



SHERPA

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

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## **Deliverable No. 6.2.**

### **Risk register (UPDATED)**

29th April 2020

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## Document Control

|                     |   |
|---------------------|---|
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| Lead Partner        | DMU   |
| Contributors        | All   |
| Reviewers           | Bernd Stahl, SHERPA partners  |
| Abstract            | This revised deliverable explains how the SHERPA project continues to ensure that risks are identified throughout the project. It outlines the critical risks for implementation as well as the proposed risk mitigation measures for some new risks which have been identified as a result of: Coronavirus and on-going activities from work packages and tasks. |
| Key Words           | Risks, mitigation, Coronavirus, business continuity plan,   |

## Revision History

| Version | Date       | Author(s)                                   | Reviewer(s)   | Notes                               |
|---------|------------|---|---|-------------------------------------|
| 0.1     | 31/08/2019 | Bend Stahl and Nitika Bhalla                | All   | First submission                    |
| 0.2     | 27/08/2019 | Nitika Bhalla and Doris Schroeder           | Bernd Stahl, Laurence Brooks, Tilimbe Jiya, Renate Klar | First revision post period 1 review |
| 0.3     | 18/09/2019 | Nitika Bhalla                               | Bernd Stahl   | Final version for submission        |
| 0.4     | 05/03/2020 | Nitika Bhalla                               | Bernd Stahl   | Revision for M24 submission         |
| 0.5     | 25/03/2020 | Nitika Bhalla, Renate Klar, Nicole Santiago | Consortium partners                                     | Revision for M24 submission         |



|     |            |               |             |                             |
|-----|------------|---------------|-------------|-----------------------------|
| 0.6 | 22/04/2020 | Nitika Bhalla | Bernd Stahl | Revision for M24 submission |
|-----|------------|---------------|-------------|-----------------------------|



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# Executive Summary

This deliverable has been reviewed and updated with new risks. This revised deliverable outlines the critical risks for implementation, proposed risk mitigation measures and a progress column to show how risks have been managed.

Key risks covered in this update include; the coronavirus which has changed the way in which certain tasks are carried out. This includes; General Assembly and Stakeholder Board meetings, focus groups, interviews and advocacy. Furthermore, planning and timings of the final project event will also be considered.

Finally, the SHERPA business continuity plan has been attached to this version of the risk register as Appendix I.

## Revision Notes

The risk register has been updated with new risks such as the Coronavirus pandemic and therefore will be re-submitted in M24. The revised register is displayed in section 3, a progress column has been added to show how previous risks have been managed.

In addition to this update of the risk register document, the consortium agreed to include the risk register as a standing item on the agenda of all physical/online GA meetings. These meetings will be used to review risks and mitigation strategies and update the register.

## List of Tables

Table 1: List of acronyms/abbreviations

Table 2: Glossary of terms

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## List of acronyms/abbreviations

| Abbreviation | Explanation   |
|--------------|---|
| PRINCE2      | Projects in controlled environments                           |
| GA           | General assembly (face to face consortium or online meetings) |
| COVID-19     | Coronavirus Disease 2019                                      |



|      |                                    |
|------|------------------------------------|
| BCP  | Business Continuity Plan           |
| GDPR | General data protection regulation |
| QA   | Quality assurance                  |
| HLEG | High level expert group            |

Table 1: List of acronyms/abbreviations

## Glossary of terms

| Term                     | Explanation                                      |
|--------------------------|--|
| Risk level               | Threat event category – i.e. high, medium or low |
| Risk probability         | The likelihood of the risk occurring             |
| Risk mitigation measures | Steps taken to reduce the threat of the risk     |

Table 2: Glossary of terms



# 1. Methodology

In order to assess the likely impact of risks occurring during the lifetime of the project, we have used a qualitative PRINCE2 approach. This was done by proactively identifying risks before the initiation of the project, and now as the project is in its active phase new risks are being identified. This process was carried out by the project consortium by reviewing SHERPA's vision, scope and deliverables in as full detail as possible. During the course of the project the risk register is reviewed at every physical/online GA meeting by the consortium. This allows consortium partners to discuss new risks which have arose as a result of on-going activities from work packages and tasks.

The table below has now been updated with **new risks** and their mitigation measures in place. The new risks are highlighted in **red**.

Please note: the remaining table containing the critical risks for implementation have been reviewed and agreed by the project consortium.

