



Ethics Compliance Self-Assessment

FILLABLE INTERNAL WORKING FORM

Select one Yes/No option per question

COMPANY / USE CASE

COMPLETED BY

DATE

Please answer these questions to the best of your knowledge and belief. If anything is unclear, do not hesitate to reach out to us. If the questionnaire reveals potential for ethical challenges, we will discuss with you in the next step how these can be addressed.

Artificial Intelligence

1 Does your company/use case involve the development, deployment and/or use of Artificial Intelligence-based systems?

☐

Yes

☐

No

IF YES, PLEASE ADDRESS:

- 1) Explain how participants and/or end-users will be informed about their interaction with an AI system/technology (if relevant), its abilities, limitations, risks and benefits, and how decisions are taken and the logic behind them (if relevant).
- 2) Provide details on the measures taken to avoid bias in input data and algorithm design.
- 3) Explain how respect for fundamental human rights and freedoms (e.g. human autonomy, privacy and data protection) will be ensured.

RESPONSE / FURTHER DETAILS

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)?

☐

Yes

☐

No

IF YES, PLEASE ADDRESS:

- 1) Explain the measures set in place to avoid potential bias, discrimination and stigmatisation.

RESPONSE / FURTHER DETAILS

Artificial Intelligence - continued

- 3** Does the AI system/technique interact with, 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)?

☐ Yes☐ No

IF YES, PLEASE ADDRESS:

- 1) Explain how humans will maintain meaningful control over the most important aspects of the decision-making process.
- 2) Explain how the presence/role of the AI will be made clear and explicit to the affected individuals.

RESPONSE / FURTHER DETAILS

- 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?

☐ Yes☐ No

IF YES, PLEASE ADDRESS:

- 1) Justify the need for developing/using this particular technology.
- 2) Assess the ethics risks and describe in detail the measures set in place to mitigate potential negative impacts during the activity, development, deployment and post-deployment phase.

RESPONSE / FURTHER DETAILS

- 5** Does this activity involve the use of AI in a weapon system?

☐ Yes☐ No

- 6** Does the AI 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 used to stimulate addictive behaviours, life-like humanoid robots, etc.)?

☐ Yes☐ No

Personal data

7 Does your activity involve processing of personal data?

☐ Yes

☐ No

If yes, also answer the following questions:

8 Does the processing involve data of children or minors?

☐ Yes

☐ No

9 Does the processing involve data of potentially vulnerable individuals or groups (e.g. elderly people, disabled people)?

☐ Yes

☐ No

10 Does it involve the processing of special categories of personal data (e.g. health-related data) or personal data related to criminal convictions or offences?

☐ Yes

☐ No

Non-EU countries

11 Will some of the activities be carried out in non-EU countries?

☐ Yes

☐ No

Human embryonic stem cells (hESCs) and human embryos (hEs)

12 Does your activity involve Human Embryonic Stem Cells (hESCs)?

☐ Yes

☐ No

Humans

13 Does your activity involve human participants?

☐ Yes

☐ No

If yes, also answer the following questions:

14 Are they children/minors?

☐ Yes

☐ No

Humans - continued

15 Are they potentially vulnerable individuals or groups (e.g. elderly people, disabled people)?

☐ Yes

☐ No

16 Does your activity involve conducting a clinical study or a clinical trial?

☐ Yes

☐ No

Human cells / tissues

17 Does your activity involve the use of human cells or tissues (other than those covered by section 1)?

☐ Yes

☐ No

Animals

18 Does your activity involve animals?

☐ Yes

☐ No

Environment, health and safety

19 Does your company/use case involve the use of elements that may cause harm to the environment, to animals or plants?

☐ Yes

☐ No

Other ethics issues

20 Are there any other ethics issues that should be taken into consideration?

Examples include new developments in neurobiology, man-machine interaction, nanotechnology, genetic enhancement, or the creation of androids and cyborgs.

☐ Yes

☐ No

IF YES, PLEASE PROVIDE FURTHER DETAILS

Other ethics issues - continued

21 Does your company/use case have the potential for misuse?

☐ Yes

☐ No

Activities most vulnerable to misuse could include:

- Development of surveillance technologies that could curtail human rights and civil liberties.
- Involvement of minority or vulnerable groups, or development of social, behavioural or genetic profiling technologies that could be misused to stigmatise, discriminate against, harass or intimidate people.
- Development of materials, methods, technologies or knowledge that could harm humans, animals or the environment if released, modified or enhanced.
- Development of materials, methods, technologies or knowledge that could serve purposes other than those intended and, if so, in unethical ways.

IF YES, PLEASE PROVIDE FURTHER DETAILS

22 Could your company/use case raise concerns regarding the exclusive focus on civil applications?

☐ Yes

☐ No

IF YES, PLEASE PROVIDE FURTHER DETAILS

23 Does your company/use case involve dual-use items or other items for which an authorisation is required?

Dual-use items are goods (including commodities, software and technology) that, due to their technical specifications, can be used for both civilian and military purposes.

☐ Yes

☐ No

IF YES, PLEASE PROVIDE FURTHER DETAILS