 of the project, posters have not been produced by the consortium as they have not been necessary for the events attended by SHERPA.

During the Web Summit event, a project poster was provided as a part of the booth set up. Since flyers were also disseminated, the consortium felt this sufficient for the event.

For SHERPA’s presence at EBS 2019, in which SHERPA was featured as a part of the “Meet the Expert” section of the event, a SHERPA roll-up was created. This roll-up is shown in Annex 14.



### 3.2.7. Project events

All project events will be promoted on the project website and on social media. However, partners are also responsible for promoting all public events organised within or connected to SHERPA. We recommend using the means of communication described in this document to reach potential participants and encourage their engagement. Partners will report details of events they organise or participate in in the monitoring document available in the shared workspace. The monitoring activity is specifically requested by the European Commission and is therefore mandatory for reporting.

The SHERPA scenario workshops will be important occasions (but not the only ones) to engage stakeholders during the project lifetime and three workshops are envisaged to discuss the five SIS scenarios (WP1). The first workshop was organised by TRI on 3 July 2018 at the Brussels office of Innovate UK. It dealt with the first scenario, i.e., AI that mimics people, and was the first activity in a series of planned scenario iterations with a wider network of stakeholders. Each of the two remaining workshops will focus on two different SIS scenarios (details below).

Five focus groups and meetings will be organised (planning will start in M12), to discuss SHERPA findings with ethics committees and other stakeholders, representing further occasions for increasing stakeholder engagement and dissemination of results.

EUREC will organise five Stakeholder Board meetings (see Section 2 of this deliverable) which will serve as a platform for a two-way exchange between SHERPA and the different stakeholders. The first Stakeholder board meeting was held in July 2018 in Brussels. The upcoming meetings will be organised for project months 13, 19, 29 and 41

The final conference, which will take place in M42 (October 2021), will be the final and most prominent project dissemination event to present and discuss the outcomes of the project, strengthen connections between partners and stakeholders, increase stakeholder engagement and influence policymakers. As the final conference will bring together researchers, media, national and EU policymakers and other stakeholders, we will seek to host the conference in Brussels at an opportune time, i.e., in conjunction with a larger policy-related event to facilitate participation of EU policymakers. In addition to presentations from consortium partners, the event will feature insightful talks from third-party speakers, which will pose questions for further discussion.

A full account of the events organised by SHERPA will be given in deliverable 5.5 in M12 (April 2019) and updated on a yearly basis in months 24 (April 2020), 36 (April 2021), 42 (October 2021).

Event		Place and date	Organising partner
Project Meetings	Kick-off meeting	Brussels, Belgium (2-3 May 2018)	DMU
	GA meeting	Vienna, Austria (6-7 December 2018)	DMU
	GA meeting	London, UK (13-14 May 2019)	TRI



Event		Place and date	Organising partner
	GA meeting	Cyprus, Cyprus (10-11 October 2019)	UCLAN
<b>Workshops</b>	AI and Big Data: Ethical and Human Rights implications	Brussels, Belgium (3 May 2018)	UCLANCY
<b>Scenario workshops</b>	AI that mimics people	Brussels, Belgium (3 July 2018)	TRI
	AI in Education	Brussels, Belgium (17-18 Sept 2018)	UCLAN
	AI in Defence	Brussels, Belgium (17-18 Sept 2018)	TRI
	AI in Law Enforcement	Enschede, Netherlands (25-26 Sept 2018)	Twente
	AI in Transport	Enschede, Netherlands (25-26 Sept 2018)	Twente
<b>Stakeholder Board meetings</b>	First stakeholder board meeting	Brussels, Belgium (3 July 2018)	EUREC
	Second stakeholder board meeting	London, UK (14 May 2019)	EUREC
	Third stakeholder board meeting	TBD (M19)	EUREC
	Fourth stakeholder board meeting	TBD (M29)	EUREC
	Fifth stakeholder board meeting	TBD (M41)	EUREC
<b>Focus groups</b>		TBD (between M12 and M28)	UCLAN
<b>Final Conference</b>		Brussels, October 2021	EBS

Table 5: Project events



### 3.2.8 Collaboration with other EU projects

SHERPA will identify, connect and collaborate with other initiatives and EU-funded projects with similar topics and objectives, especially other SWAFS<sup>7</sup> projects (e.g., CANVAS, DEFORM, ENERI, ENTIRE, I-CONSENT, PANELFIT, PRINTEGER, PRO-RES, SIENNA, TRUST, VIRT2UE) to support SHERPA's impact. Examples of envisaged collaboration activities include the organisation of joint workshops, a possible joint final project event, promoting each other's events/key outcomes via news items on the project website and on social media, etc. These activities are key to develop synergies, and improve knowledge sharing and information exchange between researchers and innovators.

Initial contact with related projects was established during a clustering meeting organised by the European Commission in Brussels on 1 June 2018. One immediate outcome was that SHERPA and PANELFIT, the two projects funded under the same call, agreed to collaborate closely and keep each other informed. A representative of PANELFIT was invited to join the SHERPA Stakeholder Board and the SHERPA coordinator was invited to join the advisory board of PANELFIT. Further collaboration across the projects that fall into the area of responsibility of the Ethics section is being prepared and will be reported when appropriate.

#### **SHERPA – SIENNA – PANELFIT collaboration**

In November 2018, PANELFIT, SHERPA, and SIENNA began collaborating and working together to find ways and means to maximise the impact of each of the three projects. This has required defining the scopes of each project, pinpointing what the similarities are, but also what makes each project unique (non-competing) and presenting outcomes to overlapping audiences.

In the first instance, the three projects have agreed to:

- Follow each other and retweet/share content on social media reciprocally
- Feature each other's channel on YouTube
- Feature each other's logos, short description and website link on project websites
- Produce joint content (e.g. editorial, webinar, video etc.)

Further forms and means for collaboration will be explored as the project progresses and will be discussed in monthly conference calls.

### 3.2.9. Webinars

Webinars will be an important activity to engage with policymakers and regulators, civil society organisations, and academics to inform them about the SHERPA project and its deliverables, but mostly to influence SIS-related policymaking and build connections to increase outreach.

We plan to organize at least six webinars over the course of the project, each of which will cover a different topic. The webinars will be delivered by different partners and the topics they cover will be defined according to the partners' expertise. Example topics identified include (but are not limited to):

1. General Introductory webinar (DMU) – Bernd Stahl (DMU) presented the project on April 10, 2019
2. Case studies (UT) – September 4, 2019 presented by Kevin Macnish (UT)
3. Scenarios (TRI) – to be held in November 2019, presented by Tally Hatzakis (TRI)
4. Security issues (FSEC) – projected for February 2019
5. Human rights and SIS (AHR/UCLAN) – date TBD

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<sup>7</sup> Science with and for Society; a H2020 pillar.



6. Workbook (DMU) – date TBD
7. Ethical issues (UT) – date TBD
8. Standards development for SIS (NEN) – date TBD

The webinars were planned to begin as results became available and in discussion with partners.

The format is a 20-minute presentation followed by a 20-30-minute Q&A session to be more engaging and encourage the audience to participate in the discussion.

After searching for and comparing different webinar platforms, the platform we chose for hosting the webinars is [LiveStorm](#) because it's user-friendly, straightforward and has a number of features (e.g. customisable registration page, webinar recording option, etc.) that other platforms don't offer. DMU pays a monthly subscription to be able to use some of the premium features of the platform while TRI helps set up the platform for each webinar and manages registrations (see DMP (D6.4) for GDPR compliance).

The main reason for choosing to pay for the platform rather than adopting a free version is the number of potential attendees the platforms allow. Most free platforms (or free versions of a platform) allow a limited number of participants per webinar which greatly limits the number of stakeholders we can reach out to. For example, GoToMeeting, which is used for SHERPA consortium monthly calls (see DMP (D6.4) for GDPR compliance), allows a maximum of 25 participants, and the free version of LiveStorm only allows 10, while in the paid version 100 people can join. All platforms we compared had similar limitations, hence our choice for subscribing to LiveStorm.

When attendees register to a webinar, they provide their name, surname, email address and organisation (optional) information and must accept the [LiveStorm Privacy policy](#).

To reach a wider audience we will record the webinars and post the recordings on our website and on social media. This does not represent a privacy issue because no information related to attendees is visible to the public when the webinar goes live, nor is it recorded. During the Q&A sessions, the attendees will be able to type their questions in the questions tab and will only be able to see their own question/s. The names and number of people attending, and the list of questions will only be visible to the person giving the presentation who will read the questions out loud and reply without mentioning the person's name (see DMP (D6.4) for GDPR compliance).

### 3.3. Barriers, risks and mitigation measures

One of the main risks (although quite improbable given the current interest in the project topic area) relates to the inherent difficulties of drawing and sustaining the interest of stakeholders in the project results, and particularly in the use and uptake of the consortium's proposals. WP2 focuses on stakeholder identification, analysis and consultation – three key elements of successful CSAs. Stakeholders will be involved in every step in our approach using a variety of means: interviews, focus groups, Delphi study, survey, meetings, workshops, communication actions, Stakeholder Board, etc. Furthermore, the consortium includes partners who are recognised experts in their respective domains (e.g., SIS ethics, privacy and data protection, law, human rights, cybersecurity) who will benefit from the project, and carry forward its experience in their domains. This will boost the visibility and awareness of the project's results. Moreover, the consortium has good links with other stakeholders, networks and projects dealing with big data, AI and SIS.

The following table describes other risks and the proposed mitigation measures.



Risk relating to dissemination	Level	Mitigation
Gaining acceptance and buy-in for the workbook and guidelines developed in the project	Medium	SHERPA has already addressed this barrier by adopting an inclusive approach and establishing a stakeholder board that will be invested in publicising and supporting the sustainability of the project outputs
GDPR requirements for privacy notices and opt-in procedures could hinder recruitment of newsletter subscribers and use of stakeholder contact list developed by WP2.	Medium	As of year 1 of the project, no issues have arisen regarding newsletter subscribers. Our stakeholder list currently has approx. 1000 contacts and is continuing to grow as more people join our network.  However, a strategy to mitigate this risk will be developed by WP1, WP2 and WP5 together should the problem arise.
Failure to communicate the complexity of ethical and legal dilemmas relating to technology that is difficult to understand.	Medium	WP5 will develop anchoring strategies and framing for each technology area to support public understanding of science.
Risk that diversity in networks, languages and expertise, regions and countries make messages coming out of SHERPA irrelevant to national and regional and/or international audiences	Low	SHERPA partners will take an active role in adapting, translating and communicating messages to their networks.
Risk that public deliverable reports impede scientific publication as results are already published in the public domain	High	The exploitation manager will discuss publication plans in relation to timing of online publication of deliverable reports to ensure publication of deliverables do not interfere with plans for scholarly publication.

Table 6: Dissemination risks and mitigation measures

These risks will be reviewed and monitored during WP5 calls and/or discussed in the SHERPA project management calls.

## 3.4. Monitoring and evaluation

### 3.4.1 Dissemination KPIs

The table below illustrates a list of key performance indicators (KPIs) for the different channels used in the dissemination of the project's results.



Instruments	Target stakeholders	KPIs	Expected impact
Peer-reviewed journal articles	Researchers	at least 5	Provide information about key issues raised by SIS to academics
Opinion pieces or short articles in industry magazines	Policymakers, innovators, security companies, and professional bodies	Three	Influence on public policy, smart information sectors. Influence of public opinion on SIS.
Presentations at third-party events	Industry, standardisation bodies, academics, policymakers	12 events	Build connections and networks between SHERPA and its stakeholders including policymakers
Policy messages (A policy messages 'box' will be included in each of the short briefings below.)	Policymakers and regulators	Two per year	Influence SIS-related policymaking.
Briefing papers (Short briefings will be written about each of the deliverables following review discussions.)	Civil society organisations (CSOs), policymakers	At least two (one for research funding agencies and one for civil society organisations)	Galvanise CSOs and policymakers to take actions re SIS ethical and societal impacts via summaries of issues, implications and courses of actions.
Newsletters	Policymakers, industry, academics, journalists, CSOs, other stakeholders	Four times a year	Provide information about the project, call to action to participate in the project, its deliverables, recommendations (including policy recommendations) and relevant news items.
Webinars	Policymakers and regulators, civil society organisations, academics	At least six (two per year)	Influence SIS-related policymaking, build connections with CSOs to increase outreach, inform academics about the SHERPA project and its deliverables



Instruments	Target stakeholders	KPIs	Expected impact
Posters	Researchers, innovators	Five	Provide stakeholders with a brief introduction to the project and where to go for more information.

Table 7: Key performance indicators for dissemination activities

We will monitor these KPIs and keep track of achievements on an ongoing basis by recording the achieved KPIs in the SHERPA monitoring spreadsheet (see Annex 8). Moreover, KPIs will be reviewed and monitored during WP5 calls and/or discussed in the SHERPA project management calls.

## 4. Communications

### 4.1. Objectives and strategy

This section outlines the strategy for communicating and raising awareness about the project, including objectives, the actions to be taken, their timing, the target groups to reach, and the means and channels to reach them. EBS and TRI are the lead partners of the communication activities, however all partners are jointly responsible for promoting the project.

While our dissemination strategy aims to reach audiences that may take an interest in the potential use of the results (e.g. scientific community, industry, policymakers), our communication plan focuses on reaching out to the general public showing the impact and potential benefits of SHERPA on society<sup>8</sup>. Although the consortium aims at establishing a transparent, two-way conversation with stakeholders, partners are aware that the project focuses on a sensitive matter (ethical, human rights and security issues of smart information systems) and therefore care must be taken when communicating with the public and media to avoid unnecessary misunderstandings about the nature of the project and incorrect perception of its activities. The partners must be aware that the online communities (e.g., as embodied in discussion forums or comment threads on news websites) can easily misunderstand and misrepresent potentially controversial projects (and SHERPA is one of them, as it covers high-profile topics, i.e., artificial intelligence, big data analytics, as well as ethics and privacy issues).

SHERPA will promote engagement with relevant stakeholders, including the public and the media, and sharing of experiences by communications activities targeted and adapted to various audiences. Communication in the SHERPA project will be greatly boosted by the fact that it focuses on high-profile topics (SIS, AI, big data analytics) that is currently widely covered by the media, academic and scientific discourses.

All the SHERPA communication activities that will occur over the lifetime of the project will serve to promote the project and its results to a multitude of audiences. These cover a set of dedicated actions aimed at engaging relevant stakeholders, including the media and public, with regard to the project, its key findings and results and, when possible, stimulating feedback from the stakeholders. The emphasis here is on widely publicising the content of the SIS workbook, including case studies, scenarios, results of the Delphi study, and the online survey as well as benefiting from the views and opinions of relevant stakeholders (including the public) with regard to SIS, how SIS affects their lives, whether and to what extent they think SIS should be regulated. The diverse range of audiences for SHERPA communications means we need to acknowledge that most of our audiences lack expertise in some of the areas covered by SHERPA. For this reason, tactics for

<sup>8</sup> <https://www.iprhelppdesk.eu/sites/default/files/EU-IPR-Brochure-Boosting-Impact-C-D-E.pdf>



communicating complex messages to non-expert audiences will be put in place. These include ensuring external communications are interesting and inclusive to all audiences and that content is readable and accessible, targeted to the audiences' needs and interests. Moreover, consistent messaging and a clear project identity will help ensure SHERPA is identifiable and recognisable as a leading point of reference for this area of research.

### **Partner involvement and Visibility Working Group**

Engaging partners is key to ensuring the project outputs reflect the work put in by all parties involved in the project. For this reason, a visibility working group has been created to ensure that all partners contribute to the promotion of the project (e.g. by writing short blogs for the project website, mini press releases, etc.). The project visibility meetings are being scheduled monthly with a minimum representation from each of the individual partners. The visibility working group will plan new content and the best means for further and effectively communicating the project results that have been obtained so far (e.g. case studies, scenarios, etc.) and other deliverables as they become available.

### **Content Calendar**

As of August 2019, the SHERPA Project has created a content calendar for the dissemination of content on the website such as blogs, press releases etc. to keep track of project outputs. This level of organization is necessary to ensure that blog posts are equally distributed among partners. Allowing all partners access to this document will also assist their social media teams to post content about the project and help the communications team to ensure that a variety of content is being published about the project throughout the project months.

## **4.2. Communication tools, channels and multipliers**

The partners will use a variety of channels for communication purposes:

- Website
- Social media (i.e., Twitter, Facebook, LinkedIn, YouTube SHERPA channel)
- Flyer
- Infographics
- Press releases
- Videos

We will review these instruments at regular intervals for efficacy (months 18, 36).

### **4.2.1. Website (*\*also a dissemination tool*)**

The SHERPA website was launched in M1 (May 2018) and is managed by DMU. It serves as the main point of contact for the project, with a structure that allows the consortium to tailor communications for different target audiences as the project progresses. Details on the technical aspects of the website and how visits will be monitored (e.g., Google Analytics) have been submitted as D5.2.

News, blogs, call to actions and project outputs (e.g. public deliverables, videos, flyers, etc.) and, ultimately, the workbook will be posted on the website (and on social media) to create a complex "living and breathing" website that is updated regularly with relevant information. Partners will be invited to create their own articles that will feature in the news section of the website and the homepage as well.

The SHERPA website will be closely aligned and integrated with the ORBIT online resources. ORBIT, the Observatory for RRI in ICT<sup>9</sup>, provides much of the functionality that will be required for a strong web

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<sup>9</sup> <https://www.orbit-rri.org>



presence. More importantly, ORBIT is an environment that can draw on existing members and contacts with an interest in SHERPA activity to ensure broad visibility and reception of the SHERPA findings.

