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

Deliverable No. 5.1

Dissemination, communication, exploitation and advocacy plan

31 August 2018

Document Control

Deliverable	D5.1 Dissemination, communication, exploitation and advocacy plan
WP/Task Related	WP5 - Advocacy, dissemination, exploitation and communications
Delivery Date	31 August 2018
Dissemination Level	Public
Lead Partner	Trilateral Research
Contributors	Trilateral Research: Corinna Pannofino, Rowena Rodrigues, NEN: Marlou Bijlsma, Thamar Zijlstra DMU: Bernd Stahl, Nitika Bhalla, Martin de Heaver, Tilimbe Jiya, Paul Keene Mutual Shoots: Lucy Peel EBS: Anya Gregory, Joanna Nowak EUREC: Lisa Tambornino, Renate Klar
Reviewers	Bernd Stahl (DMU), David Wright (TRI), Angelo Napolano (TRI)
Abstract	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: 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
Key Words	dissemination, communication, exploitation, advocacy

Revision History

Version	Date	Author(s)	Reviewer(s)	Notes
0.1	07/06/2018	Corinna Pannofino (TRI), Rowena Rodrigues (TRI)	Angelo Napolano (TRI)	First Draft
0.2	17/07/2018	Corinna Pannofino (TRI), Rowena Rodrigues (TRI), Nitika Bhalla (DMU), Tilimbe Jiya (DMU), Martin De Heaver (DMU), Paul Keene (DMU), Lucy Peel (Mutual Shoots), Anya Gregory (EBS), Joanna Nowak (EBS), Lisa Tambornino (EUREC), Renate Klar (EUREC)	Angelo Napolano (TRI)	Second Draft
0.3	21/08/2018	Corinna Pannofino (TRI), Rowena Rodrigues (TRI), Nitika Bhalla (DMU), Tilimbe Jiya (DMU), Martin De Heaver (DMU), Paul Keene (DMU), Lucy Peel (Mutual Shoots), Anya Gregory (EBS), Joanna Nowak (EBS), Lisa Tambornino (EUREC), Renate Klar (EUREC), Marlou Bijlsma and Thamar Zijlstra (NEN)	David Wright (TRI) Angelo Napolano (TRI)	Third draft
0.4	30/08/2018	Corinna Pannofino (TRI), Rowena Rodrigues (TRI), Nitika Bhalla (DMU), Tilimbe Jiya (DMU), Martin De Heaver (DMU), Paul Keene (DMU), Lucy Peel	Bernd Stahl (DMU)	Final draft

		(Mutual Shoots), Anya Gregory (EBS), Joanna Nowak (EBS), Lisa Tambornino (EUREC), Renate Klar (EUREC), Marlou Bijlsma and Thamar Zijlstra (NEN)		

Table of Contents

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 decision-makers 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).

List of figures

Figure 1: Screenshot of the SHERPA website

Figure 2: Screenshot of the SHERPA Project Management tool

Figure 3: Screenshot of SHERPA's Twitter account

Figures 4a and 4b: SHERPA flyer

Figure 5: Exploitation process diagram

List of tables

Table 1: List of acronyms/abbreviations

Table 2: Glossary of terms

Table 3: Avenues for journal articles

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 or dissemination is targeted.
Dissemination[1]	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 policy-makers[2].
Communication	Reaching out to society and communicating about the project and its results to a multitude of audiences, including the media and the public [3]

---

[1] EC definitions taken from https://www.iprhelpdesk.eu/sites/default/files/EU-IPR-Brochure-Boosting-Impact-C-D-E.pdf
[2] http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/grant-management/dissemination-of-results_en.htm
[3] 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.)[4]
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[5]
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.[6]
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.

Table 2: Glossary of terms

---

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

[5] Wright, D. et. al, 2013

[6] 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 policy-makers, 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) will be submitted at the end of August 2018. This deliverable will contain information about the development of the stakeholder list and the results of the stakeholder analysis.

The relevant SHERPA stakeholder categories have been defined as follows:
- companies
- industry associations
- civil society organisations
- policy-makers
- professional bodies
- researchers
- media

The stakeholders will be 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 will analyse 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 will focus on European stakeholders, but stakeholders from overseas will not be 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, Postbank Germany, Cogitanda Dataprotect)
- Industry associations (e.g. Data Science Association, Big Data Value Association)
- Civil society organisations (e.g., Helsinki foundation for human rights, The European Consumer Voice in Standardization, Center for the Promotion of Science)
- Policy-makers (e.g., European Data Protection Supervisor, National Commission on Informatics and Liberty)
- Media and academia (e.g. journalists, academics)

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 11, 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 as a measure of last resort. 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 background, knowledge and interest. 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 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 decision-makers 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 decision-makers, 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
- 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 (see section 3.2.6 below) 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 the some of the potential outlets and its intended audience.

Publication	Readership	Impact factor
Artificial Intelligence (Elsevier)	Broad readership, AI researchers	Impact Factor: 3.034
Ethics and information technology (Springer)	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
European Journal of Information Systems (EJIS) (Palgrave)	Researchers and information system professionals	Impact factor 2.819

Publication	Readership	Impact factor
Innovation: The European Journal of Social Science Research	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
IEEE Security & Privacy	Academic researchers to industry practitioners	Impact factor 1.239
IEEE Technology and Society Magazine	Academic researchers to industry practitioners interested in social implications of technology	Impact factor 1.019
International Review of Law, Computers and Technology (Taylor & Francis)	Information technologies legal researchers, academics.	Not found
Journal of Information, Communications and Ethics in Society (JICES) (Emerald Publishing)	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)
Journal of Responsible Innovation, Science and Public Policy (Taylor & Francis)	Humanists, social scientists, policy analysts and legal scholars, and natural scientists and engineers	Not found
The ORBIT Journal - An Online Journal for Responsible Research and Innovation in ICT	Broad audience/ those interested in responsible research and innovation in information and communication technology and beyond	Not found

Table 3: Avenues for journal articles

3.2.2. Opinion pieces and shorter articles for newspapers and magazines

SHERPA partners 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 policy-makers, innovators, security companies and professional bodies, who are the 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.

