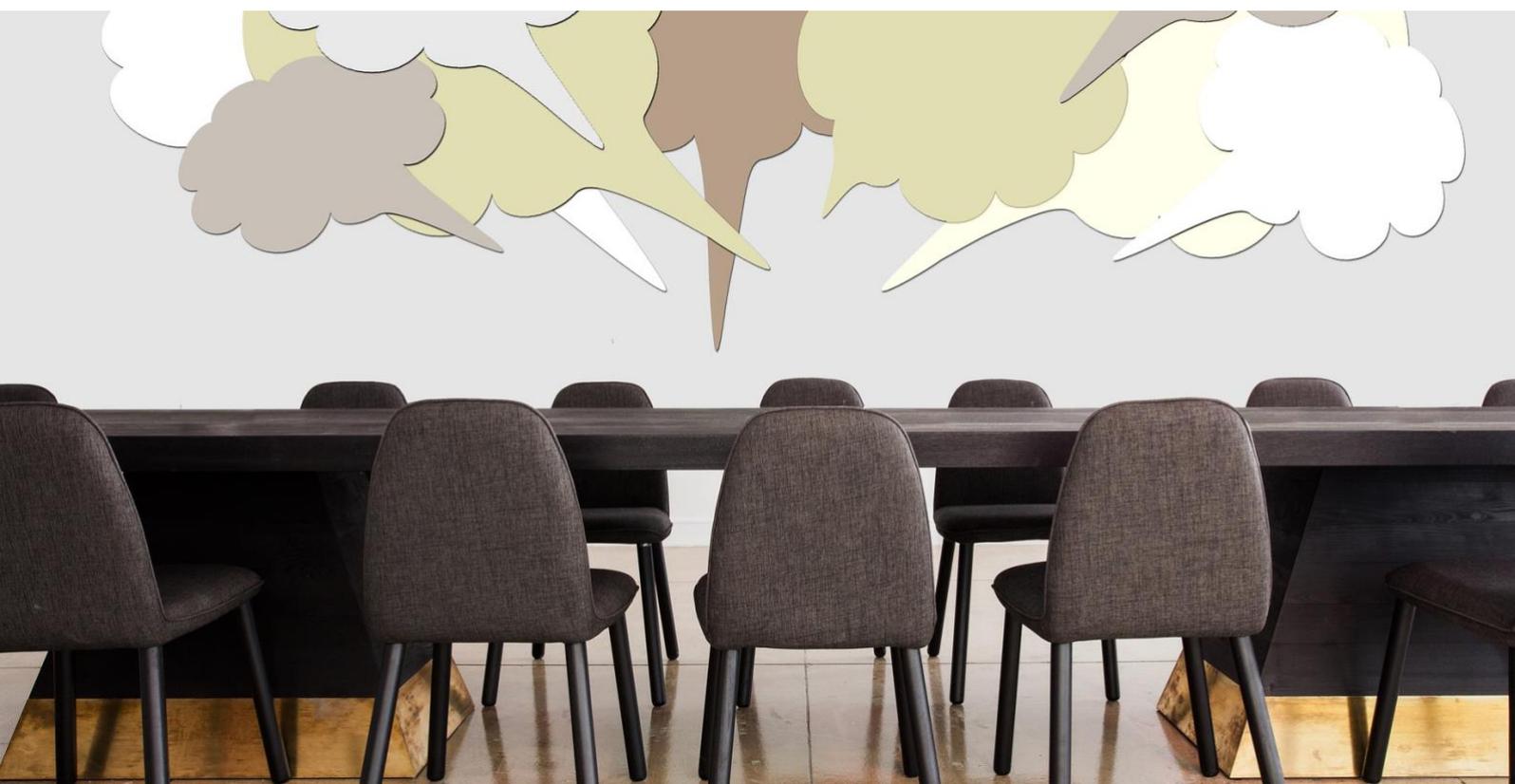




SHERPA

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



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| Abstract | <p>This deliverable contains information on the significant events organised by the project in year one and will be updated on an annual basis in months 24 (April 2020), 36 (April 2021), 42 (October 2021).</p> <p>The main events organised include project meetings, workshops with stakeholders, stakeholder board meetings, focus groups, advocacy meetings, conferences, and webinars.</p> |
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Executive Summary

The SHERPA project, as a coordination and support action, reaches out to a large number of stakeholders to find the optimal strategies for dealing with Smart Information Systems (SIS), informing various audiences about this, and promoting these outcomes in a way that will allow them to be practically implemented.

Tasks 5.1 and 5.2 focus on the dissemination and communication activities that are to take place throughout the project's lifespan and beyond, to maximise the impact of the project and secure a legacy for it.

D5.1 elaborates the SHERPA dissemination, communication, exploitation, and advocacy plans (DCEAP) and outlines the different means, tools, and channels we will use to reach our target audiences. Organising project events is one of the means for involving stakeholders in the project from the start and ensuring an active participation on their part in the development of recommendations for the responsible use of SIS.

This deliverable contains information on the significant events organised by the project and will be updated on an annual basis in months 24 (April 2020), 36 (April 2021), and 42 (October 2021).

The main events organised include project (General Assembly or GA) meetings, workshops, Stakeholder Board (SB) meetings, focus groups, advocacy meetings, conferences, and webinars.

M24 and M36 Revision notes

Since the first submission, this deliverable has been revised to include the events that have been organised by the project from April 2019 (M24) when the first update of this deliverable was due, to April 2021 (M36), marking the first and second yearly updates. Editorial corrections have also been made throughout the document, where necessary.

New sections have been added to include all the new GA meetings, SB meetings, focus groups, advocacy meetings, trainings, other workshops, organised conferences, and other dissemination events such as webinars. A conclusion section was also added to the document.

Agendas of each meeting/event (where available) have been added as annexes as in the previous versions of the deliverable.

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List of acronyms/abbreviations

| Abbreviation | Explanation |
|--------------|---|
| SHERPA | Shaping the ethical dimensions of smart information systems– a European perspective |
| AI | Artificial Intelligence |
| DCEAP | Dissemination, Communication, Exploitation and Advocacy Plans |
| EC | European Commission |
| FG | Focus Groups |
| GA | General Assembly |
| ICT | Information Communications Technology |
| REA | Research Executive Agency |
| RRI | Responsible Research Innovation |
| SB | Stakeholder Board |
| SDV | Self-Driving Vehicles |
| SIS | Smart Information Systems (combination of artificial intelligence and Big Data) |
| TOR | Terms of Reference for new Regulator |
| WP | Work Package |
| D | Deliverable |
| MEP | Members of the European Parliament |
| STOA | Panel for the Future of Science and Technology |
| RRI | Responsible Research Innovation |

| Abbreviation | Explanation |
|--------------|---|
| HBP | Human Brain Project |
| 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 |
| AHR | Aequitas |
| DMU | De Montfort University |
| EUREC | European Network of Research Ethics Committees |
| EBS | European Business Summit |
| F-SECURE | F-SECURE |
| NEN | NEN |
| TRI | Trilateral Research |
| TWENTE | University of Twente |
| UCLANCY | University of Central Lancashire Cyprus |

Table 1 List of acronyms/abbreviations

1. Introduction

Over the course of the three years of the project, the SHERPA consortium (the Consortium) organised a number of events with different objectives and for different audiences, including project meetings, workshops, stakeholder board meetings, training events, conferences and webinars.

A brief account of each event is given in Section 2 of this deliverable, and the agendas of the events (where available) are enclosed as annexes to this deliverable. The full list of participants has not been included to respect their privacy, with the only exception of the external participants of the “AI and Big Data: Ethical and Human Rights Implications” workshop, given that their names and attendance had already been made public in the press release announcing the launch of the project.

The table below provides a full list of the events that have taken place so far, and the details related to the date, place, and organising partner/s.

| | Event | Date and place | Organising partner/s |
|---|--------------------------|---|-------------------------------------|
| Project consortium (GA) meetings | KOM (first GA) meeting | Brussels, Belgium (2-3 May 2018) | DMU |
| | Second GA meeting | Vienna, Austria (6-7 Dec 2018) | DMU |
| | Third GA meeting | London, UK (13-14 May 2019) | TRI |
| | First EC review meeting | Brussels, Belgium (5 July 2019) | Research Executive Agency (REA)/DMU |
| | Fourth GA meeting | Larnaca, Cyprus (10-11 October 2019) | UCLANCY |
| | Fifth GA meeting | Virtual/online due to Covid-19 situation (24-25 March 2020) | DMU |
| | Second EC review meeting | Online (3 July 2020) | Research Executive Agency (REA)/DMU |
| | Sixth GA meeting | Online (7-8 October 2020) | DMU |
| | Seventh GA meeting | Online (20-21 April 2021) | DMU |

| Event | | Date and place | Organising partner/s |
|-----------------------------------|--|---|----------------------|
| Workshops | AI and Big Data: Ethical and Human Rights implications | Brussels, Belgium (3 May 2018) | UCLANCY |
| | Exploitation workshop | Virtual/online due to Covid-19 situation (2 April 2020) | DMU |
| Scenario workshops | AI that mimics people | Brussels, Belgium (3 July 2018) | TRI |
| | AI in Education | Brussels, Belgium (17-18 Sept 2018) | UCLANCY |
| | AI in Warfare | Brussels, Belgium (17-18 Sept 2018) | TRI |
| | AI in Law Enforcement | Enschede, Netherlands (25-26 Sept 2018) | UT |
| | AI in Transport | Enschede, Netherlands (25-26 Sept 2018) | UT |
| Stakeholder Board meetings | First stakeholder board meeting | Brussels, Belgium (3 July 2018) | EUREC |
| | Second stakeholder board meeting | London, UK (14 May 2019) | EUREC |
| | Third stakeholder board meeting | Online meeting (23 March 2020) – <i>also see Exploratory FG with SB</i> | EUREC |
| | Fourth stakeholder board meeting | Online (6 October 2020) | EUREC |
| Focus groups | Exploratory Focus Group | Delft, The Netherlands (15 January 2020) | NEN |
| | Focus Group on Guidelines | Nicosia, Cyprus (16 January 2020) | UCLANCY |

| Event | | Date and place | Organising partner/s |
|----------------------------------|---|---|----------------------|
| | Focus Group on Exploratory options | Nicosia, Cyprus (24 February 2020) | AHR |
| | Two Focus Groups on Guidelines with British Computing Society | London, UK (3 March 2020) | DMU |
| | Focus Group on Guidelines | Nicosia, Cyprus (5 March 2020) | UCLANCY |
| | Exploratory Focus Group with Stakeholder Board members | Online meeting (23 March 2020) – <i>also see Third SB meeting</i> | EUREC |
| | Two Focus Groups on Exploratory options | Online meetings (9 April 2020) | DMU and UCLANCY |
| | Two Focus Groups on Exploratory options | Online meetings (5 May 2020) | DMU |
| | Focus Group on Regulatory Options/TOR | Online meeting (26 June 2020) | AHR |
| Advocacy events/ meetings | First advocacy lunch | Brussels, Belgium (7 November 2019) | EBS |
| | Second advocacy lunch | Brussels, Belgium (5 March 2020) | EBS |
| Training activities | EC training with SIENNA | Brussels, Belgium (26 November 2019) | DMU/TRI/EBS |
| Conferences | IEEE conference | Leicester, UK (19 August 2019) | DMU |
| | “Ethics by design” track - 4TU.Ethics Biannual conference | Eindhoven, The Netherlands (7 November 2019) | DMU/UT |

| Event | | Date and place | Organising partner/s |
|-----------------------------------|--|--|-----------------------------------|
| | “Policy options for the ethical governance of disruptive technologies” online conference | 23 March 2021, online | SHERPA, SIENNA, PANELFIT and STOA |
| Other dissemination events | SHERPA Webinars | 10 April 2019 Introducing the SHERPA project | TRI, EBS, DMU |
| | | 4 September 2019 Exploring the ethical implications of AI and Big Data - as seen through a series of case studies | TRI, EBS, TWENTE |
| | | 27 November 2019 Policy Scenarios for AI and Big Data Analytics | TRI, EBS |
| | | 11 March 2020 Security Issues, Dangers and Implications of Smart Information Systems | TRI, EBS, F-SECURE |
| | | 03 June 2020 Hands on design with AI and ethics | TRI, EBS, PJ |
| | | 14 October 2020 COVID19 Track & Trace Apps - Are they Worth the Risk? | TRI, EBS, TWENTE, F-SECURE, EUREC |
| | Joint webinars | 20 May 2019 SIENNA, SHERPA, PANELFIT webinar: Setting future ethical standards for ICT, Big Data, SIS, AI & Robotics | TRI, EBS, DMU + SIENNA & PANELFIT |
| | | 30 March 2021 SHERPA, SIENNA and HBP webinar: Trust and Transparency in Artificial Intelligence | DMU, TRI, UCLAN + SIENNA & HBP |

Table 2 List of SHERPA events

2. Consortium (General Assembly) meetings

As defined in the Grant Agreement, Consortium (General Assembly - GA) meetings are to take place every six months and are scheduled, where possible, prior to, or after workshops or review meetings.