The website is currently online: <https://www.project-sherpa.eu/>.

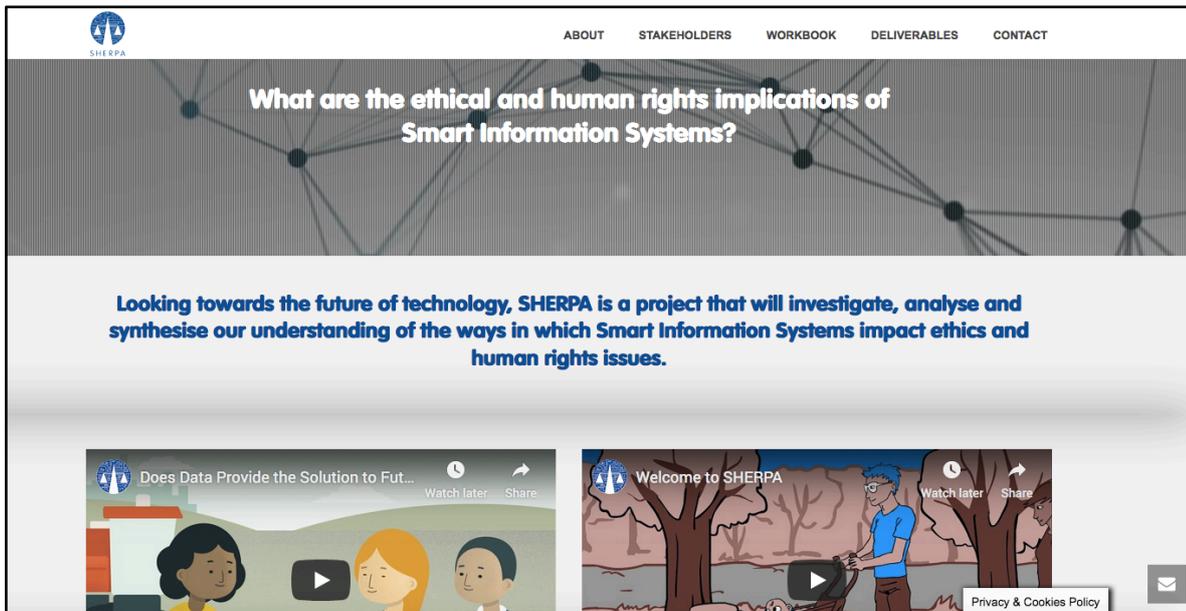


Fig. 1 Screenshot of the SHERPA website

The website includes a password protected area (the SHERPA Project Management tool) which is only accessible to the consortium.

The SHERPA Project Management tool (see screenshot below) allows all SHERPA members to collaborate on deliverables, files and facilitates to-do lists and more. The automated emails feature will ensure members are kept up to date with happenings relevant to them.

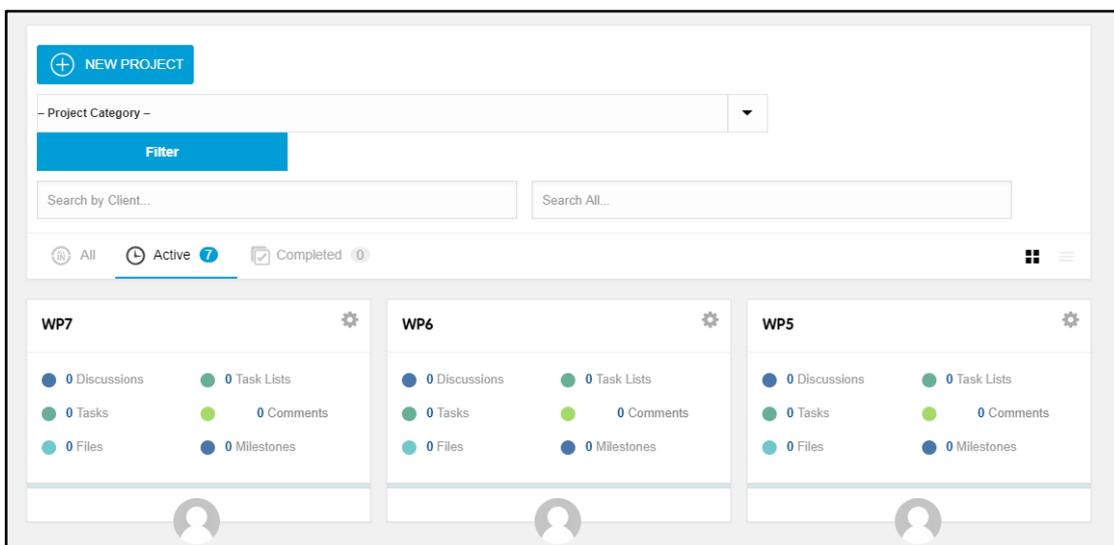


Fig. 2 Screenshot of the SHERPA Project Management tool

#### 4.2.2. Social media accounts

Publication of new information on the SHERPA website automatically syndicates all social media platforms so that tweets and posts are created with the latest project information. This does not happen for videos which are hosted on YouTube and added to the website once available.



Many of the topics covered by SHERPA are already discussed on social media platforms. To ensure SHERPA is part of this discussion and help extend the reach of SHERPA communications, we will use a combination of official SHERPA social media channels and channels owned by partners and stakeholders in the project.

SHERPA is currently using the following social media networks:

- [Twitter](#)
- [Facebook](#)
- [LinkedIn](#)
- [YouTube](#)

See DMP (D6.4) for GDPR compliance for the above channels.

## Twitter

A [Twitter account](#) for SHERPA was set up in May 2018 to start posting news about the project as soon as possible. As of 23 August 2018, we had 65 followers and as of 11 September 2019 we have 273.

The total number of tweets in the first year of the project (as of 11 September 2019) is 165 (including retweets) and KPIs for the next year/s (see Table 8) are based on this benchmark.



Fig 3: Screenshot of SHERPA Twitter account

## Facebook

An account has been created for SHERPA on [Facebook](#) which has been up and running since July 2018. Just like our Twitter profile, we update the page with news from the project weekly.





Fig 4: Screenshot of SHERPA Facebook account

## LinkedIn

Our stakeholder list has a number of people that are only reachable via LinkedIn, so we set up a [LinkedIn page](#) to connect with these stakeholders and keep them updated with the latest news about the project by posting new content weekly.

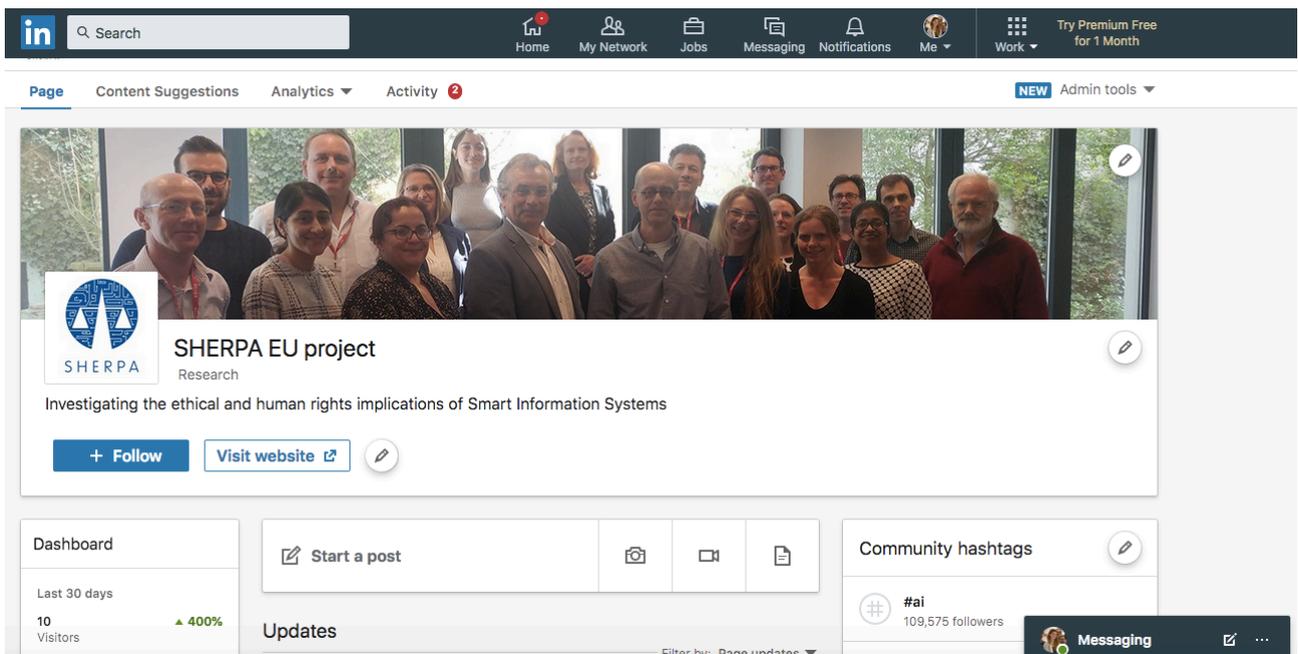


Figure 5: Screenshot of the SHERPA LinkedIn page



## YouTube

A [YouTube channel](#) has been created for posting project videos as they become available. This has been up and running since July 2018. This channel hosts SHERPA videos including webinar recordings and animations and features the [SIENNA channel](#) and videos produced in collaboration with the SIENNA and PANELFIT projects.

Once videos are finalised, we will embed them onto the website and include relevant keywords and phrases to ensure they are picked up by search engines and visitors alike.

We chose YouTube as our platform for hosting the SHERPA videos because of its widespread use compared to other platforms for hosting videos. Moreover, having a YouTube channel allows us to feature the SIENNA and PANELFIT videos (which are also on YouTube) on our channel (and vice versa), which helps us build a larger community with the other projects.

## Social media strategy

In the initial phases, the SHERPA partners' institutional accounts and consortium members active on Twitter are instrumental to building a following. The [@project\\_sherpa](#) account follows partners, organisations and individuals. Consortium members are asked to follow us back and help share information to their networks by re-tweeting content from the account.

Content relating to the project is being shared on a regular basis (four posts per week on average) to showcase the international and multidisciplinary nature of the project. Project videos, infographics and website content will also be shared, followed by public deliverables and publications from the project as they become available. We also re-tweet posts that are relevant to SHERPA and the copy of each tweet is carefully planned and written to include engaging messages, relevant hashtags and Twitter handles where possible, and links to direct traffic to the SHERPA website.

Project partners are expected to help disseminate SHERPA and its outcomes through their social media accounts too. Individuals can also use their personal LinkedIn profile to reach out to their network. When posting on Twitter, we recommend using the project's Twitter handle ([@project\\_sherpa](#)) and relevant hashtags (e.g., #artificialintelligence, #bigdata, #SIS, #AI etc.) to give the tweets more visibility. When tweeting, the use of an URL-shortened link is recommended if there is the need to point at specific pages of the website considering the limited number of characters allowed by Twitter. Furthermore, we recommend using images to create more engaging content for the tweets. Only images that are free for reuse (under [Creative Commons License](#)) are to be used, except of course, when using pictures taken during project events (with consent from participants) or SHERPA materials (e.g. infographics).

Because of the widespread use and popularity of Twitter with policymakers, journalists, European projects, researchers, influencers and other stakeholders, our strategy for posting on social media is greatly focused on Twitter (e.g., checking which topics and hashtags are trending in the sector, following and retweeting relevant content, etc.) because it is the channel through which we are most likely to achieve greater engagement and impact. However, we will be using Hootsuite (See DMP (D6.4) for GDPR compliance) to plan our posts on social media ahead and schedule them, so they are posted on all our social networks (Twitter, LinkedIn and Facebook) simultaneously. Having the same number of posts and the same content on all social media networks will allow us to reach different audiences that we may not be reaching through Twitter.

Given that our strategy for posting on social media is greatly focused on Twitter, we have set a list of KPIs for Twitter, as shown in the table below. We will monitor these KPIs and keep track of achievements on an ongoing basis by recording our activities in the SHERPA monitoring tool (see Annex 8). Moreover, KPIs will be reviewed and monitored during WP5 calls and/or discussed in the SHERPA visibility working group calls.



Instruments	KPIs
Followers	100/year
Average number of Engagements	100/month
Posts	At least 4/week

Table 8: Key performance indicators for Twitter

### 4.2.3. Flyers

TRI has designed a project flyer to be used as an outreach tool to promote the project and its objectives to the industry and academics. The flyer was shared with participants at the EC Cluster Event on Research Ethics and Research Integrity, held on 1 June 2018 in Brussels.

The flyer has been published on the SHERPA website and more flyers will be printed and distributed at third-party events to reach a wider audience.



Figure 6a SHERPA flyer





Figure 6b SHERPA flyer

The flyer was updated in November 2018 specifically for the Web Summit event which took place in Lisbon, Portugal, on 5-7 November 2018. The new flyer contained updated information on the case studies and scenarios, with a QR code linking to a section on the project website dedicated to our scenario work (see Annex 4).

It was then updated again in February to include more updated information about the work of the project and June 2019 to add a QR code linking to the [Join the stakeholder network page](#) on our website (see Annex 5).

#### 4.2.4. Infographics

We will develop at least five different infographics which will serve as an important tool to share SHERPA's key messages and results with lay audiences. The topics for the infographics will be in line with the ones addressed in the videos and posters in order to be coherent with the messages we convey. Because infographics can be used to portray different kinds of information and can be used to break down and simplify complex messages, they are the perfect means to reach different audiences, ranging from researchers, innovators, civil society, all the way to policymakers. Moreover, they are easily embedded in different kinds of documents and media tools. For these reasons, all SHERPA partners are encouraged to use the developed infographics to raise awareness about the project by sharing them by email, in newsletters, reports and posting them on social media whenever possible. All infographics will also be published on the project website.

In April 2019, in collaboration with TRI, EBS designed infographics summarising the five different SIS scenarios (see Annex 13), the purpose of which is to make the contents of D1.2 more engaging and thus to stimulate the public's interest in the scenarios and their willingness to provide feedback on them. They are published on the [SHERPA website](#) and used to promote the scenarios on social media.

#### 4.2.5. Press releases

Press releases will be one of the main formats to inform the media and achieve a wide dissemination and communication of results, especially to the public, and ultimately increase interest in SHERPA and the topics it covers both at the local and European/global levels.



Press releases will be prepared upon reaching major project milestones, such as the start and end of project and at least one per key WP. SHERPA expects to publish six press releases – although this number might increase depending on the need – on the project website, CORDIS Wire and other newspapers/magazines. Press agencies may be involved to increase general distribution and achieve a higher press coverage, which will be closely monitored and recorded in the shared monitoring document (see Annex 8).

Partners are invited to translate press releases and forward them to local media and their institution's press offices (when available) in order to encourage their uptake by at least one newspaper in each of the partners' countries.

In particular, we expect to release press releases according to the following milestones:

1. Launch of project
2. Completion of case studies/scenarios and launch of online survey
3. Survey results publication
4. Delivery of Delphi
5. Availability of SIS workbook
6. Project final event

The first press release was distributed in M2 (June 2018) to promote the launch of the project. It was translated into French and Dutch and published on the SHERPA website, on the partners' websites and shared through social media. It received a good press coverage and was featured in about 15 online magazines/websites (for details see Annex 10).

### **Mini Press Releases**

To reach the media and spread the messages developed by SHERPA, the Communications team will write and disseminate mini press releases every 3 months (starting in M18). These press releases will detail outcomes from the project, including retro-active deliverables such as the case studies and scenarios. This will be disseminated to a shortlist of journalists who are currently working in the field of AI, Big Data and technology in general, some of who have concrete ties to project partners. This strategy was developed to help with the dissemination of project outcomes to a wider audience via media outlets.

### **Media lists**

SHERPA partners will work together to build an effective media list in order to achieve a wider distribution and press coverage for our press releases. The project's media list will be built through a concerted effort among partners who will identify the specialised and general press that, in the various European countries, has shown an interest in the themes and topics developed in the project.

### **4.2.6. Animated Films**

There will be 10 animated films which will illustrate the work produced as part of the project. The first film will serve as an introduction, while seven further films will illustrate the case studies and scenarios produced as part of Work Package One. Two films will be reserved for dissemination and advocacy.

### **Production of Introductory Film**

Production of the introduction animation started in the week ending the 27th May 2018 (week 1) and was delivered and published in September 2018.



Introductory Animation	Month 1		Month 2				Month 3				
	Week 1	Week 2	Week 3	Week 4	Week 5	Week 6	Week 7	Week 8	Week 9	Week 10	Week 11
Scripting											
Script Approval											
Rehearsal of narration											
Recording of narration											
Narration optimisation											
Illustration of 9 panels											
Storyboard panel review											
Approval of storyboard											
Animation											
Approval and release											

Table 9: Production Schedule for Introductory Film

### Case Study and Scenario Films

Each film will take 14 weeks to produce.

	Week													
	1	2	3	4	5	6	7	8	9	10	11	12	13	14
Scripting														
Script Approval														
Rehearsal of narration														
Recording of														



	Week													
	1	2	3	4	5	6	7	8	9	10	11	12	13	14
narration														
Narration Optimisation														
Illustration of 9 panels														
Panel Review														
Approval of storyboard														
Animation														
Approval and release														

Table 10: Production Schedule for Individual Films

- Production started towards the end of March 2019 (month 11) when the case studies and scenarios were completed.
- Production of a new film will be started every five weeks.
- The style of each film will be adapted to suit the topic and content.
- From June 2019, a new film will be released every month until January 2020. This will provide a constant media presence and campaign to ensure maximum engagement with the work that is produced as part of the SHERPA project.

