![Catalyst logo — catalyst-fp7.eu]

![Seventh Framework Programme logo]

SEVENTH FRAMEWORK
PROGRAMME

Project Acronym:	**CATALYST**
Project Full Title:	**Collective Applied Intelligence and Analytics for Social Innovation**
Grant Agreement:	**6611188**
Project Duration:	**24 months (Oct. 2013 - Sept. 2015)**

D1.1 Initial Ethics Report

Deliverable Status:	**Final**
File Name:	**CATALYST_ WP1_Sigma Orionis_D1.1_V1.0_10012014.pdf**
Due Date:	**December 2013 (M3)**
Submission Date:	**Februrary 2014 (M5)**
Dissemination Level:	**Public**
Task Leader:	**Sigma Orionis**

The CATALYST project consortium is composed of:

SO	Sigma Orionis	France
I4P	Imagination for People	France
OU	The Open University	United Kingdom
UZH	University of Zurich	Switzerland
EN	Euclid Network	United Kingdom
CSCP	Collaborating Centre on Sustainable Consumption and Production	Germany
Purpose	Purpose Europe	United Kingdom
Wikitalia	Wikitalia	Italy

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Revision control

Version	Author	Date	Status
0.1	Stéphanie Albiéro (Sigma Orionis)	January 15, 2014	Initial Draft
0.2	Roger Torrenti (Sigma Orionis)	January 22, 2014	Quality Check
0.3	Stéphanie Albiéro (Sigma Orionis)	January 23, 2014	Second Draft
0.4	Roger Torrenti (Sigma Orionis)	January 24, 2014	Quality check and Third Draft
0.5	Stéphanie Albiéro (Sigma Orionis)	January 29, 2014	Updates
0.6	Rosa Groezinger (CSCP)	February 03, 2014	Updates
1.0	Stéphanie Albiéro (Sigma Orionis)	February 10, 2014	Final version

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Executive summary

The present document is a deliverable of the CATALYST project, funded by the European Commission's Directorate-General for Communications Networks, Content & Technology (DG CONNECT), under the 7th EU Framework Programme for Research and Technological Development (FP7).

It details the efforts done by the project partners to conform to the requirements detailed in the project "Ethics review report" prepared by the European Commission during the project negotiation phase.

It has not been possible for most project partners to "get approvals/opinions by the competent legal local/national Ethics Boards/Bodies" since, when contacted, these Authorities informed project partners that their mission did not include the scrutiny of such research projects. It was however possible for the two academic partners to get approvals from their own Ethics Board/Bodies. The other partners have prepared commitment letters.

An external ethics advisor has been nominated and will prepare with a check-list on data management procedures to take into account in research activities and make a thorough assessment of project research at its mid-term.

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Introduction

During the negotiation phase of the CATALYST project, an "Ethics review report" prepared by European Commission's services was sent to the coordinator by the Project Officer supervising the negotiation process. This report included a set of requirements that have led to include an "Ethical issues" sub-task into project Task 1.2: Quality assessment, reporting, and consortium meetings (in WP1: Project management).

This sub-task, under the responsibility of the project coordinator, is specified as follows in the project "Description of work":

ETHICAL ISSUES

Prior to the commencement of research and where applicable, copies of ethical approvals/opinions by the competent legal local/national Ethics Boards/Bodies will be submitted to the European Commission and reported as a deliverable. These approvals will cover transfer of data between partners and any third parties.

When submitting the application for scrutiny to the competent local/national ethical boards/bodies for authorization, detailed information will be provided on: the procedures that will be used for the recruitment of participants; as field tests will be implemented, the applicants will detail how they will mitigate the risk of minors being accidentally enrolled within the participants' panel. Detailed information will be provided on the procedures and documentation surrounding informed consent and assent for minors for each category of research activity. Applicants will obtain instructions from their institution's data controller as described in Article 29 1/2010 Opinion. The technical data protection procedures that will be implemented in the project will be detailed. These instructions will demonstrate compliance of the data protection processes with the European legal framework. Copies of these instructions will be forwarded to the European Commission prior to the commencement of the related studies. If instructed by the data controller of their institution, applicants will consider obtaining approvals/opinions/notifications from their national data protection authorities for the proposed data collection and processing.

Since, during the lifetime of the project the revised Directive 95/46/EC on Data Protection and Privacy may come into force, the applicant will then take this into account to ensure continuing compliance. Applicants will provide a detailed description of security measures that will be implemented to prevent improper use, improper data disclosure scenarios "mission creep" (i.e. unforeseen usage of data by any third party).

An external, independent Ethics Advisor will be appointed to oversee the ethical concerns in this project.

In order to report into detail on the way ethical issues are addressed by the project, a first specific Deliverable, dedicated to ethical issues to be addressed by the project during its early period will be produced at month 3. Then, a specific section on ethical issues will be added to each project periodic report and will include in particular a report by the Ethics Advisor.

The present document is the project deliverable planned at project month 3 (December 2013).

