SHERPA

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

Deliverable No. 5.4

Dissemmination, communication, exploitation and advocacy reports

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Contributors	Arnaud Thysen, Marianne Lazarovici, George Manea, Corinna Pannofino, Nuala Polo, Nicole Santiago, Martin de Heaver
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Abstract	This deliverable reports on the channels and tools (benchmarks and key performance indicators) over the SHERPA Project. It includes 1. stakeholder analysis as well as 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	20.10.2021	Arnaud Thysen, Marianne Lazarovici, George Manea	Corinna Pannofino, Nuala Polo	First Draft

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Executive Summary

The SHERPA consortium has undertaken targeted activities to ensure that the findings and results of the project are delivered to its stakeholders and wider network. The events undertaken and organised by SHERPA are described within this deliverable (D5.4), but also in the deliverable D5.5 related to SHERPA events. This section also extensively explains the range of activities around dissemination, exploitation, communication and advocacy activities, as well as the impact acceleration activities.

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

The objectives of the SHERPA dissemination activities are to engage with stakeholders, to gather their views about the good and bad aspects of SIS, and how they think algorithms and artificial intelligence should be addressed. SHERPA has continued to engage with the stakeholder board through feedback of deliverables, dedicated meetings and focus groups.

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List of acronyms/abbreviations

Abbreviation	Explanation
D	Deliverable
M	Month
P	Period
T	Task
AI	Artificial Intelligence

DG	Directorate General
EC	European Commission
EP	European Parliament
EP	Exploitation Plan
EU	European Union
WP	Work Package
CSOs	Civil Society Organisations
EAC	Education, and Culture
HBP	Human Brain Project
ISO	International Standardization Organisation
KPI	Key Performance Indicators
MEP	Member of the European Parliament
MOU	Memorandum of Understanding
RRI	Responsible Research Innovation
SIS	Smart Information Systems (combination of artificial intelligence and Big Data)
AIDA	Artificial Intelligence in a Digital Age Committee
EESC	European Economic and Social Committee
STOA	Panel for the Future of Science and Technology
ETAPAS	Ethical Technology Adoption in Public Administration Services

SHERPA	Shaping the ethical dimensions of smart information systems– a European perspective
SIENNA	Stakeholder-informed ethics for new technologies with high socio-economic and human rights impact
PANELFIT	Participatory Approaches to a New Ethical and Legal Framework for ICT
TECHETHOS	Ethics for Technologies with High Socio-Impcat
UT / TWE	University of Twente
DMU	De Montfort University
EBS	European Business Summit
TRI	Trilateral Research
EUREC	European Network of Research Ethics Committees
UCLAN	University of Central Lancashire Cyprus

Table 1: List of acronyms/abbreviations

1. Dissemination

The table below gives a description of the tools SHERPA has used to reach out to stakeholders and meet the expected impacts in line with the call requirements.

Instruments	Target Stakeholders	KPIs	Expected impact	Achieved in Period 3
Peer-reviewed journal articles	Researchers	Submission and acceptance for publication of five articles	Provision of information about key issues raised by SIS to academics	This KPI was achieved largely in P1 (10 case studies in ORBIT journal). SHERPA submitted 16 publications in P2. In addition, in P3 a further 18 publications have been submitted.
Blogs, opinion pieces or short articles in industry magazines	Policymakers. Innovators, security companies. Professional bodies	Three	Influence on public policy, smart information sectors. Influence of public opinion on SIS	This has been achieved. Please see T5.1 task description of this report.
Presentations at third- party events	Industry, standardisation bodies.	12 events	Building connections and networks between SHERPA and its stakeholders.	Achieved. The list of attended events in P3 is available under T5.1 task description of this report.

Project website	All stakeholders	Project website available at month 1, continuously updated. Website views: <5000 – poor, 5000-10,000 – good, 10,000+ – excellent.	Wide dissemination and communication of results, Interactive and informative impact on interested audiences	Project website has been up since M1. It currently has 153,393 visitors
Collaboration with other EC funded projects, e.g., joint workshops, exchange of newsletter items exchange between relevant stakeholders	Researchers, innovators	Joint workshops/events, Joint publications and dissemination/communication material	Development of synergies, improved knowledge sharing and information exchange between relevant stakeholders	Yes, the collaboration with SIENNA and PANELFIT, including planning for Final projects events (see T5.1 task description of this report for more details)
Focus groups and meetings to discuss SHERPA findings	Ethics committees	At least 5	Increase in stakeholder engagement and dissemination of results	Yes, achieved.
Flyers to be distributed at third-party and SHERPA events.	Industry, academics, the public	At least 1	Provides stakeholders with a brief introduction to the project and where to go for more information	Yes, 1 flyer with 2 variations has been designed in P1 and another one in P2 (but in P2 only translated in 1 language - French). Flyers are largely disseminated in English due to many events being held in English. French flyer created by EBS for wider dissemination in Brussels.
Policy briefs	Policymakers and regulators	Two per year	Influence SIS-related policymaking	Achieved.