The table below shows the indicative plan of partners responsible and possible locations that was drafted during the proposal phase of the project. As the project has progressed, some locations and responsible partners were amended for cost efficiency and/or necessity, in particular due to COVID-19 travel restrictions.

| SHERPA GA meetings | | | | | | | | |
|---------------------------|----------|---------|--------|-----------|-------|----------|-----------|----------|
| Month | 1 (KOM) | 6 | 12 | 18 | 24 | 30 | 36 | 42 |
| Place | Brussels | Cyprus | London | Amsterdam | Bonn | Helsinki | Leicester | Brussels |
| Organising partner | DMU | UCLANCY | TRI | UT | EUREC | FSC | DMU | EBS |

Table 3 Proposed consortium meetings

The second GA meeting (M6) took place in Vienna, Austria, instead of Cyprus, and was organised by DMU instead of UCLANCY. The reason for this change of plan is that many partners attended the [ICT 2018 Conference](#) in Vienna the day before the Consortium meeting, and it made sense to have the project meeting in Vienna to limit expenses.

The fourth GA meeting was hosted by UCLANCY and therefore took place in Cyprus.

Since March 2020, travel bans, and general restrictions associated with COVID-19 have made it impossible to hold face to face meetings to the present (April 2021). The fifth GA meeting, which was supposed to take place in Brussels, was the first event to be turned into an online virtual meeting; all subsequent meetings and events since then have taken place online. The last GA meeting, which will take place in M42, is also currently planned as an online event.

2.1 Kick-off meeting

On 2-3 May 2018 the consortium met in Brussels, Belgium, to launch the project. After a brief introduction of the partners and participants, the coordinator provided an overview of the project, its goals and activities, and the Project Officer, Roberta Monachello, gave a short presentation regarding the key aspects of project management, the timings and means for reporting to the EC, and other EC requirements. Introductions to the different work packages followed.

For the detailed agenda see Annex 1.

2.2 Second GA meeting, Vienna, Austria

The partners met in Vienna, Austria for their second project meeting on 6-7 December 2018. On the first day of the meeting, they were joined by one of the members of the SHERPA Stakeholder Board,

Prof. Martijn Scheltema from Pels Rijcken and Erasmus University Rotterdam, who gave an insightful presentation on “The Role of Transnational Private Regulation in Mitigating AI Risks”.

The rest of the 2-day event was dedicated to the specific activities of the project. All partners provided updates on their work in the different WPs and the meeting concluded with a financial overview of the project, the current data management methods, and a general discussion on actions and next steps.

For the detailed agenda see Annex 2.

2.3 Third GA meeting, London, UK

The third GA meeting took place in London, UK on 13-14 May 2019.

The first day of the meeting was dedicated to discussing the integration of the SHERPA activities, with a focus on the workbook, its visual representation, and ways to integrate the outputs from the different activities, and the activities involving project stakeholders and the stakeholder board (e.g., Delphi study, interviews etc.).

Project partners then updated the consortium on their work in the different WPs, including dissemination, communication, and advocacy.

On the second day, the consortium discussed the project’s risk register, financial overview, periodic reporting, and next steps.

For the detailed agenda see Annex 8.

2.4 First EC review meeting

The first project review meeting took place at the REA premises in Brussels, Belgium, on 5 July 2019.

The meeting brought together the project coordinator and WP leaders, the project officer Roberta Monachello, and the REA reviewer Gemma Galdon Clavell.

The aim of the meeting was to review the progress and achievements of the project during the first 12 months (Reporting Period 1), with presentations and discussion sessions for each WP, and an afternoon session to discuss next steps and to obtain feedback from the project officer and the reviewer.

For the detailed agenda see Annex 9.

2.5 Fourth GA meeting, Larnaca, Cyprus

The fourth SHERPA GA meeting was hosted by UCLANCY and was held in Larnaca, Cyprus, on 10-11 October 2019.

The meeting provided an opportunity for partners to reflect on the current progress of the SHERPA project. This included presentations on the findings of completed deliverables and discussion of key insights. Interactions amongst partners promoted ideas and thoughts which will help to support upcoming work and to move SHERPA’s overall strategy forward.

For the detailed agenda see Annex 10.

2.6 Fifth GA meeting, online

On 24-25 March 2020, the SHERPA project had its fifth GA meeting online. The partners discussed the progress of the project so far, including the Delphi study, case studies and scenarios (amongst others) and how these results can be shared with policymakers, as well as the plans underway for the third phase of the project, which includes a final conference and possible joint activities with the SIENNA and PANELFIT projects, as part of our collaboration.

Due to the Coronavirus pandemic, this had to be an online GA, however, the meeting was well attended and successfully completed.

For the detailed agenda see Annex 11.

2.7 Second EC review meeting, online

The second EC review meeting took place on 3 July 2020. Due to the pandemic and the related travel restrictions, the meeting took place online and brought together the project partners, Project Officer Roberta Monachello, and the REA reviewer Steve Torrance.

The aim of the meeting was to review the progress and achievements of the project during the second reporting period (1 May 2019 - 30 April 2020), with presentations and discussion sessions for each WP, and a second session to discuss plans for period 3 and to obtain feedback from the Project Officer and the reviewer.

For the detailed agenda see Annex 18.

2.8 Sixth GA meeting, online

The sixth GA meeting took place online on 7-8 October 2020.

The discussions and presentations of the first day focused mainly on the draft SHERPA recommendations and Delphi study, while the second day covered the progress of other tasks such as Standardisation, Technical options, Terms of Reference for SIS regulator, SIS workbook, and ended with an overview of and plans for advocacy and dissemination.

For the detailed agenda see Annex 19.

2.9 Seventh GA meeting, online

On 20-21 April 2021 the seventh GA meeting took place online.

The main topic of the meeting was the Impact Acceleration activities and our plans for efficiently and effectively utilising remaining resources in the final months of the project.

Other topics discussed include a recap of the STOA conference, exploitation activities, updates on the SIS workbook and plans for a final SHERPA conference and SB meeting.

For the detailed agenda see Annex 22.

3. Workshops

4.1 Workshop in Brussels

On 3 May 2018, SHERPA organised a workshop on “AI and Big Data: Ethical and Human Rights implications” at the Press Club Brussels Europe, subsequent to the main kick-off meeting. The aim of the workshop was to promote the debate, start the engagement, collect input, and raise the visibility of the project from the earliest opportunity.

The workshop, chaired by Doris Schroeder (UCLANCY), 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 Lauthé 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, and 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.

For the detailed agenda and workshop invitation see Annex 3.

4.2 Scenarios Workshops

These workshops were a core activity of Task 1.2. The task specifies that “SHERPA will develop five scenarios exploring emerging SIS that are likely to be implemented and socially relevant five years hence”. Most importantly, Task 1.2 states that “The partners will engage stakeholders in the construction and validation of the scenarios”. Our scenario construction methodology engaged stakeholders from the start of the process, i.e., by organising workshops with stakeholders who brainstormed on what 2025 might be like, in particular, regarding the AI-driven technologies that drive each of the five topic areas. The larger group of stakeholders that were invited to take part in these workshops was the project’s stakeholder board, which comprises 30 stakeholders. Other external experts were invited to the different events, according to their area of expertise.

The information regarding the date, location, participants, and content of each of the five workshops is reported here below. For more details and the related agendas, see Annexes 4-7.

4.1.1 AI that mimics people

TRI organised the first SHERPA scenario brainstorming workshop focussed on AI that mimics people, which took place at the Brussels office of Innovate UK on 3 July 2018. This workshop had 22 participants, most of whom were SHERPA partners (13). In addition, there were four stakeholder board members, two EC policy officers, and one external stakeholder. Of the participants, 12 were women and 10 men. As this was the first time most partners were involved in scenario construction, the workshop was focused on introducing the SHERPA partners to the particular scenario methodology developed by TRI for the project.

For the detailed agenda see Annex 4.

4.1.2 AI in warfare

The second scenario workshop, concerning AI in warfare, was also organised by TRI and also held at the premises of Innovate UK in Brussels, on the afternoon of 17 September 2019. There were nine participants in this workshop, including the project officer. All but two were male.

The workshop generated lots of useful discussion, including a presentation by defence journalist Nick Cook that led to the travails of information warfare.

For the detailed agenda see Annex 5.

4.1.3 AI in education

UCLANCY organised the third scenario workshop, concerning AI in education, which was held at the same premises the following morning on 18 September 2019. There were 17 participants, primarily from academia, but also five partners and one journalist. The gender split was almost even, with nine females and eight males.

For the detailed agenda see Annex 6.

4.1.4 AI in transport and AI in law enforcement

UT hosted the fourth and fifth scenario workshops at the University of Twente campus in Enschede, Netherlands. The workshops concerned predictive policing and driverless cars (self-driving vehicles, SDVs) on the afternoon of 25 September and in the morning of 26 September 2018, respectively.

The SDVs workshop had 20 participants from a wide range of backgrounds, experiences and disciplines, including academia, the public sector, and the private sector. There was a 70/30 male-female ratio in the group. The partners gave careful attention to ensuring a diversity of approaches and viewpoints were represented in the workshop, with individuals from standardisation bodies, SDV testing, computer science, engineering, psychology, AI specialisation, cybersecurity, ethics, and law. The workshop was split into subgroups for more inclusive and conducive discussion for the construction of the scenario. These sections were split between group-work, open discussion, and critical dialogue of SDVs.

The final workshop on predictive policing followed the same format in splitting the group into subgroups to address different points on the agenda, followed by a plenary group discussion of the points raised in the subgroups. The workshop had 20 participants from different organisations, including experts from academia, the private sector, the Dutch Police, and the Dutch Ministry of Justice.

For the detailed agenda see Annex 7.

4.3 Exploitation workshop

On 2 April 2020, the Consortium convened for a virtual workshop (due to the COVID-19 situation) to discuss exploitation opportunities, tools, and channels, and to compile and update the SHERPA Exploitation opportunity register. This document outlines the results of the project that could potentially be exploited, ideas and opportunities for exploitation, potential users/stakeholders (i.e., who could benefit from SHERPA results), potential channels and tools, and the different partners responsible for exploring those opportunities.

5. Stakeholder Board meetings

The Stakeholder Board (SB) 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 (companies, civil society, policymaking, professional bodies, and the media) who comment and contribute to all activities of the project. They share their views on how they perceive different issues related to SIS and serve as independent experts during the project.

As external participants, the SB members are engaged to provide feedback, opinions and views on the various decision points. EUREC is the partner in charge of managing all communications with the SB. Among the different activities planned for their engagement, EUREC will have organised five SB meetings over the course of the project, which serve as a platform for a two-way exchange between SHERPA and the different stakeholders.

5.1 First SB meeting

The first SB meeting was held on 3 July 2018 at the premises of Innovate UK in Brussels, Belgium. Given that the meeting took place at an early stage of the project and EUREC was still in the process of establishing the board, 5 members of the current SB attended the event. The SB is now fully formed with 30 members.

The aim of the meeting was to inform the SB about their role in the project and to collect their feedback on the proposed actions and their views on the outcome of the first scenario workshop.

5.2 Second SB meeting

The second SB meeting took place in London, UK, on 14 May 2019 and was attended by 28 participants (10 women and 18 men), 9 of which were representatives from SHERPA partners.

The aim of the meeting was to discuss the ethical issues of SIS, with a focus on those emerging from the first activities carried out in the project (e.g., case studies and scenarios), and the options of action (e.g., guidelines, regulatory and technical options, standards practices, etc.).

For the full agenda, see Annex 12.