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National ethical reviews

At the start of the Catalyst project, in order to comply with the EC requirements stated above, the partners had to contact their relevant national Data Protection Authorities to ensure that the research activities carried out under the project comply with the data protection legislation in force. These Authorities, and the related Acts or Decrees related to data protection are, in each of the countries where project partners are established:

- **France**: The Commission Nationale de l'Informatique et des Libertés (CNIL) (See reference 3) and the Data Protection Act of 1978 (revised in 2004) (See Reference 4)
- **United Kingdom**: The Office of the Information Commissioner Executive Department (See reference 1) and the Data Protection Act 1998 (See reference 2)
- **Germany**: Der Bundesbeauftragte für den Datenschutz und die Informationsfreiheit (See reference 5) and the Federal Data Protection Act of 2001 (See reference 6)
- **Switzerland**: The Swiss Federal Data Protection and Information Commissioner (DPIC) and the Federal Act of 19 June 1992 on Data Protection (FADP) (See references 7 & 8)
- **Italy**: the Italian Data Protection Authority (See reference 9) and the Legislative Decree no. 196 of 30 June 2003 (See reference 10)

Before contacting these Authorities, the partners agreed to elaborate a reference document, describing the project research activities and the procedures regarding data protection or the recruitment of participants, and to be used by all partners when submitting the project description to their national ethical board for review. This document (adapted by each partner whenever needed to meet its national legislation framework requirements) is reproduced in Annex 1.

France (Sigma Orionis & Imagination for People)

Sigma and Imagination for People tried to get approval and recommendations from the French CNIL, but this Authority informed the project partners their mission does not include the scrutiny of research projects. Then CERNA, a Review Commission working on ethical aspects for digital sciences and technologies research activities (See reference 11) was contacted but answered they could not provide any approval for projects such as CATALYST.

In this context, Sigma and Imagination for people decided to prepare the commitment letters reproduced in Annexes 6 & 7.

United Kingdom (The Open University, Purpose and Euclid Network)

The Open University had not to go through a national body since the University includes The Human Research Ethics Committee (HREC) whose remit is to advise on ethical considerations relating to any research which involves investigations with humans or human materials, to scrutinize and give approval where appropriate to research carried out by and for the Open University and to make recommendations to the Open University's Research Committee. The Committee comprises a panel of reviewers, who follow guidelines within the relevant framework of both UK and European law.

The application form submitted by the OU research team to the HREC contained a short description of the Catalyst project and gave an overview of the data processing and analysis to be carried out within the frames of the project development. The Catalyst project ethics application for the Open University has been approved by the HREC (see Annex 2).

It was not possible for Purpose and Euclid Network to receive an approval from the Local Research Ethics Committee (LREC) or the National Research Ethics Service (NRES), the two main UK bodies able to provide ethical review for protecting the rights, safety, dignity and well-being of research participants, since the Catalyst project is not related to medicine. They then tried to get an

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approval from OU HREC, in a joint-application with the Open University. Unfortunately, the HREC refused to scrutinize their application, as (1) they are not academic bodies and (2) the project coordinator, Sigma Orionis, is based in France.

In this context, Purpose and Euclid Network decided to prepare the commitment letters reproduced in Annexes 4 & 5.

Switzerland (University of Zurich)

The Human Subjects Committee of the Faculty of Economics, Business Administration and Information Technology governs ethical Review in the University of Zurich under the auspices of the University. The University of Zurich and all its researchers are governed by the law of the country, including the Privacy and Data Protection law which is similar in content to existing legislation in EU countries.

A formal request has been sent to the University's Human Subject Committee, which, after scrutinizing the DoW, has approved the procedures and protocols that will be implemented to conduct the experiments involving human subjects in the Catalyst project (see Annex 3).

Germany (CSCP)

CSCP talked to a representative of the National Data Protection Agency but the representative declined responsibility for approving the project. However, the National DPA advised CSCP to get in contact with the Regional DPA, but here also, their representatives declined responsibility. After being rejected by the two authorities, CSCP contacted the data protection contact persons in the surrounding universities, but as CSCP is not belonging to these institutions in any way, all of them declined responsibility on such matters. Finally, in this context, CSCP prepared the document letter reproduced in Annex 8.

Italy (Wikitalia)

As all the above-mentioned partners, Wikitalia has failed to find a local/national Authority that could validate the Catalyst research project. Prior to the submission of this report, Wikitalia had the chance to interact with the Autorità Garante della Privacy located in Roma, as a mean of acquiring additional information and insights associated with the ethical approvals needed prior to the commencement of project research activities. However, the Authority declined responsibility for approving FP7 research plans. Assistance as been asked to the EC representation in Roma which suggested in return to get back to the Catalyst Project Officer for further assistance…

In this context, Wikitalia decided to prepare the commitment letter reproduced in Annex 9.

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Independent external ethics advisor

After having considered several options, the CATALYST consortium decided to contact and contract Jean-Gabriel Ganascia (See Annex 10), member of the CERNA, the COMETS (See reference 13) and the Onlife Initiative (See reference 14).

His mission will be to analyze the research undertaken by CATALYST partners during the 1st project period (from month 1 to month 12) on the basis of project deliverables released to date and of his participation in the mid-term consortium meeting which will allow him to interact in detail with each partner and request any further details he may need. His conclusions and recommendations will be thoroughly reported in a document to be prepared before the end of month 13, the project partners being committed to take due consideration of these conclusions and recommendations to drive project developments during the second project period (including those to be done by the community platforms to be selected through the project open call).

Moreover, the Ethics Advisor will prepare and provide the consortium with a check-list on data management procedures that each partner will need to take into account while undertaking the research activities. This list will be reported in the document prepared before the end of month 13.

A total of 4000€ of sub-contracting is included under WP1 to cover the expenses by the Ethics advisor (travel & subsistence and per diems).