The current deliverable contains a snapshot of the risk register as agreed by the consortium during the preparation of the review response.

## 2. Critical risks for implementation

Below are the potential risks identified during the lifetime of project SHERPA.

| Description of risk  | Affected WPs | Risk level | Risk probability (1 (low) to 5 (high)) | Proposed risk mitigation measures   | Progress column   |
|--|--------------|------------|--|---|---|
| Coronavirus pandemic   | ALL          | High       | 5                                      | Minimisation of travel to meetings (including GA and Stakeholder board meeting), Either opted for online meetings or postpone until the virus threat is reduced.  | With the advice of the EC all meetings have now been made online. The GA and Stakeholder board meeting were held online |
| Coronavirus pandemic - Impact on focus groups<br><br>1. Regulatory Options (AHR)<br>2. Exploratory | WP4          | High       | 4                                      | All focus groups will be online, which could lead to a risk of low participation and lack of engagement. However, in order to facilitate this effectively, there will be a limit to the number of attendees allowed to participate. | Focus groups are being progressed online  |





|  |         |        |   |  |  |
|--|---------|--------|---|--|--|
| (AHR)<br>3. Exploratory (UCLanCY), Scheduled on April 9th<br>4. UKAIS (DMU) - 9th April<br>5. ETHICOM (DMU) - Date TBC |         |        |   |  |  |
| Coronavirus pandemic - impact on advocacy plans  | WP5/ALL | Medium | 4 | Opting for online correspondence with MEPS and national bodies instead of in person. Delay in results possible (due to delay in response)  | Several meetings in the pipeline. All advocacy events postponed until the end of COVID-19 measures (most likely to be adapted after measures end - smaller numbers). |
| Coronavirus pandemic - cancellation of diversity workshop  | WP6     | Medium | 5 | Either opted for online meetings or postpone until the virus threat is reduced.  | The diversity workshop will be rescheduled as a face to face workshop later on in 2020   |
| Coronavirus pandemic - loss of engagement with outside world   | ALL     | High   | 5 | Social media presence is vital during this time of global pandemic. Therefore SHERPA online webinars are still going ahead. The pending focus groups of WP4 will also be online via Zoom | All scheduled webinars are still taking place and YouTube, twitter pages are still active. Pending focus groups are now online.                                      |
| Coronavirus pandemic - Business Continuity Plan  | ALL     | High   | 5 | A BCP plan has been written to capture the measures taken to avoid disruption during this unprecedented time of pandemic   | BCP plan has been shared with consortium and will be revised   |
| Coronavirus pandemic - impact on project   | ALL     | High   | 5 | The unprecedented situation of the pandemic can create project delays  | Internal discussion with consortium regarding a  |



|   |         |        |   |  |   |
|---|---------|--------|---|--|---|
| timelines   |         |        |   | which could potentially affect impact of project goals. A possibility would be to review the project in its entirety and discuss with the EC Project Officer regarding a possible extension. | possible extension was made on 25th March 2020  |
| Final event of conference, unclear of which high profile speakers will be available | WP5     | Medium | 3 | Proposed to hold the meeting at STOA venue (European Parliament's Science and Technology Options Assessment)   | EUREC are contacting members of STOA to discuss                                       |
| Unclear link to evaluation and prioritisation                                       | WP4     | Medium | 3 | Clarify messages and insights from WP1 (and WP3) in a way that is conducive to being provided as input into evaluation and prioritisation  | Bilateral discussions are on-going in order for greater collaboration between WPs     |
| Lack of impact due to lack of visibility  | WP5     | Medium | 3 | Setup of 'SHERPA visibility working group' to review and plan dissemination/communication events   | SHERPA visibility group is progressing with monthly meetings                          |
| Data protection/privacy processes within sherpa                                     | ALL     | Medium | 3 | Periodically update the DMP plan by reviewing data sets, and methods of data collection and processing throughout the project  | DMP is a live document which is reviewed by partners                                  |
| Advocacy - no messages so far   | WP5/ALL | High   | 5 | Communicating and bringing together findings from reports/documents effectively  | Two advocacy meetings between SHERPA & policymakers (including MEPs) have taken place |
| Inter-link between WPs and Tasks especially in WP3                                  | WP3/ALL | Low    | 2 | Ensure on-going bilateral meetings between task leaders, involve the coordinator for advice and consensus  | Greater bilateral between task leaders is on-going                                    |
| Lack of gender  | WP2     | High   | 3 | It is vital to achieve gender  | Gender/diversity  |