### Advocacy and Dissemination Films

The production schedule for the two advocacy and dissemination films was finalised in March 2019 (month 11). The final film will illustrate the recommended solution.

All the films will be instrumental in the engagement with stakeholders, the development of a community and in disseminating and communicating the work of the SHERPA project.

#### 4.2.7. Artistic Representations of AI and SIS in Society

SHERPA includes an artist as a regular consortium member. At the time of writing this deliverable (August 2018), the process of appointing the artist was still ongoing. The rationale behind having an artist integrated into the consortium is that it will ensure long-term and close collaboration between the artist and the consortium. The integration will allow the artist to develop a longer-term vision for the art which can draw on the expertise of the consortium and stakeholders.

The artistic representation will help broaden the audience of the SHERPA project. As can be expected from a research project, the work plan is very academic and text oriented. This is appropriate for the project overall but will include large numbers of individuals who are affected by SIS or would like to engage in the reflection



about them. The artist's work will overcome this barrier and offer a different way to engage with SHERPA work, thus raising the profile and the impact of the project.

The website [www.sherpapièces.eu](http://www.sherpapièces.eu) will be home to the creations by PJ. The first creations are:

- A "personality quiz" that helps critically explore one's techno-ideology. It also gives a movie suggestion that will help explore different ways of thinking. The quiz is built in a privacy friendly way (see DMP for GDPR compliance). It's a reflection on the surprisingly important role of personality quizzes in the development of machine learning algorithms. An example was the way Cambridge Analytica relied on quizzes to create an algorithm that can turn Facebook likes into a psychological profile.
- A collection of "AI water pistols" which can only fire on certain groups in the population. Hidden in the gun are a camera module and a processor. It uses machine learning to analyse the person it sees in front of the gun's barrel. The trigger only unlocks if someone from a certain demographic is spotted. For example, the first gun will only shoot women, the second will only shoot the elderly, and the third will only shoot cats. Other options are being explored. The water guns are a reflection on real world smart guns such as the Samsung SGR-AI automatic sentry gun. This gun is used on the border between North and South Korea, and has an automated decision making (and then killing) feature. The projects aim to draw attention to the fact that these smart guns are actually here, and that a popular smartphone maker produces them. The child-like exterior of these water guns represents the childlike naïvety with which these technologies are being developed and questions the rapid democratisation of the technology.

Once this project is fully developed it will be offered to various artistic and policy platforms.

The ideas on ethics that the Sherpa project generates will be translated into a prototype of a smart home from the future, called Candle. This 'design fiction' will explore what a smart home would look like if ethics were the main concern during the design process. For example, instead of connecting to the cloud as much as possible, these devices will connect as little as possible. Instead of being 'black boxes' these products will explore how the end user can be given some level of insight into how these products make decisions. The goal is for this prototype to contrast with the current range of commercial products, and thus question the assumptions currently made in the design of most smart information systems. By making the ethical questions and recommendations tangible it will help a wider audience ask the question "hey why are we designing smart information systems the way we currently do?".

### **4.3. Barriers, risks and mitigation measures**

Although our communication activities target different audiences (e.g. the public, the media) compared to dissemination, the main risks are the same (e.g., low interest in the project, failure to communicate the complexity of the topics addressed by SHERPA and thus failing to reach a wider audience) and consequently our mitigation measures in place will follow what is described in section 3.3.

However, other communication risks will require a different course of action and different mitigation measures. The table below illustrates the specific risks we have identified for SHERPA communications.



Risk relating to communications	Level	Mitigation
Failure to drive and attract traffic to the SHERPA website.	Medium	We will take Search Engine Optimisation (SEO) measures when developing content for the website (i.e., using keywords in headings, synonyms in text, adapting text to reach low readability scores etcetera). Mitigating this risk also requires using other media to drive traffic to the website, such as social networks, newsletters, as well as printed materials.
Risk that SHERPA communications become too academic to be understood by the public.	Medium	WP5 will include editorial support and review for external communications to support adaptation of messages to audience and channel.
Risk that lack of competence (e.g. journalistic experience) within the communications team impedes SHERPA communications.	Low	The SHERPA communications team is experienced in writing for different media (including press releases) and leading communications in international projects. WP5 will liaise with press offices in partner organisations to support press communications to mitigate this risk and benefit SHERPA by adding local knowledge and networks.
Risk that diversity in networks, languages and expertise, regions and countries make messages coming out of SHERPA irrelevant to national and regional and/or international audiences	Low	SHERPA partners will take an active role in adapting, translating and communicating messages to their networks.

Table 11: Communication risks and mitigation measures



## 4.4. Monitoring and evaluation

### 4.4.1 Communication KPIs

The table below illustrates a list of KPIs for the different channels used in the communication activities.

Instruments	Target stakeholders	KPIs	Expected impact
Project website	All stakeholders	Project website available at month 1, continuously updated. - Website views: <5000 – poor, 5000-10,000 – good, 10,000+ – excellent.	Interactive and informative impact on interested audiences
Press releases (translated into four languages i.e., Dutch, French, German, Spanish/other relevant language)	Media (including CORDIS Wire)	6	Wide dissemination and communication of results, especially to the public
Press coverage (SHERPA featured in the news)	Media, General public	2 articles/year	Wide dissemination and communication of results, especially to the public
Flyers to be distributed at third-party and SHERPA events.	Industry, academics, the public	At least 1	Provides stakeholders with a brief introduction to the project and where to go for more information
Infographics	Researchers, innovators, civil society, policymakers.	At least 5	Provides stakeholders with a brief introduction to the project and where to go for more information
Social media (Twitter, LinkedIn, Facebook)	All stakeholders, General public	Twitter followers: <100 – poor, 100-250 – good, 250+ - excellent	Wide dissemination and communication of results, especially to the public



		<p>LinkedIn Followers:  &lt;100 – poor, 100-250 – good, 250+ - excellent</p> <p>Facebook followers:  &lt;20 – poor, 50-100 good, 100+ excellent</p>	
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Table 12: Key performance indicators for communication activities

## 4.5. Communication guidelines

This section provides guidelines for the appropriate use of all SHERPA communication tools and materials.

### 4.5.1 Visual Identity

The visual identity is the project’s “face and personality” presented to the global community. It results from the combination of the project logo, colour scheme, infographics, templates etc. and provides a clear and recognizable project image. All partners must follow the guidelines in Annex 1, which are not meant to inhibit, but to improve the creative process. By following these guidelines, the materials partners create will represent the SHERPA project cohesively to all audiences. All SHERPA materials, both online and offline, must include EU funding acknowledgement. Only images that are free for reuse (under [Creative Commons License](#)) or from stock photo websites are to be used, except of course, when using pictures taken during project events (with consent from participants) or SHERPA materials (e.g. infographics). For more details and the full guide on the use of SHERPA’s logo, colour scheme etc., see Annex 1.

In an effort to homogenize all SHERPA outputs, our visual identity has been re-worked in summer 2019, the newsletter heading, document and presentation templates have been revised, and a new template for briefing documents for policymakers has been designed as well. This briefing document template is shown in Annex 12.

## 4.6 Timing of dissemination and communication activities

See Annex 11 (Gantt).

## 4.7 Roles and responsibility

EBS will coordinate and implement the dissemination activities in collaboration with TRI; however, all the other partners will be actively involved in the individual actions and will be responsible for the proper promotion of the project. They will also provide all the information on the progress of the communication activities, allowing continuous monitoring of their implementation and the achievement of pre-established objectives.

Partners will be responsible for the translation of materials from English into their country’s principal language, e.g., press releases. The partners have also allocated a budget for translations which fall beyond consortium competence. Each partner will make available a partner representative responsible for developing and implementing the project’s communications plan.



# 5. Exploitation

## 5.1 Objectives

The SHERPA Exploitation Plan (EP) has been developed with the objective of embedding the elicitation of exploitation opportunities throughout the project by periodically looking for exploitation candidates within the project as it runs. This is in contrast to the traditional approach where exploitation planning is done at the very end of a project. SHERPA views exploitation both in a traditional sense as the maximisation of the impact of the project deliverables, and as an opportunity to identify gaps, follow-on work and other spin-off research collaborations.

The EP describes the activities to be undertaken (how and by whom) in order to ensure exploitation beyond the project itself. Stakeholders will be precisely identified and analysed in terms of specific needs and objectives.

## 5.2 Strategy

We propose to embed the exploitation activities starting from M18 when a number of results will be available and continue throughout the project, instead of using the conventional approach of waiting until the end. This approach will allow partners sufficient time and interaction opportunities to engage around potential exploitation activities and if appropriate form new research consortia.

### 5.2.1 Periodic Exploitation workshops

Starting from M18, the SHERPA consortium will hold a workshop approximately every six months, which is open to all partners. The workshops will capture and document potential opportunities, validate and if appropriate plan further exploitation activities. These may form part of the General Assembly (GA) meetings, where appropriate.

Exploitation is defined as the use of project results for any purpose (further research, development and commercial exploitation, policy support, education, standards, etc.)<sup>10</sup>

Things which could be exploited:

- Project deliverables
- Project intellectual property
- Gaps identified in the SHERPA scope which could become new research projects

### 5.2.2 Exploitation workshop timetable

Workshop ID and approx. date	Medium	Goals	Participation	Deliverables
EW1: October 2019	Physical	Identify potential exploitation opportunities and	All partners	Populate exploitation register Update exploitation

<sup>10</sup> EC definitions taken from <https://www.iprhelpdesk.eu/sites/default/files/EU-IPR-Brochure-Boosting-Impact-C-D-E.pdf>



Workshop ID and approx. date	Medium	Goals	Participation	Deliverables
		means		contact register
EW2: March 2020	Virtual	Brainstorm and outline potential exploitation opportunities	All partners	Update exploitation register
EW3: Sept 2020	Physical	Validate exploitation channels and detail opportunities	All partners	Update exploitation register
EW4: March 2021	Virtual	Plan and implement further exploitation activities	All partners	Update exploitation register

Table 13: Exploitation workshop timetable



### 5.3 Exploitation process

The following diagram illustrates the SHERPA exploitation process.

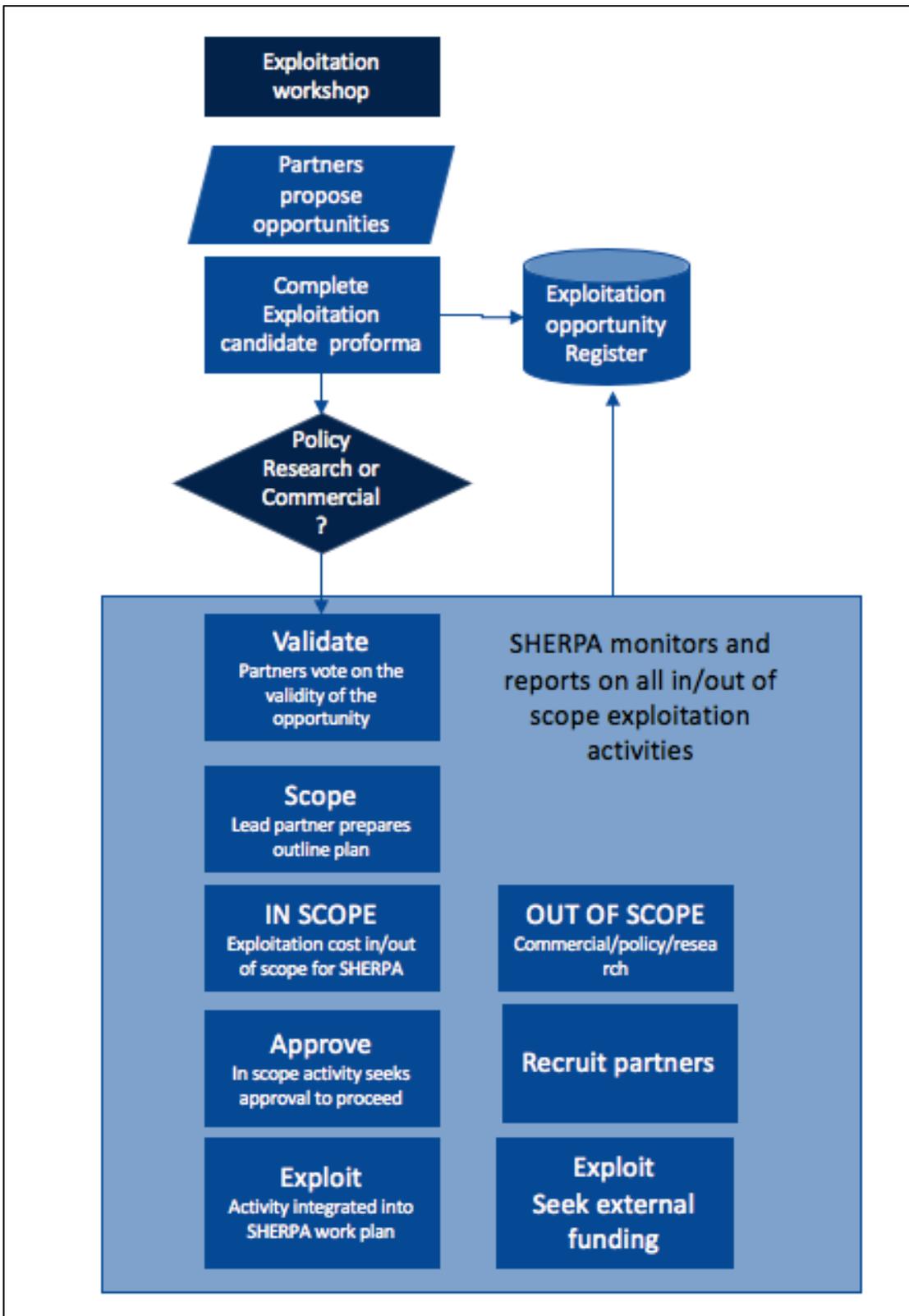


Figure 7: Exploitation process diagram



## 5.3. Intellectual property and knowledge management

### 5.3.1 IPR Management

The management of IPR is strictly governed by the SHERPA Consortium Agreement (CA) which includes all provisions related to the management of IPR including ownership, protection and publication of knowledge, access rights to knowledge and pre-existing know-how and questions of confidentiality, liability and dispute settlement.

### 5.3.2 Foreground and background IPR

In the CA, the Partners have identified the background knowledge included and excluded. The CA regulates the ownership of results. The knowledge acquired in the course of the project shall be considered as a property of the contractor generating it, and in this sense the originator is entitled to use and to license such right without any financial compensation to the other contributors. If the features of a joint invention are such that it is not possible to separate them, the contributors could agree that they may jointly apply to obtain and/or maintain the relevant rights and shall make effort to reach appropriate agreements in order to do so.

The CA also regulates the transfer of results ownership. Each Signatory Party may transfer ownership of its own Foreground following the procedures of the Grant Agreement Article

Each Signatory Party may identify specific third parties it intends to transfer the ownership of its Foreground to in Attachment to the CA. The other Signatory Parties hereby waive their right to prior notice and their right to object a transfer to listed third parties. The transferring Party shall, however, at the time of the transfer, inform the other Parties of such transfer and shall ensure that the rights of the other Parties will not be affected by such transfer. Any addition after the signature of the CA requires a decision of the Coordination Board and the Steering Committee.

Please note that the default condition for deliverables with a designation 'Public' are made available under a creative commons license.

## 5.4. Barriers, risks and mitigation measures

### 5.4.1 Risk management

The overall project risk management strategy is defined and implemented as part of WP6. The overall project risk register is Deliverable D6.2. Due to the dynamic exploitation management strategy, an exploitation specific risk register has been elicited. This will be updated from time to time to reflect the increasing clarity of exploitation activities.

### 5.4.2 Exploitation Risk register

Description of risk	Effected WPs	Risk level	Proposed risk mitigation measures
Exploitation infringes 3rd party IPR resulting in enforcement action against partners	All	medium	Where exploitation opportunities are identified, the partner leading the activity is required to establish that the "freedom to operate" has been established before proceeding and notify all affected partners. This is to be established by patent searches and other means as appropriate.



Description of risk	Effected WPs	Risk level	Proposed risk mitigation measures
Reputational risk of exploitation to consortium members	All	Low	Exploitation activities are designed, planned and implemented in a transparent and inclusive manner with all SHERPA partners. This approach gives all partners an early opportunity to comment on and direct the scope of exploitation activities.
Reputational risk of exploitation to European Commission	All	very low	Exploitation activities are designed, planned and implemented in a transparent and inclusive manner with all SHERPA partners. Periodically the details of exploitation activities will be made available to the EC Project Officer for comment.
Exploitation activities are ineffective	All	medium	Collaborative development, evaluation, selection and monitoring of exploitation activities will draw upon the extensive experience of partners to maximise the probability of effective exploitation.
Exploitation activity creates significant commercial value for one partner to the exclusion of other contributing partners	All	Low	Partners successful track records in EC-funded research projects indicates equitable behaviours are most likely in such circumstances. Equally the ethical focus of this project suggests a familiarity and acceptance of ethical business practice can be seen as adequate mitigation

Table 14: Exploitation Risk register

## 5.5. Monitoring and evaluation

### 5.5.1 Exploitation template

The following table is to be completed for each exploitation opportunity identified during the periodic exploitation workshops. The table is then to be included in the exploitation opportunity register. For proposals which proceed to implementation, regardless of whether they are deemed to be in or out of scope for SHERPA, their progress is to be monitored and reported upon in SHERPA deliverables.

