

# ENFIELD Ethics and Gender Equality Framework



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2024.04.30  
ENFIELD

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# Key topics:

1. Ethics and Gender considered in Horizon Europe
2. The Importance of Ethics and Gender equality in the context of AI
3. Key principles of the Inclusive Ethics and Gender Equality Framework
4. Ethics Framework - main objectives
5. Gender Equality Framework - main objectives
6. The key actions of the Framework implementation
7. Conclusion
8. References

# 1. Ethics and Gender considered in Horizon Europe

Horizon Europe, the European Union's premier research and innovation program, places significant emphasis on integrating ethics and gender dimension in funded projects.

This commitment recognizes that gender balance and sensitivity enhance the quality and impact of research.

**\*Reference:** [https://research-and-innovation.ec.europa.eu/funding/funding-opportunities/funding-programmes-and-open-calls/horizon-europe\\_en](https://research-and-innovation.ec.europa.eu/funding/funding-opportunities/funding-programmes-and-open-calls/horizon-europe_en)



# Ethics in Horizon Europe



**Ethics as a Cross-Cutting Principle:** integrated at all research stages; upholding high ethical standards and fundamental rights.



**Ethical Review & Compliance:** required for projects involving human participants, animals, or sensitive data; adherence to EU laws (GDPR, human rights, etc.).



**Ethics Self-Assessment:** applicants must assess potential ethical issues (e.g. environmental impact).



**Ongoing Oversight & Guidance:** independent ethics review when necessary; Ethics Commission for certain projects when necessary.



**Ethical Leadership in Innovation:** ethical principles in cutting-edge technologies (AI, biotech).

**\*Reference:** [https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/how-to-complete-your-ethics-self-assessment\\_en.pdf](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/how-to-complete-your-ethics-self-assessment_en.pdf)

# Gender in Horizon Europe

01

**Gender Equality Plan (GEP):** Required for all public bodies, universities, and research organizations participating in Horizon Europe.

02

**Gender Balance:** Target of 50% women in R&I, focusing on boards, expert groups, evaluation committees, and research teams.

03

**Gender Dimension Integration:** Incorporating gender perspectives into all R&I activities and projects.

**\*Reference:** [https://research-and-innovation.ec.europa.eu/strategy/strategy-2020-2024/democracy-and-rights/gender-equality-research-and-innovation\\_en](https://research-and-innovation.ec.europa.eu/strategy/strategy-2020-2024/democracy-and-rights/gender-equality-research-and-innovation_en)

## 2. The Importance of Ethics and Gender equality in the context of AI

# The Importance of Ethics in AI



***Ensuring Fairness and Avoiding Bias:*** AI systems must be designed to avoid reinforcing societal biases, ensuring decisions are fair and inclusive.



***Transparency and Accountability:*** Ethical AI requires that systems are explainable, so people can understand how decisions are made and hold organizations accountable.



***Privacy and Data Protection:*** AI often relies on personal data, so safeguarding privacy and ensuring user consent is essential.



***Avoiding Harm and Ensuring Safety:*** AI must be strictly tested to avoid harm, particularly in high-stakes fields like healthcare.



***Building Trust:*** Ethical principles help build public trust in AI, making people more likely to adopt and use these technologies.

# How can we ensure that research is conducted in an ethical and trustworthy manner?



## **Ethical Guidelines:**

follow ethical standards, such as the **Declaration of Helsinki (2022) and other key documents and EU guidelines**, and seek approval from ethics committee and advisors (before starting and during the project)



## **Provide Ethical Training:**

train all team members in ethical research practices to navigate potential dilemmas



## **Ensure Data Integrity:**

collect and analyze data transparently, ensuring accuracy, and proper documentation



## **Maintain Confidentiality:**

ensure participants' privacy by keeping data confidential, anonymized, and securely stored



## **Monitor for Bias:**

identify and disclose any potential conflicts of interest that could compromise the integrity of the research or activities



## **Encourage Open Communication:**

foster a culture where team members can raise ethical concerns, ensuring transparency throughout the project



## **Regular Ethical Review:**

continuously monitor the project and adjust as needed to maintain ethical standards

### **\*References:**

<https://digital-strategy.ec.europa.eu/en/library/ethics-guidelines-trustworthy-ai>  
<https://www.who.int/activities/ensuring-ethical-standards-and-procedures-for-research-with-human-beings>



# EU Trustworthy AI recommendations



**Focus on human agency and oversight:** AI should support human goals, enhance human agency and rights, and contribute to a healthy, flourishing society.