|  |     |              |   |  |  |
|--|-----|--------------|---|--|--|
| balance diversity within the stakeholder board and network                           |     |              |   | balance within the stakeholder board to ensure that the views of the board members are representative of society as a whole. Currently active recruitment of females experts is required. This will be achieved by; approaching existing female contacts, networking via conferences/events and reaching out to potential stakeholders using online methods that are GDPR compliant.   | workshop organised, this will be led by a gender expert with SHERPA consortium<br><br>EUREC has enriched the board by 6 female stakeholders. Two male stakeholders left the board on their own accord. Gender balance has been nearly reached (44% females) [Three women work on AI and Gender questions]. |
| Challenges in reaching out to stakeholders in certain fields                         | WP2 | Medium/ High | 3 | To ensure that the stakeholder board is well represented and covers a broad range of expertise. The consortium will focus on contacting experts from particular areas of domain that are currently lacking within the stakeholder board. Recruitment will be similar to that described above, ie. approaching existing contacts, networking via conferences/events and reaching out to potential stakeholders using online methods that are compliant with GDPR. | EUREC has actively been recruiting female members to the stakeholder board from a range of backgrounds and expertise.  |
| Non-adherence to impact-related elements of previously agreed Quality Assurance Plan | All | High         | 3 | Ascertaining via a short survey whether QA criteria are not well aligned with SHERPA expectations ( June 2019), short video by QA Lead about problem ( June 2019), alignment of QA problem with policy   | New QA brief approved by consortium  |



|  |         |        |   |  |  |
|--|---------|--------|---|--|--|
|  |         |        |   | audience challenge and co-operation of QA lead with impact task force. Design of SHERPA brief format by QA lead (Aug 2019).  |  |
| Partners run out of budget   | All     | High   | 1 | Monitoring of budget will be carried out throughout the project to keep track of expenditure and resources.  | Interim expenditure and PMs are tracked. Budget has been saved elsewhere such as focus groups where travel has been minimised. |
| SHERPA is 'slow' in communicating its findings   | All     | High   | 1 | Constant engagement with HLEG and collaboration with SIENNA and PANELFIT will ensure that remains the project findings are dynamic and achieves impact.  | Social media is kept up to date, blogs on the website are being disseminated regularly.  |
| Challenges in reaching out to policy makers during advocacy  | All     | High   | 3 | Communication and dissemination is key, such as the artistic representation gives greater access to a more diverse audience including policy makers.   | YouTube channel is updated with latest videos. Preparation has started for the final conference too.                           |
| GDPR requirements for privacy notices and opt-in procedures could hinder recruitment of newsletter subscribers and use of stakeholder contact list developed by WP2. | WP5     | Medium | 3 | As of year 1 of the project, no issues have arisen regarding newsletter subscribers. Our stakeholder list currently has approx. 1000 contacts and is continuing to grow as more people join our network.<br><br>However, a strategy to mitigate this risk will be developed by WP1, WP2 and WP5 together should the problem arise. | On-going   |
| Inadequate policymakers  | WP5/All | High   | 4 | Inadequate policymakers mapping might result in  | Advocacy meetings are in progress.   |



|  |         |        |   |  |   |
|--|---------|--------|---|--|---|
| mapping process and inadequate analysis of EU and national legislation process |         |        |   | 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.   | Due to COVID-19 there has been a delay in organising these meetings. That being said, efforts are being made to transition all meetings to an online format.  |
| Inadequate ACT-ON model analysis   | WP5/All | High   | 4 | The ACT-ON model will serve as the main tool to gather contacts for advocacy purposes. An inadequate and incomplete list might slow down the advocacy efforts or shift advocacy resources in the wrong direction. The mitigation measures will include four reviews of the ACT-ON model tool to ensure that all partners agree with EBS' actions.  | ACT-ON model was adequate as a starting point although not all partners had sufficient contacts in policy. All contacts have been added to a list and relevant contacts have been contacted for events and future meetings. |
| Lack of interest in attending the final SHERPA event                           | All     | Medium | 3 | In October 2021, EBS will organise a final conference, bringing together all stakeholders interested in the SHERPA project findings and advocacy outcomes. One of the risks of organising a conference in Brussels is the number of other events occurring simultaneously that SHERPA will have to compete against. This may result in a low number of key policymakers present and thus lost engagement opportunities. The best way | Final event may be brought forward to M36 at the STOA venue. Discussions are being held with STOA members   |