As currently planned, these opinion pieces/articles will coincide with the deliverable deadlines of case-studies and scenarios, or SHERPA short films whenever possible to produce a cohesive and holistic messaging. The articles will be proposed and written by those who are working on the topic.

Examples of potential magazines we could target include:
- Horizon, The EU research and innovation magazine: https://horizon-magazine.eu/content/about-horizon_en.html
- Intelligent Transport:https://www.intelligenttransport.com/advertising-editorial/?target=information-for-authors
- Jane's defence weekly: https://www.janes.com/defence/janes-defence-weekly
- Projects: 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

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 the 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 policy-makers 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 (see section 6). SHERPA 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 in 1 pager format (see template - Annex 4) in order to avoid them being too long and lose focus from the main messages, which we want to be as immediate as possible and capture the reader's attention. 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 is planned for the first week of September 2018, after which newsletters will be prepared and distributed every three months (four issues/year). We will create 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.

The newsletters will also be published on the project website and on social media (Twitter and Facebook) 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 not the main 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 finalised based on the timings of the events and availability of the project's results). The table below includes examples of events we plan to target.

Event Name	Website	Audience
International Human Rights Summit	https://www.humanrightssummit.com/	Officials and advocates from around the world who work for equality and justice through human rights education, academics from diverse fields, youth.
Stakeholder Workshop - Trustworthy Artificial Intelligence – building a framework with standardization	https://www.cencenelec.eu/news/events/Pages/EV-2018-016.aspx	Academics from diverse fields, industry, AI technology providers, consumers representatives; policy makers; the standardization community
ETHICOMP conference	http://www.dmu.ac.uk/research/research-faculties-and-institutes/technology/centre-for-computing-and-social-responsibility/ethicomp/ethicomp-2018/ethicomp-2018.aspx	Various communities involved in the development, implementation, use of computing and reflection on it in its various guises
ETSI IoT Week 2018	https://www.etsi.org/etsi-iot-week-2018/	Academia, public and private sectors involved with ICT standards, technical planning and development, research and innovation, civil society
Annual Conference on Governance of Emerging Technologies: Law, Policy, and Ethics	http://events.asucollegeoflaw.com/gets/	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
Computers, Privacy and Data Protection (CPDP) Conference	http://www.cpdpconferences.org	Academia, public and private sectors and civil society from over 40 different countries

Event Name	Website	Audience
International Conference on Information Systems (ICIS)	https://icis2019.aisconferences.org	Information systems researchers from around the world.
European Conference on Information Systems (ECIS)	http://ecis2019.eu	Thinkers, innovators, Information systems researchers.
UK Academy for Information Systems Conference (UKAIS)	https://www.ukais.org	Academics, leading scholars in the Information Systems field from the UK and overseas
The EuroScience Open Forum (ESOF) 2020	http://www.proesof2020.eu	Thinkers, innovators, policy makers, journalists and educators from over 90 countries to discuss current and future breakthroughs in contemporary science, the public
We Robot: Conference on legal and policy issues related to robotics	https://conferences.law.stanford.edu/werobot/	Academics and practitioners, engineers, social scientists, legal scholars
Websummit 2018	https://websummit.com/	Thinkers, innovators, policy makers, journalists, academics, technology companies, civil society.

Table 4: Potential events relevant to SHERPA.

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. However, the topics will 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
6. Final event

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 at M12), to discuss SHERPA findings with ethics committees and other stakeholders, representing further occasions for increasing stakeholder engagement and dissemination of results.

The final conference, which will take place at 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 policy-makers. As the final conference will bring together researchers, media, national and EU policy-makers 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 policy-makers. 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 at M12 (April 2019) and updated on a yearly basis at months 24 (April 2020), 36 (April 2021), 42 (October 2021).

	Event	Date and place	Organising partner
Scenario workshops	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

Event		Date and place	Organising partner
	AI in Law Enforcement	Enschede, Netherlands (25-26 Sept 2018)	Twente
	AI in Transport	Enschede, Netherlands (25-26 Sept 2018)	Twente
Focus groups		TBD (between M12 and M28)	UCLAN
Final Conference		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[7] 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.

3.2.9. Webinars

Webinars will be an important activity to engage with policy-makers and regulators, civil society organisations, academics to inform academics about the SHERPA project and its deliverables, but mostly to influence SIS-related policy-making and build connections with CSOs 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. Case studies (UT)

2. Scenarios (TRI)

3. Security issues (FSEC)

4. Human rights and SIS (AHR/UCLAN)

---

[7] Science with and for Society; a H2020 pillar.

5. Workbook (DMU)

6. Ethical issues (UT)

7. Standards development for SIS (NEN)

The webinars will be finalised as results become available and in discussion with partners. We expect the first webinar to be delivered around or after month 11.

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. 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.	High	Strategy to mitigate this risk will be developed by WP1, WP2 and WP5 together.
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 relating to dissemination	Level	Mitigation
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	Submission and acceptance for publication of five articles	Provide information about key issues raised by SIS to academics
Opinion pieces or short articles in industry magazines	Policy-makers, 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	12 events	Build connections and networks between SHERPA and its stakeholders.
Policy briefs	Policy-makers and regulators	Two per year	Influence SIS-related policy-making.
Briefing papers	Civil society organisations (CSOs)	Two (one for research funding agencies and one for civil society organisations)	Galvanise CSOs to take actions re SIS ethical and societal impacts via summaries of issues, implications and courses of actions.