<b>Exploitation template</b>	
<b>Title and type of exploitation opportunity</b>	
<b>Partner identified</b>	
<b>Result from SHERPA WP?</b>	
<b>Problem addressed by exploitation</b>	
<b>Ethical aspects</b>	
<b>Market size</b>	



<b>Exploitation template</b>	
<b>Commercial/Research/Social outcome</b>	
<b>Freedom to operate established</b>	
<b>First potential users/customers</b>	
<b>Exploitation start-up funding needed</b>	

Table 15: Exploitation template

## 5.6. Guidelines

The Exploitation Manager (EM) is responsible for designing and coordinating activities to maximise the exploitation of the project's results. The Exploitation Manager is from DMU and was officially appointed during the project kick-off meeting.

The Exploitation Manager shall:

- a) Coordinate and implement exploitation activities;
- b) Propose IPR and exploitation strategies;
- c) Prepare the Exploitation Plan and Strategy;
- d) Contribute to proper exploitation of the results by helping SHERPA partners to prepare adequate business plans and/or to get, if required, auxiliary funds for further research
- e) Monitor the use of resources for exploitation activities.
- f) Maintain a register of exploitation opportunities
- g) Arrange and manage periodic exploitation workshops
- h) Produce and update the Exploitation contacts on the project website

The Exploitation Manager (EM) will support the partners on exploitation related issues. The potential exploitation of the outcomes of SHERPA are very relevant and strategic for the EC and all the partners involved in the Consortium, for this reason the EM will keep in mind the strategic viewpoint and broader capabilities of the partners.

The EM should be kept updated by partners on progress of the project and of current IPR scenario in order to detect potentially exploitable results. An additional responsibility of the EM is to ensure that exploitation opportunity detection, validation and actioning remains consistent throughout the project and to assist the PC to evaluate the impact of the project from a societal and academic perspective.

## 5.7 Exploitation Contact Point

Each SHERPA partner will propose a team member to act as a contact point for any dissemination and exploitation activities. These individuals will represent the work package activities allocated to that partner and participate in the periodic exploitation workshops.



The project exploitation contact will be published on the SHERPA website, and updated periodically. Following each exploitation workshop, should exploitation opportunities be identified, then the exploitation contact person for the partner leading on that particular opportunity will be published to the web site also.

<b>Partner Name</b>	DMU
<b>Contact</b>	M de Heaver
<b>Email</b>	martin.deheaver@dmu.ac.uk
<b>Skype</b>	martindeheaver
<b>SHERPA responsibility</b>	Exploitation Plan

Table 16: Exploitation contact point



# 6. Advocacy

## 6.1. Objectives and strategy, including advocacy messages

### 6.1.1. Advocacy plan overview

The aim of the SHERPA advocacy plan is to outline the necessary steps to best advocate the SHERPA project recommendations based on project deliverables towards EU and national decision-makers. This plan, currently in its final preparatory stages, will include policy recommendations, advocacy objectives and targeted messages, and concrete actions to make an impact. The advocacy actions include the ACT-ON model assessment, policymakers analysis (mapping tool), relevant legislative process analysis (both on the EU and national level), bilateral meetings, emails and letters directed at advocacy targets, conference calls with advocacy targets, attendance at conferences, as well as communications materials for advocacy purposes.

The advocacy plan preparation and execution is led by the European Business Summit (EBS); however partners will be asked in September 2019 (M17) to aid in facilitation by informing and sharing contacts (advocacy capacities) with EBS via the ACT-ON assessment (see Annex 17).

### 6.1.2. Policy recommendations

In M17, EBS developed the policy recommendation questionnaire that can be found in Annex 16.

This questionnaire will be used to establish policy recommendations based on the SHERPA project deliverables. The questionnaire will guide the conversation with the SHERPA partners to capture relevant research outcomes, advocacy targets and messages as well as possible contacts who would be able to help us with strengthening advocacy impact.

EBS will schedule bilateral phone calls with partners in M17 (September 2019) and M18 (October 2019) to gather relevant information based on the questionnaire. These questions will be used to create a coherent list of policy recommendations as well as to determine whether these recommendations are in line with the SMART model<sup>11</sup>.

### 6.1.3 Advocacy objectives

Following collaborative policy recommendation calls between EBS and all project partners EBS will prepare a list of advocacy objectives using the SMART model as follows: ensuring that each objective is specific (S), measurable (M), achievable (A), realistic (R) and time-bound (T). These concrete advocacy objectives will be developed towards the end of October 2019 (M18) and serve to reinforce the results of research conducted in previous work packages.

### 6.1.4 Advocacy messages

Following the policy recommendation questionnaire calls with the SHERPA partners, EBS will prepare a list of advocacy messages towards the end of October 2019 (M18). These messages, prepared in line with the project deliverables will be tailored to specific audiences identified in Tier 1, 2 and 3 (see below). The policy recommendations questionnaire will aid in deciding how advocacy messages will most effectively be disseminated, including what kinds of messages will work for a targeted audience to be contacted by EBS on behalf of the project.

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<sup>11</sup> [https://en.wikipedia.org/wiki/SMART\\_criteria](https://en.wikipedia.org/wiki/SMART_criteria)



The messages will also be prepared in close cooperation with the SHERPA partners responsible for communications and disseminations to increase their visibility and ensure consistency and transparency. EBS has already started working on adding advocacy actions to the existing SHERPA communications such as blog posts, briefing documents, flyers, newsletters and social media. Advocacy messages will be added to all relevant SHERPA newsletters starting from M18 until M42.

## 6.2. Advocacy actions (plans for implementation)

### 6.2.1. Assessment of partners advocacy capacities with the ACT-ON model

In M17 (September 2019), EBS started preparatory work to conduct the ACT-ON assessment, analysing SHERPA partners' advocacy capabilities. These advocacy capabilities include previously established connections with EU and national policymakers, research and think tank organisations and the media. The partners are asked to provide relevant contacts, which will then be followed-up by EBS. In addition, the SHERPA partners could advise EBS on any relevant legislative processes and relevant events which would be beneficial to the SHERPA advocacy work. This process, which is currently ongoing, will strengthen partners' involvement and thus contribute to strengthening the impact of the project. The ACT-ON model template can be found in Annex 17.

The table below illustrates the ACT-ON model timeline.

Action	Status
EBS to develop the ACT-ON model template	Completed (30/08/2019)
EBS to send the ACT-ON template to the SHERPA partners	Completed (11/09/2019)
Partners to return the completed template	To be completed by 11/10/2019
Partners to send introductory emails	To be completed by 31/10/2019
First ACT-ON model review	To be completed by 31/03/2020
Second ACT-ON model review	To be completed by 30/09/2020
Third ACT-ON model review	To be completed by 31/03/2021
Fourth ACT-ON model review	To be completed by 30/09/2019

Table 17: The ACT-ON model timeline

#### ACT-ON Model explanation:

**Advantages:** SHERPA partners are experts in their respective fields with well-established connections to research organisations, think tanks, policymakers, media and civil society. In M18, each partner will offer useful contacts for advocacy purposes which they will then forward to EBS for the appropriate advocacy measures.

**Challenges:** Should SHERPA partners not be very responsive at times, there may be the need for extra coordination in making the exchange of information as smooth and regular as possible. Towards the end of



M17, EBS will mitigate this by sending regular updates and requests for information. The challenge will also be addressed by constantly checking the advocacy capacities and ensuring that all avenues are followed.

**Threats:** The main risk to assessing SHERPA’s advocacy capacities could be partners’ refusal to share their advocacy contacts (the contacts have been shared in compliance with GDPR, as they are all based on legitimate interest). Such risk, however, seems highly unlikely as all partners are committed to the project and have so far been cooperative.

**Opportunities:** SHERPA partners will facilitate establishing new connections and sharing knowledge about upcoming events. Sharing information and spotting opportunities will help the project to take advantage of emerging situations in order to advance advocacy.

**Next steps:** By assessing SHERPA partners’ advocacy capacities, EBS will be able to identify priority advocacy contacts which will be added to Tier 1 for immediate advocacy reach out.

### 6.2.2. Policymakers analysis – network mapping tool

In August 2019 (M16), EBS started conducting a basic network mapping of policymakers at the EU and national level. The mapping tool includes contact details, details on previous work on SIS related issues and level of support or opposition to the issue.

Stakeholders mapping will be developed in 3 stages – the priority will be given to the Members of the European Parliament (9th legislative), senior executives in the European Commission (respective Director Generals and members of Directorates-Generals), members of the High-Level Expert Group on Artificial Intelligence and AI experts in Brussels with whom EBS has pre-existing relation.

Mapping Members of European Parliament began in M16. The example of the mapping tool for new MEPs (elected in 2019) in the European Parliament can be found here in an annex 3. EBS will also closely monitors the changes in the European Parliament's organizational structure, mainly the selection process of the members of the parliamentary Committees that are relevant to the SHERPA project.

The second tier will focus on the new European Commission, including the new EU Commission President, EU Commissioners and Cabinet members. The new Commissioners and their respective portfolios were announced on 10 September 2019 by President-elect Ursula von der Leyen. The new Commission officials identified in tier 1, will officially start working on 1 November 2019 which marks the start of the SHERPA outreach to tier 2.

The third tier will focus on the EU national ministers in charge of portfolios relevant to the SHERPA project.

The table below shows our policymakers analysis – network mapping timeline:

Action	Status
Tier 1 stakeholders mapping	To be completed by 31/09/2019
Tier 2 stakeholders mapping	To be completed by 31/10/2019
Tier 3 stakeholders mapping	To be completed by 31/12/2019

Table 18: Policymakers analysis – network mapping timeline

### 6.2.3. Legislative process analysis

In M18 and M19, EBS will also analyse the existing legislative processes both on the EU and national level, to assess advocacy entry points and opportunities in EU Member States. The policy recommendation questionnaire and the ACT-ON model will also gather information regarding ongoing or upcoming



legislations. The purpose of the legislation mapping tool is to determine key advocacy opportunities and entry points on both the EU and national level. In M18, EBS will develop a mapping template to monitor any upcoming processes.

On 16 July 2019, the President-elect of the European Commission stated that she would like to introduce legislation on AI in her first 100 days in office. EBS will closely monitor any further announcements and develop an action plan for each relevant legislative process.

#### **6.2.4. Bilateral meetings**

Face-to-face meetings will play a crucial role in advocacy. EBS will place an emphasis on ensuring that most policymakers meetings take place in person. The SHERPA project budget will allow EBS to conduct face-to-face advocacy meeting in various Member States, which will advance the advocacy impact of the project. Starting in M17 to M20, EBS will focus on meetings with policymakers based in Brussels (and identified in the Tier 1 Stakeholders mapping tool). The objective is to have at least 1 bilateral advocacy meeting per month starting in M17 to M42. In addition to the face-to-face meetings, EBS will organise 5 conferences with private briefings which will be used to advocate to several policymakers simultaneously. The number of private-briefings participants will be between 10 and 20.

In M17, EBS will develop a monitoring document in which EBS will provide a short summary of the advocacy meetings and next steps. This document will be shared with the SHERPA partners on a monthly basis during the consortium conference calls.

EBS will also make the best use of available communications and dissemination resources developed by the partners and use them during the meetings. For example, EBS will use videos, flyers, briefing documents, posters, articles, publications and press releases to showcase the project outputs in a variety of formats to policymakers.

#### **6.2.5. E-mails and letters**

Advocacy e-mails will be sent to policymakers throughout the duration of the advocacy mandate (M18 - M41). In M17, EBS will develop an email template for advocacy purposes in order to facilitate contacting policymakers on a regular basis. The objective is to secure at least 1 advocacy meeting per month.

In addition to advocacy meeting requests, these e-mails will be used to distribute communications outputs as well as to follow-up on the latest developments. With regular email communication (at least once per month), policymakers will be able to stay up to date with SHERPA activities. In addition, policymakers will be encouraged to join the newsletter list to receive further information. Maintaining regular e-mail correspondence will be crucial to sustaining those connections. Official letters will be sent to senior policymakers (at the Minister or EU Commissioner level) aimed to introduce them to the project and propose face-to-face meetings. EBS will finalise these official letters in M17, as they are an important first step in establishing new relations.

#### **6.2.6. Conference calls**

Conference calls will be used as a tool to keep policymakers up to date with the latest developments or as way to have an advocacy follow-up. Face-to-face meetings (held at least once per month) are the preferred form of communication used for the introduction to the project to follow-up meetings, however if this option is not available, conference calls will be utilised.

#### **6.2.7. Advocacy at the third-party conferences and EBS conferences**

As of M18, EBS will also conduct advocacy at third-party conferences and events to communicate our recommendations to policymakers. These conferences are also an excellent opportunity to schedule private



face-to-face meetings with policymakers, organise a private briefing (if applicable) and to present the research findings in more detail in the fringes of the events (via meetings or otherwise).

In addition to the third-party conferences, in M16 and M17 EBS started preparatory work for the upcoming EBS event, Think Digital, in which the SHERPA project will be featured. The EBS is well-known for bringing together high-level policymakers, business experts and civil society representatives to discuss topical issues on the EU agenda. The EBS conferences will also serve as an opportunity to organise private briefings for policymakers attending the Summits.

The table below illustrates our plan and next steps for the organisation of the Think Digital conference on 7 November 2019:

Action	Status
Confirm SHERPA participation in the Summit	Completed on 26/08/2019
Invite the SHERPA partners to the conference	Completed on 2/09/2019
Add the AI and ethics panel (with SHERPA panelist) to the conference programme in order to increase the project's visibility	Completed on 2/09/2019
Add the private lunch for EU policymakers in order to discuss SHERPA in detail	Completed on 2/09/2019
Prepare the invitee list for the working lunch	To be completed by 20/09/2019
Design the invitation	To be completed by 20/09/2019
Send out the invitations	To be completed by 23/09/2019
Send out the reminder to register	To be completed by 11/10/2019
Prepare the agenda for the working lunch	To be completed by 11/10/2019
Prepare briefing documents with key advocacy recommendations to disseminate	To be completed by 25/10/2019
Prepare additional brochures and briefings to disseminate to all participants	To be completed by 25/10/2019
Send the thank you email to working group participants with additional info about the SHERPA project	To be completed by 12/11/2019

Table 19: Plan and next steps for the organisation of the Think Digital conference on 7 November 2019

### Other Events to be organised by EBS

- *European Business Summit – 10-11 June 2020* - Action plan to be developed in M19
- *Think Digital conference 2020 – November 2020* - Action plan to be developed in M24
- *European Business Summit 2021 – May 2021* - Action plan to be developed in M29
- *The final SHERPA conference – October 2021* - Action plan to be developed in M33

### Third-party conferences to attend in 2020



In M17, EBS identified key conferences to attend in 2020 (see the list below). At least 3 months prior to each conference, EBS will develop an action plan including possible speaking opportunities at each conference, meetings with policymakers attending and meetings with relevant partners and other advocacy targets in each country.

1. Politico AI Summit – March 2020, Brussels, Belgium
2. Rise of AI – May 2020, Berlin, Germany
3. The AI Summit – June 2020, London, United Kingdom
4. Tallinn Digital Summit – September 2020, Tallinn (tbc), Estonia
5. Web Summit – November 2020, Lisbon, Portugal
6. World Summit AI – October 2020, Amsterdam, the Netherlands

### ***6.2.8. Communications materials for advocacy***

From M17 onwards, EBS will collaborate closely with both the communications and dissemination partners to adjust the existing communications and dissemination deliverables for advocacy purposes. EBS has already started working on adding advocacy actions to the existing SHERPA communications such as blog posts, briefing papers, flyers, newsletters and social media. Briefing papers, flyers and videos will serve as an entry point for discussion and will be shared with policymakers prior to a meeting via email.

## **6.3. Barriers, risks and mitigation measures**

The advocacy barriers and risks in the SHERPA project that might arise in relation to the advocacy strategy are listed below.

### ***6.3.1 Inadequate policymakers mapping process and inadequate analysis of EU and national legislation process***

Inadequate policymakers mapping might result in missed advocacy opportunities. To mitigate this risk, EBS will very carefully plan each advocacy initiative taking into account the political context in the EU (both at the EU and national level) and the targeted audience. In addition, EBS will conduct the ACT-ON model assessment to ensure that advocacy will be carried out in the most effective and informed way.

### ***6.3.2 Inadequate ACT-ON model analysis***

The ACT-ON model will serve as the main tool to gather contacts for advocacy purposes. An inadequate and incomplete list might slow down the advocacy efforts or shift advocacy resources in the wrong direction. The mitigation measures will include four reviews of the ACT-ON model tool to ensure that all partners agree with EBS' actions.

### ***6.3.3 Lack of interest and/or engagement from policymakers due to a wrong choice of advocacy messages or activities***

There is a risk that EU and national level policymakers may not be interested in project findings or might not see the need for further engagement. In order to mitigate this risk, EBS, during the stakeholders mapping process, will tailor advocacy messages and advocacy activities to each policymaker, focusing on their specific needs and interests, and paying special attention to the political environment. EBS will also use a variety of communications and dissemination tools, including videos, flyers, posters, and briefings to strengthen the advocacy message delivery.

### ***6.3.4 Lack of interest in attending the final SHERPA event***

In October 2021, EBS will organise a final conference, bringing together all stakeholders interested in the SHERPA project findings and advocacy outcomes. One of the risks of organising a conference in Brussels is



the number of other events occurring simultaneously that SHERPA will have to compete against. This may result in a low number of key policymakers present and thus lost engagement opportunities. The best way to mitigate this risk would be to keep stakeholders informed about the final conference during each advocacy meeting, as well as through communications and dissemination activities.