|  |     |      |   |  |  |
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|  |     |      |   | to mitigate this risk would be to keep stakeholders informed about the final conference during each advocacy meeting, as well as through communications and dissemination activities.  |  |
| Internal risk – lack of consistency between communication dissemination and advocacy efforts | All | Low  | 2 | SHERPA has already mitigated this risk through a detailed DCEAP ensuring that each section of the plan complements others. Furthermore, project meetings and WP5 meetings work to maintain a line of communication between the communications, disseminations, and advocacy tasks. As advocacy goes hand-in-hand with communications and disseminations, EBS will stay in regular contact with SHERPA partners via WP5 calls to closely monitor the message delivery and to stay consistent and transparent. | DCEAP and internal monitoring spreadsheets are updated regularly |
| Brexit   | All | High | 5 | The SHERPA consortium contains four UK-based partners, including the coordinator. A hard Brexit that would cut off the UK from H2020 would therefore constitute a significant risk. This risk is mitigated by the UK government's guarantee to continue funding all H2020 activities that were awarded prior to Brexit. However, Brexit might make it impossible for the coordinator to be UK-based. Should this be the  | Business as usual until 31st December 2020                       |



|   |  |        |   |   |   |
|---|--|--------|---|---|---|
|   |  |        |   | case, coordination will be taken over by the University of Twente - Professor Philip Brey who is an experienced EU project coordinator (SATORI, SIENNA).  |   |
| Low participation                                 | WP3<br>Task 3. 4 - standardi<br>sation | Medium | 3 | A key characteristic of standards is that they are developed by all parties concerned. It will be important to get stakeholders to actively participate in the defining of the scope and the development of the standard. A stakeholder analysis will be made based on the methodology of the Dutch standardisation institute and communication materials will be developed. Partners will make their best efforts to draw participation from their networks (including the network of CEN with many stakeholder groups). | NEN has invested much time in informing stakeholders on the SHERPA project and relevant standardization. It is up to stakeholders to decide on actually participating.  |
| No consensus possible                             | WP3<br>Task 3. 4 - standardi<br>sation | Medium | 3 | The consortium views this as low risk, and will work hard to achieve consensus. This will be mitigated by additional discussions and meetings, if needed. Normally, a CEN Workshop Agreement (CWA) reserves time for two plenary meetings, but in the task, there will be time for an additional consultation (in person or online).  | Much standardization is ongoing in AI, on European and worldwide levels. It seems that ethics is a more sensitive issue on the global level (ISO/IEC/JTC 1/SC 42) but on the European level some successes have been achieved (ethics for health and wellness apps) |
| Lack of agreement on outcomes/<br>recommendations | WP4                                    | Medium | 3 | The evaluation, validation and prioritisation work will include key stakeholders from the outset, and it is   | Recommendations document currently being consulted with partners  |



|  |        |                |   |   |  |
|--|--------|----------------|---|---|--|
|  |        |                |   | more likely that they will agree on the problem description and criteria for evaluation.  |  |
| Poor response rate and other inherent difficulties - Delphi study  | WP2    | Medium         | 3 | Partners involved in the Delphi study have successful experience of carrying out such exercises. The partners will carefully consider the subject selection and optimise the timeframe for completing the study, prior to its initiation. Additional precautions pertaining to low response rates, unintentionally guiding feedback, and surveying experts about their limited knowledge of the topic rather than soliciting their expert judgements will be built into the design and implementation of the study.   | In progress, good response rate in round 1         |
| Lack of interest from project stakeholders, and challenge to compile a sufficiently large and representative list. | WP2, 5 | Low/<br>Medium | 3 | 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. Compiling a contact list is tedious work, but the partners will need to redouble their efforts to develop a sufficiently large contact list for partners to succeed in this and other tasks.<br>It will be problematic to share personal details of stakeholders with all | Project as had good Year 1 and this is progressing |