Instruments	Target stakeholders	KPIs	Expected impact
E-mails	CSOs, policy-makers, other stakeholders	Bi-monthly. All WPs.	Provide information to and gathering feedback from stakeholders; engaging them and influencing the outcomes of the project and the future directions of SIS.
Newsletters	Policy-makers, 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 and relevant news items.
Webinars	Policy-makers and regulators, civil society organisations, academics	At least six (two per year)	Influence SIS-related policy-making, build connections with CSOs to increase outreach, inform academics about the SHERPA project and its deliverables
Posters (five)	Researchers, innovators	Publication of posters.	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 tool (see Annex 5). 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[8]. Although the consortium aims at establishing a transparent, two-way conversation with stakeholders, partners are aware

---

[8] https://www.iprhelpdesk.eu/sites/default/files/EU-IPR-Brochure-Boosting-Impact-C-D-E.pdf

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 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.

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, 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.

The SHERPA website is fully integrated into all major social media platforms allowing for quick dissemination of information once a case study or article has been published. Not only does this create a cohesive appearance on all platforms, it serves as a form of advertising for people who may not be familiar with the project. Details on the technical aspects of the website and how visits will be monitored (e.g., Google Analytics) will be submitted as D5.2.

Newsletters, articles, case studies and ultimately the workbook will be posted on the website (and 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[9], provides much of the functionality that will be required for a strong web 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/.
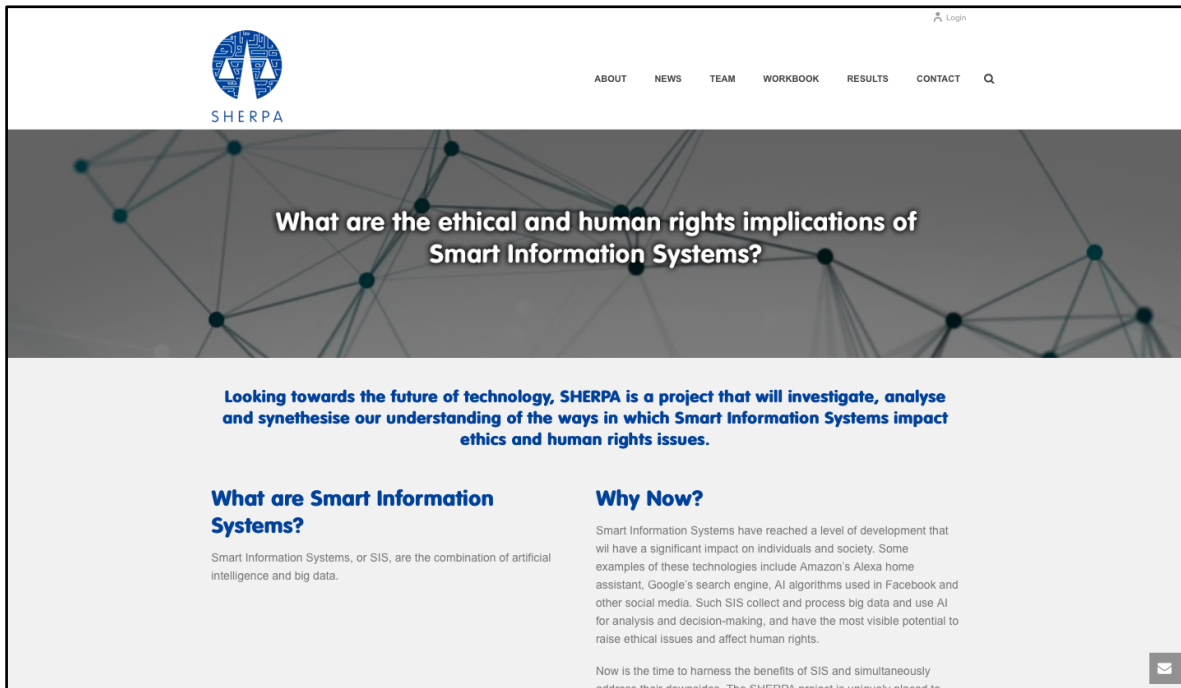
Fig. 1 Screenshot of the SHERPA website

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.

---

[9] https://www.orbit-rri.org
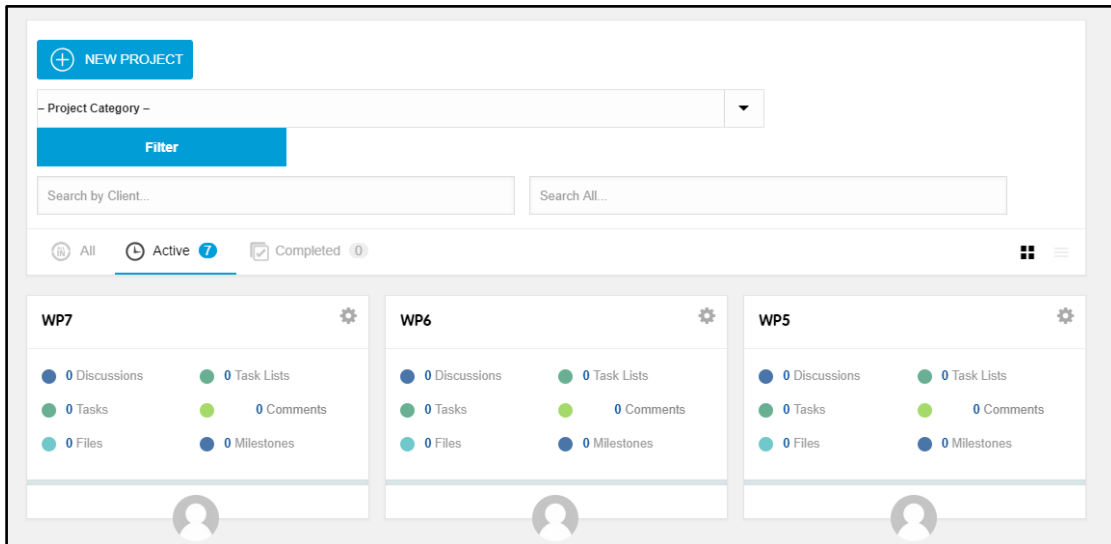
Fig. 2 Screenshot of the SHERPA Project Management tool

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 article 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.