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References

1. http://www.ico.org.uk
2. http://www.legislation.gov.uk/ukpga/1998/29/contents
3. http://www.cnil.fr
4. http://www.cnil.fr/documentation/textes-fondateurs/loi78-17/
5. http://www.bfdi.bund.de/EN/Home/homepage_node.html
6. http://www.bfdi.bund.de/EN/DataProtectionActs/DataProtectionActs_node.html
7. http://www.edoeb.admin.ch/index.html?lang=en
8. http://www.admin.ch/ch/e/rs/c235_1.html
9. http://www.garanteprivacy.it/web/guest/home_en
10. http://www.garanteprivacy.it/home_en/italian-legislation#1
11. http://cerna-ethics-allistene.org/
12. http://www.cnrs.fr/comets/
13. http://ec.europa.eu/digital-agenda/en/onlife-initiative

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For office use only:

HREC reference no.:	
Date a response is required from the reviewer:	

HUMAN RESEARCH ETHICS COMMITTEE (HREC) PROFORMA

Open University research involving human participants or materials has to be reviewed and where appropriate, approved by the HREC. To apply to HREC, please complete and email this proforma to research-rec-review@open.ac.uk. You will need to attach any related documents such as a consent form or information sheet so that a full application can be considered by the HREC Review Panel. Omitting any documents may result in a delay to the review process.

If you have any queries about completing the proforma please look at the Research Ethics website, in particular the FAQs - http://www.open.ac.uk/research/ethics/human-FAQs.shtml which include a set of Generic Protocols and Templates . You can also contact the HREC Chair or Secretary.

The submission deadline for applications is **every Thursday** at **5.30pm** when they will be assessed for completeness and then sent to the HREC Review Panel. Once an application has been passed for review you should receive a response within 10 working days.

All general research ethics queries should be sent to Research-Ethics@open.ac.uk, or call the **HREC Secretary** on ☎ **01908 654858**.

Please complete all the sections below – deleting the inserted instructions.

Project identification and rationale

Title of project

CATALYST: Collective Applied Intelligence and Analytics for Social Innovation

Abstract

A summary of the main points of the research, written in terms easily understandable by a non-specialist and containing no complex technical terms (maximum 200 words).

The European Commission-funded CATALYST project brings together five experienced community-partners engaged daily in curating very large online communities on social innovation and citizen engagement platforms, and two leading academic research partners specialized in Collective Intelligence (CI). The project will undertake technological developments aimed at radically improving collaborative knowledge creation, through ground-breaking functionalities intended to mobilize CI for the public good, and will test these next generation solutions in authentic, real world settings. All project developments will be carried out under an open source / free software license.

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Project personnel and collaborators

Investigators

Give names and institutional attachments of all persons involved in the collection and handling of individual data and name one person as Principal Investigator (PI). Research students should name themselves as Principal Investigator and it is a requirement that a separate supervisor endorsement is sent to Research-Rec-Review@open.ac.uk to support the application. The endorsement needs to be received with the application or shortly after, as the application cannot be processed without it. Please include the relevant HREC reference number if possible (see note for supervisors).

Principal Investigator/ (or Research Student):	Anna De Liddo (OU)
	Simon Buckingham Shum, Michelle Bachler (OU)
	Other UK partners covered by this ethics proposal:
Other researcher(s):	EUCLID and PURPOSE
	N/A
Primary Supervisor (if applicable):	

Research protocol

Literature review

Provide an indicative brief review of the existing literature or previous research. Clarify whether the proposed study replicates prior work AND/OR duplicates work done elsewhere AND/OR has an element of originality.

Public deliberation about socio-technical dilemmas has a vital part to play in civic society, whether at the scale of a team, a local community, or regional, national or global conversations. However, existing research shows that the process of generating and evaluating creative solutions to complex problems is poorly supported by today's social media platforms. It is extremely hard for citizens and community managers to quickly grasp the state of a debate, know how well they have analysed the problem, or know where they might best contribute to advance understanding. (Detailed literature review in the project proposal).

In preparing the proposal the project has already identified with its partners a set of "pain points" that they experience in helping large online communities to develop their ideas effectively, and it is these challenges that this project aims to tackle through the combination of effective ICT and human facilitation. The OU element of the project will also host discussions on an OU platform and analyse data from other discussion sites, to create visual displays showing users their activity summarised in new ways.

Methodology

Outline the method(s) that will be employed to collect and analyse data. Any related relevant documents, such as interview or survey questions should be sent with the completed proforma.

Human Research Ethics Committee (HREC) proforma v14   2/8   November 2012

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If for any reason this is not possible please contact the HREC Secretary (research-rec-review@open.ac.uk.

The data of interest is digital, stored in databases from the usage of interactive websites for discussion. The OU team in KMI will be developing tools to analyse the quality of online conversations, and to analyse the nature of the online communities (such as their geographical locale or whom they talk to). KMI is also developing its own experimental online platform which can host online discussions. These analyses will then be rendered through different kinds of interactive visualizations as feedback to the communities.

Computational analysis techniques includes discourse and social network analysis. Manual analysis techniques include qualitative data anlysis, and possibly usability lab analysis. If the latter lab studies are intended later on in the project, then a follow-up HREC submission will detail these.

Participants

Give details of the population targeted or from which you will be sampling and how this sampling will be done. Give information on the diversity of the sample.

Participants in these online communities are all self-selecting, volunteering to contribute because they share a common concern for solving a societal problem of some sort. All are adults, of both genders, primarily European, but include unknown other nationalities from other countries where the partners work. The specific communities whose data we analyse will be selected for analysis in order to test particular OU technologies.

Recruitment procedures

Give details of how potential participants will be identified and approached.

As explained the online participants self-select to engage in these discussions and consent to their data being analysed by the partners hosting the debates. In some cases we will analyse public discussion data shared by other partners, and in other cases the data will be from our own platform.