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|  |     |        |   | <p>partners, especially due to GDPR.</p> <p>It is better for partners to contact stakeholders individually (unless they are on the stakeholder board). Stakeholders can decide for themselves if they wish to be in the database, they can have an option to opt in when signing up to the newsletter.</p>  |   |
| Delays in meeting milestones and deliverable delivery                                    | WP6 | Medium | 3 | <p>The project coordination team will regularly monitor project activities and monthly virtual meetings, as well as periodic physical meetings, which will be used to identify potential problems early and discuss and agree potential avenues for remedial action. WP leaders will ensure all tasks progress per schedule and take corrective action (in consultation with the co-ordinator) if they encounter problems.</p>  | Regular meetings and contact is on-going  |
| One or more partners is unable to produce work of sufficient quality in a timely manner. | All | Low    | 1 | <p>All current partners in the project have good track records in EC project work, and are a good fit for the work they will undertake in SHERPA. Nevertheless, the project will manage this risk by ensuring there is regular contact between the project co-ordinator and the partners. If this risk becomes serious, early remedial action will be taken, e.g., either to have another representative from the organisation assist in the production of the work or, in extreme cases, the work may be taken away from the</p> | On-going collaboration and contact with partners ensures that interim measures are in place to review and give feedback on work |



|  |  |  |  |  |  |
|--|--|--|--|--|--|
|  |  |  |  | <p>partner and a new partner installed to take over (in agreement with the project coordinator and amendment to the grant agreement). In addition, the tested Quality Assurance System ensures timely suggestions for improvements of major deliverables.</p> <p><b>This risk has been deemed as high, as it did materialise in the form of non-performance of a partner in M2 of the project. However better engagement of partners will reduce the probability of this risk materialising again.</b></p> |  |
|--|--|--|--|--|--|

Table 3: Critical risks for implementation

#### Previous risks now resolved or redundant

| Description of risk   | Affected WPs | Risk level | Risk probability | Proposed risk mitigation measures   |
|---|--------------|------------|------------------|---|
| Shortage of stakeholders to comment on scenarios in Task 1.2, 2.4 | WP1, WP2     | Medium     | 1                | It is not only a challenge to get a sufficiently large stakeholder list, but also a well-balanced list that represent all the different types of stakeholders adequately. Partners will need to contact stakeholders from different background and experiences. |



|   |          |        |   |  |
|---|----------|--------|---|--|
|   |          |        |   | The extended contact list will need to be utilised to draw appropriate stakeholders to the scenario development process.   |
| Shortage of stakeholders to comment on scenarios in Task 1.2, 2.4 | WP1, WP2 | Medium | 1 | It is not only a challenge to get a sufficiently large stakeholder list, but also a well-balanced list that represent all the different types of stakeholders adequately. Partners will need to contact stakeholders from different background and experiences. The extended contact list will need to be utilised to draw appropriate stakeholders to the scenario development process. |
| Late delivery (online survey)                                     | WP2      | Medium | 3 | All members of consortium reach out to their networks to ensure adequate number of survey responses.   |
| Late delivery (guidelines, options)                               | WP3      | Medium | 3 | WP3 task leaders work together closely to ensure that work is interlinked, and findings are communicated within specific timelines to support subsequent tasks.  |

Table 4: Previous risks

## 3. Progress

The risk register will be continually reviewed by the project consortium and new risks are being highlighted as the project progresses. Namely those relating to the COVID-19 pandemic where risk mitigations measures have been put into place under these unprecedented circumstances. Furthermore DMU have written a business continuity plan (BCP) which has been shared with the consortium for input regarding their own organisational continuity plans. As a result this deliverable (D6.2 Risk register) will be revised at M36 and M42.



## 4. Appendix I - Business Continuity Plan



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

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# Business Continuity Plan

## Project Response to Covid-19

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



# Current Situation

At the point of writing this document, the COVID-19 virus has swept the world and has been classed as a global pandemic. <sup>[1]</sup>

Following the advice and guidelines of the UK government, the coordinating university of SHERPA, De Montfort University, has been temporarily closed and all staff are requested to work from home until further notice. Therefore, all on-going project work including; Stakeholder Board meeting (23rd March 2020), General Assembly meeting (24th & 25th March 2020), various upcoming focus groups and Stakeholder Interviews have been switched to virtual online meetings instead.

The need for a business continuity plan is vital to ensure the on-going activities of the project continue with minimal disruption, whilst ensuring that the project consortium comply with safety measures set out by each respective country.