## CLOUD STORAGE



**Technical robustness and safety:** AI should prevent harm, be reliable, and include safe failover mechanisms to ensure smooth operation if systems fail.



**Privacy data and governance:** AI systems should maintain people's data privacy as well as the privacy of the models and supporting systems.

**Reference:** <https://digital-strategy.ec.europa.eu/en/library/ethics-guidelines-trustworthy-ai>

# EU Trustworthy AI recommendations



***Diversity, non-discrimination and fairness:*** AI systems must promote inclusion, diversity, and equity while minimizing bias to support human rights and agency.



***Societal and environmental well-being:*** AI should not cause societal unrest, job insecurity, or destabilize the world.



***Accountability:*** there must be clear responsibility and accountability for an AI system throughout its lifecycle.

***Reference:*** <https://digital-strategy.ec.europa.eu/en/library/ethics-guidelines-trustworthy-ai>

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## The Importance of Gender Equality in AI

**Bias Mitigation:** Gender bias in AI can lead to discrimination. Mitigating it is key to ensuring fairness and equity in AI systems.

**Ethical AI:** Gender equality ensures responsible AI design, avoiding harmful stereotypes.

**Innovation:** Gender-diverse teams foster creativity and breakthrough solutions for broader challenges.

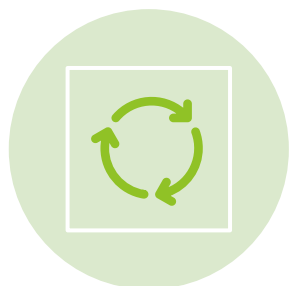
**Public Trust:** Inclusive AI builds trust by reflecting diverse perspectives and needs.

*\*Reference:* <https://www.unwomen.org/sites/default/files/2024-03/placing-gender-equality-at-the-heart-of-the-global-digital-compact-en.pdf>

### 3. Key principles of the ENFIELD Inclusive Ethics and Gender Equality Framework

- ✓ **Inclusion:** reflected in the project's collaborative, co-creative processes, respecting diversity and ensuring zero tolerance for discrimination, harassment, or bullying.
- ✓ **Gender Equality:** gender balance and mainstreaming integrated across all project activities, especially in research.
- ✓ **Ethics:** ethical conduct and research integrity in project implementation.

# The action lines of the framework are pursued by:



***Defining the nature, scale and scope of the analysis:*** where and why action is needed



***Identifying drivers of change:*** with whom engagement is needed



***Identifying anticipated outcomes:*** KPIs, checklists and other process mechanisms



***Examining:*** impacts and reassessing the actions, actors, and mechanisms as needed

## 4. Ethics framework – main objectives

- 1) **to provide** a comprehensive understanding of ethical considerations in EU funded projects;
- 2) **to explain** the importance of ethics integrity and the responsibilities of the ENFIELD consortium as indicated in the Grant Agreement (GA);
- 3) **to equip** project partners with the knowledge to identify and navigate ethical challenges effectively and support them.

## 5. Gender Equality Framework – main objectives

- 1) *to provide* a complete understanding of gender considerations in EU funded projects;
- 2) *to present* a way to systematize information about gender differences across different domains of ENFIELD;
- 3) *to explain* the responsibilities involved with gender integrity among project consortium (GA);
- 4) *to guide* the partners how to integrate the framework and identify the potential challenges and subsequently support in solving them.

