



Queen Mary

University of London

Science and Engineering

## **ECS7025P Ethics, Regulations and Laws in Advanced Data Processing and Decision Making**

Specific Action 2: Involve Diverse Expertise

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# Learning Objectives:

- Introduction to the 2<sup>nd</sup> specific action in UK Gov's Data Ethics Framework
- Exploring and understanding the three overarching principles application in involving diverse expertise
- Exploring the committee-based government strategy proposed by Accenture
- Applying the 2<sup>nd</sup> specific action and relevant framework in reality case.

# Involve diverse expertise

Working in diverse, multidisciplinary teams with wide ranging skill sets contributes to the success of any data or tech project. If you do not have the sufficient skills or experience, you should involve others from your team or wider network with the right expertise.

# Get the right expertise

- Beyond data scientists, who are the relevant **policy experts and practitioners** in your team?
- What **other disciplines and subject matter experts** need to be involved?
  - What steps have been taken to involve them?
- What should their **roles** be? Have you defined who does what in the project?
- Ask your team and experts if you **have the right data** for your research questions.

# Ensure diversity within your team (fairness)

- How have you ensured **diversity** in your team?
  - Having a diverse team helps prevent biases and encourages more creativity and diversity of thought.
  - Diversity in: gender, age, ethnicity, religious belief, interest, etc.
- **Avoid** forming **homogenous** teams

# Involve external stakeholders

- How have you engaged **external domain experts** in your project
  - E.g. academics, ethicists, researchers
  - Research communities
  - Government networks
  - Private sector organizations, funders, consultants, and technology-driven companies
- Relevant **civil society organisations**?
- Consider consulting the **target audience or the users** of your project?

# Consulting User (Recap)

- Reviewing existing evidence (for example, analytics, search logs, call centre data, previous research reports, etc)
- Interviewing and observing actual or likely users
- Talking to people inside and outside your organisation who work with actual or likely users (for example, caseworkers, call center agents and charity workers)
- Treat any opinions or suggestions that do not come from users as assumptions that have to be proven by doing research.
- Validating user needs and potentially generating user stories

# Effective governance structures with experts (accountability)

- What **senior** or **external oversight** is there for your project?
- What are the **governance mechanisms** that enable domain experts to **challenge** your project?
  - Who are the external experts or consultants who could review and assess the progress and ethical considerations of your project?
- What is the **termination mechanism** if the project stops being ethical?



# Potential actions to build capacity...

- Appointing **chief data/AI officers** with ethics as part of their responsibilities
- Assembling organizationally high-level **ethics advisory groups**
- Incorporating privacy and **ethics-oriented risk and liability assessments** into decision-making or governance structures
- Providing **trainings and guidelines on responsible data practices** for employees

# Potential actions to build capacity...

- **Developing tools, organizational practices/structures, or incentives** to encourage employees to identify potentially problematic data practices or uses
- Including members responsible for representing **legal, ethical, and social** perspectives on technology research and project teams
- Creating **ethics committees** that can provide guidance not only on data policy, but also on concrete decisions regarding collection, sharing, and use of data and AI

## A roadmap for building an ethics committee

### Organizational Function

Why is the committee being created?

What is the purpose of the committee within the organization?

What is the definition or standards of success for the committee?

### Ethical Content

What are the basic values the committee is meant to promote and protect?

What are the primary guiding principles in support of the values?

What is required in practice to satisfy the core principles?

### Committee Composition

What are the types of expertise needed?

How can the committee avoid bias and conflicts of interests?

How large should the committee be?

How are members selected and how long do they serve?

### Organizational Position and Powers

Where is the committee housed within the organization?

What is the purview of the committee?

When should the committee be consulted and by whom?

Is consultation required or voluntary?

What authority does the committee have?

### Procedures and Governance

What is submitted to the committee for review?

What are review procedures and timelines?

What are the standards by which judgments are made?

How do committees issue decisions?

