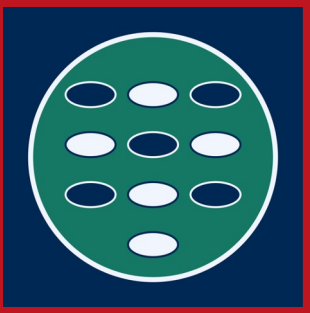
Noregs miljø- og biovitskaplege universitet

Institutt for datavitskap



Digitalisering på Ås

DAT390 Data science seminar

4 Research impact and ethics

4.4 Ethical constraints on the research process

4.5 AI-related recommendations on ethics

Discussion: Whose responsibility is it?

Who needs to ensure compliance with research ethics guidelines, principles, and good practices in a master thesis research project?

Who is responsible if this fails and unethical practices have been followed?

– The person immediately carrying out the research?
(That is, in this case, the master student.)

– The supervisors?
(Here, that is particularly the main supervisor of the master thesis.)

– The institution?
(Forskningsutvalg, forskningsetisk utvalg, prorector for research, *etc.*)

What does the law say?

Who is responsible?

– The person immediately carrying out the research?
– *The researcher always has the primary responsibility* (De nasjonale forskningsetiske komiteene (FEK)).

– The supervisors?
– *Should usually also be involved as researchers.*
– *Additionally, they are a link between the researcher and the institution.*

– The institution?
– «Forskningsinstitusjoner skal sikre at forskningen ved institusjonen skjer i henhold til anerkjente forskningsetiske normer. Institusjonen har ansvaret for:
• a. nødvendig opplæring av kandidater og ansatte i anerkjente forskningsetiske normer og
• b. at alle som utfører eller deltar i forskningen, er kjent med anerkjente forskningsetiske normer.» (Forskningsetikkloven §5)

Categories of research ethics issues

List of ethics issues applicable to Horizon Europe research:

1) Human embryos and human embryonic stem cells

2) Humans ("Does this activity involve human participants?")
   → Special case: Clinical trials as defined by Regulation EU 536/2014

3) Human cells and tissues
   → Beyond embryonic cells/tissues which are covered under issue *no.* 1

4) Processing of personal data

5) Animals ("Does this activity involve animals?")

6) Activities carried out in other countries (for Horizon Europe: Outside the EU)

7) Environment, health, and safety

8) Artificial Intelligence

Categories of research ethics issues

Which of these can most plausibly become relevant to DAT390 students?

1) Human embryos and human embryonic stem cells

2) **Humans** ("Does this activity involve human participants?")
   → Special case: Clinical trials as defined by Regulation EU 536/2014

3) **Human cells and tissues**
   → Beyond embryonic cells/tissues which are covered under issue *no.* 1

4) **Processing of personal data**

5) **Animals** ("Does this activity involve animals?"), *cf.* NMBU's guidelines, *p.* 13*f.*

6) Activities carried out in other countries (for Horizon Europe: Outside the EU)

7) Environment, health, and safety

8) **Artificial Intelligence**
   → see Assessment List for Trustworthy Artificial Intelligence (ALTAI)

Processing of personal data

Law and ethics are separate issues, but ethics can be backed up by the law.

Concerning personal data, we need to comply with the General Data Protection Regulation (GDPR), and therefore:

– You need to make sure that there is a line of responsibility connecting your work to the **Data Protection Officer** (DPO) of the organization.

– Your work may require a **Data Protection Impact Assessment**[1] (DPIA) …
• «if you're using new technologies»,
• «data […] used to make automated decisions about people»,
• «if you're tracking people's location or behaviour», «monitoring a publicly accessible place» or «processing children's data», *etc.*[1]

– You need **freely given**, **specific**, **informed**, and **unambiguous consent**.
• Be aware that this can *introduce an additional bias* into your study!
• Be aware of simultaneous requirements from NMBU's Research Data Management (RDM) policy.

SIKT – Kunnskapssektorens tjenesteleverandør must be notified about this.

[1] gdpr.eu/data-protection-impact-assessment-template/ (see also the DPIA template file)