## 6. The key actions of the framework implementation

- 1) **monitor compliance** with adopted ethical standards and procedures, **providing support and assistance** to teams' ethical challenges in meeting **Horizon Europe requirements**,
- 2) **set the framework and monitor** the gender dimension in research and gender balance across the project by developing **specific indicators and KPIs**,
- 3) **co-create guidelines** with WP/Task leaders and stakeholders, to ensure shared knowledge of best practices,
- 4) **review communication and dissemination activities** to ensure diversity, inclusivity, and prevention of stereotypes.



# Ethics/GE Framework – strategy

**Tailor-made assistance** is provided to all partners in different ways:

- **Bilateral meetings** - planned in order to understand the partners' needs;
- **Guidelines about specific topics** - designed at the demand of the partners;
- **Further particular advice provided to the partners** about specific questions/issues that arise during the implementation of the project.

# Framework structure / methodology

## Gender Framework

### *General Part (All partners)*

- Collection of gender-disaggregated data
- Aiming for 50% women in R&I
- Application of gender-sensitive language in all project communication

### *Specific Part (based on the partner's needs)*

- Contextualisation
- Discussion
- Data-gathering
- Technical support
- Reflexivity

## Ethics Framework

### *All partners:*

- Continuous self-assessment
- Guided self-assessment
- External ethics advice (if apply)

# Framework tools

## Gender Framework

-> **Inclusive Gender Equality Framework**  
**Specific guidance documents:**

- *Inclusive communication guidelines and checklists, covering social media, workshops, and stakeholder engagement*
- Guidance document on “Diversity and gender dimension in research content”
- Repository on gender equality and ethics
- General Key Performance Indicators (KPIs) together with data collection

*Bilateral meetings with the partners to provide support and guidance*

## Ethics Framework

-> **Ethics Framework**

- Self-assessment guidelines for each AI pillar
- Repository on gender equality and ethics
- Guidelines about specific topics designed at the demand of the partners

*Bilateral meetings with the partners to provide support and guidance*

## 7. Conclusion

- ▶ ***Ethical responsibility of researchers:*** research must be developed with fairness, transparency, and accountability, addressing gender biases to ensure equitable outcomes.
- ▶ ***Promoting diversity:*** gender equality in research development leads to more inclusive, effective, and fair technologies across various applications.
- ▶ ***Long-term impact:*** prioritizing ethics and gender equality builds trust and promotes social justice, ensuring that conducted research benefits all people equally.
- ▶ ***Literature:*** an expanding literature on research (incl. AI) ethics and gender offers essential frameworks and best practices for more inclusive research and projects implementation (UNESCO, OECD).

# 8. References

| TITLE                                                                                                                   | DESCRIPTION                                                                                                                                                                                                              | ORGANIZATION / YEAR |
|-------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|
| <u><a href="#">The EU AI Act</a></u>                                                                                    | The EU Artificial Intelligence Act, the most comprehensive legal framework that sets out <b>harmonised rules for the development, placing on the market, and use of artificial intelligence in the EU.</b>               | 2024 / EU           |
| <u><a href="#">Ethical impact assessment: a tool of the Recommendation on the Ethics of Artificial Intelligence</a></u> | This document aims to assess algorithm alignment with the Recommendation and promote transparency by making AI development information publicly available.                                                               | 2023 / UNESCO       |
| <u><a href="#">The Declaration of Helsinki</a></u>                                                                      | A statement of <b>ethical principles</b> for medical research involving <b>human subjects</b> , including research on identifiable <b>human material</b> and <b>data</b> .                                               | 2022 / WMA          |
| <u><a href="#">Principles for the Ethical Use of Artificial Intelligence in the United Nations System</a></u>           | This set of ten principles, grounded in <b>ethics and human rights</b> , aims to <b>guide the use of artificial intelligence (AI) across all stages</b> of an AI system lifecycle across United Nations system entities. | 2022 / UNSCEB       |
| <u><a href="#">Ethics in Horizon Europe</a></u>                                                                         | The document provides information and guidelines on how to <b>proceed with ethics screening</b> in in projects funded under Horizon Europe.                                                                              | 2022 / EU           |
| <u><a href="#">Ethics By Design and Ethics of Use Approaches for Artificial Intelligence</a></u>                        | This Guidance covers all research on AI-based systems, including robotics, building on the work of the High-Level Expert Group on AI and EU-funded SHERPA and SIENNA projects.                                           | 2021 / EU           |
| <u><a href="#">Recommendation on the Ethics of Artificial Intelligence</a></u>                                          | This Recommendation <b>addresses ethical issues related to the domain of Artificial Intelligence to the extent that they are within UNESCO's mandate.</b>                                                                | 2021 / UNESCO       |
| <u><a href="#">Assessment List for Trustworthy Artificial Intelligence (ALTAI)</a></u>                                  | The Assessment List for Trustworthy Artificial Intelligence (ALTAI), is a practical tool that helps business and organisations to self-assess the trustworthiness of their AI systems under development.                 | 2020 / EU           |
| <u><a href="#">EU guidelines on ethics in artificial intelligence: Context and implementation</a></u>                   | Responding to the European Parliament's call, the EU has developed a <b>'human-centric' AI approach, grounded in European values</b> , and published guidelines on ethics.                                               | 2019 / EU           |
| <u><a href="#">Ethics guidelines for trustworthy AI</a></u>                                                             | The Guidelines put forward a set of <b>7 key requirements</b> that AI systems should meet in order to be deemed <b>trustworthy</b> .                                                                                     | 2019 / EU           |