Policy messages (A policy messages 'box' will be included in each of the short briefings below.)	Policymakers and regulators	Two per year	Influence SIS-related policymaking.	These policy messages have been combined with the policy briefs. They have the same aim and are not seen as necessary given the effort being put towards the briefs.
Briefing papers (Short briefings will be written about each of the deliverables following review discussions.)	Civil society organisations	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	Achieved.
E-mails	CSOs, policy-makers	Bi-monthly. All WPs.	Provision of information to and gathering feedback from stakeholders; engaging them and influencing the outcomes of the project and future directions of SIS.	Achieved.
Newsletters	Policymakers, industry, academics, journalists, CSOs	Four times a year	Provide information about the project, call to action to participate in the project, its deliverables, recommendations (including policy recommendations) and relevant news items.	Yes. For more details on newsletters, see T5.1 task description of this report.
Webinars	Policymakers and regulators, civil society organisations, academics, the general public	At least six (two per year)	Influence SIS-related policymaking, build connections with CSOs to increase outreach, inform academics about the SHERPA project and its deliverables	Yes, SHERPA has delivered 7 webinars overall. See T5.1 task description of this report for more details.

Posters (five)	Researchers, innovators	Publication of posters	Provide stakeholders with a brief introduction to the project and where to go for more information.	Achieved. Posters have been created throughout the project on a case by case basis according to the needs of partners. The final poster was created in P3 for the HBP summit meeting.
Infographics	Researchers, innovators, civil society, policymakers.	Publication of at least 5 infographics	Provide stakeholders with a brief introduction to the project and where to go for more information	Achieved in P1. 5 infographics have been developed, 1 for each scenario and published on the website
High-level conference at the end of SHERPA project	All stakeholders	Number of participants	Communicate the results of the project and strengthen connections between partners and stakeholders, increase stakeholders' engagements, influence policy-makers	Achieved on 22nd September 2021

Table 2: Reaching out to stakeholders - expected impact

2. Communication

The partners have been using a variety of instruments for communication purposes. The following table shows the various communication instruments and the evaluation measures, i.e., key performance indicators (KPIs) that have been used to measure their impact.

Communications instrument	Audience	Evaluation measures/key performance indicators	Expected impact	Achieved in Period 3
Social media (Twitter, LinkedIn, Facebook)	All stakeholders, General public	Accounts opened, number of followers, number of posts, level of engagement **Twitter followers:** <100 – poor, 100-250 – good, 250+ - excellent **LinkedIn Contacts/Followers:**<100 – poor, 100-250 – good, 250+ - excellent **Facebook followers:** <20 – poor, 50-100 good, 100+ excellent **Average number of Engagements on Twitter:** 100/month **Number of Posts** At least 4/week	Wide dissemination and communication of results, especially to the public Interactive and informative impact on interested audiences	Yes, achieved in P1. As of 12 October 2021, we have 668 followers on Twitter, 354 connections and 191 followers on LinkedIn and 57 followers on Facebook. Yes. We have an average of 233 engagements/month (calculated for period 3) 4.6 posts/week (Mon-Fri) on average.

YouTube channel	All stakeholders, General public	Channel set up.	Wide dissemination and communication of results, especially to the public Interactive and informative impact on interested audiences	Yes (achieved in P1 and continually updated). We have reached 62 subscribers to our YouTube channel.
Videos	All stakeholders, General public	10 animations Publication of videos on YouTube. Number of views: 150 by the end of the project	Wide dissemination and communication of results, especially to the public Interactive and informative impact on interested audiences	Achieved in P3. 11 animations have been produced (see T5.4 task description section of this report). The animations have an average of 220 views per video.
Art exhibitions	All stakeholders, General public	Launch of exhibition, number of visitors. Estimated reach: over a million people.	Interactive and informative impact on interested audiences	Achieved. Covid19 necessitated a shift to online works. HowNormalAmI.eu alone got 650.000 views. Post-covid (and post-sherpa) the works will be shown in multiple exhibits.
Project website	All stakeholders, General public	Project website available at month 1, continuously updated. Website views: <5000 – poor, 5000- 10,000 – good, 10,000+ – excellent.	Wide dissemination and communication of results, especially to the public Interactive and informative impact on interested audiences	Achieved. The project website has been up since M1. It currently has 153,393 visitors