Consent

Give details of how valid consent will be sought and attach copies of information sheet(s) and consent form(s), as applicable. Give details and a timeframe of how participants can withdraw consent and what will happen to their data in such a case (see FAQ number 14 on the Research Ethics website for a guidance document and templates).

The terms and conditions that users sign when engaging in online discussion vary since they use a range of online platforms, but all permit the project partner to analyse the contributions and share with collaborating organisations, since this is one of the primary reasons that these discussions are held: to pool collective ideas for social innovation.

In the case of KMI's own deliberation platform, the terms and conditions, and privacy policy, make it clear that user's data will be the subject of analysis, and that these will be displayed as an experimental public resource to test their value to the community. On signing up the user is given clear notification of this (screenshot attached). Copies of these are attached from KMI's

Human Research Ethics Committee (HREC) proforma v14   3/8   November 2012

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current system, the Evidence Hub, and it is not anticipated that these will change:
http://solar.evidence-hub.net

In accordance with our normal practice, identities will be masked in all research dissemination materials.

Location(s) of data collection

Give details of where and when data will be collected. If on private, corporate or institutional premises, indicate what approvals are gained/required.

Explain why the research needs to be conducted in the chosen setting or location.

The data is collected from discussion websites hosted specifically by the partners as part of their work supporting social innovation communities. These websites host communities across Europe and beyond. Some of these forums are public, while others are semi-public, that is, closed forums where members may have specifically requested to join, but where they may well not know anyone else.

Participants will be clearly informed that the discussions are being used as part of research into next generation community forum web tools, which will involve providing visualizations and other summaries of the quality of discussion.

Just as participants in an online group can see whatever identity information that their peers choose to share online, these some visualizations may also include this information, so that they make sense (eg clicking on an icon in a visualization that represents a user might show who that user is).

Once the data is passed to the OU:

- Data will be collected and analysed for the project duration Nov 2013-Sept 2015, with analysis continuing afterwards for subsequent research publications.

- It will reside on a web server hosted by KMi, which complies with OU security regulations, and is only accessible externally to the OU via VPN

- All data to be deleted after 7 years from the end of the project in accordance with the OU Records Management Policy for External Funded Grants

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Schedule

Time frame for the research and its data collection phase(s).

- Data will be collected and analysed for the project duration Nov 2013-Sept 2015

Key Ethics considerations

Published ethics and legal guidelines to be followed

Detail which guidelines will be followed by the researchers.

Human Research Ethics Committee (HREC) proforma v14   4/8   November 2012

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For example: BERA, BPS, BSA, SRA, MRS, SPA, UK Evaluation Society (see FAQ number 5 on the Research Ethics website for more information).

We will comply with BPS guidelines

Data Protection

Give details of the project registration under the DP Act and the procedures and schedule (including dates) to be followed re: storage and disposal of data to comply with the Act. Any requirements by the funding body should also be given. Please note the OU guidance via the FAQ number 7 and OU information security guidance.
Indicate the earliest and latest date for the destruction of original data if that is required – or any archiving arrangements that have been agreed/permitted/required. Ensure this is also indicated in the project schedule.

The data collected, stored and analysed will comply with the UK Data Protection Act. The participants will be given clear notice on what data about them is being collected, why it is being collected, how it will be handled and what use the data will be put to (context of use). The participants will be allowed to withdraw their consent at any stage of the study and the data shall be destroyed.

The collected data will be stored on secure encrypted drives on servers hosted by OU. While physical access to these servers will be restricted to only security cleared IT staff, online access to the data will be restricted to individual members of project via VPN.

The project will assign the role of OU Data Manager to the KMI lead developer who will monitor and oversee the adoption of data management guidelines. An audit will keep track of all the datasets that are kept, and ensure that any data which is shared with project partners complies with the UK Data Protection Act.

Participants will have given consent for their user profiles and activity to be shared as part of the Catalyst project, including whatever user profile information they enter on the platform. They can remove their profile data at any point, which will expunge the data from the system.

Users will be informed at the end of the project that they may delete their accounts which will remove their data from the system. On the OU platform, they will also be offered the option to leave their accounts, for future use of the platform, and to make their data available for research extending beyond the end of the project into future projects, for comparative purposes. All data will be destroyed by 2022 in accordance with the OU Records Management Policy for External Funded Grants (i.e. 7 years after the end of the project).

Recompense to participants

Normally, recompense is only given for expenses and inconvenience, otherwise it might be seen as coercion/inducement to participate. Give details of any recompense to participants.

No recompense is anticipated, since participants voluntarily engage in these online communities to advance causes they believe in.

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Deception

Give details of the withholding of any information from participants, or misrepresentation or other deception that is an integral part of the research. Any such deception should be fully justified.

Not applicable to this project.

Risk of harm to participants

Detail any foreseen risks to participants or researchers (e.g. home visits) and, based on a risk assessment, the steps that will be taken to minimise/counter these (a risk assessment matrix is available at FAQ number 15). If the proposed study involves contact with children or other vulnerable groups, please confirm that the requirements of the Vetting and Barring scheme provided by the Independent Safeguarding Authority (ISA) for each person involved in these contacts have been complied with (FAQ number 10).

No physical or emotional risks to participants or researchers are foreseen. As a data-intensive project, the primary risk is that data is stolen from the OU, for which appropriate security measures are in place.