Twitter

A Twitter account (https://twitter.com/project_sherpa?lang=en) for SHERPA was set up at May 2018 to post news about the project as soon as possible because of the widespread use of Twitter by policy-makers, European projects, researchers, influencers and other stakeholders. As of 23 August 2018, we have 65 followers. DMU manages the account.

Fig 3: Screenshot of SHERPA Twitter account

Other social media platforms will be used as materials (e.g., videos) as further results are available.

Facebook

An account has been created for SHERPA (managed by DMU) on Facebook which has been up and running since July 2018. (https://www.facebook.com/sherpaprojecteu/). This page is automated and will post content created on the SHERPA website the moment new content goes live.

YouTube

A YouTube channel has been created for posting project videos as they become available (https://www.youtube.com/channel/UCfuH-5M6mv0AhEXEAg2gxYg). This has been up and running since July 2018. This channel will host SHERPA videos including animations.

DMU manages the YouTube channel. 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.

Social media accounts strategy

In the initial phases, SHERPA's partners' institutional accounts and consortium members active on Twitter are instrumental to building a following. The **@**project_sherpa account follows partners and individuals. Consortium members are asked to follow us back and help share information their networks by re-tweeting content from the account.

In the initial phases, content relating to the project launch on partner websites and other media outlets will be shared on a regular basis (weekly) to showcase the international and multidisciplinary nature of the project. Project videos and website content will also be shared, followed by public deliverables and publications from the project. We will re-tweet partners' publications relevant to SHERPA. Twitter will also be used to direct traffic to content on the SHERPA website.

Project partners are expected to help disseminate SHERPA and its outcomes through their social media accounts. Individuals can also use their personal LinkedIn profile to each 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, an URL-shortened link should be used if there is the need to point at specific pages of the website considering the limited number of characters. 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 infographics.

4.2.3. Flyer

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.

Flyers will be printed and distributed at third-party events. To reach a wider audience, the flyer has been published on the SHERPA website, shared via social media and will be translated into Dutch, French, German and Spanish.

Figure 4a SHERPA flyer

Figure 4b SHERPA flyer

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 policy-makers. 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.

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 5).

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. Post 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 and on the partners' websites and shared through social media. It received a good press coverage and was featured in about 15 online magazines/websites so far (for details see Annex 7).

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. The media list will also include all those contacts that will register via the SHERPA website in order to receive the project's newsletters and updates.

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). The projected delivery date is 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 8: 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 narration						■								

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

Table 9: Production Schedule for Individual Films

- Production will start towards the end of March 2019 (month 11) when it is anticipated that the case studies and scenarios will be 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 will be finalised by 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 precise strategy for this work will be discussed in detail with the appointed artist and the details will be reflected in an updated version of this document.

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 10: 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	Ongoing	Interactive and informative impact on interested audiences
6 press releases (translated into four languages i.e., Dutch, French, German, Spanish/other relevant language)	Media (including CORDIS Wire)	Start and end of project and at least one per key WP. Take-up of the press release by CORDIS Wire and/or at least one newspaper in each of the partners' countries.	Wide dissemination and communication of results, especially to the public
One flyer (translated into four languages)	Industry, academics, the public	Publication of flyer on website. 2,000 printed copies distributed at third-party events attended.	Provides stakeholders with a brief introduction to the project and where to go for more information
Infographics (five)	Researchers, innovators, civil society, policy-makers.	Publication of infographics. Shares. Likes.	Provides stakeholders with a brief introduction to the project and where to go for more information

Table 11: 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.

For more details and the full guide on the use of SHERPA's logo, colour scheme etc., see Annex 1.

4.6 Timing of dissemination and communication activities

See Annex 8.

4.7 Roles and responsibility

EBS will coordinate and implement the dissemination activities; 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 and flyer. 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. The exploitation strategy reflects and is built-up as a result of sound analysis of the market trends, potential users, and scope for financial sustainability. Stakeholders will be precisely identified and analysed in terms of specific needs and objectives.

5.2 Strategy

We propose to embed the exploitation activities throughout the project, instead of using the conventional approach of waiting until the end of the project. 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

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. 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.)[10]

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: Nov/Dec 2018	physical	identify potential	All partners	Populate exploitation register Update exploitation contact register
EW2: May 2019	Physical	brainstorm and outline	All partners	Update exploitation register
EW3: Sept 2019	Virtual	Validate and detail	All partners	Update exploitation register
EW4: Mar 2020	Physical	Plan	All partners	Update exploitation register
EW5: Sept 2020	Virtual	Implement	All partners	Update exploitation register Update exploitation contact register