### 6.3.5 Internal risk – lack of consistency between communications, dissemination and advocacy efforts

SHERPA has already mitigated this risk through a detailed DCEAP ensuring that each section of the plan complements others. Furthermore, project meetings and WP5 meetings work to maintain a line of communication between the communications, disseminations, and advocacy tasks. As advocacy goes hand-in-hand with communications and disseminations, EBS will stay in regular contact with SHERPA partners via WP5 calls to closely monitor the message delivery and to stay consistent and transparent.

## 6.4. Monitoring and evaluation

Through monitoring and evaluation, EBS will examine the progress of the advocacy plan. The performance monitoring will also show if the selected advocacy actions are successful.

The SHERPA monitoring and evaluation process will measure the KPIs reached during the advocacy period (M17 – M42). The list of KPIs can be found below. The monitoring and evaluating document, to be developed by December 2019, will track all incremental progress towards its advocacy objectives to ensure the advocacy strategy is moving in the right direction.

EBS will also track all policy changes in the EU Member States and evaluate whether the media coverage of ethics & human rights in SIS have changed in relation to SHERPA project outputs.

At the end of the project, EBS will contact ten policymakers for interviews to evaluate the effectiveness of the advocacy plan. The interviews will focus on analysing the changes in policy or legislation as well as the change in rhetoric, knowledge and attitude.

The monitoring and evaluation of the advocacy strategy will be reported to the SHERPA project partners every six months via email. In addition, EBS will provide regular written and oral updates ahead and during the Consortium calls.

Given that the SHERPA advocacy strategy might need to be adapted and amended due to unforeseen circumstances, the SHERPA monitoring and evaluation document above will be revisited and updated accordingly.

### 6.4.1 Advocacy KPIs

The table below illustrates a list of KPIs used in the advocacy activities.

Instruments	Target stakeholders	KPIs	Expected impact
Bilateral meetings in Brussels	Policymakers	1 meeting/month	Provide policymakers with project information and updates and present policy recommendations to impact policy on the EU level and actions to take



Bilateral meetings in EU countries	Policymakers	1 meeting every 4 months	Provide policymakers with project information and updates and present policy recommendations to impact policy on the national level and actions to take
EBS-led conferences including the project final conference	Brussels based policymakers	5 conferences	Private briefings with several policymakers (between 10-20) – presentation of the project and policy recommendations to impact policy
Third party conferences	EU and national policymakers	6 conferences	Private briefings with several policymakers (between 10-20) – presentation of the project and policy recommendations to impact policy
Emails and letters – meeting requests	Policymakers	10 emails or letters (if appropriate)/month	Provide policymakers with a brief introduction to the project; objective is to secure a meeting in order to present the policy recommendations in person to impact policy
Emails and letters – relevant SHERPA updates	Policymakers	1 email/month	Provides updates on the SHERPA activities and encourages policymakers to subscribe to the newsletter for further info
Conference calls	Policymakers	1 call every 4 months if needed	Provide policymakers with a brief introduction to the project; provide updates on the project; an added possibility to speak to national policy makers if travels not possible
Interviews with policymakers to assess advocacy work	10 policymakers (EU and national level)	10 interviews	Evaluation of effectiveness of the SHERPA advocacy work

Table 20: Advocacy KPIs



## 6.5. Guidelines

EBS will provide updates to all partners on activities and allow partners to comment on said activities. EBS is responsible for coordinating and executing the advocacy plan however partners are encouraged to share their resources such as upcoming events, contacts and other advocacy entry points through the policy recommendation questionnaire and the ACT-ON model.

Partners will not conduct advocacy activities/share advocacy messages without the permission of EBS, to ensure consistency of messaging and to avoid unnecessary overlap. Should a partner wish to engage with a policymaker at an event or due to a previous contact they are free to do so only after consulting EBS. If a partner encounters a policymaker at an event and happens to engage with them, EBS should be informed as soon as possible and all contacts should be forwarded following the initial meeting unless otherwise agreed.

## 7. DCEAP monitoring and evaluation

An important aspect of the DCEAP activities concerns the evaluation of the effectiveness of SHERPA activities and the achieved impact. The DCEAP is a living document (that will be updated as policies and plans change) and partners will evaluate their plan at the interim review and again before the end of the project, when D5.4 (Dissemination, communication, exploitation and advocacy reports) is due. However, all consortium partners are encouraged to keep track of each communication/dissemination activity (and the audience reached whenever possible) as they take place. It is important to keep track also of the feedback gathered from the target audience (if applicable) and newly gained contacts are to be listed in the contact repository/stakeholder network in the SHERPA collaborative space (private area of the website) for further dissemination or exploitation purposes.

We have developed a monitoring tool (Annex 8) for each partner to complete on an ongoing basis, but especially during the reporting periods. The tool consists of an Excel spreadsheet in which the partners will have to specify the details of the dissemination and communication actions performed and the obtained impact (i.e., audience reached with each activity). The monitoring tool is designed to meet the European Commission's requests for project promotion and dissemination of results and filling it in is mandatory for reporting. The spreadsheet, along with the guidelines for filling it in correctly (Annex 9), is available in a dedicated section of the project website (in the private area). Regular reminders will be sent to partners to update the spreadsheet.

The consortium will use the information to evaluate progress in achieving the KPIs outlined in the DCEAP. By regularly tracking our dissemination and communication activities, we will know if we are achieving impact and how far along we are in reaching our targets. Not reaching our KPIs may negatively impact our dissemination and communication efforts and appropriate mitigation measures will have to be taken. As the reasons for not reaching our KPIs can be manifold – some of the project activities may be delayed, we do not obtain the expected results, other reasons – the consortium will analyse the specific situations and adapt the DCEAP strategy to meet project targets.

## 8. Conclusion

The DCEAP defines and records the strategy, tools and materials that are to be used in SHERPA communication, dissemination, exploitation and advocacy activities throughout the project lifespan. This



document also provides the consortium partners with guidelines on how to disseminate the results of the projects and the knowledge gathered during the process, using the appropriate templates and visual identity tools. The DCEAP is a living document and the candidate dissemination, communication, exploitation and advocacy actions will be continuously monitored and accordingly updated to reach the defined objectives and audiences.



# Annexes

**Annex 1: SHERPA visual identity guidelines**

**Annex 2: SHERPA press release – 31 May 2018**

**Annex 3: Flyer**

**Annex 4: Flyer for Web Summit**

**Annex 5: Flyer – updated version (June 2019)**

**Annex 6: Newsletter template**

**Annex 7: Updated header for newsletter – to be used from M17 with the 5th Newsletter**

**Annex 8: SHERPA Monitoring spreadsheet**

**Annex 9: Monitoring spreadsheet guidelines**

**Annex 10: Achievements until M17 (September 2019)**

**Annex 11: Timing of dissemination and communication activities (Gannt)**

**Annex 12: Briefing Documents Templates**

**Annex 13: Scenario infographics**

**Annex 14: Roll-up**

**Annex 15: Launch of scenarios press release**

**Annex 16: Policy recommendation questionnaire**

**Annex 17: ACT-ON model template**

**Annex 18: Example of Tier 1 stakeholders mapping tool**



## Annex 1: SHERPA visual identity guidelines

### *Introduction:*

The visual identity of the project will ensure that the project deliverables and working documents are presented in a way which befit the branding of the project.

All partners should use and follow these guidelines in all communication activities related to the project. All documents used for submission or put on the server should include the grant agreement number, EU logo, funding acknowledgement, and project logo.

Colours to be used in reference to the project are grey, blues and black (especially those codes noted below). Accent colour is orange (and red for press releases).

### *Logo*



S H E R P A

The logo should be used in its colour form unless a dark (preferably blue or black) background is used, in which case a white version of the logo should be used. This is located on the server in the folder called “Logo”.

The correct proportions must always be maintained if reducing the size of the logo is necessary. Do not distort the logo and do not reduce its size to an extent where the name of the project is no longer visible or readable.

**Logo link for reference-** <https://drive.google.com/drive/folders/17XC66K2yyOCD4w6FUOOot7Rr7n-i548p>

### *Colour scheme*

Dark blue, grey, white and black are the main project colours, although varieties of blue can also be used, as well as accent colours, such as orange and red for press releases (to be used sparingly), according to the RGB codes below. **No other shades of blues or other colours are to be used** as they are not part of the SHERPA colour scheme and doing so would disrupt the project’s visual identity.

### *RGB colour codes*

Main Blue - 0,74,152

Black - 74,74,73

#### **Accent colours:**

Light blue – 11, 83, 148

Lighter blue - 128, 165, 204



Darker blue - 0, 37, 76

Bright orange - 255, 87, 51

Red - 199, 0, 57

## Fonts

The font used on the website is **VAG Rounded**.

The font that should be used for deliverables and presentations is **Calibri**.

## Templates

### PowerPoint

There has been a lot of inconsistency in the past with presentations. In order to rectify this, we will be creating a PowerPoint template for all partners to use.

This template will be customisable (e.g., with partner logos) but will help to keep the visual identity of the project streamlined.

Presentations must be made on the template as created by DMU with the EU funding acknowledgement, grant agreement number and EU logo.

The styles for body text and headings are assigned in the Slide Masters and will appear automatically.

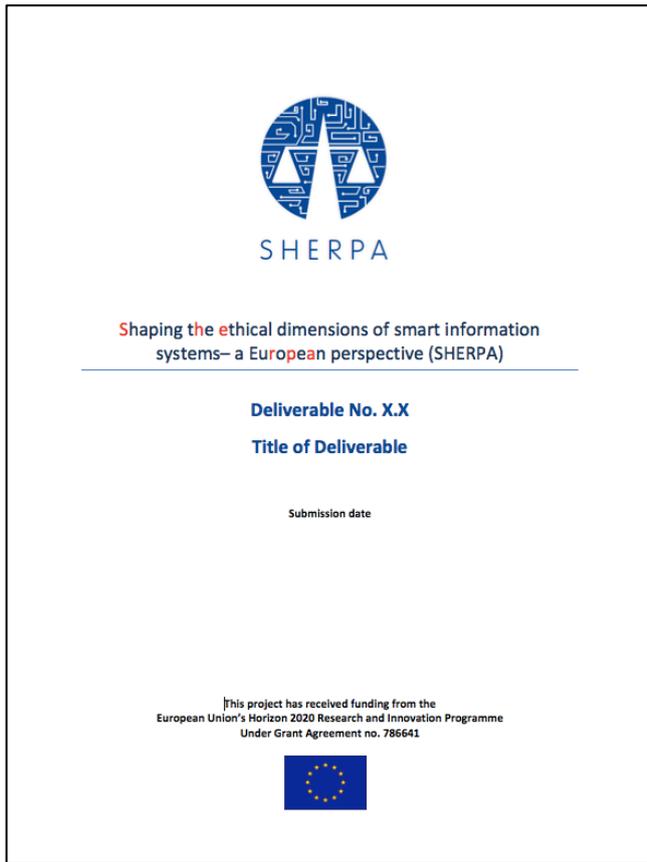


### Word templates

We have prepared a deliverable template and shared it with the consortium. Partners should use this template for deliverables. You can find all templates on the project intranet



When using a Word template, predefined styles should be used for body text and headings and must not be modified. Calibri is the default font, so partners will not have to install any other font. For Linux OS users, if Calibri is not installed, Arial should be used instead.



## Newsletter

EBS has designed a specific **newsletter template with a tailored header and footer**. The template is saved in the Visual identity folder and is to **be used exclusively for the Newsletter**. This template was updated in M17, for the 5<sup>th</sup> Newsletter, to match with the updated visual identity and briefing documents. The new header is located in Annex 7, alongside the first iteration.

## EU acknowledgement

All documents, presentations, and dissemination/communication materials produced within and in relation to the project must include the project logo, EU logo and the following EU acknowledgement:

*This project has received funding from the European Union's Horizon 2020 Research and Innovation Programme Under Grant Agreement no. 786641.*

**Reference document for EU logo:** <https://ec.europa.eu/inea/en/connecting-europe-facility/cef-energy/beneficiaries-info-point/publicity-guidelines-logos>



## Annex 2: SHERPA press release – 31 May 2018

### NEWS RELEASE

For immediate release

May 2018

### When AI, big data, ethics and human rights converge

*Prepared by Trilateral Research Ltd on behalf of the SHERPA consortium*

“Artificial intelligence and big data analytics bring a variety of benefits to society, but at the same time have the potential to disrupt society, ethical values and human rights, and life as we know it”, says Bernd Stahl, Director of the Centre for Computing and Social Responsibility, De Montfort University and co-ordinator of the SHERPA project. “The EU-funded SHERPA project examines these issues and is working to enhance the responsible development of such technologies.”

On 2-3 May 2018, representatives of 11 different organisations (from academia, industry, civil society, standards bodies, and ethics committees) from six European countries met in Brussels to launch the EU-funded SHERPA project which will examine how smart information systems (SIS), (i.e., the combination of artificial intelligence (AI) and big data analytics) impact ethics and human rights. In dialogue with stakeholders, the project will develop novel ways to understand and address ethical and human rights challenges to find desirable and sustainable solutions that can benefit both innovators and society.

Researchers and innovators want to experiment with AI and big data analytics and devise new solutions that avoid ethical and regulatory barriers. “But it is also critical that research and innovation are acceptable, desirable and sustainable, in line with the Rome Declaration on Responsible Research and Innovation in Europe, 2014”, said Prof. Stahl.

The project comes at a time when many organisations, e.g., the European Commission, the European Group on Ethics in Science and New Technologies (EGE), the UK House of Lords Select Committee on Artificial Intelligence and national data protection authorities, are actively deliberating about ethical and legal issues and trying to find answers to AI and big data concerns.

On 3 May 2018, SHERPA organised a workshop on “AI and Big Data: Ethical and Human Rights implications” at the Press Club Brussels Europe. The workshop, chaired by Doris Schroeder (Professor of Moral Philosophy in the School of Law at University of Central Lancashire Cyprus), was attended by 27 people. Speakers included Luke Dormehl (freelance journalist, author and public speaker, author of *Thinking Machines*); Marek Havrda (Founder, Strategy Advisor, Good AI, Neopas); Félicien Vallet (Privacy Technologist, Commission nationale de l’informatique et des libertés (CNIL); Stéphanie Laulhé Shaelou (Head of Law School and Professor of European Law and Reform, University of Central Lancashire, Cyprus); and Philip Brey (Professor of philosophy of technology at the Department of Philosophy, University of Twente and co-ordinator of the EU-funded H2020 SIENNA project).

The SHERPA partners highlighted a range of ethical and legal issues, e.g., equality, privacy and data protection, public security, duty of care to vulnerable members of society, transparency, fairness, justice, proportionality. Key messages included: the need to ensure fairness of systems; importance of not delegating blindly and maintaining vigilance, the potential for EU policy leadership in providing the best ethical and regulatory framework; greater engagement with the technologists and making society more human as it



becomes more AI-dependant. Prof Stahl's concluding remarks pointed project partners and stakeholders to the challenges that lie ahead: "One can't be a leader in AI or smart information systems and simultaneously override privacy concerns and human rights. How innovators should undertake research *responsibly* is the pressing topic to which SHERPA hopes to contribute."



**Photo credit:** SHERPA consortium

## **ABOUT SHERPA**

The SHERPA project - Shaping the ethical dimensions of smart information systems (SIS) – a European perspective - has received grant agreement No 786641 under the European Union's H2020 research and innovation programme. SHERPA's work includes case studies, scenarios, artistic representations, stakeholder interviews, a large-scale online survey, a Delphi study, preparation of a workbook on responsible development of smart information systems, standardisation, dissemination, exploitation, advocacy and communication activities.

## **Meet the team**

SHERPA is co-ordinated by Professor Bernd Carsten Stahl, De Montfort University (UK). Its partners include Universiteit Twente (Netherlands), EUREC (European Network of Research Ethics Committees) (Germany), University of Central Lancashire (Cyprus), Depoorter Dries (Belgium), Trilateral Research (UK), Stichting



Nederlands Normalisatie (NEN) (Netherlands), Mutual Shoots Ltd (UK), Aequitas Ltd (Cyprus), European Business Summit (Belgium) and F-Secure OYJ (Finland).

### **Contact and further information**

More information on the SHERPA website: [www.project-sherpa.eu](http://www.project-sherpa.eu)

**Follow us on Twitter:** [@project\\_sherpa](https://twitter.com/project_sherpa)

Coordinator: Professor Bernd Carsten Stahl, De Montfort University

E-mail: [bstahl@dmu.ac.uk](mailto:bstahl@dmu.ac.uk), phone: +44 116 207 8252

**Disclaimer:** This text and its contents reflects only SHERPA's view. The European Commission is not responsible for any use that may be made of the information it contains.



## Annex 3: Flyer

The flyer features a central diagram of interconnected hexagons. The hexagons are arranged in a cluster, with some overlapping. The colors of the hexagons include green, blue, grey, and black. The text inside the hexagons includes: HUMAN RIGHTS, LAW, SMART INFORMATION SYSTEMS, BIG DATA, ARTIFICIAL INTELLIGENCE, ETHICS, CYBER-SECURITY, and PRIVACY. To the left and right of this central cluster are decorative patterns of overlapping hexagons in various colors.