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	Achieved in P3. 2 SHERPA press releases (+ translations) and 1 for Candle in English and Dutch in P1. 4 SHERPA press releases and additional individual press releases from partners in P3. See T5.2 task description of this report for more details.
Press coverage (SHERPA featured in the news)	Media, General public	2 articles/year	Wide dissemination and communication of results, especially to the public	In P1 SHERPA was featured in 12 news articles (list available in D5.1) and in 6 news articles in P2. In P3, SHERPA was featured in additional 4 articles (see list in T5.2 task description of this report).

Table 3: Instruments of communication

Communication management

TRI and EBS manage the project's communications plan and its implementation; all partners contribute to its implementation.

A visibility working group has been created to ensure that all partners contribute to the promotion of the project (e.g. by writing short blogs for the project website, mini press releases, etc.). The project visibility meetings have taken place regularly, with a minimum representation from each of the individual partners. The visibility working group planned new content and the best means for further and effectively communicating the project results that have been obtained (e.g. case studies, scenarios, etc.) and other deliverables as they became available.

Content Calendar

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

Resources

Each partner has made available a partner representative responsible for developing and implementing the project's communications plan.

Evaluation of the communications plan and measures

The partners regularly monitored their communication KPIs (monthly) and reviewed their dissemination and communications plans (D5.1) to make sure they were still relevant.

At the end of the project, we have reached all our KPIs , which highlights the efficacy of our strategy and that our efforts over the course of the project have enabled us to achieve great impact.

3. Exploitation

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, but also as an opportunity for the identification of gaps, follow on work and other spin off research collaborations.

The following table details the exploitation opportunities (as at the end of period 2) identified during face to face consortium meetings, and from on line follow up meetings. Consortium members have applied a formal process to identify, define, evaluate and terminate or progress exploitation opportunities. This register is very much a living document, with opportunities being progressed or removed once formal evaluation has been completed.

During the course of the project several exploitation opportunities have been identified, evaluated and plans put in place to exploit beyond the end of the project.

Exploitation opportunity register

The following table details the identification, evaluation and progression of SHERPA exploitation opportunities throughout the project lifecycle.

	1	2	3	4	5	6	7	8	9	10	11
Title & type	Create Courses e.g. Ethics by design course	Privacy & security enhancing breach detection	Actual creation of standards as required	Influencing individual national policy (specifically Cyprus)	TECHETHOS (SWAFS 29 2020)	HBP Partnership	Ethics by design training for EC	SHERPA experience results in increased employment and GVA in partner organisations beyond	Guidelines for the Ethical Use of AI and Big Data Systems	Build self assessment tool for AI Guidelines	Identify any Public Policy impacts from SHERPA Survey of

	UT, potentially with DMU	F-Secure	NEN	UCLAN	Trilateral, DMU, EUREC	DMU	DMU/UT/ Trilateral	all	DMU, UT, TRI	DMU	EBS, TRI, DMU
								end of project via commercial work of teaching/ research		Alternate: Feed the Guidelines with SIENNA into the ALTAI by liaising with Robotics and AI Unit of EC	stakeholder board
Partner identified	UT, potentially with DMU	F-Secure	NEN	UCLAN	Trilateral, DMU, EUREC	DMU	DMU/UT/ Trilateral	all	DMU, UT, TRI	DMU	EBS, TRI, DMU
Result from SHERPA WP ?	WP3 D3.2	D3.5	D3.4	WP1 & WP3 & T4.3	Ethical analysis, stakeholder networks	na	WP 1	all	WP3, Task 3.2	all	
Problem addressed by exploitation	Lack of training in ethics by design for AI	Protecting AI based systems Consulting service, technical tools, security monitoring service	On going standardization on ISO and EN level Question over extent of ethical and social aspects considered in standardization process	Cyprus has a new Ministry of Research and Innovation and has requested advice on AI policy.. SHERPA is contributing to AI Guidelines, and approved by Parliament. National Digital Policy under development	Refine and develop new approaches to address ethics of new technologies	Need for further input on ethics for AI & robotics. MOU written and accepted by HBP	EC request for EBD training From SHERPA Policy Officer		Helping researchers and innovators address ethical issues in development and use of SIS	Help researchers and innovators to apply guidelines	
Ethical aspects of exploitation opportunity	As per d3.2		How to capture SHERPA expertise in standards							myriad	
Market size	E-	The security	Artificial intellige	na	na	na	na			EU tech industr	