Table 12: Exploitation workshop timetable

---

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

5.3 Exploitation process

The following diagram illustrates the SHERPA exploitation process.
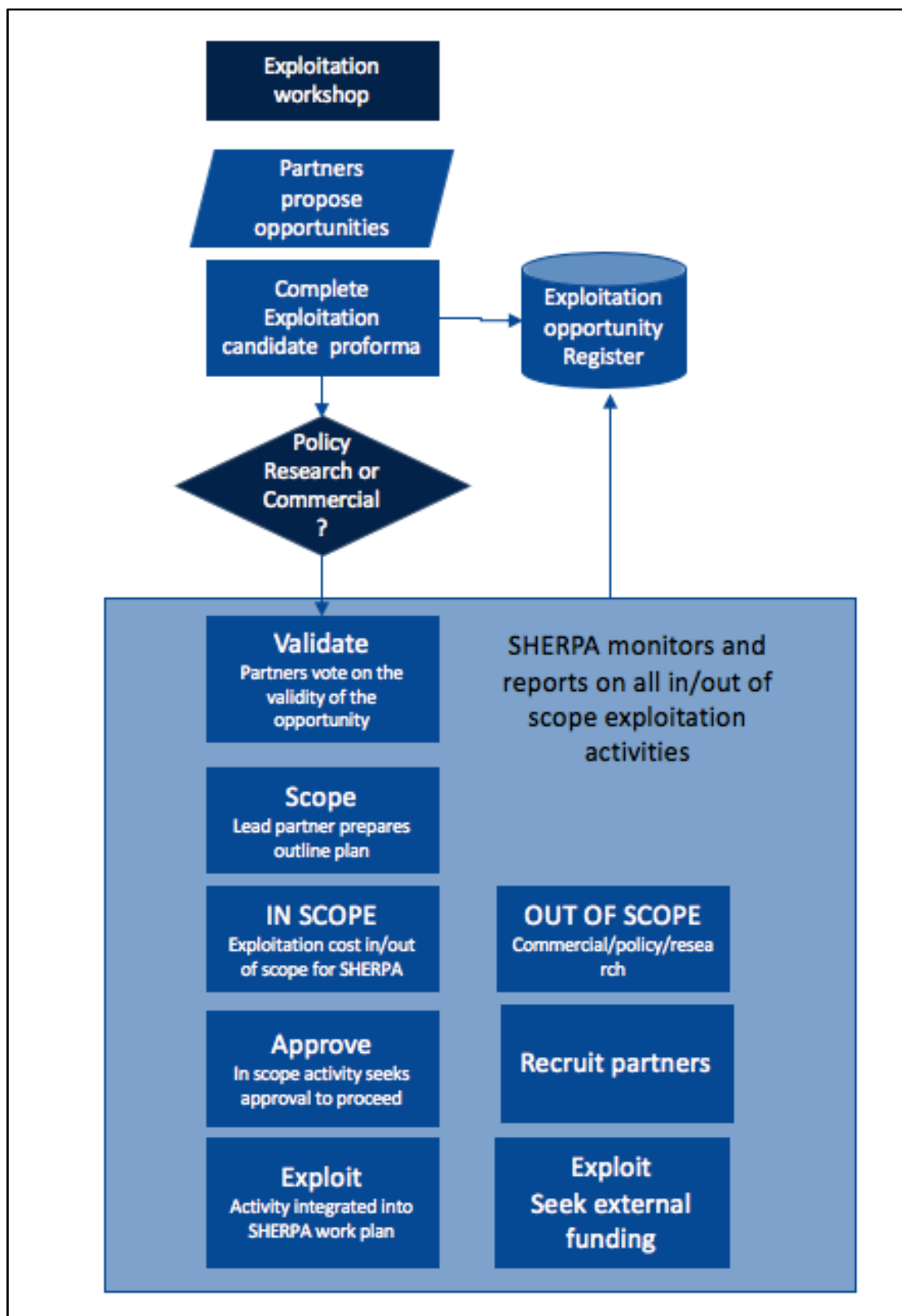
Figure 5: Exploitation process diagram

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.
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 13: 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.

Exploitation template	
Title and type of exploitation opportunity	

Exploitation template	
Partner identified	
Result from SHERPA WP?	
Problem addressed by exploitation	
Ethical aspects	
Market size	
Commercial/Research/Social outcome	
Freedom to operate established	
First potential users/customers	
Exploitation start-up funding needed	

Table 14: 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.

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

Table 15: Exploitation contact point

6. Advocacy

6.1. Objectives and strategy, including advocacy messages

The aim of the SHERPA advocacy plan is to outline the advocacy work to take to best advocate the project recommendations towards the EU and national decision-makers. This includes objectives, messages tailored to the right audience, opportunities and actions. The advocacy plan execution will be led by the European Business Summit (EBS), however partners will be asked to aid in facilitation by informing and sharing contacts (advocacy capacities) with EBS via the ACT-ON assessment.

In order to set up the advocacy objectives, EBS will follow the SMART model, ensuring that each objective is specific (S), measurable (M), achievable (A), realistic (R) and time-bound (T). The concrete advocacy objectives and messages will be developed in October 2019 (M18), following the results of research conducted in previous work packages.

The main objective of the SHERPA advocacy is to achieve lasting impact, facilitating effective policy actions and paving the way for socially acceptable, desirable and sustainable smart information systems (SIS). The long-term strategic goal will be to advocate the SHERPA project recommendations to EU and national policy-makers and ensure that those recommendations are implemented in the future policies and regulatory framework addressing ethical and legal challenges of SIS. SHERPA's advocacy efforts will go hand-in-hand with communications and disseminations activities and will benefit from the existing media coverage.

In addition to advocacy objectives, SHERPA will also develop interim outcomes – shorter-term results of advocacy efforts. The interim outcomes will include meetings with stakeholders, participation in conferences, interviews with the press, articles and publications, op-eds, briefing papers and press releases. The interim outcomes are very important to achieve the overall objectives in a timely manner and to keep all partners involved in the process.

The advocacy messages will be prepared in line with the research findings and tailored to specific audiences. The target audience will include Members of the European Parliament (MEPs), EU Commission officials, members of the EU High-Level Group on Artificial Intelligence and national policy-makers. The ACT-ON assessment will aid in deciding how advocacy messages will be best disseminated, including what kind of message will work for a targeted audience which will then be communicated by EBS. The messages will be prepared in close cooperation with partners responsible for communications and disseminations to ensure consistency and transparency.

The advocacy plan lists concrete advocacy actions taken from M18 to M42, both in planning for advocacy and its execution. The pre-advocacy actions include mapping relevant policy-makers at the EU and national level, analysing the existing legislation processes, searching for advocacy entry points (including high-level conferences), and conducting the ACT-ON model analysis. The advocacy actions targeted directly at policy-makers will be assessed on an individual basis and include face-to-face meetings in Brussels and other national capitals, conference calls, e-mails, letters and participation in conferences and workshops.

6.2. Advocacy opportunities and entry points

EBS will assess advocacy opportunities and entry points on a case-by-case basis depending on the legislative process on the EU and at the national level. In addition, EBS will identify other advocacy entry such as conferences and events as well as publication of relevant reports and media stories.