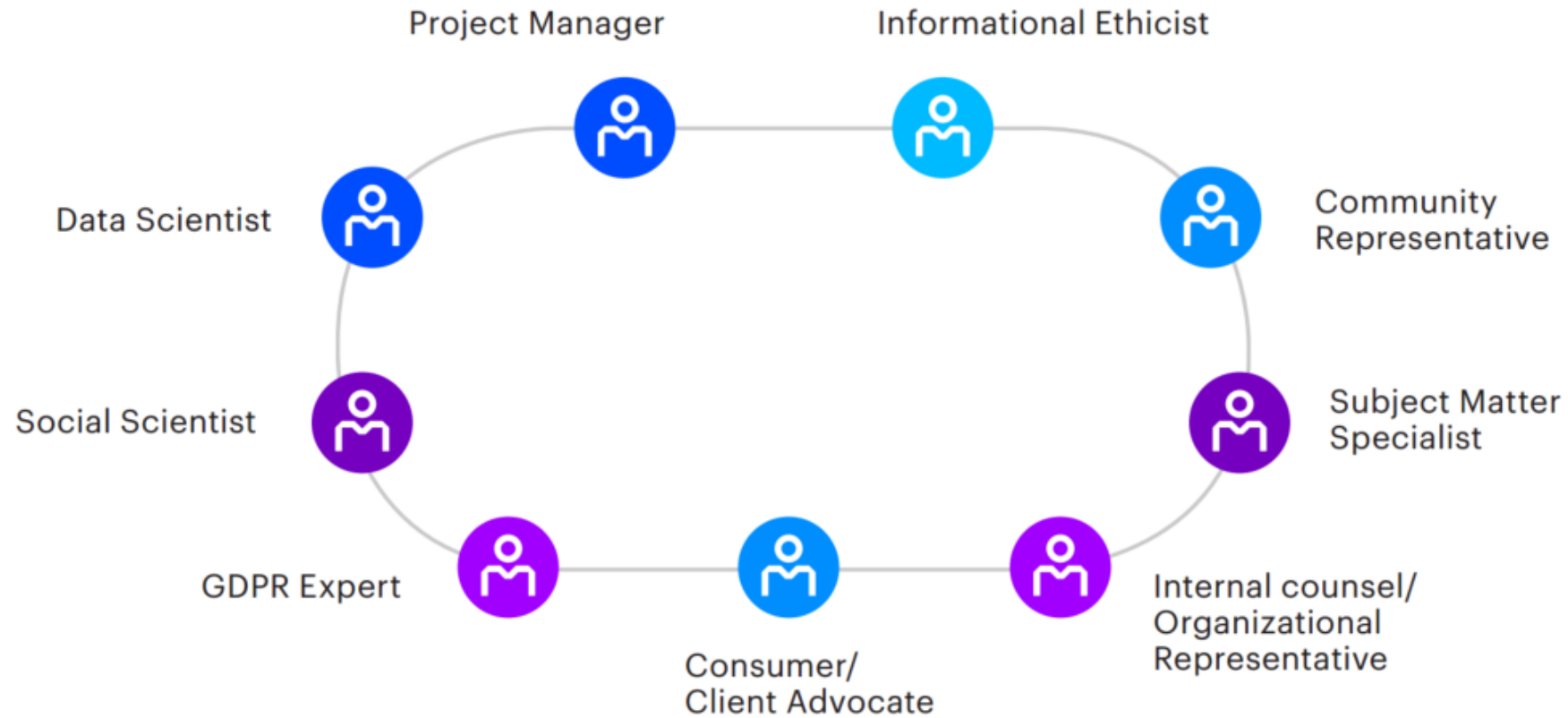
How are committees audited and evaluated?