**HUMAN RIGHTS**

**LAW**

**SMART INFORMATION SYSTEMS**

**BIG DATA**

**ARTIFICIAL INTELLIGENCE**

**ETHICS**

**CYBER-SECURITY**

**PRIVACY**

**SHERPA**

Shaping the ethical dimensions of  
smart information systems (SIS)  
- a European perspective

A Horizon 2020 project  
2018-2021

This project has received funding from  
the European Union's Horizon 2020  
research and innovation programme  
under grant agreement no. 786641



## About SHERPA

In collaboration with stakeholders, the SHERPA project will investigate, analyse and synthesise our understanding of the ways in which smart information systems (SIS; the combination of artificial intelligence and big data analytics) impact ethics and human rights issues. It will develop novel ways of understanding and addressing SIS challenges, evaluate with stakeholders, and advocate the most desirable and sustainable solutions.

### SHERPA will:

- (1) represent and visualise the ethical and human rights challenges of SIS through case studies, scenarios and artistic representations,
- (2) work with a range of stakeholders to identify their concerns and preferred solutions,
- (3) develop and publish a workbook on responsible development of SIS,
- (4) present technical and regulatory options,
- (5) validate and prioritise the proposals, through multi-stakeholder focus groups, and
- (6) advocate, promote and implement the most promising solutions through targeted dissemination and communication activities.

### Key results:

- Case studies
- Scenarios
- Delphi study
- Large online survey
- Workbook on responsible development of SIS
- Technical and regulatory proposals
- Videos

### Partners

The SHERPA consortium has 11 partners from six European countries (representing academia, industry, civil society, standards bodies, ethics committees, art).



UNIVERSITY  
OF TWENTE.

### Connect with us

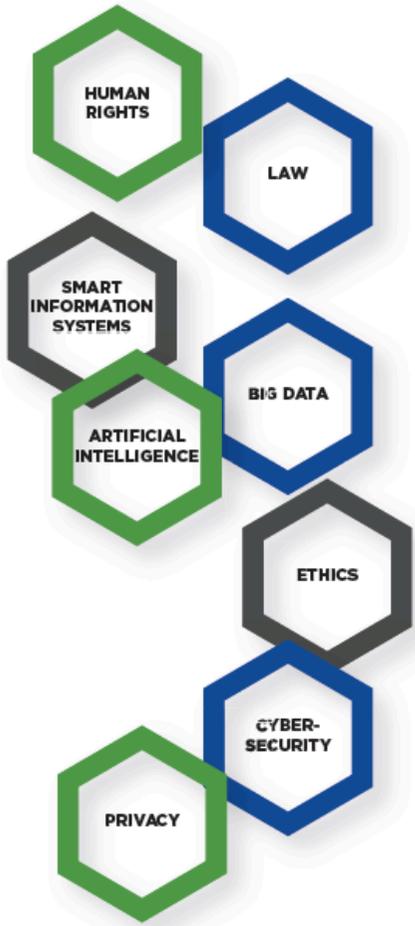
Project coordinator:  
Professor Bernd Stahl, De Montfort University,  
[bstahl@dmu.ac.uk](mailto:bstahl@dmu.ac.uk)

[www.project-sherpa.eu](http://www.project-sherpa.eu)

Twitter: [@project\\_sherpa](https://twitter.com/project_sherpa)



## Annex 4: Flyer for Web Summit



**HUMAN RIGHTS**

**LAW**

**SMART INFORMATION SYSTEMS**

**BIG DATA**

**ARTIFICIAL INTELLIGENCE**

**ETHICS**

**CYBER-SECURITY**

**PRIVACY**



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### Connect with us

**Project coordinator:**  
Professor Bernd Stahl, De Montfort University

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 [@project\\_sherpa](https://twitter.com/project_sherpa)



# SHERPA

Shaping the ethical dimensions of smart information systems (SIS)  
– a European perspective

A Horizon 2020 project  
2018–2021



This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement no. 786641



## About SHERPA

In collaboration with stakeholders, the SHERPA project is investigating, analysing and synthesising our understanding of the ways in which smart information systems (SIS; the combination of artificial intelligence and big data analytics impact ethics and human rights issues). It will develop novel ways of understanding and addressing SIS challenges, evaluate with stakeholders, and advocate the most desirable and sustainable solutions.

## Over the course of three years, SHERPA will

- develop and publish a workbook on responsible development of SIS,
- present technical and regulatory options,
- validate and prioritise the proposals, through multi-stakeholder focus groups, and
- advocate, promote and implement the most promising solutions through targeted dissemination and communication activities.

## SHERPA is currently

- Conducting qualitative research on 10 case studies including smart cities, smart agriculture, health insurance, IoT, telecommunications, cybersecurity, and more.
- Running a series of future scenarios exploring how AI will impact everyday life, education, defence, law enforcement and more.

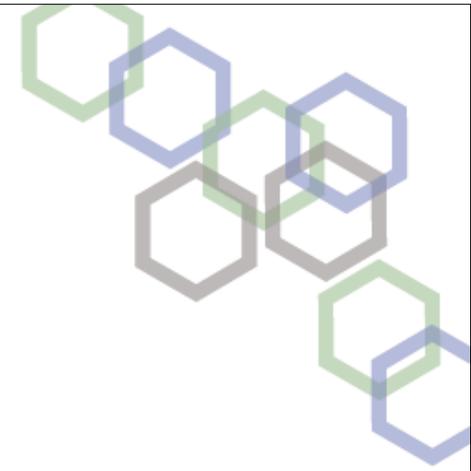
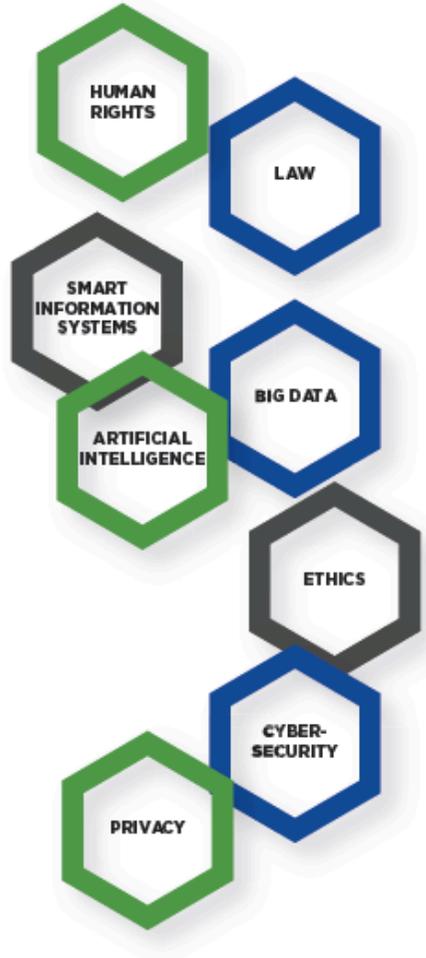
## Key results:

- Case studies
- Scenarios
- Delphi study
- Large online survey
- Workbook on responsible development of SIS
- Technical and regulatory proposals
- Videos

# What do you want the future of AI & BigData to look like?



## Annex 5: Flyer – updated version (June 2019)



**HUMAN RIGHTS**

**LAW**

**SMART INFORMATION SYSTEMS**

**BIG DATA**

**ARTIFICIAL INTELLIGENCE**

**ETHICS**

**CYBER-SECURITY**

**PRIVACY**

**Partners**

The SHERPA consortium has 11 partners from six European countries representing academia, industry, civil society, standards bodies, ethics committees and art.



**Connect with us**

Project coordinator:  
Professor Bernd Stahl, De Montfort University

 [bstahl@dmu.ac.uk](mailto:bstahl@dmu.ac.uk)

 [www.project-sherpa.eu](http://www.project-sherpa.eu)

 [@project\\_sherpa](https://twitter.com/project_sherpa)  Join the stakeholder network



**SHERPA**

Shaping the ethical dimensions of smart information systems (SIS)  
– a European perspective

A Horizon 2020 project  
2018-2021



This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement no. 786641



## About SHERPA

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## Over the course of three years, SHERPA will

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- Running a series of future scenarios exploring how AI will impact everyday life, education, defence, law enforcement and more.

## Key results:

- Case studies
- Scenarios
- Delphi study
- Large online survey
- Workbook on responsible development of SIS
- Technical and regulatory proposals
- Videos

# What do you want the future of AI & BigData to look like?



## Annex 6: Newsletter template



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This project has received funding from the European Union's Horizon 2020 research and innovation programme, under grant agreement No 786641.



## Annex 7: Updated header for newsletter – to be used from M17 with the 5<sup>th</sup> Newsletter





## Annex 9: Monitoring tool guidelines

Communication & dissemination activity	Method to calculate the audience reached	Method to classify the audience reached
Conference (organised)	Attendance sheet	Attendance sheet ("Organization" field)
Workshop (organised)	Attendance sheet	Attendance sheet ("Organization" field)
Conference (attended)	Estimated number of participants (according to organisers if available, otherwise according to project partner's opinion)	Estimate (according to organisers if available, otherwise according to project partner's opinion)
Workshop (attended)	Estimated number of participants (according to organisers if available, otherwise according to project partner's opinion)	Estimate (according to organisers if available, otherwise according to project partner's opinion)
Other event (attended)	Estimated number of participants (according to organisers if available, otherwise according to project partner's opinion)	Estimate (according to organisers if available, otherwise according to project partner's opinion)
Press release	Number of media to whom the press release was sent	No need to classify, since all audience reached falls in the "Media" category
Non-scientific and non-peer-reviewed publication (popularised publication)	For publications on paper, 20% of readers – info can be retrieved online, 20% must be calculated from the total For publications online, 10% of website visitors	Estimate (according to project partner's opinion and considering publication type, e.g. newspaper, specialised magazine, etc.)
Exhibition	Estimated number of participants (according to organisers if available, otherwise according to project partner's opinion)	Estimate (according to organisers if available, otherwise according to project partner's opinion)
Distributed flyers	Number of actually distributed flyers (or an estimate)	Estimate (according to event organisers if available, otherwise according to project partner's opinion)
Training	Attendance sheet	Depending on the target of the training activity
Social media	Facebook: number of post visualizations (visible only by Facebook page manager) LinkedIn: number of post visualizations ("view statistics" on each post, visible only by who posts/LinkedIn page manager) Twitter: "view tweet activity" on each post, number to report: "impressions" (=the number of	All visualizations shall be classified as "General Public" (except for LinkedIn groups or other groups with limited access where it's possible to estimate the audience nature)



Communication & dissemination activity	Method to calculate the audience reached	Method to classify the audience reached
	people that have actually seen the post) <i>*see images below</i>	
Communication campaign (e.g. Radio, TV)	20% of number of listeners/viewers (to be retrieved on the internet or, if it's not possible, estimated)	Estimate (according to project partner's opinion and considering broadcast type, e.g. news, specialised program, etc.)
Brokerage event	Estimated number of participants (according to organisers if available, otherwise according to project partner's opinion)	Estimate (according to organisers if available, otherwise according to project partner's opinion)
Pitch event	Estimated number of participants (according to organisers if available, otherwise according to project partner's opinion)	Estimate (according to organisers if available, otherwise according to project partner's opinion)
Trade fair	Estimated number of participants (according to organisers if available, otherwise according to project partner's opinion)	Estimate (according to organisers if available, otherwise according to project partner's opinion)
Participation in activities organized jointly with other H2020 projects	Depending on activity (e.g. attendance sheet/estimated number of participants according to activity organisers if available, otherwise according to project partner's opinion)	Attendance sheet ("Organization" field) if available, otherwise estimate (according to organisers if available, otherwise according to project partner's opinion)
Other	Depending on activity (e.g. attendance sheet/estimated number of participants according to activity organisers if available, otherwise according to project partner's opinion) For webinars: number of registered people, to be tracked by partner in charge of hosting/organising the webinars	Attendance sheet ("Organization" field) if available, otherwise estimate (according to organisers if available, otherwise according to project partner's opinion) For webinars: depending on the target, could be general public or retrieved from the "organisation" field if provided upon registration to webinar



**Trilateral Research** @Trilateral\_UK · Jul 12

What are the **#ethical** and **#humanrights** implications of **#artificialintelligence** and **#bigdata #analytics**? **@project\_sherpa** aims to shed light on the matter and Trilateral is proud to be a part of it. Read our blog to learn how we do it [bit.ly/2HQQsIK](https://bit.ly/2HQQsIK) **#ethics #humanity #AI**

View Tweet activity

### Tweet Activity

 <b>Trilateral Research</b> @Trilateral_UK	Impressions	223
What are the <b>#ethical</b> and <b>#humanrights</b> implications of <b>#artificialintelligence</b> and <b>#bigdata #analytics</b> ? <b>@project_sherpa</b> aims to shed light on the matter and Trilateral is proud to be a part of it. Read our blog to learn how we do it <a href="https://bit.ly/2HQQsIK">https://bit.ly/2HQQsIK</a> <b>#ethics #humanity #AI</b> <a href="https://pic.twitter.com/CxwHcHpx84">pic.twitter.com/CxwHcHpx84</a>	Total engagements	2
	Detail expands	2

 **Reach a bigger audience**  
Get more engagements by promoting this Tweet!

[Get started](#)



## Annex 10: Achievements until M17 (September 2019)

Type of dissemination/ communication activity	Name/Title	Date
Attended conferences	<a href="#">15<sup>th</sup> International Human Rights Summit, New York, USA</a>	M3 (5-7/07/2018)
	<a href="#">AI for Good Global Summit 2018</a>	M3 (15 -17/07/2018)
	National Ethics Committees / EGE annual meeting	M5 (17-18/09/2018)
	CEN Workshop on Trustworthy AI	M5 (18/09/2018)
	A Global Civic Debate on Governing the Rise of Artificial Intelligence	M5 (26/09/2018)
	CEATEC JAPAN 2018 (Combined Exhibition of Advanced Technologies)	M6 (16-19/10/2018)
	<a href="#">Healthcare in the Era of Big Data: Opportunities and Challenges</a>	M6 (24-25/10/2018)
	<a href="#">Websummit</a>	M7 (5-8/11/18)
	ThinkDigital	M7 (20/11/2018)
	#ThinkTank, Responsible Innovation 4.0	M8 (05/12/2018)
	Ethics for the Digital Age Conference, Utrecht University	M8 (14/12/2018)
	Lorentz workshop The Future of AI: Ethical, Legal and Societal Issues	M9 (28/12/2018 to 2/1/2019)
	RWS Experience Lichtkogel 'Kunstmatige intelligentie voor alle Nederlanders!'	M9 (18/01/2019)
	Using AI to Fight Disinformation in European Elections	M10 (20/02/2019)



Type of dissemination/ communication activity	Name/Title	Date
<b>Attended conferences</b>	<a href="#">Educate to Create</a>	M11 (28-29/03/2019)
	Towards Value-Centric Big Data: Connect People, Processes and Technology	M12 (02/04/2019)
	<a href="#">Science of Intelligence Symposium</a>	M12 (03/04/2019)
	<a href="#">EBS</a>	M13 (7/05/2019)
	<a href="#">Responsible Innovation for Smart Homes and Smart Health Virtual Summit</a>	M14 (11/06/2019)
	<a href="#">Ensuring new ICT technologies embrace societal concerns, HubIT, part of London Tech Week</a>	M14 (12/06/2019)
	<a href="#">IFSEC International 2019</a>	M14 (20/06/2019)
	<a href="#">Forum Alpbach, Austria</a>	M16 (28/08/2019)
<b>Organised workshops</b>	“AI and Big Data: Ethical and Human Rights implications”, Press Club, Brussels, Belgium	M1 (03/05/2018)
	<a href="#">First scenario workshop, “AI that mimics people”</a> , Innovate UK, Brussels, Belgium	M3 (03/07/2018)
	First stakeholder board workshop, Innovate UK, Brussels, Belgium	M3 (03/07/2018)
	Second scenario workshop “AI in Education”, Innovate UK, Brussels, Belgium	M5 (17-18/09/2018)
	Third scenario workshop “AI in warfare”, Innovate UK, Brussels, Belgium	M5 (17-18/09/2018)
	Fourth scenario workshop “AI in Transportation”, University of Twente Campus, Enschede, Netherlands	M5 (25/09/2018)



Type of dissemination/ communication activity	Name/Title	Date
	Fifth scenario workshop “AI in Law Enforcement”, University of Twente Campus, Enschede, Netherlands	M5 (26/09/2018)
	Second stakeholder board meeting, MRC Building London, UK	M13 (14/05/2019)
	Ethics assessment for IT (during BRIGIT2 conference), Delft, Netherlands	M14 (25/06/2019)
<b>Attended workshops</b>	<a href="#">ETSI IoT week, presentation on ethics, SIS and standardization (NEN as speaker)</a>	M6 (26/10/2018)
	<a href="#">AI 360   Copenhagen</a>	M11 (22/03/2019)
	Towards Value-Centric Big Data: Connect People, Processes and Technology	M12 (02/04/2019)
	meeting policy committee agrofood (beleidscommissie Agrofood)	M15 (28/07/2019)
<b>Press releases</b>	<p>Launch of the SHERPA project: <a href="#">When AI, Big Data, Ethics and Human Rights Converge</a></p> <p>Dutch translation: <a href="#">Wanneer AI, big data, ethiek en mensenrechten samenkomen</a></p> <p>French translation: <a href="#">Quand l'intelligence artificielle, le big data, l'éthique et les droits de l'homme convergent</a></p> <p>Greek translation: <a href="#">Όταν η Τεχνητή Νοημοσύνη, τα μεγάλα δεδομένα, η ηθική και τα ανθρώπινα δικαιώματα συγκλίνουν</a></p>	M1 (30/05/2018)



