HumanE AI Net:

The HumanE AI Network

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D11.1 H - Requirements No.1.

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DISCLAIMER

DOCUMENT INFO

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0.2 Document History

Revision		
Date	**Lead Author(s)**	**Comments**
30.09.2020	GK	Empty template
26.03.2021	GK	Initial draft
26.03.2021	JK	Corrections, suggestions
26.03.2021	GK	Final draft

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EXECUTIVE SUMMARY

This is an ethics deliverable which has been requested by the EC belatedly after the proposal was already completed and accepted. It is part of an entire new Work Package (WP11) on “Ethics” which the EC added without any adjusting with the Humane AI Net consortium. We had no control over this, neither could we ask for an amendment to at least replace the assigned “main beneficiary” CEU PU (who are network scientists with physics background) with DFKI, the latter having been the main author of this deliverable. A respective official change was not possible since WP11 and the form for the current deliverable were not editable online in the amendment system.

We note that our project already has an Ethics Work Package (WP5) with monthly meetings, deliverables etc. The questions below are partly not applicable to this project, and partly they have been answered already elsewhere. Still, we reply to them to the best of our knowledge.

1. INTRODUCTION

The EC text about the Deliverable says as explanation:

“The procedures and criteria that will be used to identify/recruit any research participants, must be included in the ethics deliverable.

Details of the informed consent procedures that will be implemented for the inclusion of any external participants must be included in the ethics deliverable.

Templates of the informed consent forms and information sheets must be kept on file.

The beneficiary must clarify whether patients or other vulnerable individuals will be involved in any studies.

Details on incidental findings policy must be specified.

Where applicable, the beneficiary must clarify whether opinions/approvals by ethics committees and/or competent authorities for any research with external participants will be obtained, with copies of the approvals kept on file.”

Below we react to these points.

2. RECRUITING PARTICIPANTS

We do not recruit participants in this project.

3. INFORMED CONSENT PROCEDURES

In this project we do not have external participants who would need informed consent procedures.

4. VULNERABLE INDIVIDUALS

We are not working with patients or other vulnerable individuals in this project.

5. INCIDENTAL FINDINGS

This is not a medical project.

We do not have a procedure to handle incidental findings, and the main project body does not foresee experiments where such could occur. However, the fulfillment of the project's research agenda is based in part on micro projects (MPs), which are small proposals submitted and evaluated by a procedure as detailed in the proposal.

As of the time of writing the current Deliverable, there is not any MP that could produce incidental findings, but this condition cannot be entirely excluded in the future. In such a case, the partner institution who acts as the leader of the MP should apply its own rules for incidental findings – we note that all project partners are universities or major companies (e.g., SAP or VW) that have an incidental findings policy in place. (MPs always, by definition, have a leader who is a partner of the current project.) Such cases will be reported to the Ethics Committee of the project (see below).

6. ETHICS COMMITTEE

We do have an Ethics Committee (Ethics Board) in the project, as detailed in D10.2. The Ethics Board is led by Prof. Virginia Dignum of UMU and its task is to handle all issues that need ethics consent or ethics screening, should such arise. Also, they handle all ethics issues where an external authority must be involved.