Should that happen, the risk to participants is that their email addresses are disclosed (we do not gather more precise personal details such as addresses or phone numbers). Their contributions to public forums will be in the data, and also their contributions to closed forums will be disclosed. The forums do not deal with sensitive personal issues (such as coping with illness or abuse) but with societal challenges such as citizen democracy and social innovation, so the subject matter is considered low risk.

All research publications and other forms of dissemination will mask the identity of users, so that specific screens or transcripts do not pick them out for undue attention.

Debriefing

Give details of how information will be given to participants after data collection to inform them of the outcomes of their participation and the research more broadly.

Users of the OU platform will see summary analytics of their own and their peers' activity on the website (to which they consent on signing up). Like any other member of the public, they will also have access to the results of the information via the project website as well as via the published research papers.

Project Management

Research organisation and Funding

Please provide details of the principal funding body (internal or external). If your project is part of a current or successful externally funded bid, enter your RED Form reference number below. For further guidance contact your Faculty Research Administrator (FRA) or refer to the Research Grants and Contracts website.

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EC FP7 funding programme objective 5.5. CAPS – Collective Awareness Platforms for Sustainability and Social Innovation and objective 1.7b – Internet Science

http://ec.europa.eu/digital-agenda/en/caps-projects

Red Form Ref No.:	XXX

Other project-related risks

Indicate how research risks are to be limited by anticipating potential problems. If appropriate, please refer to the insurance cover provided by the Open University (FAQ number 13).

No other risks are foreseen. The OU is working only with adults, so children safeguarding is not an issue.

Benefits and knowledge transfer

State how the research may be of general benefit to participants and society in general (100 words maximum).

The project aims to develop a next generation set of web tools which will help small and large numbers of citizens (or work colleagues) collaborate around a common problem, and assess the quality of their argumentation around the key issues, options and criteria they are exploring. If successful, this will increase the chances of finding collectively owned solutions to the complex dilemmas facing society at community, regional, national and global scales.

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Declaration

I declare that the research will conform to the above protocol and that any significant changes or new ethics issues will be raised with the HREC before they are implemented.

I declare that I have read and will adhere to the following two OU documents:

- OU Code Of Practice For Research and at the Open University
- OU Ethics Principles for Research involving Human Participants

http://www.open.ac.uk/research/ethics/index.shtml)

In order to conform with OU governance guidelines, brief information on OU research **approved** by the HREC will be added to the Research Ethics website. The HREC will assume that you agree that the following data from your research can be made public via the website unless you tick the box below:

HREC reference number	Project title	Faculty	Approval date	Type of HREC approval

☐   No, I do not wish for details of my HREC approved research to be publicised.

Name:	Anna De Liddo
Unit/Faculty:	KMI
Telephone	653591
E-mail	anna.deliddo@open.ac.uk
Signature(s) (this can be the typed name(s) of investigator(s) if an electronic copy is submitted (which is preferred)	
Date:	

End of project final report

Once your research has been completed you will need to complete and submit a final report to the HREC. A copy of the template can be found on the Research Ethics website at http://www.open.ac.uk/research/ethics/human.shtml#Final_report.

	20 Dec 2015
Proposed date for final report:	

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Annex 2 – CATALYST ethics approval (OU)

The Open University

From	Dr Duncan Banks
	Chair, The Open University Human Research Ethics Committee
Email	duncan.banks@open.ac.uk
Extension	59198
To	Keyur Dave and Anna DeLiddo, KMi
Subject	*"Collective Intelligence Analytics for Social Innovation"*
Ref	HREC/2014/AMS-67404/Dave/1
Submitted	8 January 2014
Date	8 January 2014

Memorandum

This memorandum is to confirm that the research protocol for the above-named research project, as submitted for ethics review, has been given a favourable opinion by the Open University Human Research Ethics Committee by Chair's action as it is thought to be low risk.

Please make sure that any question(s) relating to your application and approval are sent to Research-REC-Review@open.ac.uk quoting the HREC or AMS reference number. We will endeavour to respond as quickly as possible so that your research is not delayed in any way.

At the conclusion of your project, by the date that you stated in your application, the Committee would like to receive a summary report on the progress of this project, any ethical issues that have arisen and how they have been dealt with.

Regards,

Dr Duncan Banks
Chair OU HREC

HREC_2013-AMS#60238-Stiver-1-approval-chairs-action

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Annex 3 – CATALYST ethics approval (University of Zurich)

□

University of ZurichUZH

Human Subjects Committee of the
Faculty of Economics, Business Administration,
and Information Technology

Department of Economics

University of Zurich
Blümlisalpstrasse 10
CH-8006 Zurich
Phone +41 (0)44 634 37 01
Fax +41 (0)44 634 49 07
www.econ.uzh.ch

To whom it may concern

Prof. Dr. Ernst Fehr
Head of Human Subjects Committee
Phone +41 (0)44 634 37 01
Fax +41 (0)44 634 49 07
ernst.fehr@econ.uzh.ch

Zurich, December 13, 2013

Authorization of research project "CATALYST: Collective Applied Intelligence and Analytics for Social Innovation"

The Human Subjects Committee of the Faculty of Economics, Business Administration and Information Technology at the University of Zurich authorizes the research described in the experiment proposal "CATALYST: Collective Applied Intelligence and Analytics for Social Innovation".

Specifically, we have reviewed the information regarding the procedures and protocols that will be implemented to conduct the experiments involving human subjects. We confirm that they comply with all applicable regulations.

We therefore approve the planned research outlined in the proposal.