Type of dissemination/ communication activity	Name/Title		Date
Press releases	Launch of scenarios: <a href="#">What Do You Want the Future of AI and Big Data to Look Like?</a>  German translation: Wie soll die Zukunft von AI und Big Data aussehen  French translation: Comment voulez-vous que l'avenir de l'IA et du Big Data se présente?  Greek translation: Τι θέλετε να μοιάζει με το μέλλον του AI και του Big Data  Dutch translation: <a href="#">Draag bij aan de toekomst van artificiële intelligentie en big data</a>		M14 (12/06/2019)
	<a href="#">If AI Could Feel, It Would Fear Cyber Attacks From People</a>		M15 (11/07/2019)
Non-scientific publications (popularised publications)	Articles/blogs in non-peer reviewed journals/magazines (published by SHERPA)	<a href="#">HBP's Ethics Director to lead Europe-wide computer ethics project</a> – Human Brain Project	M1 (31/05/2018)
		<a href="#">When AI, big data, ethics and human rights converge</a> – CORDIS WIRE	M2 (22/06/2018)
		<a href="#">When AI, big data, ethics and human rights converge</a> – RealWire	M2 (07/06/2018)
		<a href="#">Quand l'intelligence artificielle, le big data, l'éthique et les droits de l'homme convergent</a> – RealWire	M2 (07/06/2018)
		<a href="#">What will the future look like if AI mimics people?</a>	M3 (17/07/2018)
		<a href="#">Hoe houd je de balans tussen AI, big data en ethiek?</a>	M5 (04/09/2018)



Type of dissemination/ communication activity	Name/Title		Date
Articles/blogs in non-peer reviewed journals/magazines (published by SHERPA)		<a href="#">Artificial Intelligence and Human Rights</a>	M7 (01/11/2018)
		<a href="#">Are AI, big data and robotics changing life for the better or for the worse?</a>	M7 (07/11/2018)
		<a href="#">How do we make society more human as it becomes more AI-dependant?</a>	M7 (16/11/2018)
		<a href="#">Ethics In Artificial Intelligence: Introducing The SHERPA Consortium</a>	M7 (22/11/2018)
		<a href="#">Artificial intelligence and Big Data – use responsibly</a>	M8 (04/12/2018)
		<a href="#">Getting a grasp on AI and machine learning at F-Secure</a>	M9 (25/01/2019)
		<a href="#">Call for papers: Ethics and Human Rights in Smart Information Systems</a>	M10 (08/02/2019)
		<a href="#">Abstract for a book</a>	M11 (29/03/2019)
		<a href="#">Discovering Hidden Twitter Amplification</a>	M12 (03/04/2019)
		<a href="#">Onder professoren, Dutch blog on SHERPA stakeholder board meeting by BramJan Mulder</a>	M13 (01/05/2019)
		<a href="#">Live Coverage Of A Disinformation Operation Against The 2019 EU Parliamentary Elections</a>	M13 (24/05/2019)



Type of dissemination/ communication activity	Name/Title		Date
	Articles/blogs in non-peer reviewed journals/ magazines (published by SHERPA)	<a href="#">Call for papers: The Ethics of Disruptive Technologies</a>	M14 (05/06/2019)
		<a href="#">How will AI and Big Data shape our future?</a>	M14 (20/06/2019)
		<a href="#">Security Issues, Dangers, And Implications of Smart Information Systems</a>	M15 (08/07/2019)
		<a href="#">Bad AI</a>	M15 (11/07/2019)
		<a href="#">Malicious Use Of AI</a>	M15 (11/07/2019)
		<a href="#">Adversarial Attacks Against AI</a>	M15 (11/07/2019)
		<a href="#">Mitigations Against Adversarial Attacks</a>	M15 (11/07/2019)
		<a href="#">5 adversarial AI attacks that show machines have more to fear from people than the other way around</a>	M15 (11/07/2019)
		<a href="#">Artificial intelligence attacks</a>	M15 (11/07/2019)
		<a href="#">6 ways of defending AI from humans</a>	M15 (11/07/2019)



Type of dissemination/ communication activity	Name/Title		Date
		<a href="#">AI for good – fostering the ethical use of artificial intelligence</a>	M15 (11/07/2019)
		<a href="#">Getting AI ethics wrong could ‘annihilate technical progress’</a>	M15 (30/07/2019)
		<a href="#">Why good AI goes bad</a>	M15 (11/07/2019)
	<b>Press coverage</b>	<a href="#">Global Banking and Finance Review</a>	M2 (09/06/2018)
		<a href="#">Virtual strategy magazine</a>	M2 (07/06/2018)
		<a href="#">CioDive</a>	M2 (June 2018)
		<a href="#">The Robotics Law Journal</a>	M2 (12/06/2018)
		<a href="#">Dutch IT Channel</a>	M2 (13/06/2018)
		<a href="#">The News Articles</a>	M2 (07/06/2018)
		<a href="#">News Locker</a>	M2 (07/06/2018)
		<a href="#">The News Headline</a>	M2 (07/06/2018)
		<a href="#">News Vire</a>	M2 (07/06/2018))
		<a href="#">The Breaking News Headlines</a>	M2 (07/06/2018)
		<a href="#">Kyung Hee University Library</a>	M2 (June 2018)
		Charavgi Newspaper (p. 41, Greek)	M4 (19/08/2018)



Type of dissemination/ communication activity	Name/Title		Date
		<a href="#">The ethical and geopolitical implications of AI and machine learning</a>	M15 (08/07/2019)
		<a href="#">If AI could feel, it would fear cyber attacks from people</a>	M15 (11/07/2019)
		<a href="#">SHERPA Consortium: If AI Could Feel, it Would Fear Cyber-attacks from People</a>	M15 (11/07/2019)
		<a href="#">Perché gli umani attaccano i sistemi basati sull'intelligenza artificiale</a>	M15 (11/07/2019)
		<a href="#">Denk mee over ethische vraagstukken rond AI en big data</a>	M15 (11/07/2019)
		<a href="#">Attacks against AI systems are a growing concern</a>	M15 (11/07/2019)
<b>Flyer</b>	SHERPA project flyer (Annex 3)		M2 (June 2018)
	SHERPA project flyer for Web Summit (Annex 4)		M7 (November 2018)
	SHERPA project flyer v3 (Annex 5)		M10 (February 2019)
<b>Project website</b>	<a href="https://www.project-sherpa.eu">https://www.project-sherpa.eu</a>		M1 (May 2018)
<b>Social media accounts</b>	<ul style="list-style-type: none"> <li>• <a href="#">Twitter</a></li> <li>• <a href="#">Facebook</a></li> <li>• <a href="#">YouTube channel</a></li> <li>• <a href="#">LinkedIn</a></li> </ul>		M1 (May 2018) for Twitter, M3 (July 2018) for Facebook and YouTube, M13 (May 2019) for LinkedIn
<b>Publications</b>	<a href="#">B. C. Stahl and D. Wright, "Ethics and Privacy in AI and Big Data: Implementing</a>		M2 (June 2018)



Type of dissemination/ communication activity	Name/Title	Date
	<p><a href="#">Responsible Research and Innovation," in IEEE Security &amp; Privacy, vol. 16, no. 3, pp. 26-33, May/June 2018.</a></p> <p><a href="#">doi: 10.1109/MSP.2018.2701164</a></p>	
	<p><a href="#">Macnish, K., Ryan, M., &amp; Stahl, B. (2018). Understanding Ethics and Human Rights in Smart Information Systems. ORBIT Journal, 2(2). <a href="https://doi.org/10.29297/orbit.v2i1.102">https://doi.org/10.29297/orbit.v2i1.102</a></a></p>	M6 (October 2018)
	<p><a href="#">Ryan, M., &amp; Gregory, A. (2019). Ethics of Using Smart City AI and Big Data: The Case of Four Large European Cities. ORBIT Journal, 2(2). <a href="https://doi.org/10.29297/orbit.v2i2.110">https://doi.org/10.29297/orbit.v2i2.110</a></a></p>	M10 (February 2019)
	<p><a href="#">Ryan, M. (2019). Ethics of Public Use of AI and Big Data. ORBIT Journal, 2(2). <a href="https://doi.org/10.29297/orbit.v2i1.101">https://doi.org/10.29297/orbit.v2i1.101</a></a></p>	M10 (February 2019)
	<p><a href="#">Ryan, M. (2019). Ethics of Using AI and Big Data in Agriculture: The Case of a Large Agriculture Multinational. ORBIT Journal, 2(2). <a href="https://doi.org/10.29297/orbit.v2i2.109">https://doi.org/10.29297/orbit.v2i2.109</a></a></p>	M10 (February 2019)
	<p><a href="#">Hatzakis, T., Rodrigues, R., &amp; David, W. (2019). Smart Grids and Ethics. ORBIT Journal, 2(2). <a href="https://doi.org/10.29297/orbit.v2i2.108">https://doi.org/10.29297/orbit.v2i2.108</a></a></p>	M10 (February 2019)
	<p><a href="#">Macnish, K., Fernandez Inguanzo, A., &amp; Kirichenko, A. (2019). Smart Information Systems in Cybersecurity. ORBIT Journal, 2(2). <a href="https://doi.org/10.29297/orbit.v2i2.105">https://doi.org/10.29297/orbit.v2i2.105</a></a></p>	M10 (February 2019)
	<p><a href="#">Macnish, K., &amp; Fernandez Inguanzo, A. (2019). Customer Relation Management, Smart Information Systems and Ethics. ORBIT Journal, 2(2). <a href="https://doi.org/10.29297/orbit.v2i2.114">https://doi.org/10.29297/orbit.v2i2.114</a></a></p>	M10 (February 2019)
	<p><a href="#">Kancevičienė, N. (2019). Insurance, Smart Information Systems and Ethics. ORBIT</a></p>	M10 (February 2019)



Type of dissemination/ communication activity	Name/Title	Date
	<a href="https://doi.org/10.29297/orbit.v2i2.106">Journal, 2(2). https://doi.org/10.29297/orbit.v2i2.106</a>	
	<a href="https://doi.org/10.29297/orbit.v2i2.111">Antoniou, J., &amp; Andreou, A. (2019). Case Study: The Internet of Things and Ethics. ORBIT Journal, 2(2). https://doi.org/10.29297/orbit.v2i2.111</a>	M10 (February 2019)
	<a href="https://doi.org/10.29297/orbit.v2i2.112">Jiya, T. (2019). Ethical Implications of Predictive Risk Intelligence. ORBIT Journal, 2(2). https://doi.org/10.29297/orbit.v2i2.112</a>	M10 (February 2019)
	<a href="https://doi.org/10.29297/orbit.v2i2.113">Jiya, T. (2019). Ethical Reflections of Human Brain Research and Smart Information Systems. ORBIT Journal, 2(2). https://doi.org/10.29297/orbit.v2i2.113</a>	M10 (February 2019)
	<a href="https://doi.org/10.29297/orbit.v2019i1.115">Fernow, J., de Miguel Beriain, I., Brey, P., &amp; Stahl, B. (2019). Setting future ethical standards for ICT, Big Data, AI and robotics. ORBIT Journal, 2019(1). https://doi.org/10.29297/orbit.v2019i1.115</a>	M15 (July 2019)
	<a href="https://doi.org/10.1007/s11948-019-00130-2">Ryan, Mark &amp; Antoniou, Josephina &amp; Brooks, Laurence &amp; Jiya, Tilimbe &amp; Macnish, Kevin &amp; Stahl, Bernd. (2019). Technofixing the Future: Ethical Side Effects of Using AI and Big Data to meet the SDGs.</a>	M16 (August 2019)
	Ryan, M. Sci Eng Ethics (2019). <a href="https://doi.org/10.1007/s11948-019-00130-2">https://doi.org/10.1007/s11948-019-00130-2</a>	M17 (September 2019)
<b>Webinars</b>	<a href="#">Introducing the SHERPA project</a>	M12 (10/04/2019)
	<a href="#">SIENNA-SHERPA-PANELFIT joint webinar</a>	M13 (20/05/2019)
<b>Newsletters</b>	<a href="#">First issue</a>	M5 (20/09/2018)
	Second issue	M8 (December 2018)



Type of dissemination/ communication activity	Name/Title	Date
	<a href="#">Third issue</a>	M11 (March 2019)
	<a href="#">Fourth issue</a>	M14 (June 2019)
<b>Infographics</b>	<a href="#">Predictive Policing Scenario</a>	M13 (May 2019)
	<a href="#">Mimicking Technologies Scenario</a>	M13 (May 2019)
	<a href="#">Self-Driving Cars Scenario</a>	M13 (May 2019)
	<a href="#">Warfare Scenario</a>	M13 (May 2019)
	<a href="#">Education Scenario</a>	M13 (May 2019)
<b>Roll-up</b>	SHERPA roll-up (see Annex 14)	M13 (May 2019)
<b>Videos</b>	<a href="#">What are the expected outcomes of the SHERPA project?</a>	M1 (May 2018)
	<a href="#">How is the SHERPA Project innovative?</a>	M1 (May 2018)
	<a href="#">Addressing the ethical dimensions of Smart Information Systems - a team effort</a>	M1 (May 2018)
	<a href="#">Welcome to SHERPA</a>	M5 (September 2018)
	<a href="#">Does AI make cities smart?</a>	M14 (June 2019)

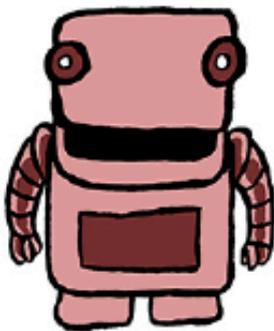




## Annex 12: Briefing Documents Templates



### Tackling the problem of aging in Europe



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This project has received funding from the European Union's Horizon 2020 research and innovation programme, under grant agreement No 786641.





This project has received funding from the European Union's Horizon 2020 Research and Innovation Programme Under Grant Agreement no. 786641

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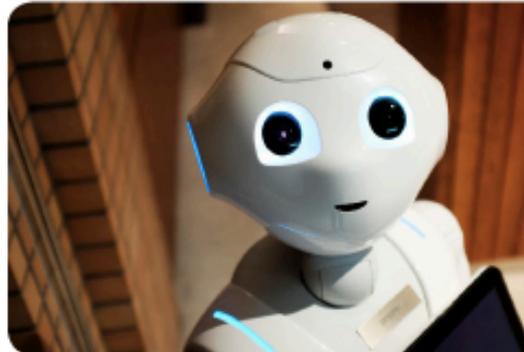
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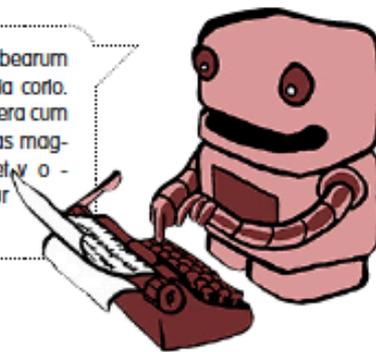
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## Annex 13: Scenario infographics



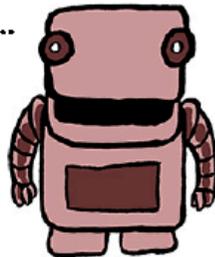
# SHERPA PROJECT

## Mimicking technologies

YEAR 2025

With the ageing population, governments are finding it more of a challenge to provide social services and assisted living facilities to all those in need.

Technologies that mimic people are being used to create companions for senior citizens as a cost reduction measure and as a way of overcoming the shortages of trained staff.



Alfred was one of the first to be supported with a personalised hologram. His wife of 45 years died in 2024. He missed her greatly until a government agency told him that he could have a hologram of his dear Lucy who could interact with him just like his recently deceased wife. AI has synthesised all of Lucy's data from her social media and is able to reproduce her voice, her appearance, her mannerisms, even the way she used to argue with him.

### Legal issues

- Transparency (data sources)
- Liability
- Accountability
- Deception
- Invisible processing
- Data protection

### Ethical issues

- Reliance on technology and substituting a technology for a human carer
- Ethics of "reincarnating" a deceased spouse
- Autonomy
- Social equity
- Sustainability
- Free will
- Privacy

### Social, security, and economic impacts

- Home assistants may create dependency – in what way?
- Possible psychological attachment to holograms
- Issues in the balancing of robots' rights against those of natural individuals
- Robots are costly – they widen the gap between the rich and the rest of society
- Poor quality of AI mimicry where there is limited training data available
- New opportunities for malefactors (hackers, evil-doers, criminals, terrorists)
- Manipulative advertising
- New jobs or job losses?



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# SHERPA PROJECT

## Self-driving cars

YEAR 2025

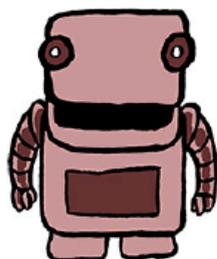
Self-driving vehicles are now fully in operation and legally allowed in most European cities. Over the past few years, technology has come a long way and safety levels have improved such that they are statistically better than human error.

Whether people rent or own, these vehicles are used to work, sleep, read, eat, watch movies or TV, or just observe their surroundings.

This has had a visible effect on the city: there are fewer parked cars to be seen, the structure of the street has changed to integrate self-driving vehicles into other sustainable modes of transit (such as buses, and cycle lanes, pedestrian walkways), public spaces have become more open and green spaces have increased.