The European Parliament elections, taking place on 23-26 May 2019, will be an opportune moment for the SHERPA project. EBS will gather information regarding the interests of the new Members of the European

Parliament to assess potential advocacy opportunities. EBS will also closely monitor the changes in the European Parliament's organisational structure, mainly the selection process of the members of the parliamentary Committees that are relevant to the SHERPA project.

6.3. Advocacy actions (plans for implementation)

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

EBS will conduct the ACT-ON assessment to analyse SHERPA partners advocacy capabilities and resources, such as previously established connections with decision-makers, alliances, former advocacy work and experiences. During the process, consortium partners will also provide contacts which will then be followed-up by EBS.

Advantages: SHERPA partners are experts in their respective fields with well-established connections to research organisations, think tanks, policy-makers, media and civil society. Each partner will be able to offer useful contacts for advocacy purposes which they will then forward to EBS for the appropriate advocacy measures. Further, through the communications and dissemination activities, the SHERPA project will gain media exposure, visibility and thus new engagement and advocacy opportunities.

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. 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.

Risks: The main risk to assessing SHERPA's advocacy capacities could be partners' refusal to share their advocacy contacts. Such risk, however, seems highly unlikely.

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 partners' advocacy capacities and experiences, the SHERPA project will determine advocacy next steps and target audience.

6.3.2. Policy-makers analysis – network mapping tool

EBS will fill missing gaps in the ACT-ON assessment by conducting a basic network mapping of policy-makers at the EU and national level along with their interests, level of support or opposition to the issue, influence and importance.

EBS will develop a network mapping to visualise connections between EU and national policy-makers, agencies, EU and national institutions, groups, think tanks, academia & individual stakeholders. The purpose of the network mapping tool is to determine key individual actors or organisations with the strongest ties to other stakeholder groups. The network mapping will streamline advocacy efforts and help the SHERPA project to focus its advocacy efforts on key influencers. EBS will work closely with partners' contacts, conduct interviews and assessments in all EU Member States in order to correctly identify key policy-makers.

6.3.3. Legislative process analysis

EBS will also analyse the existing legislative process to assess advocacy entry points and opportunities in member states. Similar to the network mapping, the legislative process mapping will visualise connections between various policy work conducted at the EU and national level. The purpose of the legislation mapping tool is to determine key advocacy opportunities and entry points.

6.3.4. Face-to-face meetings

Face-to-face meetings play the crucial role in advocacy. EBS will put emphasis on ensuring that most policy-makers 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. The face-to-face meetings will occur on a regular basis. EBS will also make the best use of available communications and dissemination resources developed by the partners and use them during the meeting. For example, videos, flyers, posters, articles, publications and press releases.

6.3.5. E-mails and letters

Advocacy e-mails will be sent to policy-makers throughout the duration of the advocacy. EBS will contact policy-makers on a regular basis. The frequency might increase due to the legislative processes of each country, the level of engagement and interest in the project, and the strength of the connection. The e-mails will be used to distribute communications outputs as well as to follow-up on the latest developments.
With regular email communications, policy-makers will be able to stay up-to-date with SHERPA activities. In addition, they will be encouraged to offer feedback and suggest new actions to take. Maintaining regular e-mail correspondence will be crucial to sustaining those connections.
Official letters will be sent to the most senior policy-makers (minister and EU Commissioner level) to introduce the project and propose face-to-face meetings. Those carefully drafted official letters are an important first step in establishing new relations.

6.3.6. Conference calls

Conference calls will be used as a tool to keep policy-makers up-to-date with the latest developments or as way to have an advocacy follow-up. Face-to-face meetings are the preferred form of communication from introduction to the project to follow-up meetings, however if this option is not available, conference calls can be utilised.

6.3.7. Advocacy at the third-party conferences

EBS will also conduct advocacy at third-party conferences and events to communicate our recommendations to policy-makers. These conferences are also an excellent opportunity to schedule private face-to-face meetings with policy-makers to present the research findings in more detail in the fringes of the event. The list of relevant can be found in section 3.2.5

6.3.8. Briefing papers for advocacy

EBS will prepare briefing papers for advocacy, including key project findings and advocacy recommendations for policy-makers. The briefing papers will serve as an entry point for discussion and will be shared with policy-makers prior to the meeting. The papers will be reviewed by communication and dissemination partners (and the wider project team, as relevant) to ensure consistency in messaging. The messaging will be kept streamlined to the project's goals but will also include targeted portions according to the audience.

6.4. Barriers, risks and mitigation measures

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

6.4.1 Inadequate policy-makers mapping process and inadequate analysis of EU and national legislation process

Inadequate policy-makers 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.

6.4.2 Inadequate ACT-ON model analysis

The ACT-ON model, together with the SHERPA Stakeholders List, will serve as a the main tool to gather contacts for advocacy purposes. An inadequate and incomplete list might slow down the advocacy efforts or shift the advocacy resources in the wrong direction. The mitigation measures will include e-mail updates to ensure that all partners agree to EBS' actions.

6.4.3 Lack of interest and/or engagement from policy-makers due to a wrong choice of advocacy messages or activities

The EU and national level policy-makers might 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 the messages and advocacy activities to each policy-maker, focusing on their specific needs and interests, and paying attention to the political environment. EBS will also use a variety of communications and disseminations tools, including videos, flyers, briefing papers to strengthen the advocacy message delivery.

6.4.4 Lack of interest in attending the final SHERPA event

At the end of the project, EBS will organise a final conference, bringing together all stakeholders interested in the SHERPA work. One of the risks of organising a conference in Brussels is the number of other events that SHERPA will have to compete against. It might result in an insufficient number of key policy-makers present and thus lost engagement opportunities. The best way to mitigate this risk would be to keep stakeholders informed about the conference during each advocacy meeting, as well as through communications and dissemination activities.

6.4.5 Internal risks – 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 the others and to ensure that the communications and disseminations activities are taking the advocacy needs into account. As advocacy goes hand-in-hand with communications and disseminations, EBS will stay in a regular contact with SHERPA partners via WP5 calls to closely monitor the message delivery and to stay consistent and transparent.