5.3 Third SB meeting

Due to the COVID-19 restrictions, the third SHERPA SB meeting had to be transformed from a physical one-day meeting into a two-hour video conference. Nevertheless, this adaptation was a great success. Seventeen participants (8 women, 9 men) came together on 23 March 2020 to discuss the results of the project on regulation and the preliminary recommendations that SHERPA has developed to tackle the ethical issues that SIS pose and to create AI systems that are beneficial to all.

In the first part of the meeting, the need for a new regulator for AI and Big Data was debated in some detail. Rowena Rodrigues (TRI) presented SHERPA's research and was given valuable feedback about whether a regulator is needed and what elements have to be taken into account.

Bernd Stahl (DMU) then presented SHERPA's preliminary framework for the final recommendations of what has to be done, not only avoid the potential harms of AI, but to foster an *Ecosystem of AI for Human Flourishing*.

Despite the online limitations, the discussions that took place during the meeting were valuable and relevant to both the stakeholders and partners.

For the full agenda, see Annex 13.

5.4 Fourth SB meeting

The fourth SB meeting took place online on 6 October 2020 and was attended by 20 members of the SB (10 women and 10 men).

The aim of the meeting was to present the draft SHERPA recommendations to the SB and gather feedback on the following aspects of each of the individual recommendations, in particular:

- Is this recommendation clear and understandable?
- Is this recommendation needed and helpful?
- Is this recommendation practicable and feasible?
- Is there a need to modify this recommendation?

And on the recommendations as a whole:

- Are these the most important recommendations?
- Gaps – is anything vital/indispensable missing?
- Lack of importance – Should a recommendation be taken out of the list?
- Is the set of recommendations coherent?
- Is the structure comprehensible?
- Is classification in three categories reasonable?
- Is the allocation of recommendations to categories comprehensible?

For the full agenda, see Annex 20.

6. Focus groups

The focus groups (FG) are one of the activities of T4.2 "Stakeholder evaluation and validation" (M12-M28), led by UCLANCY.

The aim of the FG is to gain stakeholders' views and suggestions regarding the recommendations that have been developed in the SHERPA project, in order to contribute to the development of best practices regarding the design and use of SIS, benefiting the stakeholders involved in the use of SIS (e.g., industry, policy, funding bodies, research, civil society and the public).

To achieve these objectives, over the course of the project, SHERPA partners hosted 12 FG with members of the main stakeholder groups participating in each FG. Six of the FGs were Exploratory, covering a broader range of topics related to ethics and AI, four focused on Guidelines, and two of the FGs focused on Regulatory Options and Terms of Reference for a new Regulator.

Some of the FGs involved two sets of FG with the same individuals (1 FG for Guidelines and 1 for Regulatory Options). The first set explored the overall set of recommendations and initial reactions from different groups of stakeholders.

In the second round of FGs, participants from different stakeholder groups were invited to ensure a broadening of the views and understanding of the proposed measures. During the second round of FGs, the SHERPA partners collected specific suggestions concerning the formulation and implementation of the recommendations. This has allowed for the development of a set of targeted recommendations which will be disseminated, communicated, and put forward for implementation by the main stakeholder groups.

Overall, 12 FGs took place between January and June 2020. In some cases, there was more interest than we could accommodate in one group, so we hosted two FGs. As a result, 12 FGs took place instead of 10 (which was the initial plan), falling under the following categories:

- 6 Exploratory Focus Groups
- 4 Focus Groups on Guidelines
- 2 Focus Groups on Regulatory Options/TOR new Regulator

Because of the COVID-19 restrictions, the last four FG were virtual events, while the previous ones were held face-to-face.

Each FG followed the same structure with a set of specific questions and discussion topics.

A total of 114 individuals participated in the FGs, about half of which (46%) were women (based on the available information*).

More details on the dates, organising partner/s and number of participants are available in the table below.

| | Organiser | Place | Date | Number of Participants | Females |
|---|-----------|---------------------------|------------------|------------------------|---------|
| | | Guidelines | | | |
| 1 | UCLANCY | Cyprus | 16 January 2020 | 8 | 5 |
| 2 | UCLANCY | Cyprus | 5 March 2020 | 4 | 3 |
| 3 | DMU | UK (BCS) | 5 March 2020 | 13 | |
| 4 | DMU | UK (BCS) | 5 March 2020 | 13 | |
| | | Regulatory Options | | | |
| 5 | AHR | Cyprus | 24 February 2020 | 6 | 2 |
| 6 | AHR | Online | 26 June 2020 | 5 | 3 |
| | | Exploratory | | | |

| | | | | | |
|----|----------------|-------------------|-----------------|------------|-------------|
| 7 | NEN | Netherlands | 15 January 2020 | 10 | 3 |
| 8 | EUREC | Online (SBM) | 23 March 2020 | 19 | 7 |
| 9 | UCLANCY | Online | 9 April 2020 | 9 | 5 |
| 10 | DMU | Online (UKAIS) | 9 April 2020 | 12 | |
| 11 | DMU | Online (ETHICOMP) | 5 May 2020 | 7 | 3 |
| 12 | DMU | Online (ETHICOMP) | 5 May 2020 | 8 | |
| | Overall | | | 114 | 46%* |

Table 4 SHERPA Focus Groups

6.1 Exploratory focus groups

The first Exploratory FG was led by NEN and took place in the Netherlands on 15 January 2020. Ten people (of which 3 women) participated. The FG discussion was facilitated by 2 NEN partners (both women), one facilitating the discussion, while the other took notes. The focus group discussion took place as a special session after the Standardisation Group meeting and was conducted in Dutch.

The second Exploratory FG was led by EUREC during the third SB meeting on 23 March 2020 (the third SB meeting was used as an opportunity to discuss the exploratory FG topics with the SB members; see section 5.3 of this deliverable for more details).

The third Exploratory FG, led by DMU, took place online on 9 April 2020 with the UK Academy for Information Systems and brought together 12 attendees (mixture of male and female). The group was first given a brief presentation on SHERPA, and then the FG was conducted according to protocol - exploratory questions.

The fourth Exploratory FG was organised by UCLANCY and also took place on 9 April 2020, bringing together 5 women and 4 men.

The last two Exploratory FGs were organised by DMU as part of the ETHICOMP conference on 5 May 2020. The first FG was attended by 7 participants (4 male, 3 female), while the second was attended by 8 participants.

For the Exploratory questions, see Annex 14.

6.2 Focus Groups on Guidelines

The first two FG on Guidelines were led by UCLANCY and took place in Nicosia, Cyprus on 16 January 2020 and 5 March 2020. These were attended by 8 (5 women and 3 men) and 4 (3 women and 1 man) participants, respectively. The low number of participants was due to COVID-19 travel bans and restrictions. Nevertheless, the discussions provided good feedback for the project.

The last two FG on Guidelines were organised by DMU with members from the British Computing Society. The two focus groups were both carried out on 3 March 2020, but with different participants (26, split into 2 groups, with a mixture of male and female, predominately male).

The groups were first given a brief presentation on SHERPA, and then the focus group was conducted through the questions relating to guidelines.

For the Guidelines questions see Annex 15.

6.3 Focus Groups on Regulatory Options/TOR new Regulator

Two FGs on Regulatory Options and Terms of Reference for a new Regulator were hosted by AHR. All the participants from the 1st FG (24 February 2020) were invited to take part in the 2nd FG (26 June 2020). However, given that none of the participants from the first FG were able to attend the second one, other participants were recruited from the Stakeholder contact list.

The first FG on Regulatory Options/TOR new Regulator took place in Cyprus on 24 February 2020 and was attended by 6 participants (4 male and 2 female), while the second one, which took place online on 26 June 2020, was attended by 8 participants (5 male and 3 female).

For the Regulatory Options and TOR of new Regulator, TRI as the Task Leaders of T3.3 (“Explore regulatory options”) and T3.6 (“Propose terms of reference for a new regulator for SIS”) provided the questions.

Annexes 23 and 24 include the questions on Regulatory options and Terms of Reference for a new Regulator, respectively. Both sets of questions were used in each of the two FGs.

7. Advocacy meetings

7.1 First advocacy lunch

On 7 November 2019, the SHERPA project kicked off the advocacy mandate with a private lunch for policymakers. The lunch was organised by EBS as a part of the *Think Digital* conference at the Egmont Palace in Brussels, Belgium. Laurence Brooks (DMU) and Renate Klar (EUREC) presented the project in front of Members of the European Parliament, representatives from the European Commission, permanent representation of Estonia to the EU, and more. This first event between policymakers and the SHERPA project has set in motion the advocacy mandate, working together to create new guidelines for the development of ethical AI and other emerging technologies.

7.2. Second advocacy lunch

On 5 March 2020, SHERPA hosted its second advocacy private lunch, organised by EBS at the Egmont Palace in Brussels, Belgium. The SHERPA Coordinator presented to a group of 14 participants working in the fields of education, policy (Permanent Representations, Associations and National Research Councils), cybersecurity, and more from Estonia, Sweden, Lithuania, Romania, and Belgium. Participants were excited by the project, and interesting discussions about AI and ethics followed over lunch. The event was part of the Advocacy platform, aimed at creating a lasting impact from the project outputs, that began in October 2019 and will run to the end of the project.

8. Training events

8.1 SHERPA-SIENNA EC training event

On 26 November 2019, the SIENNA and SHERPA projects organised an interactive workshop for the European Union's different research funding schemes. The workshop, "Ethics and Artificial Intelligence: Foreseeing the Impact and Shaping the Future", presented findings from both projects. The focus was on the different ethical dimensions and impact of AI on the future of our society, and on our legal and ethical frameworks. The workshop was attended by approximately 80 people.

During the workshop, participants discussed a variety of topics, ranging from the application and impact of AI and its social acceptance to standardisation efforts, ethics by design and regulatory options. The workshop was tailored to offer scientific support to policymakers to help them make informed decisions regarding the deployment and development of AI in EU funded projects.

The speakers included lead scientists from both SIENNA and SHERPA.

For the detailed agenda see Annex 16.

9. Conferences

9.1 IEEE Smart World Congress Forum

On 19 August 2019 the [IEEE Smart World Congress](#) Forum on Ethics and Human Rights in Smart Information Systems took place in Leicester, UK.

The event was co-organised by SIENNA, SHERPA and PANELFIT as well as the UK Observatory for Responsible Research and Innovation in ICT (ORBIT) and formed part of the [IEEE Smart World Congress](#) (19-23 August 2019, Leicester, UK). It brought together a multidisciplinary community of scholars to address many of the facets of research required to understand and engage with these developments.

The session included presentations by invited speakers, SHERPA partners, members of the SHERPA SB and academics selected in the [Call for Papers](#):

- *Invited Talk: The Challenge of Practical Ethics, Declan Brady*
- *Technofixing The Future: Ethical Side Effects of Using AI and Big Data to Meet the SDGs, Mark Ryan; Laurence Brooks; Tilimbe Jiya; Kevin Macnish; Bernd Stahl; Josephina Antoniou*
- *Ethics and Design in The Smart Bikeshare Domain, Robert Bradshaw*
- *What If We Had Fair – People-Centred – Data Economy Ecosystems? Jani Simo Sakari Koskinen; Sari Knaapi-Junnila; Minna Rantanen*
- *Embedding Private Standards in AI and Mitigating Artificial Intelligence Risks, Martijn Scheltema*
- *Creating Companions for Senior Citizens with Technologies That Mimic People, David Wright*

- AI Management: An Exploratory Survey of the Influence of GDPR And FAT Principles, *Chiara Addis; Maria Kutar*
- Automated Automobiles in Society, *Olli Heimo; Kai Kimppa; Antti Hakkala*
- AI and Information Warfare In 2025, *David Wright*
- Internet Filtering: Solution to Harmful and Illegal Content? *Marie Eneman*

9.2 “Ethics by design” track - 4TU.Ethics Biannual conference

The [“Ethics by Design” track of the 4TU.Ethics Biannual Conference “The Ethics of Disruptive Technologies”](#), co-organised by SHERPA and SIENNA, took place in Eindhoven, The Netherlands on 7 November 2019.

The Ethics by Design track was chaired by Bernd Stahl (DMU) and Philip Brey (UT) and had the following objectives:

- Exploring current approaches to Design for Values / Ethics by Design
- Making steps towards a concrete, usable Ethics by Design methodology that can be used by technology developers and designers with little or no prior training in Ethics by Design
- Making steps towards a concrete methodology for the development of AI systems in particular

The session included presentations by invited speakers and academics selected in the [Call for Papers](#).

For the [full track programme](#), see Annex 17.

