# GUIDING QUESTIONS FOR SELF-ASSESSMENT ON USE OF ARTIFICIAL INTELLIGENCE IN RESEARCH*

## *Based on the ethics issues checklist used in the EU ethics self-assessment (EU Grants 2021, 42-44)

### Artificial Intelligence/Generative Artificial Intelligence ethics issues checklist

*Please note: In completing this section, please consult the DCU REC Guidance on the ethical use of AI in research available here. This document establishes a set of high-level ethics guidelines for trustworthy AI and encompasses a set of prerequisites that should be adopted during the development, deployment, and/or use of AI-based solutions in research projects.*

Please answer the five 'yes'/'no' questions below, and provide the relevant information where a 'yes' answer is indicated:

| ARTIFICIAL INTELLIGENCE | YES / NO | INFORMATION TO BE PROVIDED |
|---|---|---|
| **1. Does this activity involve the development, deployment and/or use of Artificial Intelligence-based systems?** | ☐ ☐ | 1) Explanation as to how the participants and/or end-users will be informed about:<br>- their interaction with an AI system/technology (if relevant);<br>- the abilities, limitations, risks and benefits of the proposed AI system/technique; the manner in which decisions are taken and the logic behind them (if relevant).<br><br>2) Details on the measures taken to avoid bias in input data and algorithm design;<br><br>3) Explanation as to how the respect for fundamental human rights and freedoms (e.g. human autonomy, privacy and data protection) will be ensured;<br><br>4) Detailed explanation of the potential ethics risks and the risk mitigation measures. |

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| **2. Could the AI based system/technique potentially stigmatise or discriminate against people** *(e.g. based on sex, race, ethnic or social origin, age, genetic features, disability, sexual orientation, language, religion or belief, membership to a political group, or membership to a national minority)*? | ☐ | ☐ | 1) Detailed explanation of the measures set in place to avoid potential bias, discrimination and stigmatisation. |
| **3. Does the AI system/technique interact, replace or influence human decision-making processes** *(e.g. issues affecting human life, health, well-being or human rights, or economic, social or political decisions)*? | ☐ | ☐ | 1)　　Detailed explanation of how humans will maintain meaningful control over the most important aspects of the decision-making process; <br><br> 2)　　Explanation of how the presence/role of the AI will be made clear and explicit to the affected individuals. |
| **4. Does the AI system/technique have the potential to lead to negative social** *(e.g. on democracy, media, labour market, freedoms, educational choices, mass surveillance)* **and/or environmental impacts either through intended applications or plausible alternative uses?** | ☐ | ☐ | 1)　　Justification of the need for developing/using this particular technology; <br><br> 2)　　Assessment of the ethics risks and detailed description of the measures set in place to mitigate the potential negative impacts during the research, development, deployment and post-deployment phase. |
| **5. Does the AI system to be developed/used in the project raise any other ethical issues not covered by the questions above** *(e.g. subliminal, covert or deceptive AI, AI that is used to stimulate addictive behaviours, life-like humanoid robots etc.)*? | ☐ | ☐ | 1)　　Detailed explanation of how the potential ethics issues will be addressed and measures set in place to mitigate against ethics risks. |