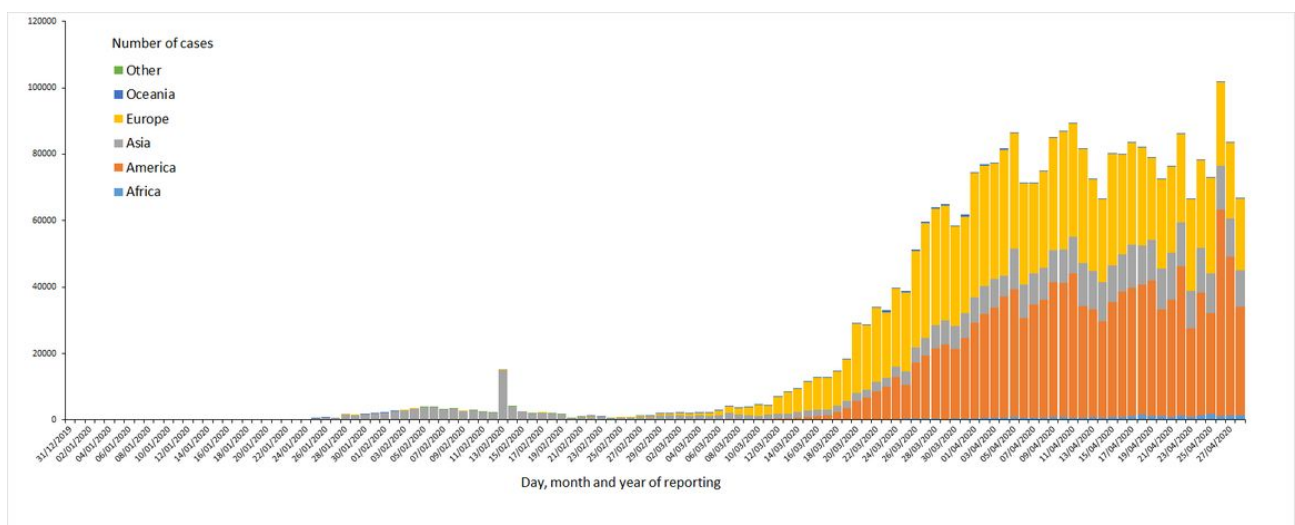


Figure 1 - illustrates the distribution of COVID-19 cases worldwide as of 28th April 2020. <sup>[2]</sup>

## Coordinator's Mitigation Measures

Increase (virtual) meeting frequency to ensure that work packages and tasks are being progressed, despite changes in working patterns and general lifestyle. Upon agreement with the consortium, the monthly project meetings have now been changed to fortnightly meetings over a 30 minute duration. The need for effective communication amongst partners is important to ensure that deliverables/reports and milestones



are still on track. All partners have access to emails, GoToMeeting, Zoom and Skype so everyone can be contacted.

Furthermore, partners have been sent a number of key dates for their diaries which reflect internal deadlines for Period 2 reporting, including technical and financial reporting.

The project is developing a risk management plan for Covid-19 for specific upcoming activities, see section below.

# Partner Activities Affected and Mitigation

## Partner Contingency Measures

The following sections outline how partners are preparing their risk mitigation on an organisational level.

### DMU

DMU as a public university is working with the UK government to implement the recommended measures to deal with the pandemic. The University has put in place a number of measures to allow staff to work from home and continues to provide support and services. The main measures are

<https://www.dmu.ac.uk/coronavirus/index.aspx>

DMU as the coordinator has to ensure continuity in the provision of coordination services, in particular during the preparation of the periodic report. At present the DMU team consists of four individuals who are in regular contact to ensure work continues as planned. Not only email, but Skype addresses of all partners can be found here:

<https://docs.google.com/spreadsheets/d/1AznQqXpPvgjbbVkgK04Etrs8301qeAAe91Pugejjoac/edit#gid=63430614>. In addition the DMU team have regular weekly meetings (via Skype) to review and discuss the ongoing tasks being led by DMU and any other relevant issue for the project. In this way, all members of the team are being kept up to date on progress and so would be able to cover for each other in cases of incapacity.

### U Twente

The University of Twente (UT), in line with Dutch government regulations, is now operating on a remote basis. The main measures taken, including the closing of all buildings, are described at

<https://www.utwente.nl/en/products-services/product/p1112937/novel-corona-virus>

The tasks led by UT (1.1, 1.4 and 3.2) have all been completed. The UT team now consists of two individuals who are in regular contact to ensure that remaining contributions continue seamlessly and commitments are met in the event of sickness.