	learning Corporate Compliance Training Market Size is Expected to Exhibit 6420 million USD by 2024 Link here	of artificial intelligence market is just emerging, while the AI market is quickly growing. Link here	nce market to be valued at USD 21.46 billion in 2018 and is likely to reach USD 190.61 billion by 2025, at a CAGR of 36.62% during the forecast period. Link here							y wide Artificial intelligence market to be valued at USD 21.46 billion in 2018 and is likely to reach USD 190.61 billion by 2025, at a CAGR of 36.62% during the forecast period. Link here	
Commercial/Research/Social outcome	Commercial	Commercial	Commercial	Policy/Social Outcome	Research	Research	Research	commercial		Commercial	
Freedom to operate established	No background IPR needed										
First potential users/customers	SHERPA partners as first delegates. Potentially ORBIT clients as first paying customers HBP Partners too	Companies using ML models trained in the online distributed fashion.		Cypriot government	TechEthos partners if funded		EC	All partners			
Next steps	**DMU to arrange call with UT to**	F Secure internal matter Potential	Already underway in SHERPA	D4.3 National Digital Policy under	Proposal Submitted on 23 April	MOU signed and underwa	Event delivered. COMPLET			See below	

discuss next steps on course development and commercialisation	for other partners on Ethics of AI Consultancy (DMU & UT)	but needs enhancement. SATORI CEN Workshop Agreement developed NEN to report back on creation of Expert Committee		development	2020	y HBP monitoring development of ethics of AI from SHERPA Potential for development of RRI methodologies Stakeholder engagement Potential for RRI Courses	E			
Exploitation start up funding needed	Potential with commercial partnership with ORBIT (DMU) This may be of interest (for either this line of exploitation or another: https://eureka-clusters-ai.eu/) Worth looking into.	Outside scope of SHERPA		In scope, underway			This may be of interest (for either this line of exploitation or another: https://eureka-clusters-ai.eu/) Worth looking into.			SHERPA budget
UPDATE 9/10/2020	Definition of EBD broadened out to EBD for data technologies & AI. Courses to be delivered at the IdeAcademy on	Opportunity still open, internal investigations and planning are ongoing, both technical and business.	Work is on going.	COMPLETED AND CLOSED	COMPLETED AND CLOSED Project to be funded by H2020 with SHERPA deliverables being applied	Work is on going.	Course from October events to be offered to EC. ACTION DMU/TRILATERAL/Twente	Work is ongoing	Guidelines complete SIENNA project will revise and update	Work ongoing Questions over demand for such a tool Have meeting with SIENNA

Date											
28Th 29Th October 2020										team developing/working on the Guidelines - UT and TRI + DMU (Philip Brey, Kevin, Anais Resseguier)	
21/4/2021	Soft launch on 16 june, with a follow up in late summer 2021	Initial technical and market validations completed. Result showing positive potential	Provided input from the SHERPA project to ongoing standardization, including European standard on health care apps, several CEN Workshop Agreements and, horizontal (ISO and EN) standards on AI			EMBRACE project bid and won on exploitation of HBP. Ethics of AI on HBP evaluation underway applying SHERPA inspired insights.	DMU * TWE to discuss a potential on line course for the EC in late summer	Under review for relevance to SHERPA		Under review proposal to Develop AI Ethics maturity modelling academic paper DMU ORBIT	Set up meeting to discuss questions for Stakeholder Board members on policy impact

Table 4: Exploitation opportunity register

4. Advocacy

Meetings

Period 2 saw the launch of the SHERPA Advocacy mandate with the organisation of two private lunch presentations, in November and March. It indeed began with a kick-off event at the ThinkDigital conference on 7 November 2019 at the Egmont Palace in Brussels, Belgium. ThinkDigital is an annual event organised by the European Business Summit. Following this kick-off event were the elections for new Members of European Parliament, which hindered the efforts slightly since a few of the MEPs in attendance were not re-

elected. However, during Period 3, all the MEPs from the 9th legislature were contacted, first with a strong focus on the Members of the Artificial Intelligence in a Digital Age (AIDA) and STOA Committees.