9.3 “Policy options for the ethical governance of disruptive technologies” online conference

On 23 March 2021 SHERPA held, in collaboration with the [SIENNA](#) and [PANELFIT](#) projects, the online conference [“Policy options for the ethical governance of disruptive technologies”](#), which was hosted by the European Parliament’s [Science and Technology Options Assessment \(STOA\)](#) panel and moderated by BBC journalist Vivienne Parry.

The event was attended (through a WebEx registration link) by 282 participants, with 70 additional attendees who watched the live stream event.

The conference began with opening remarks by Susana Solís Pérez, MEP, and STOA panel member Despina Spanou.

This was followed by the first panel discussion, based on the results of the SHERPA project, titled “Ethical, social and legal challenges of AI – Open questions and outstanding challenges”. This panel featured MEPs, academics, technology developers and policymakers, who engaged in lively discussion and debate on best practices for harnessing the benefits of AI in order to improve society and citizens’ lives, while mitigating potential ethical, social, and legal risks.

The second panel, titled “Mitigation options – What can be done to identify and address current and future challenges of emerging technologies?”, was based on the results of the PANELFIT project. This panel also featured MEPs, privacy engineers, academics, and developers, in discussion on how to better understand and address the ethical implications of new and emerging technologies in the early stages of design and development, in order to minimise potential negative implications on society.

Discussion centred on the importance of EU-wide policy and standards to achieve an interoperable and sustainable approach to incorporate ethics in future technologies.

These interactive discussions were followed by [keynote speech](#) from Yoshua Bengio (University of Montreal), one of the world’s leading experts in AI.

Bengio’s keynote was followed by the event’s final panel, based on the results of the SIENNA project, “Beyond AI – Ethics and human rights implications of emerging technologies”. In addition to MEPs, this panel featured AI Ethicists and academics, who considered best practices for building ethical and legal regulatory frameworks, in order to ensure the ethical governance of new and emerging technologies. The discussion focused on the importance of protecting democratic values and fundamental rights, to ensure that technology works for the people, rather than against them.

The final panel was followed by a Roundtable discussion on policy options from an international perspective. The discussion considered how we can enhance global efforts in standards development in strategic emerging technology fields, and the role of the EU as an ethics trailblazer.

The event was closed by Mariya Gabriel, European Commissioner for Culture, Education and Youth, and Eva Kailli, MEP and STOA Chair.

The event, moderated by Vivienne Parry, featured Q&A sessions with audience members, and opened up critical discussions on how we can make use of AI and big data for public good.

The recording of the event is available [here](#).

For the full agenda (also available with the booklet on the [STOA website](#)), see Annex 21.

10. Other dissemination events

10.1 Webinars

10.1.1 SHERPA webinars

Over the course of the project, SHERPA organised 6 webinars open to the public, as shown in the table below. All webinars were recorded, and the recordings have been published on the SHERPA YouTube channel, on the project website and promoted on social media and in our newsletters.

| Date | Title | Speaker/s | Number of registered attendees | Views on YouTube |
|------------------|--|------------------------|--------------------------------|------------------|
| 10 April 2019 | Introducing the SHERPA project | Bernd Stahl (DMU) | 239 | 245 |
| 4 September 2019 | Exploring the ethical implications of AI and Big Data - as seen through a series of case studies | Kevin Macnish (TWENTE) | 36 | 99 |
| 27 November 2019 | Policy Scenarios for AI and Big Data Analytics | Tally Hatzakis (TRI) | 78 | 49 |

| Date | Title | Speaker/s | Number of registered attendees | Views on YouTube |
|-----------------|--|---|--------------------------------|------------------|
| 11 March 2020 | Security Issues, Dangers and Implications of Smart Information Systems | Andrew Patel (F-Secure) | 45 | 171 |
| 3 June 2020 | Hands on design with AI and ethics | Tijmen Schep (PJ) | 60 | 47 |
| 14 October 2020 | COVID19 Track & Trace Apps - Are they Worth the Risk? | Kevin Macnish (TWENTE) Alexey Kirichenko (F-Secure) Renate Klar (EUREC) | 75 | 27 |

Table 5 SHERPA webinars

10.1.2 Joint webinars

SIENNA, SHERPA, PANELFIT webinar: Setting future ethical standards for ICT, Big Data, SIS, AI & Robotics

Over the course of the last three years, SHERPA has been collaborating with the PANELFIT and SIENNA projects, exchanging knowledge and best practices, promoting each other's activities and results for wider dissemination, and developing joint dissemination and communication materials and co-organising events.

Amongst these activities, on 20 May 2019, the three projects held a joint webinar which aimed at introducing the three projects and their goals. The three project coordinators explained what the projects do, where the overlaps are, and how we intend to work together to improve ethical and human rights frameworks for AI, big data, SIS, and ICT in general.

SHERPA, SIENNA and HBP webinar: Trust and Transparency in Artificial Intelligence

SHERPA has occasionally collaborated also with other projects, such as the Human Brain Project (HBP). One of the most recent activities was the '[Trust and Transparency in Artificial Intelligence](#)' webinar, which was co-organised by SHERPA, SIENNA and HBP.

The aim of the event was to present the HBP's [Opinion document](#) on key ethical and social issues that arise from the use of AI and discuss recommendations on how the HBP can address the ethical and Responsible Research Innovation (RRI) dimensions of AI in its final phase.

More details on both events are shown in the table below.

| Date | Title | Speaker/s | Number of registered attendees | Views on YouTube |
|-------------|--|--|--------------------------------|------------------|
| 20 May 2019 | SIENNA, SHERPA, PANELFIT webinar: Setting future ethical standards for ICT, Big Data, SIS, AI & Robotics | Philip Brey (SIENNA), Bernd Stahl (SHERPA), Iñigo de Miguel Beriain (PANELFIT) | 39 | 195 |

| Date | Title | Speaker/s | Number of registered attendees | Views on YouTube |
|---------------|---|---|--------------------------------|--|
| 30 March 2021 | SHERPA, SIENNA and HBP webinar: Trust and Transparency in Artificial Intelligence | Arleen Salles (Uppsala University), Bernd Stahl (DMU), Brandt Dainow (TWENTE), Kalypso Iordanou (UNCLANCY), Nicole Santiago (TRI) | 120 | Not available at time of writing this report (M36) |

Table 6 Joint webinars

11. Conclusion

This deliverable contains information on the significant events organised by the project.

The main events organised include project (General Assembly) meetings, workshops, Stakeholder Board (SB) meetings, focus groups, advocacy meetings, conferences, and webinars.

The first iteration of this deliverable was submitted in M12 (April 2019), followed by a second iteration in M24 (April 2020).

As of April 2021, this is the third iteration of the deliverable which will be followed by one last update at the end of the project (M42, October 2021).

Annex 1 – Kick off meeting agenda

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

Meeting Date: 2018-05-02/03,

Meeting Location: CEN-CENELEC - Rue de la Science 23, 1000 Bruxelles, Belgium

Item Key: Meeting Type -Date-Item number e.g. WP6-2018-02-04-003

GA - General Assembly; WPX - Work Package X; TX.Y - Task X.Y; DX.Y - Deliverable X.Y; PCC -

| Time | Item | Content | Responsible |
|-------------|-------------------|--|-----------------------------|
| 09.00-9.15 | Standing item | Welcome, attendance and coffee | |
| 9.15-9.45 | GA-2018-01-10-001 | Introduction of partners and participants | ALL |
| 9.45-10.15 | GA-2018-01-10-002 | Overview of the project; key activities | DMU |
| 10.15-10.45 | | Welcome/Introduction from EC Project Officer | Roberta Monachello (EC) |
| 10.45-13.25 | GA-2018-01-10-003 | <p>WP1 Introduction/Expectations (10mins, 10.45-10.55)</p> <p>Task 1.1 – Conduct case studies analysing ethical issues of SIS (10.55-12.25) UT</p> <p>Task 1.2 – Develop five SIS scenarios (12.25-13.25) TRI</p> | <p>WP Leader</p> <p>TRI</p> |

| | | | |
|----------------------|-------------------|---|-----------|
| 13.25-14.00 (Lunch) | | Task 1.3 – Explicate the security issues, dangers and implications of SIS (14.00-14.15) FSC | |
| 14.00-14.45 | | Task 1.4: Elucidate the ethical tensions and social impacts (14.15-14.30) UT | |
| | | Task 1.5: Conduct a gap analysis of current human rights frameworks (14.30-14.45) AHR | |
| 14.45-15.40 | GA-2018-01-10-004 | WP2 Introduction/Expectations (10mins, 14.45-14.55) | WP Leader |
| | | Task 2.1 – identify stakeholders (14.55-15.10) EUREC | EUREC |
| Coffee (15.40-16.00) | | Task 2.2 – Interview stakeholders (15.10-15.25) UCLANCY | |
| | | Task 2.5 – Management of the Stakeholder Board (15.25-15.40) EUREC | |
| 16.00-16.40 | GA-2018-01-10-005 | WP3 Introduction/Expectation (10mins, 16.00-16.10) | WP Leader |
| | | Task 3.1 – Create the Workbook for responsible development of SIS (16.10-16.25) Bernd | FSC |
| | | Task 3.4 - From good practices to standard practices (16.25-16.40) NEN | |
| 16.40-17.05 | GA-2018-01-10-006 | WP4 Introduction/Expectations (10mins, 16.40-16.50) | WP Leader |
| | | Task 4.1: Develop an evaluation and validation strategy (16.50-17.05) | UCLANCY |

| | | | |
|--|--|---|-----------------------------|
| | | UCLANCY | |
| | | <p>Walking tour of Brussels</p> <p>Meeting at Aparthotel Adagio Brussels Grand Place 20 Boulevard Anspach, Brussels, BE, 1000 at 6pm</p> | |
| | | <p>Dinner</p> <p>Invictus Restaurant</p> <p>https://www.invictusrestau.com/</p> <p>Attention: All participants must pay their own dinner - individual receipts will be given</p> | |
| <p><u>DAY 2</u></p> <p>9.00-10.10</p> | | <p>WP5 Introduction/Expectations (10mins, 9.00-9.10)</p> <p>Task 5.1 Dissemination (9.10-9.20) TRI</p> <p>Task 5.2 Communication (9.20-9.30) TRI</p> <p>Task 5.3 Online presence (9.30-9.40), DMU, Paul Keene</p> <p>Task 5.4 Artistic representation of ethics and human right implications of SIS (9.40-9.50) MS, Lucy</p> <p>Task 5.5 Exploitation (9.50-10.00) DMU, Martin de Heaver</p> <p>Task 5.6 Advocacy of the project's recommendations (10.00-10.10) EBS</p> | <p>WP Leader</p> <p>EBS</p> |

| | | | |
|-------------|--|--|--------------------------|
| 10.10-11.00 | | <p>WP6 - Management Introduction/Expectations (10mins, 10.10-10.20)</p> <ul style="list-style-type: none"> - Consortium Agreement, Finance (10.20-10.30) (Bernd) <ul style="list-style-type: none"> - Decision making - Distribution of finance - Dissemination - Project handbook (10.40-10.50) (Nitika) <ul style="list-style-type: none"> - Meeting schedule - Fixed fortnightly meeting date - SHERPA workplan - Task 6.3 Quality Assurance Plan (10.50-11.00) (Doris) - Data Management Plan (M6), TRI | <p>WP Leader DMU</p> |
| 11.00-11.15 | | <p>WP7 - Ethics Bernd</p> <p>D7.1 POPD - Requirement No. 1</p> <p>D7.2 H - Requirement No. 2</p> <p>D7.3 H - POPD - Requirement No. 3</p> <p>(should provide descriptions of deliverables - on sygma portal)</p> | <p>WP Leader DMU</p> |
| 11.15-11.30 | | Coffee | |
| 11.30-12.00 | | <p>Next steps and priorities</p> <ul style="list-style-type: none"> - Immediate priorities (see list below) - Finalisation of SHERPA logo - AOB | DMU |

| | | | |
|-------|--|--|--|
| 12.00 | | Proceed to Press Club for workshop Preparation for the workshop | |
|-------|--|--|--|