Yours sincerely,

Prof. Dr. Ernst Fehr
Head of the Human Subjects Committee

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Annex 4 – Commitment letter (Euclid Network)

Euclid
Network
third sector leaders

Euclid Network
8 All Saints Street
London N1 9RL
T: +44 (0) 20 7280 4987
F: +44 (0) 20 7280 4989
E: info@euclidnetwork.eu
www.euclidnetwork.eu

Dear Sir/Madam,

Re: CATALYST Ethics Approval

I can confirm that Euclid Network commits to fully comply with the European Commission's ethical requirements listed in the CATALYST Grant Agreement. I can also confirm the EN's work does not involve any of ethical issues outlined in the CATALYST DOW. Furthermore, Euclid Network commits to respect the general declaration on ethics approval as submitted by the Open University.

Unfortunately, despite our best efforts we have been unable to get ethics approval as of yet. This is down to the fact that Euclid Network is not an academic body and there are no external regional or national ethics boards in the United Kingdom that grant approval.

Euclid Network will therefore comply with all general provisions that all other partners of the consortium are subject to.

Euclid Network
8 All Saints Street
London N1 9RL
United Kingdom

Stephen Barnett
Executive Director

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Annex 5 – Commitment letter (Purpose)

6 January 2014

Dear Sir or Madam,

I am writing to confirm that Purpose commits to fully comply with the European Commission's ethical requirements listed in the CATALYST Grant Agreement. I can also confirm that Purpose's work does not involve any of ethical issues outlined in the CATALYST DOW. Furthermore, Purpose commits to respect the general declaration on ethics approval as submitted by the Open University.

Unfortunately, despite our best efforts we have been unable to get ethics approval as of yet. This is due to the fact that Purpose is not an academic body and there are no external regional or national ethics boards in the United Kingdom that grant approval for this sort of endeavor.

Purpose will therefore comply with all general provisions that all other partners of the CATALYST Consortium are subject to.

Best Regards,

Lee-Sean HUANG
Strategist/Designer
CATALYST Project Contact
leesean@purpose.com

PURPOSE LONDON
Hub Westminster
1st Floor, New Zealand House
80 Haymarket, London SW1Y UK

PURPOSE HEADQUARTERS
115 Fifth Avenue, 6th Floor
New York, NY 10003 USA

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Annex 6 – Commitment letter (Sigma Orionis)

SIGMAORIONIS

To whom it may concern

Sophia Antipolis, 29 January 2014

Objet : CATALYST Ethics approval

Dear Sir or Madam,

I am writing to confirm that Sigma Orionis commits to fully comply with the European Commission's ethical requirements listed in the CATALYST Grant Agreement.

Sigma Orionis confirms that none of the concerns detailed in the FP7 ethical issues checklist (http://ftp.cordis.europa.eu/pub/fp7/docs/ethical-issues-table-annex4.pdf) applies to CATALYST or to our work.

Sigma Orionis commits to respect the general declaration on ethics approval as submitted by the Open University.

Unfortunately, despite our best efforts we have been unable to get ethics approval as of yet. As a non academic body Sigma Orionis do not has access to an external regional or national ethics boards in France that grant approval for this sort of endeavor.

Sigma Orionis will therefore comply with all general provisions that all other partners of the CATALYST Consortium are subject to.

Best Regards,

Roger Torrenti
Chief Executive Officer

Société anonyme au capital de 150 000 euros
NAF 7112 B - SIRET 330 023 425 00029 – TVA: FR 17 330 023 425

Buropolis 1 - 1240 Route des dolines
BP 287 - 06905 Sophia Antipolis Cedex - France

Tel. +33 (0) 493 001 550
Fax +33 (0) 493 001 560
http://www.sigma-orionis.com

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Annex 7 – Commitment letter (Imagination for People)

□

January 10, 2014

Dear Sir or Madam,

I am writing to confirm that Imagination for People commits to fully comply with the European Commission's ethical requirements listed in the Catalyst Grant Agreement.

Imagination for People confirms that none of the concerns detailed in the FP7 ethical issues checklist (ftp://ftp.cordis.europa.eu/pub/fp7/docs/ethical-issues-table-annex4.pdf) applies to CATALYST or to our work.

Imagination for People also commits to respect the general declaration on ethics approval as submitted by the Open University.

In spite of our best efforts, it was impossible to obtain a national validation for ethics approval as of yet. As a non-academic entity, we do not have access to an external regional or national ethics board in France that grant approval for this type of initiative.

Imagination for People will comply with all general provisions that all other partners of the Catalyst Consortium are subject to.
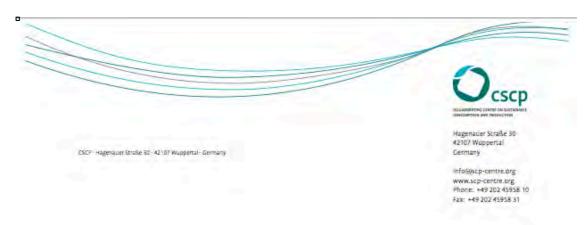
Best regards,

Frank Escoubès

President & Founder Imagination for People

frankescoubes@imaginationforpeople.com

Imagination for People - Association loi 1901 - W691078109
28 quai d'Illhaeusern - 69660 Collonges au Mont d'Or - France
www.imaginationforpeople.org - team@imaginationforpeople.org

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Annex 8 – Commitment letter (CSCP)

CSCP

COLLABORATING CENTRE ON SUSTAINABLE
CONSUMPTION AND PRODUCTION

Hagenauer Straße 30
42107 Wuppertal
Germany

info@scp-centre.org
www.scp-centre.org
Phone: +49 202 45958 10
Fax: +49 202 45958 31

CSCP- Hagenauer Straße 30 · 42107 Wuppertal- Germany

Wuppertal, January 30, 2014

Catalyst Ethics Approval

To whom it may concern

The Collaborating Centre on Sustainable Consumption and Production (CSCP) commits to respecting the European Commission's ethical guidelines for research, and specifically the FP7 guidelines for ICT research (ftp://ftp.cordis.europa.eu/pub/fp7/docs/guidelines-annex5ict.pdf)

The CSCP agrees to and commits to respecting the relevant of the (attached and validated) Open University ethics declaration.