## EUREC

Most members of EUREC's staff work from home anyway and all staff members had the possibility to work fully remote before the outbreak of the virus already. Everybody will work from home till presumably 19th April at least. There will be no difficulty in changing the entire work to online communication or calls as this is in place for all anyway. All systems and tools to hold online meetings or share information are in place also. Staff can be contacted via mail or Skype during the working hours. There will not be a change in productivity due to the outbreak due to this change.

## UCLanCY

In line with measures taken by the Republic of Cyprus, the Ministry of Education and the Cyprus QAA with respect to the COVID-19 outbreak, UCLan Cyprus has been temporarily closed and all staff are requested to work from home until further notice. Therefore, all meetings among SHERPA experts of UCLan Cyprus and with other SHERPA experts take place online via tools such as Microsoft Teams at regular intervals.

The business continuity plan of UCLan Cyprus includes full delivery of online teaching, postponements of face to face activities and continuity of all research projects through alternative methods and activities if necessary. With respect to SHERPA activities led by UCLan Cyprus, alternative plans have been discussed by the SHERPA consortium and are being implemented, including ongoing tasks that require the completion of focus groups or interviews. These are taking place online with the use of online platforms such as Skype in alignment with corresponding interview and focus group protocols and ethics approvals.

## Trilateral

As many members of Trilateral's staff were remote prior to the COVID-19 outbreak, systems for online work and communication were already in place. As such, Trilateral does not anticipate a significant change in productivity. Those not already working from home were instructed to do so until further notice. Meetings will continue to take place online, and all staff are available during working hours over email, Skype, GoToMeeting, and other similar tools. All documents, including working drafts and research materials, are uploaded to an internal Sharepoint; staff have been reminded to not store any documents remotely on their own computers. Additionally, Trilateral has designated 'back-up' staff for each project, and those back-ups have been briefed by team leads on the overall project, ongoing tasks, and near-future deadlines. A contingency plan for all projects is currently being developed and recorded.

## NEN

NEN asked staff members to work from home until at least April 6 (or further notice). Meetings will take place online as much as possible or are postponed until the situation changes. Digital tools for working from any location outside the office have been in place for some time at NEN. Online collaboration tools to hold meetings and share documents were mostly in place before this crisis or have been upgraded. More information is available on the [website](#) (in Dutch).



## Mutual Shoots

All staff at Mutual Shoots are working from home until at least Monday 13<sup>th</sup> April (the current lockdown period set by the UK Government) or until further notice. Therefore attendance at meetings will be facilitated by online tools such as GoToMeeting, Skype or Zoom and no travelling will be permitted. Online collaboration tools such as Google Docs will continue to be used to share documents between staff and other organisations while regular weekly reviews will take place to ensure that work is progressing as planned. The Executive Directors of the board are to cover for each other in cases of incapacity.

## Aequitas Human Rights

The Researcher and SHERPA's project coordinator works from home and the organisation is following the official instructions of the Republic of Cyprus. Meetings will take place online as much as possible and all the work will continue as normally but from home.

## F-Secure

F-Secure's company-wide business continuity plan is publicly presented here:

<https://community.f-secure.com/en/discussion/122453/covid-19-pandemic-f-secure-s-business-continuity-arrangements>

Naturally, a crisis management team has been established, business travel has been restricted, and remote work is strongly encouraged and fully facilitated. The AI division of the company has weekly meetings (virtual ones, at the moment) of the management group, and since several key SHERPA contributors at F-Secure are members of that group, the project progress, action points and plans are regularly discussed and reviewed. For the technical work in Task 3.5, two senior members of the Data Science team are contributing in close collaboration and regularly sharing their progress with the management group. Remote work is quite popular at F-Secure's R&D, so we do not expect the present situation to bring any new significant risks.

## European Business Summit

Since the European Business Summits' business is greatly affected, EBS has placed some employees on part time or on 'economic unemployment due to force majeure' at this time until 19th of April (subject to revision). Those who will continue working will work from home. SHERPA's main contact Anya Gregory continues to work from home (with some flexibility) to continue working on the SHERPA project. All meetings scheduled for advocacy or otherwise will take place online.