*In building an effective ethics committee, it is necessary to answer a number of key questions about the function, goals, structure, operation, and roles of the committee.*

# Committee Composition

- **Technical Experts**
- **Ethical Experts**
- **Legal Experts**
- **Subject Matter Experts**
- **Citizen Participants**

## Hypothetical committee on data use



● Technical expert   ● Ethical expert   ● Legal expert   ● Subject-matter expert   ● Citizen participant



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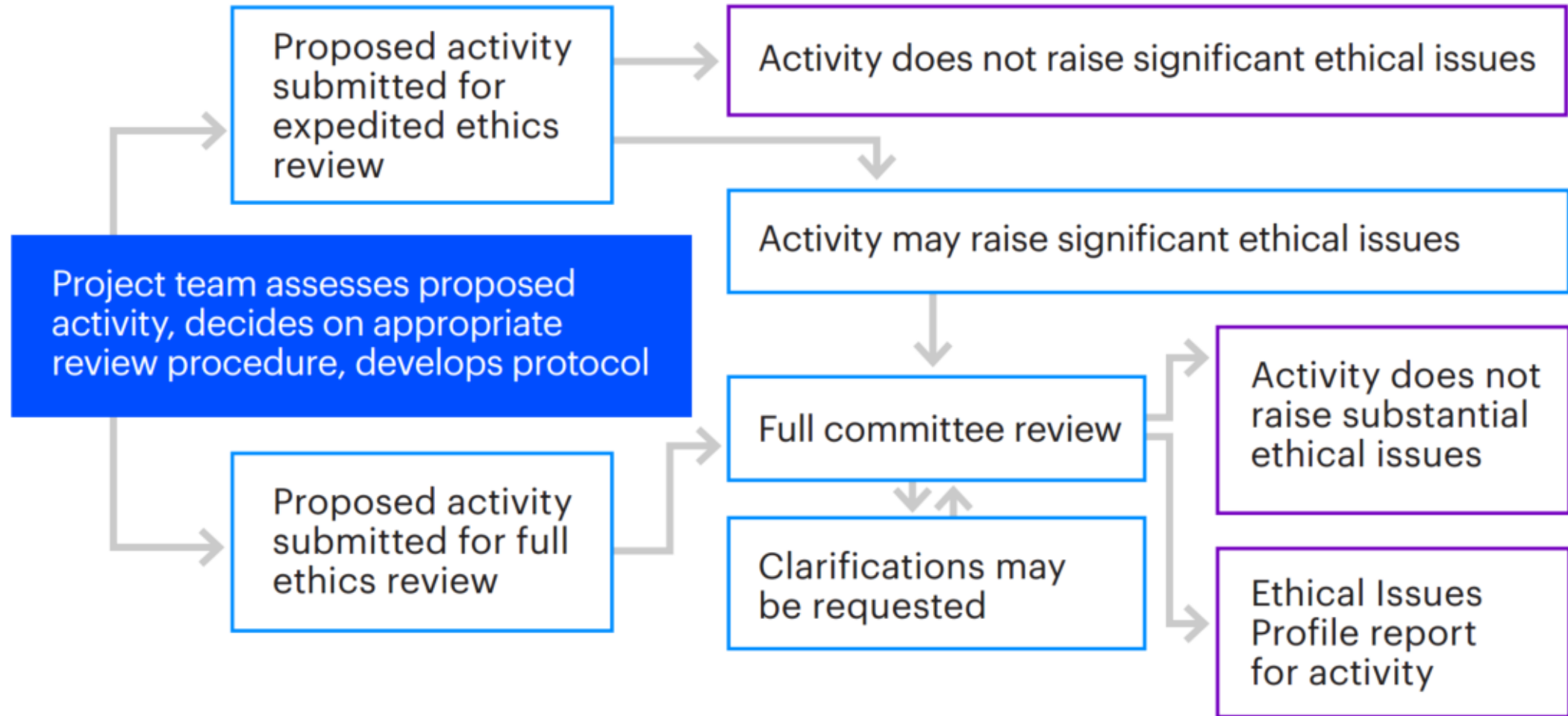
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## Potential ethics committee review process



# Transparency

- Wherever appropriate, **publish information** on expert consultations and the project team structure.



# Design Ethic External Communication Strategies

- Mission and vision statement
- Corporate Reporting
- Public relations on media campaigns and social media



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