6.5. Monitoring and evaluation

Through monitoring and evaluation, EBS will examine the progress of the advocacy strategy. The performance monitoring will also show if the selected advocacy actions (including advocacy messages) are successful. In addition, the monitoring and evaluation process will allow EBS to establish if the advocacy objectives and interim outcomes are executed in a timely manner.

The SHERPA monitoring and evaluation process will measure the following outputs: advocacy activities performed, interim outcomes, advocacy objectives and impact achieved. EBS will document incremental progress towards its advocacy objectives to ensure that the advocacy strategy is moving in the right direction.

EBS will collect the data regarding all advocacy activities, including the number of meetings, advocacy messages delivered, minutes from the meetings with stakeholders, articles published, communications outputs effectiveness and third-party conference attendance. 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 over time.

At the end of the project, EBS will contact key policy-makers for interviews to evaluate the effectiveness of our advocacy work. 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. In addition, the EBS will provide regular written updates with the best practices and lessons learned.

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 have to be revisited and updated accordingly.

6.6. Guidelines

EBS will provide updates to all partners on activities and allow partners to comment on said activities. EBS is mainly responsible for advocacy however partners are encouraged to share their resources such as upcoming events, contacts and other advocacy entry points.

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

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 5) 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 5), will be 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. The DCEAP is a living document and the candidate dissemination 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: Newsletter template

Annex 5: SHERPA Monitoring tool

Annex 6: Monitoring tool guidelines

Annex 7: Achievements thus far (activities till month 4)

Annex 8: Timing of dissemination and communication activities (gannt)

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

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 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**.

EU acknowledgement

All documents used for submission or put on the server should include the grant agreement number, EU logo and project logo.

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 programmeSHERPA'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

Follow us on Twitter: @project_sherpa

Coordinator: Professor Bernd Carsten Stahl, De Montfort University

E-mail: bstahl@dmu.ac.uk, phone: +44 116 207 8252

Annex 3: Flyer

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

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).

Connect with us

Project coordinator:
Professor Bernd Stahl, De Montfort University, bstahl@dmu.ac.uk

www.project-sherpa.eu

Twitter: @project_sherpa

Annex 4: Newsletter template

"Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Ut enim ad minim veniam, quis nostrud exercitation ullamco laboris nisi ut aliquip ex ea commodo consequat. Duis aute irure dolor in reprehenderit in voluptate velit esse cillum dolore eu fugiat nulla pariatur. Excepteur sint occaecat cupidatat non proident, sunt in culpa qui officia deserunt mollit anim id est laborum."

"Sed ut perspiciatis unde omnis iste natus error sit voluptatem accusantium doloremque laudantium, totam rem aperiam, eaque ipsa quae ab illo inventore veritatis et quasi architecto beatae vitae dicta sunt explicabo. Nemo enim ipsam voluptatem quia voluptas sit aspernatur aut odit aut fugit, sed quia consequuntur magni dolores eos qui ratione voluptatem sequi nesciunt. Neque porro quisquam est, qui dolorem ipsum quia dolor sit amet, consectetur, adipisci velit, sed quia non numquam eius modi tempora incidunt ut labore et dolore magnam aliquam quaerat voluptatem. Ut enim ad minima veniam, quis nostrum exercitationem ullam corporis suscipit laboriosam, nisi ut aliquid ex ea commodi consequatur? Quis autem vel eum iure reprehenderit qui in ea voluptate velit esse quam nihil molestiae consequatur, vel illum qui dolorem eum fugiat quo voluptas nulla pariatur?"

"Sed ut perspiciatis unde omnis iste natus error sit voluptatem accusantium doloremque laudantium, totam rem aperiam, eaque ipsa quae ab illo inventore veritatis et quasi architecto beatae vitae dicta sunt explicabo. Nemo enim ipsam voluptatem quia voluptas sit aspernatur aut odit aut fugit, sed quia consequuntur magni dolores eos qui ratione voluptatem sequi nesciunt. Neque porro quisquam est, qui dolorem ipsum quia dolor sit amet, consectetur, adipisci velit, sed quia non numquam eius modi tempora incidunt ut labore et dolore magnam aliquam quaerat voluptatem. Ut enim ad minima veniam, quis nostrum exercitationem ullam corporis suscipit laboriosam, nisi ut aliquid ex ea commodi consequatur? Quis autem vel eum iure reprehenderit qui in ea voluptate velit esse quam nihil molestiae consequatur, vel illum qui dolorem eum fugiat quo voluptas nulla pariatur?"

Annex 5: SHERPA Monitoring tool

Activity categories sheet

	A	B	C	...	S
1	**Communication & dissemination activities categories**				
2	Conference (organised)				
3	Workshop (organised)				
4	Conference (attended)				
5	Workshop (attended)				
6	Other event (attended)				
7	Press release				
8	Non-scientific and non-peer-reviewed publication (popularised publication)				
9	Scientific publication				
10	Exhibition				
11	Distributed flyers				
12	Training				
13	Social media				
14	Communication campaign (e.g. Radio, TV)				
15	Brokerage event				
16	Pitch event				
17	Trade fair				
18	Participation in activities organized jointly with other H2020 projects				
19	Direct contact with public officers				
20	Dissemination by externals				
21	Other				
22					
23					
24					

Tabs: Activity categories | Conference (organised) | Workshop (organised) | Conference (attended) | Workshop (attended) | Other event (attended) | Press release | Non-scientific publication | Scie... | +

Conference (organised) sheet

	Conference (organised)											
					Number of persons reached							
Date and place	Event name	Link to google folder/SHERPA management tool (where you have uploa...	Scientific Community (Higher education, research)	Industry	Civil Society	General Public	Policy makers	Media	Investors	Customers	Other

Tabs: Activity categories | **Conference (organised)** | Workshop (organised) | Conference (attended) | Workshop (attended) | Other event (attended) | Press release | Non-scientific publication