### Social, security, and economic impacts

- Joy of driving
- Job losses
- Electricity and power (battery)
- Gender differences
- Competition
- Sustainability
- Inclusion
- Luxury vehicle business
- Car sharing (or lack thereof)
- Digital divide
- Travel behaviour and cost reduction
- Demands
- Improved efficiency (or decreased)
- Tax and ownership
- Decreased urbanisation
- Road infrastructure
- Environmental
- Law enforcement income



Susan, an elderly woman uses a rental SDV almost daily to get to the supermarket and her exercise classes. She never thought this option would be possible for her since she never learned how to drive, but is thrilled to leave the driving to automation.

### Legal issues

- Data and privacy
- Cyber-security
- Liability

### Ethical issues

- Safety and prevention of harm
- Moral algorithms
- Autonomy
- Rights
- Insurance and discrimination
- Privacy
- Social Inequality
- Movement Tracking



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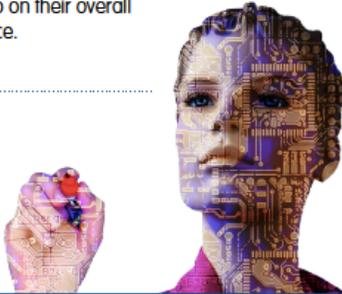
# SHERPA PROJECT

## Education

YEAR 2025

Robots in classrooms, often referred to as learning buddies, are now a reality in many European countries. Learning buddies are AI-based robots that support individual students' learning experiences by building their educational profile over time and using input data from the students themselves. The learning buddies learn by observing the young students and conversing with them.

Students can take the learning buddies home with them and keep them throughout their elementary school education. The artificial educators are expected to have a positive impact not just on students' learning and studying habits but also on their overall social presence.



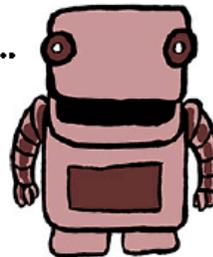
### Social, security, and economic impacts

- Lack of Human Contact
- Socio-economic differentiation of schools and access to education

Your child comes home with a robot helper to assist her with her homework. She has been having difficulty reading and the robot programme is supposed to assist with the basics. You watch over while you prepare dinner and are surprised by how engrossed in the robot your child is.

### Ethical issues

- Privacy and data protection
- Bias
- Public good or not
- Inequalities and asymmetries
- Surveillance



### Legal issues

- Accountability
- Freedom of thought

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# SHERPA PROJECT

## Warfare

YEAR 2025

Weapons technology has evolved, including access to high-tech innovations such as driverless cars, drones, and robots to name a few.

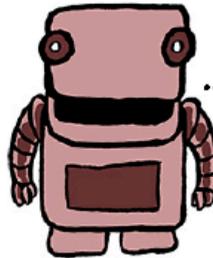
An increase in hacking and cyberattacks along with the changing nature of cyberattacks. Attackers no longer attack just critical infrastructure; they attack whole populations. Civilians are no longer collateral damage – they are the targets and victims in cyber warfare. Fear amongst civilians has increased as a proliferation of misinformation has changed the perceptions of truth. Fabricated articles, videos shared across social media channels.

### Legal issues

- Borders
- Accountability
- New legislation and new regulation
- Rules of information warfare
- The legal limits of solidarity

### Ethical issues

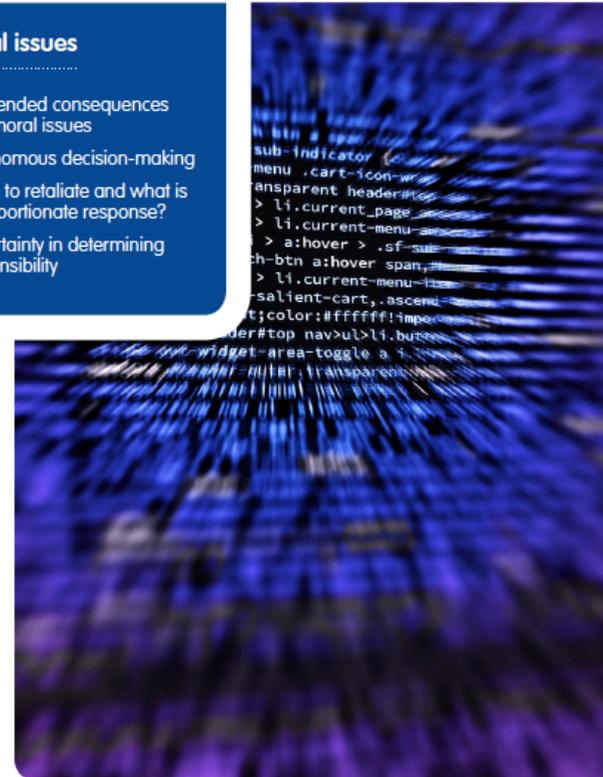
- Unintended consequences and moral issues
- Autonomous decision-making
- When to retaliate and what is a proportionate response?
- Uncertainty in determining responsibility



You are working in an office, listening to music on Spotify and all of a sudden an advertisement interrupts your flow. Under the advertisement music is a voice warning you about the government and telling you to take to the streets and fight. You become aware of this just as the music resumes, leaving your brain slightly perplexed.

### Social, security, and economic impacts

- Employee pressures
- Lack of trust and increase in fear
- Lack of social cohesion
- Relative costs – low cost of recruiting a cyber attacker relative to defence of said attack
- Increase in cybersecurity contributes high costs to all companies and governments



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# SHERPA PROJECT

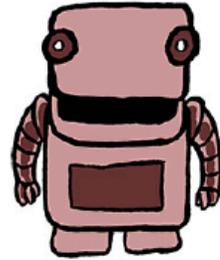
## Predictive policing

YEAR 2025

Many police forces across Europe are adopting predictive policing technologies in response to cuts in human resource budgets. Smart policing systems that predict the location and sometimes the perpetrators of crimes can help to compensate for the lack of resources. However, they are also criticised for invading the privacy of citizens.

Furthermore, budget cuts have pushed many officers with good local knowledge into early retirement. New officers, lacking this knowledge, are content to rely upon the predictive policing system. This has led to fears of automation bias in which officers trust the system despite evidence to the contrary, and despite the training to rectify this.

Nonetheless, there remains a tension as to how best to act when the system recommends one course of action and the officer disagrees with this recommendation.



Someone walking alone at night is tracked by cameras, if any suspicious activity is detected, the cameras will follow them through the streets.



### Social, security, and economic impacts

- The police have been shifting their focus from street crime to organised crime and white collar crimes, including money-laundering, fraud, online scams and hacking.
- The public has learned to cope with the substantial levels of surveillance in society – on the streets and in cyberspace. Some people claim that they have altered their behaviour as they fear certain behaviours will land them in some police database.
- Cuts in police budgets and shifts in budgetary priorities from police officers to more data analysts, causing increased reliance on AI.

### Ethical issues

- Civil rights infringement
- Predictive techniques unable to detect first-time offenders
- Discrimination and automation bias
- Differentiation between types of crime and perpetration

### Legal issues

- Technological development is happening faster than the passage of laws and has been impeded by the time lawmakers need to understand recent developments and the subsequent legislative process
- Police Directive : LEAs no longer need to seek informed consent when they investigate persons of interest

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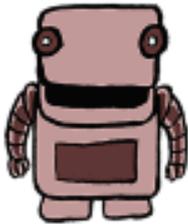


## Annex 14: Roll-up



# SHERPA

The SHERPA project analyses how artificial intelligence and big data analytics impact ethics and human rights to find solutions to benefit society.



What do you want the future of AI and Big Data to look like?

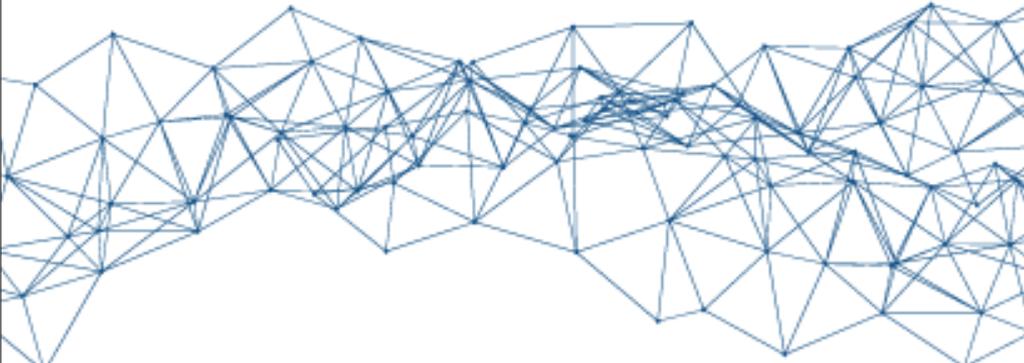
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🐦 : @project\_sherpa

ma projekta rezultāti ir finansēti ar Eiropas Savienības Horizontālās pētniecības un inovācijas programmas atbalstu.



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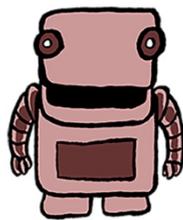


## Annex 15: Launch of scenarios press release



SHERPA

The SHERPA project analyses how artificial intelligence and big data analytics impact ethics and human rights to find solutions to benefit society.



What do you want the future of AI and Big Data to look like?

## What do you want the future of AI and Big Data to look like?

*Researchers invite public comment on five artificial intelligence scenarios set in the year 2025*

Artificial intelligence is already having a major impact on our lives, society and economy. AI has already raised many issues relating to privacy, data protection, discrimination, autonomy, power asymmetries, fairness, among others, but what will AI be doing in six years from now, in 2025? What measures should policymakers be adopting to make sure we reach a desired future and avoid an undesired one?

To speculate about our AI-infused society in 2025, the EU-funded SHERPA project convened a series of workshops that led to the development of five scenarios on technologies that mimic people, information warfare, driverless cars, predictive policing and learning buddy robots. Each scenario introduces the technologies and applications that may be available in 2025, a brief vignette to illustrate how the technologies or applications may be used, their ethical, legal, social and economic impacts, and the recommendations to reach a desired future and avoid an undesired one.

The workshops brought together a wide range of stakeholders from academia, industry, civil society organisations, the media, regulators, educationalists, technologists, cybersecurity experts and artists to brainstorm on these five different areas and what the future might hold for us.



The SHERPA project is now inviting members of the public to review [the scenarios](#) and offer their comments too on our AI-future (please note that the scenarios are in English only). The result of the scenarios is a set of recommendations to policymakers.

The SHERPA project is co-ordinated by De Montfort University (UK) with consortium partners Trilateral Research (UK), Twente University (NL), European Network of Research Ethics Committees (EUREC, DE), University of Central Lancashire in Cyprus (CY), the Stichting Nederlands Normalisatie Instituut (NEN, the Dutch standards body), Mutual Shoots (UK), Aequitas Human Rights, (CY), F-Secure (FI), the European Business Summit, (BE), and Pineapple Jazz (NL).

For more information, contact:

[david.wright@trilateralresearch.com](mailto:david.wright@trilateralresearch.com)

or

[tally.hatzakis@trilateralresearch.com](mailto:tally.hatzakis@trilateralresearch.com)



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## Annex 16: Policy recommendation questionnaire

### **SHERPA project – advocacy Policy recommendations questionnaire**

Please find below a short questionnaire which will be used to establish policy recommendations based on the SHERPA project deliverables. The questionnaire will guide the conversation with the SHERPA partners to capture relevant research outcomes, advocacy targets and messages as well as possible contacts who would be able to help us with strengthening advocacy impact.

EBS will schedule phone calls with partners in M17 (September 2019) and M18 (October 2019) to gather relevant information based on the questionnaire. These questions will be used to create a coherent list of policy recommendations as well as to determine whether these recommendations are in line with the SMART model.

1. What are the key takeaways and recommendations deriving from the research?
2. What kind of political impact/change is your research trying to achieve?
3. Is there any ongoing or planned legislative process that your research is targeting?
4. Can you name any representatives from the EU or national level that would be beneficial to contact? (if applicable)?
5. Outside of policy-makers, do you have any potential contacts who would be able to help us to strengthen our advocacy impact?
6. In your experience, is there a specific approach that you would suggest to use to influence these targets?
7. How much would you be willing to assist in the contact and follow-up with these targets?

Following the responses from questions 1 and 2, EBS will set-up a list of policy recommendations, SMART advocacy objectives and policy messages specific to each target audience identified in Tier 1, 2 and 3.

Question 3 should help EBS with monitoring the legislative process in the EU and on the national level via partners' networks.

Contacts suggested by partners in questions 4 and 5 will be added to the EBS stakeholders mapping tool for further communications.

Questions 6 will help with the development of advocacy messages.



# Annex 17: ACT-ON model template

The screenshot shows a Microsoft Excel spreadsheet titled "ACT-ON model\_template". The interface includes the standard Excel ribbon with tabs for Home, Insert, Page Layout, Formulas, Data, Review, and View. The Home ribbon is active, showing options for font (Calibri, size 12), bold, italic, underline, text color, and background color, as well as alignment and cell formatting options. The spreadsheet grid has columns labeled A through I and rows numbered 1 through 40. The header row (row 1) contains the following categories: "SHERPA Partner", "SHERPA Partner contact", "EU policy connections", "National policy connections", "Research and think tank organisation connections", "Media connections", "Other relevant connections", "Relevant current legislations", and "Relevant events". The second row (row 2) has the name "Aequitas" entered in cell A2. The rest of the spreadsheet is empty. The bottom of the window shows the taskbar with several open workbooks: "Aequitas", "De Montfort University", "Eurec", "EBS", "F-Secure", "Mutual Shoots", "NEN", "Trilateral Research", "University of Twente", "Uclan Cyprus", and "Pineapple Jazz". The status bar at the bottom indicates "Ready" and "100%" zoom.



## Annex 18: Example of Tier 1 stakeholders mapping tool

	A	B	C	D	E	F	G
1	First name	Last name	Political Group	Member State	National Party	New in EP?	Email Address
2	Asim	Ademov	EPP	Bulgaria	Citizens for European Development of Bulgaria	No	asim.ademov@europarl.europa.eu
3	Isabella	Adinolfi	NI	Italy	Movimento 5 Stelle	No	isabella.adinolfi@europarl.europa.eu
4	Clara	Aguilera	S&D	Spain	Partido Socialista Obrero Español	No	claraeugenia.aguilergarcia@europarl.europa.eu
5	Martina	Anderson	GUE/NGL	United Kingdom	Sinn Féin	No	martina.anderson@europarl.europa.eu
6	Éric	Andrieu	S&D	France	Parti Socialiste-Place Publique	No	eric.andrieu@europarl.europa.eu
7	Nikolaos	Androulakis	S&D	Greece	Kinima Allagis	No	nikos.androulakis@europarl.europa.eu
8	Gerolf	Annemans	ID	Belgium	Vlaams Belang	No	gerolf.annemans@europarl.europa.eu
9	María	Arena	S&D	Belgium	Parti Socialiste	No	maria.arena@europarl.europa.eu
10	Pascal	Arimont	EPP	Belgium	Christlich Soziale Partei	No	pascal.arimont@europarl.europa.eu
11	Margrete	Auken	Greens/EFA	Denmark	Socialist People's Party	No	margrete.auken@europarl.europa.eu
12	Petras	Auštrevičius	RE	Lithuania	Liberal Movement (LRLS)	No	No email address communicated by the EP yet
13	Nicolas	Bay	ID	France	Rassemblement National	No	nicolas.bay@europarl.europa.eu
14	Catherine	Bearder	RE	United Kingdom	Liberal Democrats	No	catherine.bearder@europarl.europa.eu
15	Tiziana	Beghin	NI	Italy	Movimento 5 Stelle	No	tiziana.beghin@europarl.europa.eu
16	Brando	Benifei	S&D	Italy	Partito Democratico	No	brando.benifei@europarl.europa.eu
17	Monika	Beňová	S&D	Slovakia	Smer – sociálna demokracia	No	monika.benova@europarl.europa.eu
18	Izaskun	Bilbao Barandica	RE	Spain	Coalición por una Europa Solidaria	No	izaskun.bilbaobarandica@europarl.europa.eu
19	Dominique	Bilde	ID	France	Rassemblement National	No	dominique.bilde@europarl.europa.eu

+ ☰ T1: EP - 9th term ▼ T1 - EC ▼ T1: HLG AI ▼ T1: EESC ▼ T1: ACT-ON contacts ▼ T2: New EC ▼ T3: National cont ◀

	H	I	J	K	L	M	N
1	Previous Committees	Previous involvement with SIS	Previous involvement with SIS	Level of support or opposition to SIS			
2	LIBE Sub: AFET - DROI						
3	CULT - FEMM Sub: REGI - JURI						
4	AGRI Vice-Chair PECH Sub: PETI						
5	LIBE Sub: REGI - AFCO						
6	AGRI Sub: ECON						
7	AFET Sub: ENVI - AGRI - DROI - SEDE						
8	ECON - AFCO						
9	INTA - FEMM Sub: EMPL						
10	Vice Chair REGI IMCO						
11	ENVI - PETI						
12	AFET, Sub: REGI						
13	BCPR Sub: LIBE						
14	BURO - QUE - ENVI Sub: DEVE - FEMM						
15	INTA - EMPL Sub: IMCO						
16	EMPL - SEDE Sub: AFET						
17	LIBE Sub: ENVI						
18	TRAN Sub: PECH - FEMM						
19	CULT Sub: ITRE						
20	EMPL						

+ ☰ T1: EP - 9th term ▼ T1 - EC ▼ T1: HLG AI ▼ T1: EESC ▼ T1: ACT-ON contacts ▼ T2: New EC ▼ T3: National cont ▶