Annex 2 – Second GA meeting in Vienna agenda



SHERPA

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

Consortium Meeting: Agenda

Meeting Date: 6th and 7th December 2018

Meeting Location: Room AD.0.089 Sitzungssaal, WU, Wirtschaftsuniversität Wien Vienna University of Economics and Business Building D1, 2nd Floor, Welthandelsplatz 1A-1020 Vienna

| | DAY 1 - Thursday 6th December 2018 |
|--------------------|--|
| 12.00-12.45 | Registration and Lunch |
| 12.45-13.00 (1) | Welcome (DMU) Publications and To do list (ALL) |
| 13.00-13.15 (2) | Review of ICT2018 (ALL) |
| 13.15-14.15 (3) | Prof Martijn Scheltema - 'The Role of Transnational Private Regulation in Mitigating AI Risks' |

| | Integration of SHERPA activities |
|--------------------|---|
| 14.15-14.30 (4) | Representation, the SHERPA workbook (DMU) |

| | |
|--|--|
| 14.30-16.00 (With Coffee break at 3pm) (5) | Contributions to the workbook and link between activities (empirical) <ul style="list-style-type: none"> ● Case studies (UT) (30mins) ● Scenarios (TRI) (30mins) ● Interviews (UCLANCY) (15mins) |
| 16.00-17.15 (6) | Desk-based activities: link to empirical work, cross-links (15mins per item) <ul style="list-style-type: none"> ● Cyberthreats (FSC) ● Ethical tensions (UT) ● Human rights (AHR) ● Stakeholder Board (EUREC) ● Stakeholder network (EUREC) |
| 17.15-18.15 (7) | Responsible development of SIS (FSC) |
| 18.15 | END OF DAY 1 |
| 19.00 | Dinner - Das Campus (Campus WU, Welthandelsplatz 1, 1020 Wien) |

| DAY 2 - Friday 7th December 2018 Planned activities and requirements | |
|---|--|
| 8.45-9.00 | Coffee |
| 9.00-9.30 (8) | Continuation of responsible development of SIS <ul style="list-style-type: none"> ● Plan for guidelines and recommendations (UT) (15mins) ● Approach to regulatory options (TRI) (15mins) |
| 9.30-11.00 (9) | Plans, links and requirements (15mins per item) <ul style="list-style-type: none"> ● Survey (DMU) ● Delphi study (TRI) ● Stakeholder board (EUREC) ● Standardisation (NEN) ● Technical options (FSC) ● ToR for regulator (TRI) |
| 11.00-11.15 | Coffee |

| | |
|---------------------|--|
| 11.15-11.40 (10) | Criteria for evaluation and validation strategy, initial ideas for evaluation and validation process (UCLANCY) |
|---------------------|--|

| Dissemination, communication, advocacy | |
|--|---|
| 11.40-12.25 (11) | <p>Current status</p> <ul style="list-style-type: none"> ● Videos (MS) (10mins) ● Artistic representation (PJ) (20mins) ● Advocacy plans (EBS) (5mins) ● Dissemination (10mins) |

| Project and data management | |
|-----------------------------|--|
| 12.25-12.40 (12) | <p>WP6 - overview, periodic report & risk register - updates (DMU)</p> <ul style="list-style-type: none"> ● Financial overview of the project (DMU/ALL) ● Current data management methods, update on Figshare (DMU) ● Agreement on actions and next steps (ALL) |
| 12.40-13.15 | Lunch |
| 13.15 | END OF MEETING |

Annex 3 - Workshop in Brussels

agenda and invitation

DATE AND TIME

Thu 3 May 2018
14:00 – 17:00 CEST

LOCATION

Press Club Brussels Europe
95 Rue Froissart
1000 Bruxelles
Belgium

DESCRIPTION

Are you interested in ethics and human rights in artificial intelligence and big data? Then please register to attend this event. Artificial intelligence and big data are technologies that currently capture the attention of businesses, consumers and policy makers. These technologies hold immense promise, but they also raise concerns. Data protection and privacy may be affected, smart technologies may create as well as destroy jobs, they can disempower human beings and there is even speculation that these technologies may acquire rights themselves. In this context the SHERPA project has been funded by the EU to explore the ethical and human rights aspects of smart information systems comprising of AI and big data. The SHERPA project starts its activities with this panel discussion where we invite high profile speakers from different backgrounds to give their views on key issues and problems, that need to be explored and possible ways in which they can be addressed. The event addresses policymakers as well as scholars and industrialists and invites participants to contribute to a discussion. Which will shape the direction of the SHERPA project and thereby the course of public discourse on the topic.

The Format of the workshop will be as follows:

Firstly, the workshop will open with a brief introduction followed by each speaker giving their opening views (10 mins). The workshop will then consist of a question and answer style format, where we hope to achieve productive discussions, debate and feedback! The workshop will close at 5pm.

Annex 4 - AI that mimics people scenario workshop agenda

PRACTICALITIES:

Venue: Innovate UK, Brussels

Address: Rue de la Science 14 (3rd floor) B-1040 Brussels, Belgium

Date: July 3rd, 2018

Time: 9.00 – 17.30

Topic: What will be the impacts of AI that mimics people by 2025? What are the ethical, legal, social and economic implications of AI technology?

8.30 – REGISTRATION

9.00 – Introduction to scenario planning by D. Wright

9.20 – Discussion on technologies that imitate people. Where will the technology be in 2025? What will this technology be used for?

11.00 – COFFEE BREAK

11.15 – What will be the driving forces for the development and use of these technologies?

11.45 – What will be potential barriers and inhibitors for the production and uptake of these technologies in 2025?

12.30 – LUNCH

13.30 – What will be the ethical, legal, social and economic impacts of these technologies and their applications in 2025?

15.00 – COFFEE BREAK

15.15 – In 2025, how will we be able to mitigate the negative and accentuate the positive impacts of these technologies?

16.30 – Draft a utopian and a dystopian scenario (in subgroups)

17.00 – Next steps

Annex 5 - AI in warfare scenario workshop agenda

17 September 2018

Topic: What will be the impacts of **AI in Military applications** by 2025? What are the ethical, legal, social and economic implications of AI technology?

Note: In preparation for the workshop participants should have read the introduction to the scenario approach and the scenario brief.

PRIOR TO THE EVENT

Brainstorm driving forces affecting the development and use of these technologies of AI technology in the domain and return five key words or phrases to tally.hatzakis@trilateralresearch.com by Sep 1, 2018.

12.30 – REGISTRATION

13.00 – Introduction to scenario planning by D. Wright, TRI

13.20 – Setting the scene

13.40 – Discussion on AI technologies for military applications. Where will the technology be in 2025? What will these technologies be used for?

14.15 – COFFEE BREAK

14.30 – Clustering of the driving forces

15.00 – Ranking clusters based on their importance for the development and acceptance of AI for military applications. Ranking clusters based on what will be potential barriers and inhibitors for the production and uptake of these technologies in 2025?

15.15 – What will be the ethical, legal, social and economic impacts of these technologies and their applications in 2025?

16.00 – COFFEE BREAK

16.15 – In 2025, how will we be able to mitigate the negative and accentuate the positive impacts of these technologies?

17.00 – Next steps

17.30 – END OF DAY 1

Annex 6 - AI in education scenario workshop agenda

18 September 2018

Topic: What will be the impacts of AI in education by 2025? What are the ethical, legal, social and economic implications of AI technology?

08.30 – REGISTRATION

Chair: Prof. Doris Schroeder, UCLan Cyprus

09.00 – Round of introduction of all roundtable delegates

09.10 – Introduction to scenario planning, David Wright, Trilateral Research UK

09.30 – Setting the scene, by Dr Josephina Antoniou, UCLan Cyprus

09.45 – Discussion on AI technologies in education. Where will the technology be in 2025?

What will these technologies be used for?

10.00 – COFFEE BREAK

Chair: David Wright, Trilateral Research UK

10.15 – Clustering of the driving forces

10.45 – Ranking clusters based on their importance for the development and acceptance of AI applications for education. Rating clusters based on What will be potential barriers and inhibitors for the production and uptake of these technologies in 2025?

11.00 – COFFEE BREAK

Chair: Prof. Doris Schroeder, UCLan Cyprus

11.15 – What will be the ethical, legal, social and economic impacts of these technologies and their applications in 2025?

12.00 – COFFEE BREAK

Chair: David Wright, Trilateral Research UK

12.15 – In 2025, how will we be able to mitigate the negative and accentuate the positive impacts of these technologies?

13.00 – Next steps

13.30 – END OF DAY 2

PRACTICALITIES:

Venue: Innovate UK, Brussels

Address: Rue de la Science 14 (3rd floor) B-1040 Brussels, Belgium

Date: 17-18 Sep, 2018

Time: 12.30 (17 Sep) – 13.30 (18 Sep)

DINNER:

Venue: To be confirmed

Address:

Date: 17th September

Time: 19.30

For more information SHERPA, visit: <https://www.project-sherpa.eu/>

Annex 7 - AI in transport and AI in law enforcement workshops agenda

25 September 2018 – Self-Driving Vehicles

13.15 – REGISTRATION

13.30 – Lunch

14.00 – Introduction to scenario planning by Mark Ryan, University of Twente

14.10 – Setting the scene, by Radovan Serbec, AV Living Lab, Slovenia

14.30 – Discussion on AI technologies for transportation applications. Where will the technology be in 2025? What will these technologies be used for?

15.10 – 1. What are the driving forces behind the development of self-driving vehicles by 2025; and 2. What will be potential barriers and inhibitors for the production and SDVs in 2025? (group work)

16.00 – COFFEE BREAK

16.15 – What will be the ethical, legal, social and economic impacts of these technologies and their applications in 2025?

17.15 – In 2025, how will we be able to mitigate the negative and accentuate the positive impacts of these technologies? (group work)

17.45 – Steps towards a desired future and avoidance of an undesired future

18.00 – END OF DAY 1

Dinner: 19.30

26 September 2018 – Predictive Policing

10.00 – REGISTRATION and Coffee

10.30 – Introduction to scenario planning and scene setting by Kevin Macnish, University of Twente

11.00 – Discussion on AI technologies for policing applications. Where will the technology be in 2025? What will these technologies be used for?

11:40 – Group work

- A. What are the driving forces behind the development of AI and policing?
- B. What are the potential barriers inhibiting the development of AI and policing?

12.30 – LUNCH

13.00 – What will be the ethical, legal, social and economic impacts of these technologies and their applications in 2025?

13.45 – In 2025, how will we be able to affect the impacts of these technologies?

- A. Mitigation strategies
- B. Accentuation strategies

14.15 – Draft a utopian and a dystopian scenario for 2035

14.45 – Next steps

15.00 – END OF DAY 2

Annex 8 – Third GA meeting in London agenda



SHERPA

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

Consortium Meeting: Agenda

Meeting Date: 13th and 14th May 2019

Meeting Location: MRC building 1 Kemble St, London WC2B 4AN

| | DAY 1 - Monday 13th May 2019 |
|------------|--|
| 9.00-9.30 | Registration and Coffee/Tea |
| 9.30-9.45 | Welcome (DMU) Publications and To do list (ALL) |
| 9.45-10.15 | Excellence, Visibility, Impact (EVI) system - amendment/refinement/replacement of QA system? (Doris / Bernd / ALL) |

| | Integration of SHERPA activities |
|-------------|---|
| 10.15-10.30 | Representation, the SHERPA workbook (latest developments) (DMU) (15mins) |
| 10.30-10.45 | Coffee/Tea |
| 10.45-12.15 | Contributions to the workbook and link between activities <ul style="list-style-type: none"> ● Threats and countermeasures (FSC) (30mins) ● Ethical tensions and social impacts (UT) (30mins) |

| | |
|---|---|
| | <ul style="list-style-type: none"> ● Human rights analysis (AHR) (15mins) ● Interviews (UCLANCY) (15mins) |
| 12.15-12.35 | Empirical study <ul style="list-style-type: none"> ● Delphi study (TRI) (20mins) |
| 12.35-13.15 | Lunch |
| 13.15-14.00 | Desk-based activities: link to empirical work, cross-links <ul style="list-style-type: none"> ● Stakeholder Board (EUREC) (15mins) ● Stakeholder Board agenda (EUREC) (15mins) ● Stakeholder network (EUREC/EBS) (15mins) |
| 14.00-15.10 | Responsible development of SIS (FSC) <ul style="list-style-type: none"> ● Development of guidelines/workshop (UT) (20mins) ● Regulatory options (TRI) (10mins) ● Standardisation work plan T3.4 (NEN) (20mins) ● Technical options (FSC) (10mins) ● ToR for regulator (TRI) (10mins) |
| 15.10-15.30 | Coffee/Tea |
| 15.30- 16.30 | Evaluation, validation and prioritisation (UCLANCY) <ul style="list-style-type: none"> ● Evaluation and validation strategy (40mins) ● Plan for prioritisation and finalisation of recommendations (20mins) |
| 16.30-16.45 | Coffee/Tea break |
| Dissemination, communication, advocacy | |
| 16.45-17.45 | Current status <ul style="list-style-type: none"> ● Videos (MS) (15mins) ● Artistic representation (PJ) (15mins) ● Exploitation (DMU) (10mins) ● Dissemination/communication updates (EBS) (15mins) ● Advocacy plans (EBS) (5mins) ISO membership costs allocation |
| 17.45 | End of DAY ONE |