The CSCP confirms that none of the concerns detailed in the FP7 ethical issues checklist (ftp://ftp.cordis.europa.eu/pub/fp7/docs/ethical-issues-table-annex4.pdf) apply to CATALYST.

The CSCP reports that it did seek validation of the CATALYST research project at the national level. However, the Federal Commissioner for Data Protection and Freedom of Information and the North Rhine-Westphalia Commissioner for Data Protection and Freedom of Information declined responsibility for approving FP7 research plans.

With kind regards,

Michael Kuhndt
Director CSCP

Collaborating Centre on Sustainable Consumption and Production gGmbH (CSCP)
Registered at the Amtsgericht Wuppertal, Register No.: HRB 20060, USt.–ID Nr./VAT ID No.: DE 250 910 282
Managing Director: Michael Kuhndt

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Annex 9 – Commitment letter (Wikitalia)

To whom it may concern

Roma, 23/12/2013

- Wikitalia commits to respecting the European Commission's ethical guidelines for research, and specifically the FP7 guidelines for ICT research (ftp://ftp.cordis.europa.eu/pub/fp7/docs/guidelines-annex5ict.pdf)

- Wikitalia agrees to and commits to respecting the relevant of the (attached and validated) Open University ethics declaration.

- Wikitalia confirms that none of the concerns detailed in the FP7 ethical issues checklist (ftp://ftp.cordis.europa.eu/pub/fp7/docs/ethical-issues-table-annex4.pdf) apply to CATALYST.

- Wikitalia reports that it did seek validation of the CATALYST research project at the national level. However, the Autorità Garante della Privacy declined responsibility for approving FP7 research plans. We asked for assistance to the European Commission's own representation in Rome, but they could not help directly and suggested to get back to the project officer in Brussels.

We await clear instructions as to how to proceed.

Best regards

Associazione
WIKITALIA
President and Legal Representative
Riccardo Luna

Sede Legale – Via dei Barbieri, 6 – 00186 Roma – Codice Fiscale: 97679570586

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Annex 10 – CV of the external independent ethical advisor

▫

CURRICULUM VITAE

Last Name: GANASCIA, **First Name**: Jean-Gabriel
Date and place of birth: April 5, 1955, Limoges, France
Family Status: married, one child
Employment Status: Professor (Outstanding class - *classe exceptionnelle*), University Pierre and Marie Curie, laboratory LIP6 (UMR 7606)

Employment history
- *November 1988 – now*: university Paris VI professor, (first class professor since December 1993, exceptional class professor since 2010)
- *February 1987 – October 1988*: University Paris XI – Orsay, Associate Professor ('Maître de conférence')
- *December 1983 – June 1986*: consultant for GSI – Général de Service Informatique
- *December 1982 – February 1987*: University Paris XI – Orsay, Assistant Professor
- *September 1981 – September 1982*: consultant for the Schlumberger Company
- *September 1980 – December 1982*:CNRS fellowships

Qualifications
- Paris South University Paris XI - Orsay Thèse d'état (Habilitation) with honours
- Paris South University Paris XI - Orsay Thèse de docteur ingénieur (PhD thesis) with honours
- Paris VI university (University Pierre et Marie Curie) DEA (master of Science) in Artificial Intelligence and Pattern Recognition with honours (mention trés bien) (1980)
- Paris I university (University Panthéon - Sorbonne) Licence de philosophie (Bachelor in philosophy: third year degree - 1980) and maîtrise (fourth year degree 1980)
- Paris VI university (University Pierre et Marie Curie) DEA (master of science) in theoretical acoustics with honours (mention trés bien) (1979)
- Paris South University Paris XI - Orsay University degrees in physics (maîtrise de physique) (thermodynamics and optics) (1978)
- Ecole Supérieure d'Optique - Orsay (IOTA - Paris South University - Paris XI) Diploma (1978)
- Bacalauréat C - with honours (1973)

National and International Influence
- Chairman of a Committee of the "Conseil Scientifique de la Défense" (French Ministry of Defense) on the on the *Renewal of Artificial Intelligence*
- Member of the Scientific Board of the *Observatory of the Memory*
- ECCAI fellow (cf. http://www.eccai.org/fellow.php)
- Member of the "Concept Reengineering" Working Group (Europan Commission)
- Member of the CERNA (Ethical Committee of Allistene)
- Member of the COMETS (Ethical Committee of the CNRS) since July 2011
- Member of the scientific committee of the Institut des Sciences de l'Homme (Lyon)