## Pineapple Jazz

Our current work is affected quite a bit, as most exhibits, workshops and festivals are shutting down. Where possible work continues at home, or shifts to find an online outlet. For example:





- Meetings and planned lectures are now organised through Skype etc.
- The education project with the HRO school was kickstarted just before things got serious, but the educational lectures and support I was giving them must now be done remotely. I am reacting to their concepts as we speak. Creating installations for the Liberation festival is moot, as it is cancelled, but students continue as if it may continue anyway.
- My own work that was planned to launch there - a variation on the waterguns - may shift. We are exploring if there could be an online experience/exhibit - a decision on that will be made shortly.
- The waterguns launch at NEMO's big exhibit on data and algorithmic bias is up in the air, as there is doubt whether an exhibit can open in summer. This installation is in an advanced stage of development, and in the worst case the launch could simply be delayed until next summer.
- Other plans to show the works mentioned above at exhibits this summer have also gotten a hit, as most exhibits have cancelled or frozen plans.
- Candle is heavily affected, with planned exhibits (e.g. house of the future in Eindhoven) being moot. Similarly, hands-on workshops are no longer possible.
- The plan to develop a work on adversarial AI with F-Secure will also have to be looked at in this new light.

## Risks and Mitigation

This section lists the activities planned in SHERPA between March 2020 and December 2020. It describes how these may be affected by the Covid pandemic and which measures have been taken or are considered to address any risks arising from them.

| Lead Partner | WP / Task / Activity      | Date      | Risk                                    | Mitigation                      |
|--------------|---------------------------|-----------|---|---------------------------------|
| EUREC        | Stakeholder Board meeting | 23/03     | Physical meeting in Brussels impossible | Meeting was held online instead |
| DMU          | GA meeting in Brussels    | 24/25.03. | Physical meeting in Brussels impossible | Meeting was held online instead |
| DMU          | WP4 - Focus group (UKAIS) | 09/04     | Physical meeting impossible             | Meeting was held online instead |



|              |   |            |  |   |
|--------------|---|------------|--|---|
| FSC          | WP4, interviews   | May 2020   | Face-to-face interviews are impossible | Interviews will be held online  |
| UCLan Cyprus | WP4 - Focus Groups: 1 in Cyprus and 1 (extra of the 10 required) in the USA | 09/04      | Physical meeting impossible            | One FG meeting was held online instead (09/04). Instead of an additional FG in the USA, extra individual interviews will be pursued online. |
| EBS          | Advocacy Event at EBS (also potentially a side event - under discussion)    | 16-17/11   | Planned physical meeting               | Individuals can be contacted for online webinar or individual meetings if necessary instead   |
| EUREC        | Stakeholder Board meeting   | 06/10      | Planned as physical meeting            | Meeting can be held online instead  |
| AHR          | WP4 Focus Groups  | April 2020 | Planned as physical meetings           | The FGs can be held online or individual meetings if necessary  |

## Review and Update

The UK and Europe are currently in lockdown, therefore the chance of any physical meetings is negligible. For now all meetings will be held online, until government measures of social distancing are lifted.



# References

[1] <http://www.euro.who.int/en/health-topics/health-emergencies/coronavirus-covid-19/news/news/2020/3/who-announces-covid-19-outbreak-a-pandemic>

[2] <https://www.ecdc.europa.eu/en/geographical-distribution-2019-ncov-cases>

## Appendix

### Correspondence from EC Project Officer - Roberta Monachello on 5th March 2020

*“The following is the line that the REA adopted in accordance with the European Commission:*

*Meetings or events you are organising in your project with many participants travelling from different countries (Member State and/or third country) should be switched to video conferencing and non-refundable travel/accommodation already paid by consortium members will be reimbursed provided that they do not receive reimbursement through another source (such as travel insurance).*

*If video conferencing is not possible and the coordinator postpones or cancels the meeting the same applies regarding non-refundable travel/accommodation.*

*Coordinators should justify this to their project officers (e.g. type of meeting, how many participants from how many countries) and also in their financial statements and periodic reports at the time of reporting.*

*As the situation is evolving rapidly, the Commission will continue to revisit and align its measures with the recommendations of national health authorities as the guidelines of the European Centre for Disease Prevention and Control.”*

### Correspondence from EC Project Officer - Roberta Monachello on 24th March 2020

*“The situation in Europe is dramatically changed from the last time we were in contact! Anyway, with the hope that we will soon be over of this emergency situation, let’s try to keep the projects running!*

*Concerning the project review, since the expert seems fine with the 3<sup>rd</sup> of July, I was wondering if the date would still be convenient for you. Please let me know!*

*It is however too early to decide if we will organise a meeting here in BXL as originally discussed, or if we go for a videoconference.”*