The second advocacy lunch event, held on March 5 2020, at the Egmont Palace in Brussels allowed to identify a strong interest from national research bodies and policymakers from Estonia, Romania, Sweden, Portugal. After a follow-up was made with all attendees, a special interest came from the Estonian Research Council and from employees of DG EAC (Education and Culture) as well as DG CONNECT. Meetings with each of these entities were set up, respectively in February and March 2021, attended by a total of seven stakeholders who took part in the conversations.

In total, following the finalisation of the recommendations - a key tool for the advocacy dissemination -, nine advocacy meetings were held. Six were held in Period 2, including five between M18 and M24, and three were held in Period 3. Five were thus held with new contacts that did not attend the physical advocacy events mentioned above. They provided useful feedback on the work conducted by Sherpa in various policy areas.

These meetings were the result of an earlier stakeholder mapping of relevant policy makers within the European institutions and member states. These 763 contacts received the policy briefing on *A European Agency for AI* as well as a one-page document summarizing the recommendations in February 2021.

Just like Period 2, Period 3 was impacted, of course, by the ongoing Covid-19 crisis, which led all advocacy activities to take place online until the end of the project. On April 21st, the European Commission published its AI regulation proposal, which also impacted the direction of the advocacy work. Indeed, the stakeholder mapping was adapted to maximise its impact, as the regulatory proposal was first drafted by the European Commission and then examined by the Council of the EU and the European Parliament. The last three meetings (from Period 3) were thus oriented towards the stakeholders amending the draft regulation: the Digital Transformation Attaché of the Spanish Permanent Representation to the EU working on the text with the other Member states, and the assistant to Ms. Konecna, the shadow rapporteur from the Left group of the European Parliament, as well as the AI Rapporteur for the European Economic and Social Committee (EESC), Catelijne Muller.

Interviews

Similarly, and with the same stakeholder mapping that followed the finalisation of the recommendations, eight interviews were conducted around the end of Period 2 - from November 2019 until April 2020. Following-up on this work, two other interviews were also conducted during Period 3, one with Dragos Tudorache, the Chair of the Artificial Intelligence in a Digital Age Committee in the European Parliament, and one with Giovanna Galasso, Technical Leader of the ETAPAS project (Ethical Technology Adoption in Public Administration Services).

For each of these interviews, the interviewee was asked to choose one or two recommendations of their choosing. Then a series of questions drafted by members of the consortium was shared to prepare the interview. Each interview was conducted on Zoom and recorded, then uploaded to Sherpa's YouTube channel. They have reached a total of 395 viewers. All of these contacts were tracked in the advocacy tracking sheet created in June 2020. This corresponded to EBS' strategy of focusing more on following up on leads from previous meetings and reaching out to newer MEPs, as highlighted in the updated advocacy strategy.

Final event

SHERPA Final Event had its point of departure from the SHERPA's project achievements over the past years in terms of improving and understanding AI. By addressing at the same time issues and concerns regarding AI technologies and its processes, one of the main objectives of the SHERPA's final event was to build bridges

with stakeholders and reach project sustainability. The discussions and debates on the assessment of AI Governance and the implementation of AI Ethics have been moderated by Jennifer Baker (EU Tech reporter) and Bernd Stahl (consortium leader°, having as keynote speaker Prof. Meredith Broussard (associate professor at the Arthur L. Carter Institute of New York University), together with Albena Kuyumdzhieva (Project Advisor, European Innovation Council), Johnny Soraker (AI Ethicist, Google), Daniel Leufer (Europe Policy Analyst, Access Now) and Nicole Santiago (Senior Research Analyst, Trilateral Research). The discussions also analysed the extent to which SHERPA recommendations might be linked to national contexts and national initiatives as they are EU policy oriented for now, but also how to promote them and make sustainable on the longer run.

Consultations

We contributed feedback to EU policymakers during four public consultations, all related to the proposed EU regulatory framework for AI: EP JURI's draft report with recommendations to the Commission on a framework of ethical aspects of artificial intelligence, robotics and related technologies (May 2020); EC's White Paper on AI (June 2020); EC's Inception Impact Assessment on the proposal for a legal act (Sept. 2020); and the EC's Proposal for a legal act of the European Parliament and the Council laying down requirements for Artificial Intelligence (August 2021). Our feedback is based on the SHERPA *Final recommendations* and draws on ethical and human rights concerns identified during the project. We strove to make our comments as tailored as possible to the specific context of each consultation and stakeholder group. All of the SHERPA feedback is published on the project website, and comments to the EC are also available publicly on the EC's 'Have Your Say' website.