| | |
|-------|---|
| 19.00 | Patara Thai Restaurant - Soho, 15 Greek St, Soho, London W1D 4DP (£40 per head - all partners pay individually & claim from expenses) |
|-------|---|

| | |
|-----------|--|
| | DAY 2 - Tuesday 14th May 2019 Planned activities and requirements |
| 9.15-9.30 | Coffee/Tea |

| | |
|--------------|---|
| | Project management |
| 9.30-10.00 | Empirical study <ul style="list-style-type: none"> ● Online survey (DMU) (30mins) |
| 10.00-10.45 | WP6 - overview, periodic report & risk register - updates (DMU) <ul style="list-style-type: none"> ● Financial overview of the project (DMU/ALL) ● Risk register (DMU/ALL) ● Periodic report (DMU/ALL) ● Periodic meeting (pre-meeting 4th July and review meeting 5th July, Brussels) (DMU) ● Agreement on actions and next steps (ALL) |
| 10.45-11.15 | AOB <ul style="list-style-type: none"> ● Building an ethics code and the Global Code of Conduct for Research in Resource-Poor Settings (Doris) (15mins) ● HBP partnership (Tilimbe) (10mins) ● Next meeting M18 (October 2019) hosted by UT (Amsterdam) (5mins) |
| 11.15-11.30 | Coffee |
| 11.30-12.30 | Stakeholder board (Mick Yates, University of Leeds) (The Individual and Smart Information Systems + including discussion) |
| 12.30 | END OF CONSORTIUM MEETING |
| 12.30 | Lunch (Consortium partners and Stakeholder Board) |

Annex 9 - First EC review meeting agenda



**Project: SHERPA
(SWAFS 2017)**

Project Review Meeting

Draft AGENDA

Date: 05/07/2019

*Venue: (TBD) **REA premises**, Covent Garden, Place Charles Rogier 16,
1210 Brussels
Meeting room: **COV XXXXX***

| | | |
|--|--|---|
| 9.30 | Welcome | Roberta Monachello (EC Project Officer) |
| 9.35-9.50 | Overview and achievements of SHERPA so far | Bernd Stahl (DMU) |
| Progress of SHERPA activities in Period 1 | | |
| 9.50-10.05 | WP1 Representation and visualisation of ethical and human rights issues in SIS | David Wright (TRI), Kevin Macnish (UT) |
| 10.05-10.35 | Discussion/Q&A | ALL |
| 10.35-10.50 | WP2 Stakeholder analysis and consultation | Renate Klar (EUREC) |
| 10.50-11.20 | Discussion/Q&A | ALL |
| 11.20-11.35 | Coffee break | |
| 11.35-11.50 | WP5 Advocacy, dissemination, exploitation and communications | Anya Gregory (EBS) |
| 11.50-12.20 | Discussion/Q&A | |
| 12.20-12.35 | WP6 Project Management | Nitika Bhalla (DMU) |
| 12.35-13.05 | Discussion/Q&A | ALL |
| 13.05-14.00 | Lunch | |
| Moving forward - plans for Period 2 | | |
| 14.00-14.15 | WP3 Responsible development of SIS | Matti Aksela (FSC) |
| 14.15-14.45 | Discussion/Q&A | ALL |
| 14.45-15.00 | WP4 Evaluation, validation and | Stephanie Lulhe-Shaelou |

| | | |
|-------------|-----------------------|---|
| | prioritisation | (UCLANCY) |
| 15.00-15.30 | Discussion/Q&A | ALL |
| 15.30-15.45 | Coffee break | |
| 15.45-16.30 | Discussion/Feedback | EC Policy Officer/ Project Officer and Reviewers |
| 16.30 | End of review meeting | ALL |

Annex 10 – Fourth GA meeting in Larnaca agenda



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

Consortium Meeting: DRAFT Agenda

Meeting Date: 10th and 11th October 2019

Meeting Location: UCLANCY (UCLan Cyprus main building, B050)

| DAY 1 - Thursday 10th October 2019 | |
|------------------------------------|---|
| 9.00-9.30 | Registration and Coffee/Tea |
| 9.30-9.45 | Welcome (DMU) Publications and To do list (ALL) |
| 9.45-10.00 | Review of Year 1 (including review meeting feedback and recommendations for Year 2) |

| Integration of SHERPA activities | |
|----------------------------------|--|
| 10.00-10.15 | Representation, the SHERPA workbook (latest developments) (DMU) |
| 10.15-11.15 | Contributions to the workbook and link between activities <ul style="list-style-type: none"> ● Insights from WP1 (DMU, input from TRI, UT, FSC & AHR) (30mins) ● 'Human Right - Visibility and interrelation with Ethics' - AHR (30mins) |
| 11.15-11.30 | Coffee |

| | |
|--------------|--|
| 11.30-12.30 | <p>Empirical study</p> <ul style="list-style-type: none"> ● Online survey (DMU) (30mins) ● Delphi study (TRI) (30mins) |
| 12.30-13.30 | Lunch |
| 13.30-14.30 | <p>Desk-based activities: link to empirical work, cross-links</p> <ul style="list-style-type: none"> ● Stakeholder Board & review of last meeting (EUREC) (20mins) ● Stakeholder network (EUREC/EBS) (10mins) ● Gender policy (DMU) (10mins) ● Interview stakeholders (UCLANCY) (20mins) |
| 14.30-15.50 | <p>Responsible development of SIS (FSC) (WP3 Collaboration)</p> <ul style="list-style-type: none"> ● Coherence of WP3, links between activities, WP impact (FSC) (15mins) <ul style="list-style-type: none"> ○ How will WP3 tasks inform each other? ○ Where will overall outcomes be reported? ○ How will WP3 inform WP4? ● WP3 and the prioritisation of options (discussion paper) (DMU) ● Development of guidelines (UT) (20mins) <ul style="list-style-type: none"> - Ethics by design ● Regulatory options: results of preliminary research on stakeholder perspectives (UT) (15mins) ● Standardisation work plan T3.4 (NEN) (15mins) ● Technical options (FSC) (15mins) |
| 15.50-16.05 | Coffee/Tea |
| 16.05- 16.45 | <p>Evaluation, validation and prioritisation (UCLANCY)</p> <ul style="list-style-type: none"> ● Stakeholder evaluation and validation (linked to strategy) (40mins) |
| 16.45-17.15 | Review of Day 1 including actions |
| 17.15 | End of DAY ONE |
| 19.00 | Consortium dinner |

| | |
|--|---|
| | <p>DAY 2 - Friday 11th October 2019</p> <p>Dissemination, communication, advocacy</p> |
|--|---|

| | |
|-------------|--|
| 9.00-9.30 | Coffee |
| 09.30-10.00 | Exploitation (DMU) |
| 10.00-11.15 | Current status of dissemination, artistic representation, advocacy <ul style="list-style-type: none"> • Videos (MS) (15mins) • Artistic representation (PJ) (15mins) • Advocacy plans and discussion (EBS) (45mins) |
| 11.15-11.30 | Coffee/Tea |
| 11.30-12.00 | Impact and visibility group (EBS/NEN) <ul style="list-style-type: none"> • Principles, presentation, templates • Visibility of WP1 activities • Visibility of future work (WP3, WP4) • Overall outputs of SHERPA |

| | Project management |
|--------------|---|
| 12.00-12.30 | WP6 - overview & risk register - updates (DMU) <ul style="list-style-type: none"> • Risk register (DMU/ALL) • Quality Control (UCLANCY / All) • Agreement on actions and next steps (ALL) |
| 12.30-13.00 | AOB <ul style="list-style-type: none"> • FSC - PM allocation post M24 → (Draft D3.5 submit on M24, & extend T3.5 to M30, and submit Final D3.5 on M30) • Draft PAS 440 (BSI) - NEN • Next physical meeting • Next telco |
| 13.00 | END OF CONSORTIUM MEETING |
| 13.00-14.00 | Lunch |

The Workshop for T2.2, Interviews, and Focus Groups, T4.2, will take place right after the meeting between 2:00-4:00pm

Annex11 - Fifth GA meeting (online) agenda



SHERPA

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

Consortium Online Meeting: Agenda

Dial-in details

SHERPA GA meeting

Tue, Mar 24, 2020 10:00 AM - 14:30 PM (GMT)

Please join my meeting from your computer, tablet or smartphone.

<https://global.gotomeeting.com/join/592410285>

SHERPA GA meeting

Tue, Mar 24, 2020 10:00 AM - 14:30 PM (GMT)

Please join my meeting from your computer, tablet or smartphone.

<https://global.gotomeeting.com/join/592410285>

SHERPA GA meeting

Wed, Mar 25, 2020 9:30 AM - 10:30 AM (GMT)

Please join my meeting from your computer, tablet or smartphone.

<https://global.gotomeeting.com/join/307462445>

| mins | DAY 1 - Tuesday 24th March 2020 - 90 min |
|------|---|
| 20 | Routine matters and updates Standing items <ul style="list-style-type: none"> • To-do list |
| | Consortium updates |
| 10 | Delphi study findings of round 1 & discussion (TRI, Nicole) |
| 10 | Evaluation, validation and prioritisation (UCLANCY) <ul style="list-style-type: none"> • Stakeholder evaluation and validation (linked to strategy) • Interview stakeholders & discussion (UCLANCY) |
| 20 | Coherence of WP3, links between activities, WP impact (FSC) <ul style="list-style-type: none"> • How will WP3 tasks inform each other? • Where will overall outcomes be reported? • How will WP3 inform WP4? |
| 10 | Standardisation brief recap (NEN) |
| 10 | Terms of reference for SIS regulator (TRI) |
| 10 | Technical options (FSC) |

| mins | DAY 1 - Tuesday 24th March 2020 - 120 min |
|------|--|
| 80 | SHERPA - future and impact (Consortium discussion) <ul style="list-style-type: none"> • SHERPA Recommendations moving forward • What do we do that is novel and interesting? • How do we use WP4 activities, Delphi to shape our message? |

| | |
|----|---|
| 20 | <p>Current status of dissemination, artistic representation, advocacy</p> <ul style="list-style-type: none"> • Videos (MS) • Artistic representation (PJ) • How do we communicate and to whom? • Advocacy plans <i>and discussion</i> (EBS/ALL) |
| 10 | <p>Impact and visibility group (EBS)</p> <ul style="list-style-type: none"> • Principles, presentation, templates • Visibility of future work (WP3, WP4) • Overall outputs of SHERPA |
| 10 | <p>SHERPA final event -</p> <ul style="list-style-type: none"> • Timing • guest speakers? |

| mins | DAY 2 - Wednesday 25th March 2020 - 60 min |
|------|--|
| | |
| 10 | Risk register (DMU/ALL) |
| 15 | Period 2 reporting (DMU) |
| 10 | Exploitation activities (DMU) |
| 20 | Agreement on actions and next steps (ALL) |
| | Next GA data and venue |
| | AOB |
| | |
| | |
| | |

Annex 12 – Second SB meeting agenda



SHERPA

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

Stakeholder Board Meeting with Consortium Work Package Leaders: Agenda

Meeting Date: 14th May 2019

Meeting Location: MRC building, 1 Kemble St, 13th floor, Room number: L13-2, London WC2B 4AN

| | On Arrival |
|-------------|--|
| 12.00-12.30 | <ul style="list-style-type: none">Welcome and Registration |
| 12.30-13.30 | <ul style="list-style-type: none">Buffet Lunch with SHERPA consortium (optional) |
| 13.30-14.00 | Welcome and Introduction |
| | <ul style="list-style-type: none">Welcome and round of introduction (Bernd Stahl, Dirk Lanzerath, Renate Klar)Aims of meeting (Renate Klar) |
| | <ul style="list-style-type: none">Presentation: Introduction to the SHERPA Project (Bernd Stahl) |
| 14.00-15.30 | First Section: Discussion of ethical issues of SIS |
| | <ul style="list-style-type: none">Presentation: SHERPA's results after one year – what are the most important ethical issues? (Kevin Macnish) |
| | <ul style="list-style-type: none">Plenary discussion: Are these the most important issues? Is there anything |

| | |
|-------------|---|
| | we missed? (Dirk Lanzerath, Renate Klar) |
| 15.30-15.45 | <ul style="list-style-type: none"> • Coffee break |
| 15.45-17.15 | Second Section: Options of Action |
| | <ul style="list-style-type: none"> • Presentation: Options of action (guidelines, regulatory and technical options, standards practices) covered by SHERPA (Bernd Stahl) • Plenum: Is there anything we missed? Evaluation - which are the most important ones? (Dirk Lanzerath, Renate Klar) |
| | <ul style="list-style-type: none"> • Breakout session: Why is this the most important option of action? What is its most important content? • Plenum: Presentation and summary of results (Dirk Lanzerath, Renate Klar) |

| | |
|-------------|--|
| 17.15-17.30 | Concluding plenary session |
| | <ul style="list-style-type: none"> • Feedback round and conclusion (Dirk Lanzerath, Renate Klar) |
| 17.30 | <ul style="list-style-type: none"> • End of Stakeholder Board Meeting |
| 18.00 | <ul style="list-style-type: none"> • Dinner (optional): Sarastro Restaurant, 126 Drury Lane, London, WC2B 5SU |

Annex 13 – Third SB meeting agenda



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

Online Stakeholder Board Meeting: Draft Agenda

Meeting Date: 23th March 2020

Meeting Time: 14.00-16.00 CET

Meeting Connection Details: Please join the meeting from your computer, tablet or smartphone.