Non-scientific publication sheet

	A	B	C	D	E	F	G	H	I	J	K	L
1	**Non-scientific publication**											
2				**Number of persons reached**								
3	Date	Title	Link to publication (e.g. article, news, etc.)	Scientific Community (Higher education, research)	Industry	Civil Society	General Public	Policy makers	Media	Investors	Customers	Other
4												
5												

Tabs: Workshop (attended) | Other event (attended) | Press release | **Non-scientific publication** | Scientific publication | Exhibition | Distributed flyers | Training | Social media | Communication ca... | +

Annex 6: 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) *see images below	
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/2HQKslK #ethics #humanity #AI

View Tweet activity

Tweet Activity

Trilateral Research @Trilateral_UK
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 https://bit.ly/2HQKslK #ethics #humanity #AI pic.twitter.com/CxwHcHpx84

Impressions	223
Total engagements	2
Detail expands	2

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

Get started

Annex 7 – Achievements thus far (M4)

Type of dissemination/ communication activity	Name/Title		Date
Attended conferences	15th International Human Rights Summit, New York, USA		M3 (5-7 July 2018)
	AI for Good Global Summit 2018		M3 (July 15 -17)
Organised workshops	"AI and Big Data: Ethical and Human Rights implications", Press Club, Brussels, Belgium		M1 (3 May 2018)
	First scenario workshop, "AI that mimics people", Innovate UK, Brussels, Belgium		M3 (3 July 2018)
Press releases	Launch of the SHERPA project: When AI, Big Data, Ethics and Human Rights Converge		M1 (May 2018)
	Dutch translation: Wanneer AI, big data, ethiek en mensenrechten samenkomen		M1 (May 2018)
	French translation: Quand l'intelligence artificielle, le big data, l'éthique et les droits de l'homme convergent		M1 (May 2018)
	Greek translation: Όταν η Τεχνητή Νοημοσύνη, τα μεγάλα δεδομένα, η ηθική και τα ανθρώπινα δικαιώματα συγκλίνουν		M1 (May 2018)
	Articles in non-peer	HBP´s Ethics Director to lead Europe-wide	M1 (31 May 2018)

Type of dissemination/ communication activity	Name/Title		Date
Non-scientific publications (popularised publications)	**reviewed journals/ magazines (published by SHERPA)**	computer ethics project – Human Brain Project	
		When AI, big data, ethics and human rights converge – CORDIS WIRE	M2 (22 June 2018)
		When AI, big data, ethics and human rights converge – RealWire	M2 (7 June 2018)
		Quand l'intelligence artificielle, le big data, l'éthique et les droits de l'homme convergent – RealWire	M2 (7 June 2018)
	Press coverage for the first press release	Global Banking and Finance Review	M2 (9 June 2018)
		Virtual strategy magazine	M2 (7 June 2018)
		CioDive	M2 (June 2018)
		The Robotics Law Journal	M2 (12 June 2018)
		Dutch IT Channel	M2 (13 June 2018)
		The News Articles	M2 (7 June 2018)
		News Locker	M2 (7 June 2018)
		The News Headline	M2 (7 June 2018)
		News Vire	M2 (June 2018)
		The Breaking News Headlines	M2 (7 June 2018)

Type of dissemination/ communication activity	Name/Title	Date
	Kyung Hee University Library	M2 (June 2018)
	Charavgi Newspaper (p. 41, Greek)	M4 (19 August 2018)
Flyer	SHERPA project flyer	M2 (June 2018)
Project website	https://www.project-sherpa.eu	M1 (May 2018)
Social media accounts	- Twitter - Facebook - YouTube channel	M1 (May 2018) for Twitter, M3 (July 2018) for Facebook and YouTube
Publications	B. C. Stahl and D. Wright, "Ethics and Privacy in AI and Big Data: Implementing Responsible Research and Innovation," in IEEE Security & Privacy, vol. 16, no. 3, pp. 26-33, May/June 2018. doi: 10.1109/MSP.2018.2701164	M2 (June 2018)

Annex 8: Timing of dissemination and communication activities (gannt)

Tentative scheduling - WP5 activities	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19	Apr-19	May-19	Jun-19	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20	Feb-20	Mar-20	Apr-20	May-20	Jun-20	Jul-20	Aug-20	Sep-20	Oct-20	Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21
Month	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	41	42
	PROJECT REVIEW PERIOD ONE												PROJECT REVIEW PERIOD 2												PROJECT FINAL REVIEW PERIOD																	
EC review															→												→															→
Website		✅																																								
Social media account - launch of Twitter	✅																																									
Social media account - launch of Facebook			✅																																							
Social media account - launch of Youtube			✅																																							
Flyers		✅																																								
Press releases	✅											→									→									→						→						→
Articles for newspapers and magazines																																										
Manuscripts for submission to peer-reviewed journals																																										
Opinion pieces																																										
Presentations at third-party events																																										
Briefing papers																																										
Videos (ten)			→											→	→	→	→	→	→	→																						
Infographics (five)								◆								◆								◆								◆								◆		
Posters (five)												→												→												→					→	
Art exhibitions																																										
Webinars (two per year)																																										
Newsletters					→			→			→			→			→			→			→			→			→			→			→							→
Exploitation workshops							→	→					→			→						→							→													
Advocacy activites																																										
Bi-monthly emails to CSOs																																										
Project-organised events	✅		✅		→	→	→	→				→					→							→					→							→						→
Publication of final reports in institutional/open access repository																																										→
D5.1 Dissemination, communication, exploitation and advocacy plan (DCEAP) [M4, August 2018]			!																																							
D5.2 webiste and social media accounts					!																																					
D5.3 Artistic representation																																				!						
D5.4 Dissemination, communication, exploitation and advocacy reports																							◆													◆						!
D5.5 : Events - information												!												◆												◆						◆
MS 3 Finalisation of dissemination, communication, exploitation and advocacy					!																																					

Legend	
Activity completed	✅
Activity planned	→
EC deadline	!
Update /review of activity	◆