# 8. References

| TITLE                                                                                                                                         | DESCRIPTION                                                                                                                                                                                                                                                                                                                                   | ORGANIZATION / YEAR                             |
|-----------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|
| <u><a href="#">Guide to Gender Analysis and Gender Mainstreaming the Project Cycle</a></u>                                                    | The Guide is part of an organization-wide initiative to further enhance the <b>mainstreaming of gender equality</b> into the project and programmes throughout its <b>cycle</b> .                                                                                                                                                             | 2024 / UNIDO                                    |
| <u><a href="#">Understanding Generative Artificial Intelligence's Implications on Gender Using a Value Chain Approach and a UNGP lens</a></u> | This report takes a systematic look at <b>understanding the human rights risks that result from the use of GenAI for women and gender minorities</b> and attempts to offer mechanisms for mitigation anchored in the United Nations Guiding Principles on Business and Human Rights (UNGPs), drawing from the Gender Dimensions of the UNGPs. | 2024 / UNDP                                     |
| <u><a href="#">Toolkit for Mainstreaming and Implementing Gender Equality 2023</a></u>                                                        | It contains <b>self-assessment tools</b> to guide governments and other decision-making institutions in <b>assessing the strengths and weaknesses of their policies, mechanisms, and frameworks</b> for gender equality, and in setting priorities for improvement, as well as <b>examples of good practices</b> .                            | 2023 / OECD                                     |
| <u><a href="#">Where are the women? Mapping the gender job gap in AI</a></u>                                                                  | This policy briefing from the Turing's Women in Data Science and AI project presents new research into <b>gender gaps in AI</b> and data science, and the extent and impact of men's dominance in these fields.                                                                                                                               | 2021 / Alan Turing Institute                    |
| <u><a href="#">When Good Algorithms Go Sexist: Why and How to Advance AI Gender Equity</a></u>                                                | It explores the issue of <b>gender bias in artificial intelligence (AI)</b> and provides insights into why AI systems often perpetuate or <b>even exacerbate existing gender inequalities</b> .                                                                                                                                               | 2021 / Stanford Social Innovation Review (SSIR) |
| <u><a href="#">Artificial intelligence, platform work and gender equality</a></u>                                                             | This report examines the opportunities and challenges for <b>gender equality in labour markets transformed by artificial intelligence (AI)</b> and platform work.                                                                                                                                                                             | 2021 / EU                                       |
| <u><a href="#">Artificial intelligence and gender equality: key findings of UNESCO's Global Dialogue</a></u>                                  | The report builds on UNESCO's previous work on <b>gender equality and AI</b> and aims to continue the conversation on this topic with a select group of experts from key stakeholder groups.                                                                                                                                                  | 2020 / UNESCO                                   |



***THANK YOU***

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