<https://global.gotomeeting.com/join/355474701>

| | |
|-------------|---|
| 14.00-14.10 | Welcome and Introduction |
| | Welcome and brief introduction (Bernd Stahl, Dirk Lanzerath) Aims of meeting and connection to last meeting (Renate Klar) |
| 14.10-14.40 | SHERPA's outcomes |
| | Presentation of work on a new regulator for AI and big data (Rowena Rodrigues) Discussion and feedback <ol style="list-style-type: none">1. Do we need a new regulator/body for AI and big data at the EU or national level?2. Are there any international, EU or national policy directions that are relevant to consider in the creation of such a new regulator?3. If no new regulator is deemed necessary, what other regulatory options are the most desirable and feasible? |

Annex 14 – Exploratory FG questions

1. What are the (3-5 main) ethical issues that come out of AI and big data?
2. How do those ethics issues relate with Human Rights?
3. How are those ethical issues currently addressed?
4. What are the limitations of the current efforts addressing those ethical issues?
5. What ethical issues haven't been addressed so far?
6. What are the three most important activities that should be undertaken to deal with the ethical issues that haven't been adequately addressed yet?
7. What do you think guidelines for developing and/or using AI systems should look like?
8. Which changes in regulations could protect human rights?
9. How can standards help dealing with AI / big data analytics?
10. How could a new regulator help and what should it look like?

Annex 15 – Questions for FGs on Guidelines

Overall questions:

1. You have now read two guidelines, one for use and one for development. Although these guidelines often overlap (e.g., because we sometimes want to protect end-users by requiring developers to adapt their systems), they are supposed to provide different guidance when appropriate. Reflecting on that, do you see any reasons for revisions?
2. The guidelines are supposed to be easy for practitioners to read, understand and apply. Do you see any need for adjustments because of a risk of misunderstanding, connotations, or ambiguous language, either because the guidance is not clear enough or because it includes too much jargon?
3. The guidelines are supposed to be engaging, which is always a problem for a relatively long documents of instructions. How would you judge the guidelines with respect to engagement?
4. What is your impression of the use of graphics (tables, figures, pictures) in the document? Should any changes be made, if so, in what way and why?
5. If you have experience with many other similar documents, how do you compare these guidelines to other guidelines with respect to: understandability, engagement, and usefulness?

Questions on specific parts:

6. What is your evaluation of the “Introduction”?
 - a. Does it cover what it needs to cover? Is anything missing?
 - b. Does it give a good introduction to the guidelines?
 - c. Is it engaging?
 - d. Are the language and length appropriate?
 - e. Does your impression vary between the two guidelines?
7. What is your evaluation of the “High-level requirement section”?
 - a. Does the section make an important contribution to the rest of the guidelines?
 - b. Is the language appropriate (understandable, no jargon, engaging)?
 - c. Are the different high-level requirements and their sub-requirements sufficiently well explained/motivated?
 - d. Are the language and length appropriate?
 - e. Should something be removed or added?
 - f. Does your impression vary between the two guidelines?

8. What is your evaluation of section 3 (i.e., models/methods for development/governance)?
 - a. Is it well-adapted for practitioners?
 - b. Is it suitable for your organisation?
 - c. Does it contribute to the overall guidelines?
 - d. Is the language appropriate (understandable, no jargon, engaging)?
 - e. Is it too long or too short?
 - f. Should something be removed or added?
 - g. Does your impression vary between the two guidelines?

9. What is your overall evaluation of section 4 (the ethical operational requirement)? For each sub-section:
 - a. Is it well-adapted for practitioners?
 - b. Is the language appropriate (understandable, no jargon, engaging)?
 - c. Can it be properly applied?
 - d. Is it too long or too short?
 - e. Is there something that needs to be changed?
 - f. Are there important issues not covered?
 - g. Do the guidelines require something they should not require?
 - h. Are the proposals linked to the correct phases of development/management and governance?
 - i. Does your impression vary between the two guidelines?

10. What is your evaluation of section 5 (special topics)?
 - a. Is it well-adapted for practitioners?
 - b. Does it contribute to the overall guidelines?
 - c. Is the language appropriate (understandable, no jargon, engaging)?
 - d. Is it too long or too short?
 - e. Should something be removed or added?
 - f. Does your impression vary between the two guidelines?

Annex 16 – SHERPA-SIENNA EC training event agenda

| 26 November 2019, COVE A2, 1 st floor, 1-15 | |
|--|--|
| 10.00 - 10.15 | Welcome Introduction to SIENNA and SHERPA projects |
| 10.15 - 11.00 | <ul style="list-style-type: none"> • Applications and Impacts of AI • Societal acceptance and awareness • Legal and policy context of AI <ul style="list-style-type: none"> ○ Legal landscape ○ Human rights questions ○ Current policy proposals |
| 11.00-11.15 | Coffee Break |
| 11.15 - 12.30 | <ul style="list-style-type: none"> • Ethics in AI <ul style="list-style-type: none"> ○ Cases ○ Scenarios ○ Ethical issues / analysis • Regulatory options |
| 12.30 - 13.30 | Lunch Break |
| 13.30-14.30 | <ul style="list-style-type: none"> • Guidelines: Ethics by design • Standardisation |
| 14.30-14.45 | Coffee Break |
| 14.45-15.45 | Break-out session: policy / application <ul style="list-style-type: none"> • Guidelines separately from ethics review • Which regulatory options are required? • Standardization? • How could this be applied to ethics review? • What can SIENNA / SHERPA do to help you? |
| 15.45-16.30 | Plenary discussion |
| 16.30 | Event closes |

Annex 17 – Ethics by design track - 4TU.Ethics Biannual conference programme

| Ethics by Design | | |
|-------------------------|-------------|--|
| Track room: Atlas 7.320 | | |
| Time | Room | Contribution |
| 09:00 | Corona | Keynote |
| | | Ingrid Robeyns |
| | | <i>The promises and limits of the capability approach for the ethics of technology</i> |
| 10:00 | Hubble | Coffee break |
| | | Session: Ethics by Design I |
| 10:30 | Atlas 7.320 | Naomi Jacobs |
| | | <i>Capability sensitive design for health & wellbeing technologies</i> |
| 11:00 | Atlas 7.320 | Yotam Lurie et al. |
| | | <i>Ethical framework as a quality driver in agile based development</i> |



| | | |
|-------|--------------|---|
| 12:00 | Hubble | Lunch |
| | Corona lobby | Poster presentation |
| 13:00 | Corona | The Ethics of Disruptive Technologies |
| | | Philip Brey, Ibo van de Poel, Sabine Roeser, Wijnand Ijsselstein, Marcus Düwell |
| | | <i>Presentation of the 10-year 4TU.Ethics & Ethics Institute (University of Utrecht) research programme</i> |
| | | Session: Ethics by Design II |
| 14:00 | Hubble | Coffee break |
| 14:30 | Atlas 7.320 | Ariel Guersenzvaig |
| | | <i>The goods of design: a regulative ideal for the design profession</i> |
| 15:00 | Atlas 7.320 | Pieter Vermaas |
| | | <i>Normative design as an ethically disruptive response</i> |



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|-------|-------------|--|
| 15:30 | Atlas 7.320 | Anna Melnyk |
| | | <i>Why Value Sensitive Design fails its task in designing for changing values?</i> |
| 16:00 | Hubble | Coffee break |
| 16:30 | Corona | Keynote |
| | | Catriona McKinnon |
| | | <i>Geoengineering: Fantasies of Control</i> |



Annex 18 – Second EC review meeting agenda



**Project: SHERPA
(SWAFS 2017)**

Project Review Meeting

Draft AGENDA

Date: 03/07/2020

Venue: WebEx



| | | |
|---|---|---|
| 9.15-9.30 | Log in, technicalities, prepare presentations in the tool | ALL make sure to log in on time |
| 9.30-9.45 | Welcome - Introductions | Roberta Monachello (EC Project Officer) |
| 9.45-10.15 | Overview of SHERPA project Progress in period 2 | Bernd Stahl (DMU) |
| Responsible Development of SIS (WP3) | | |
| 10.15-10.30 | Guidelines (T3.2) | Kevin Macnish (UT) |
| 10.30-10.45 | Regulatory Options (T3.3) | Rowena Rodrigues (TRI) |
| 10.45-11.00 | Standardisation (T3.4) | Thamar Zijlstra (NEN) |
| 11.00-11.15 | Technical options (T3.5) | Alexey Kirichenko (FSC) |
| Stakeholder analysis and consultation(WP2) | | |
| 11.30-11.50 | Interview stakeholders (T2.2) Online survey (T2.3) | Kalypso Iordanou Laurence Brooks (DMU) |
| Evaluation, validation and prioritisation (WP4) | | |
| 11.50-12.10 | Stakeholder evaluation and validation (T4.2) | Kalypso Iordanou (UCLANCY) |
| Advocacy, dissemination, exploitation and communications (WP5) | | |
| 12.10-12.25 | Dissemination (T5.1), communication (T5.2) | Corinna Pannofino (TRI) |
| 12.25-12.40 | Artistic representation (T5.4) | Tijmen Schep (PJ) |
| 12.40-12.50 | Advocacy | Anya Gregory (EBS) |
| Project Management (WP6) | | |



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|--|---|---------------------|
| 13.00-13.15 | WP6 Project Management | Nitika Bhalla (DMU) |
| Moving forward - plans for Period 3 | | |
| 13.15-13.30 | Next steps, plans for period Discussion/Feedback | Bernd Stahl (DMU) |
| 13.30 | End of review meeting | ALL |

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Annex 19 – Sixth GA meeting (online) agenda



SHERPA

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

Consortium Online Meeting: Agenda

| Mins | DAY 1 - Wednesday 7th October 2020 (120 mins) Start time 9am BST |
|------|---|
| 10 | Opening of meeting (Bernd) Standing items <ul style="list-style-type: none"> • To-do list • Consortium updates |
| 15 | WP6 Project management (DMU) <ul style="list-style-type: none"> • Overview • Finance update |
| 15 | Outcomes from Stakeholder board meeting (EUREC/ALL) |
| 60 | <p>Main Topic</p> <p>SHERPA - recommendations and their future and impact (Consortium discussion)</p> <ul style="list-style-type: none"> • SHERPA Recommendations Draft 1 moving forward • Agreement on content of recommendations • Format, presentation • Audiences and delivery • Further contributions from WPs and partners <p>Subsequent discussion of tasks and activities should refer to recommendation and their dissemination.</p> |
| 10 | Delphi study findings & discussion (TRI) |
| 10 | Coherence of WP3, links between activities, WP impact (FSC) <ul style="list-style-type: none"> • Integration of all WP3 activities in recommendations |



| mins | DAY 2 - Thursday 8th October 2020 - 120 min Start time 9am BST |
|------|--|
| 10 | WP3 Continued. Standardisation (NEN) |
| 10 | Terms of reference for SIS regulator (TRI) |
| 10 | Technical options (FSC) |
| 10 | SIS workbook - are we still aligned to DoA (DMU) |
| 30 | Advocacy activities done so far & plans for final event (EBS) <ul style="list-style-type: none"> ● Input from other partners - roles and responsibilities? (EBS/ALL) |
| 20 | Impact and visibility group linked to dissemination and communication (EBS) <ul style="list-style-type: none"> ● Principles, presentation, templates ● Exploitation ● Visibility of future work (WP3, WP4) ● Overall outputs of SHERPA |
| 20 | Current status of artistic representation <ul style="list-style-type: none"> ● Videos (MS) ● Artistic representation (PJ) |
| 10 | AOB <ul style="list-style-type: none"> ● Next GA date - April 2021 (Location: DMU - Covid dependent) ● Review of actions |