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□

- ➢ Member of the scientific committee of the Jean Nicod conference (cognitive philosphy)
- ➢ Member of the scientific committee of the European Observatory of Plurilinguism
- ➢ Member of the administrative board of if:lire (institute for the future of the reading)
- ➢ Member of the administrative board of the MURS (Mouvement Universel pour la Responsabilité Scientifique) (2004 – now)
- ➢ During the past, I was member of many journal scientific committees (editorial board of La recherche, International Journal of Man-Machine Studies, Revue d'Intelligence Artificielle, READ, Hermes-Science publishing company), member of many national and international conference scientific committee (ECML, ECAI, DAWAK, PKDD, IACAP, ECG etc.), member of the scientific committee of organisms and companies, where I acted as a computer scientist and as a specialist of artificial intelligence.
- ➢ In addition, during my career, I have been involved in different European programs (ECOLE, BRA, VITAL, CHIPS) and I got grants from many French scientific institutions (CNRS, ANR, ...). I was also referee for the European community, especially for the two Inductive Logic Programming programs, for the XPERO program (FET), for the PD-NET program (FET), and for the European Science Foundation (LOGICC program), etc.
- ➢ I was also member of many national scientific committees, e.g. Vox Internet II (2005-2009), Société de l'information (2001-2005), ANR science & society, etc.
- ➢ External examiner of the Aberdeen master of sciences in applied artificial intelligence for a period of five years between 1991 and 1996

Recent Invitations to give talks in Foreign Universities
- ➢ Invited Speaker to the IEEE IASTA symposium, June 2013, Toronto, Canada.
- ➢ Invitation to give a talk on the theme: "The Philosophy of Information: Its Theory and Practice in a Globalised World", to be held as part of the XXIII World Congress of Philosophy, "Philosophy as Inquiry and Way of Life", which will take place in Athens, August 4-10, 2013.
- ➢ Invitation to participate on a plenary panel session to be held as part of the AISB/IACAP World Congress, in Birmingham (UK), July 2012
- ➢ Invitation to give a talk in Leuven (Belgium), preparatory phase of the Flemish CLARIN project Center for Computational Linguistics, 19th December 2011.
- ➢ Invitation to give a talk at the University of Constantine (Algeria), 10 may 2011.
- ➢ Invitation to participate to the EU Workshop on Integrating ethical reflection in research projects, LEGIT – Laboratory for ethical governance of information technology, 27 of October 2011, Namur, Belgium.
- ➢ Invitation to give a talk at *Humain being in an Inhuman Age* symposium, Hannah Arendt Center for Ethical and Political Thinking, Bard college, Kingston, USA, 22-23 October 2010.
- ➢ Invitation to give a talk at the NSF/JSMF Workshop on *Mapping the History and Philosophy of Science*, organizer Katy Börner and Colin Allen, Indiana University, Bloomington, USA, 17-18 June 2009
- ➢ Invitation to give a talk at the Mauritius University, Mauritius, 13th May 2009.

Scientific Animation
> *Deputy director of the Labex OBVIL since its creation, March 2012.* - The Labex OBVIL is a new interdisciplinary laboratory funded by the French government. It makes computer scientists of UPMC and literary teams of the Sorbonne collaborate on the emerging field of Digital Humanities.
> *September 2010 – now*: responsible of the Erasmus Mundus master Data Mining and Knowledge Management for the University Pierre et Marie Curie (cf. http://em-dmkm.eu)
> *April 1995 – October 2000*: head of the "Cognitive Science" Scientific Interest Group (Ministry of research, INRIA, CEA, INRETS and CNRS)
> *January 1993 – February 1994*: head of the "Cognitive science" PRC (Programme de Recherches Coordonnées) (Ministry of research)
> *December 1992 – 2004*: head of DEA IARFA (doctoral program - Artificial Intelligence, Pattern Recognition and Applications) (it was one of the biggest DEA in France, with an average of more than 50 diploma per year)
> *November 1988 – April 1992*: member of the CNRS central administration, in charge of the computer science domain
> *November 1988 – now*: head of the ACASA team in the LIP6 laboratory (from 5 to 15 members)

Current grants
> ALCATEL – two grants 30k€ each
> PEPS (Projet Exploratoire Premier Soutien) Phoebus – Projet Hypertextuel 60k€
> *iManga – grant investissement d'avenir 136k€*
> *LOCUPLETO – grant investissement d'avenir 193k€*
> *Ethicaa – ANR grant (Ethic of Artificial Agents) 150k€*

Knowledge Diffusion
During my career, and in addition to my scientific and teaching activities, I contributed to the diffusion of scientific knowledge through the publication of a number of books, journal papers, conferences, etc. Among them, here are few illustrations:

Chapouthier G., Ganascia J.-G., Naccache L., Picq P., *Que reste-t-il du propre de l'homme?*, Les Presses de l'ENSTA, 2012.
 Ganascia J.-G., *Idées reçues sur l'intelligence artificielle*, Le cavalier bleu, 2007
Ganascia J.-G., *Les sciences cognitives*, Editions le pommier, 2006 (en français, traduit en grec et en coréen)
Serres M., Farouky N., *Trésor des sciences* - Flammarion 1997. Dictionnaire des sciences. Ouvrage collectif dirigé par Michel Serres et Nayla Farouky. (traduit en allemand)
Ganascia J.-G.- *L'intelligence artificielle*.- Flammarion (Collection Dominos), 1993 (en français, ce livre a été traduit en italien, espagnol et portugais)
Ganascia J.-G.- *L'Ame Machine*.- Editions du Seuil, Collection Sciences Ouvertes, 1990
Ganascia J.-G., "Science x.0", paru dans *Plaidoyer pour réconcilier les sciences et la culture*, ouvrage écrit sous la direction de Claudie Haigneré, co-édition Universcience et le Pommier, collection Le Collège, pp. 182-204, 2010.
Ganascia J.-G. : "L'expérimentation in silico est-elle une forme d'expérimentation mentale", Science et Avenir (hors série sur expériences de pensées), vol. 153, 2008

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