Annex 20 – Fourth SB meeting agenda



SHERPA

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

Online Stakeholder Board Meeting: Draft Agenda

Meeting Date: 6th October

Meeting Time: 14.00-17.00 CEST

Meeting Connection Details: Please join the meeting from your computer, tablet or smartphone via Zoom:

<https://zoom.us/j/93754878781?pwd=YjJhOWpSYWVNWHDiTUFxc0tLeEINdz09>

SHERPA's Recommendations

https://docs.google.com/document/d/1a2w4i3iKVetYa7zFryqFX1ygsEcGitDv7vIOZtYx_Rk/edit#heading=h.9rx631z2f2cr

| | |
|-------------|---|
| 14.00-14.10 | Welcome and Introduction |
| | Welcome and brief introduction (Bernd Stahl, Dirk Lanzerath, Renate Klar) Aims of meeting and connection to last meeting (Renate Klar) |
| 14.10-14.25 | SHERPA's Recommendations: Introduction |
| | Overview and context of the ecosystem of the recommendations (Bernd Stahl) Explanation: how are we going to proceed? (Renate Klar) |
| 14.25-15.05 | SHERPA's 10 Recommendations: Presentation and Discussion |
| | Presentation and discussion of each of the 10 recommendations (5 minutes presentation with comment and 5 minutes discussion) Recommendation 1 <ol style="list-style-type: none">1. Is this recommendation clear and understandable?2. Is this recommendation needed and helpful?3. Is this recommendation practicable and feasible? ➔ Is there a need to modify this recommendation? |



| | |
|-------------|-----------------------------------|
| | Recommendations 2 - 4 (analogous) |
| 15.05-15.15 | Break |

| | |
|-------------|---|
| 15.15-16.30 | Presentation and discussion of single recommendations continued Recommendations 5 - 10 (analogous) |
| 16.30-17.00 | SHERPA's set of recommendations: Discussion |
| | <p>Discussion of the set of recommendations as a whole:</p> <ol style="list-style-type: none"> 1. Are these the most important recommendations? <ol style="list-style-type: none"> a. Gaps – is anything vital/indispensable missing? b. Lack of importance – Should a recommendation be taken out of the list? 2. Is the set of recommendations coherent? 3. Is the structure comprehensible? <ol style="list-style-type: none"> a. Is the classification in three categories reasonable? b. Is the allocation of the recommendations to the categories comprehensible? <p>Is there any other comment you would like to make?</p> |
| 17.00 | End of Meeting |

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Annex 21 – Policy options for the ethical governance of disruptive technologies

online conference agenda

PROGRAMME

13.00-13.15 Welcome

Lead panel member Susana Solís Pérez, MEP and STOA Panel member

13.15-13.45 Policy keynote: Bringing AI in our European way of life

Despina Spanou, Head of Cabinet for European Commission Vice-President Margaritis Schinas

13.45-14.30 Interactive Panel I: Ethical, social and legal challenges of AI - Open questions and outstanding challenges

Iban Garcia del Blanco, MEP, video message

Sebastian Wieczorek, Vice President - Artificial Intelligence Technology at SAP

Chiara Giovannini, ANEC

Aimee van Wynsberghe, University of Bonn

Bernd Stahl, De Montfort University

14.30-14.45 Break

14.45-15.30 Interactive Panel II: Mitigation options - What can be done to identify and address current and future challenges of emerging technologies

Alexandra Geese, MEP and STOA Panel member

Aurélie Pols, European Center for Privacy & Cybersecurity (ECPC)

Vincent C. Müller, Technical University Eindhoven

Matthias Spielkamp, AlgorithmWatch

15.30-16.00 Research keynote: Incentives for Public Good AI Innovation

Yoshua Bengio, University of Montreal

16.00-16.15 Break



16.15-17.00 Interactive Panel III: Beyond AI - Ethics and human rights implications of emerging technologies

Karen Melchior, MEP and STOA Panel member

Johnny Soraker, Google

Philip Brey, University of Twente

Lorena Jaume-Palasi, The Ethical Tech Society

17.00-18.00 Round table: International perspectives

Eva Kaili, MEP and STOA Chair

Anthony Gooch, Director of Public Affairs and Communications, OECD

Konstantinos Karachalios, Managing Director IEEE

Jan Kleijssen, Director, Information Society and Action against Crime, Council of Europe

18.00-18.15 Final keynote speech

Mariya Gabriel, European Commissioner for Innovation, Research, Culture, Education and Youth

18.15-18.30 Closing remarks

Eva Kaili, MEP and STOA Chair

Moderator: Vivienne Parry, writer and broadcaster



Annex 22 – Seventh GA meeting (online) agenda



SHERPA

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

Consortium Online Meeting: Draft Agenda

Zoom Link: <https://us02web.zoom.us/j/82522251581?pwd=RjdxRGxmb1FXcm55N3BtMlltTHh6dz09>

| Mins | DAY 1 - Tuesday 20th April 2021 (120 mins) Start time 9am BST |
|------|---|
| 10 | Opening of meeting (Bernd) Standing items <ul style="list-style-type: none">• To-do list• STOA event - outcomes from meeting• Consortium updates• GA amendment |
| 15 | WP6 Project management (DMU) <ul style="list-style-type: none">• Overview• Period 3 (Technical & Financial) and Final reporting timelines (including Final project review with EC)• Risk register• Reminders for April deliverables & milestone due |
| 70 | Main Topic - Impact acceleration (progress of activities moving forward and discussion) <ul style="list-style-type: none">• Advocacy and dissemination (EBS) 35mins• Education (UCLANCY) 35mins Subsequent discussion of tasks and activities should refer to recommendation and their dissemination. |
| 10 | Exploitation (Martin) |



| | |
|----|--|
| 15 | SIS workbook (Bernd/Paul) - display and discussion |
|----|--|

| mins | DAY 2 - Wednesday 21st April 2021 - 120 min Start time 9am BST |
|------|---|
| 70 | Main Topic - Impact acceleration (progress of activities moving forward and discussion) <ul style="list-style-type: none"> ● Ethics by Design (UT) 35mins ● AI impact assessment overview (Bernd) 35mins |
| 20 | SHERPA final 'physical event' - date/draft agenda plan (EBS) |
| 20 | Final Stakeholder Board meeting - plan of meeting (EUREC) |
| 10 | AOB |



Annex 23 – Questions for FG on Regulatory options

1. What are three high-risk, high-human rights impact AI/big data fields and/or applications that could benefit from stricter regulation?

2. Of the following international options, which three do you find most promising? Why?

- Moratorium on lethal autonomous weapons systems
- Binding Framework Convention for AI
- Legislative framework for independent and effective oversight
- Legal for human rights impact assessments on AI systems
- Convention on human rights in the robot age
- CEPEJ European Ethical Charter
- International Artificial Intelligence Organisation
- Global legal AI and/or robotics observatory

3. Of the following EU-level options, which three do you find most promising? Why?

- EU-level special list of robot rights
- Adoption of common Union definitions
- Creating electronic personhood status for autonomous systems
- Establishment of a comprehensive Union system of registration of advanced robots
- General fund for all smart autonomous robots
- Mandatory consumer protection impact assessment
- EU Taskforce of field specific regulators for AI/big data
- Algorithmic Impact Assessments under the GDPR
- Voluntary/mandatory certification of algorithmic decision systems

4. Of the following national options, which three do you find most promising? Why?

- DEEP FAKES Accountability Act (US)
- Algorithmic Accountability Act (US)
- Canadian Directive on Automated Decision-Making
- US Food and Drug Administration regulation of adaptive AI/ML technology
- New statutory duty of care for online harms
- Redress by design mechanisms for AI
- Register of algorithms used in government
- Digital Authority (UK)
- Independent cross-sector advisory body (CDEI)
- FDA for algorithms (US)
- US Federal Trade Commission to regulate robotics



5. Of the following cross-over options, which one do you find most promising? Why?

- Using anti-trust regulations to break up big tech and appoint regulators
- Three-level obligatory impact assessments for new technologies
- Regulatory sandboxes

6. What immediate regulatory actions are necessitated at the:

1. International level
2. EU-level
3. National level

7. Should there be an international ban on the development/use of lethal autonomous weapons systems?

8. How can we strike a balance between enabling beneficial AI and risk mitigation? What will support this?

9. One key recommendation for AI and big data regulation emerging from SHERPA results is “smart mixing for good results” – is this feasible? If yes, how can this be achieved? Smart mixing refers to using a good combination of instruments, i.e., technical, standards, law and ethical that will offer complementarity, agility and flexibility needed to address the challenges of AI.

10. How can the law further support super-secure AI where it has high likelihood and high severity of risk and impact on rights and freedoms of individuals, especially vulnerable populations – children, minorities, and the elderly?

11. What critical future developments need consideration in discussions/actions on the regulation of AI and big data?

12. Should we also consider given the current developments:

Should there be a ban on the use of facial recognition in public places? Why?



Annex 24 – Questions for FG on Terms of reference for new/bespoke regulator

Background:

Should there be a new/bespoke regulator for AI and big data at the EU and/or national levels are questions the SHERPA project is currently deliberating. There are pulls and pushes to the creation of new regulators/regulatory bodies at the international, EU and national level. At the EU-level, the European Parliament request to the European Commission to consider the designation of a European Agency for robotics and artificial intelligence to provide the technical, ethical and regulatory expertise needed to support the relevant public actors, at Union and Member State level, in their efforts to ensure a timely, ethical and well-informed response to the new opportunities and challenges, in particular those of a cross-border nature, arising from technological developments in robotics, such as in the transport sector was not taken up by the European Commission. At the national level, new bodies have been created in countries such as the UK (e.g., the Centre for Data Ethics and Innovation which is tasked with connecting policymakers, industry, civil society, and the public to develop the right governance regime for data-driven technologies) are in the process of being set up (Regulatory Horizons Council to co-ordinate policy and regulation in areas of rapid technological advances in the UK) or proposed (e.g., an FDA for algorithms, calls in Netherlands for a national algorithm watchdog, Digital authority to co-ordinate regulators in the digital world).

SHERPA invites your inputs and feedback.

Questions for discussion (moderator to adapt and use):

1. Do we need a new/bespoke regulator for AI and big data at the EU level? (yes, why; no, why; undecided)
2. Do we need a new regulator for AI and big data at the Member State level? (yes, why; no, why; undecided)
3. Why do you think a new regulator might be necessary? What gap would it address?
4. What type of regulator should this be ? (field-specific/general? Independent watchdog? Licensing body/authority? Inspectorate? Public sector/private sector/general? Professional regulator? Professional conduct authority? An EU regulators network? Supervisory agency? Statutory registration board; Commissioner; AI and big data standards agency; AI fundamental right protection agency? EU/national task force/Digital Authority)
5. What would/should it regulate? E.g., use of autonomous weapons? Human rights? Algorithms? use/implementation?
6. What would be its legal basis?
7. What should its functions and tasks be?
8. What powers should it have?
9. What would be its role and responsibilities?



10. How should it be constituted? Who should its members be?
11. What should its conduct provisions be?
12. How would it operate? Discuss operation and procedural rules.
13. How would it be governed? How would it be funded? To whom would it report? e.g., the European Parliament?
14. How often should its terms of reference be reviewed?
15. What would be some challenges and barriers to its success? (creation and implementation – political will? regulatory creep/mission drift? Funding? Capacity, lack of independence, lack of teeth, competing priorities and conflicts; regulatory capture)
16. How could these be overcome?
17. Any other comments/considerations that need to be taken into account.

