Responsible AI Governance in Tech Companies
Information Sheet and Consent Form

Lead Researcher: Ravit Dotan, PhD
Funding sources: The Notre Dame-IBM Tech Ethics Lab and the University of Pittsburgh

Thank you for considering participating in a research study titled "Responsible AI Governance in Tech Companies". To help you decide whether you would like to participate, it is important that you understand why this research is conducted and what it will involve. Please read the information below carefully and ask questions if anything is unclear or if you would like more information before you make your decision.

What is the research about?

Our goal is to understand how tech companies manage the development of AI systems and how they can better address the negative unintended consequences that their AI may cause. We aim to produce practical insights that tech companies can use to improve. We also aim for the insights to be helpful to anyone who evaluates tech companies externally, such as investors, insurers, and buyers of AI. This study has been approved by the Internal Review Board at the University of Pittsburgh.

Why your participation is important

To produce insights that are truly helpful to practitioners, it is important to hear from practitioners. Therefore, we will interview up to 50 practitioners worldwide. We are inviting participants who work in companies that develop AI in various roles, such as engineers, product managers, marketing, sales, and any other role that takes part in building AI systems or influences the company's priorities.

If you are involved in the development of AI, either by building it or by influencing company priorities, your contribution would be highly valuable to the production of actionable insights that would help make AI systems safe and beneficial to all.

Voluntary participation and the ability to withdraw

Participation in this study is completely voluntary. Declining to participate will have no negative effects on you. Even if you agree to participate, you would have the right to change your mind and withdraw at any time during the study without giving a reason. You may stop the interview at any point by letting your interviewer know that you'd like to stop. You may also withdraw at any other point during the course of this study, which means that any information you provide will be permanently deleted. The only information that will be retained will be your request to withdraw. The person to contact with any requests or concerns is Ravit Dotan. Her email address is at the bottom of this document.

What happens during an interview

The interview will take up to 60 minutes, it will be conducted over zoom, and recorded. The recording will be temporarily stored on the interviewer's computer until it is moved to a university cloud server (Microsoft OneDrive).

The interview will be semi-structured. This means that the interviewer will ask you questions that were prepared in advance, but there will be opportunities to deviate from them and expand on any relevant point. The interview will be recorded and the interviewer might take notes during the interview. The questions will be about the participant's company, their role in it, and about unintended consequences of AI. The interviewer will not ask participants to divulge any proprietary information, In addition, the interviewer will invite the participant to share demographic information about themselves, such as their gender, race, ethnicity, and nationality. Answers to all questions are optional, and participants are free to decline to answer any of them.

What happens after the interview

After the interview is over, we will transcribe it and anonymize the transcription. We will then send the participant the anonymized transcript. The participant will have the opportunity to add or remove anything they want from the transcript, including pulling out of the research entirely. If the participant approves of the anonymized transcription, we will permanently delete the recording and the original transcript. We will then analyze the anonymized transcript. Our research findings may be made available in reports, publications, talks, and other research outputs. If the participant provides consent to it, we might use the anonymized transcripts for future research on related topics, but only if that research is granted ethical approval from the proper university authorities. In addition, if the participant provides consent to it, we might use direct quotes from the anonymized transcript in research outputs in ways that will not identify them.

Confidentiality

The information we collect about participants during the course of the research will be kept strictly confidential. Information collected through the expression of interest form will be used only for the purpose of evaluating compatibility and ensuring balanced participation for this study. Identifiable information from the expression of interest form will be permanently deleted prior to the completion of this research. Interview recordings and pre-anonymized transcripts will be permanently deleted once the participant approves of the anonymized transcript. All information, including expression of interest, recordings, original transcripts, and consent forms, will be saved and retained on secured university servers within the United States and will be accessible only to members of the research team who have a duty to keep participants' information confidential and have received proper training. The anonymized transcripts will be saved in a separate secure location. The anonymized transcripts and consent forms may be kept indefinitely but will be permanently deleted if you ask to withdraw from the study. Prior to the completion of this research all data will be anonymized, no key codes that connect the participant's identifiable information will be retained.

Benefits and risks of participation

We do not offer any monetary or other compensation to participants. However, this study will contribute to a body of knowledge that helps make AI safer for all. In addition, participants may gain insights into the field of AI ethics and their work through the conversation. A risk we identify is a breach of confidentiality. While we will do our best to ensure confidentiality as described above, there is no way to fully guarantee that breaches of confidentiality won't occur. If a breach occurs, we will notify you and the proper university authorities. Other than that, we do not anticipate that participating in this study will pose any risks greater than those encountered in day-to-day work life.

For further information or to report a problem

Participants who have questions or concerns about any aspect of this study may reach out to Ravit Dotan, her email address is below. In particular, you may request the list of all members of the research team at any time.

If a participant remains unhappy or has a complaint about any aspect of this study, they can contact the Human Subjects Protection Advocate of the Human Research Protection Office, University of Pittsburgh (1-866- 212-2668).

Thank you for reading through this information and considering participation in this study.
If you would like to participate, please express your interest in this form.

Sincerely,
Ravit Dotan, PhD
contact@ravitdotan.com

CONSENT TO ACT AS A PARTICIPANT IN A RESEARCH STUDY

Please sign your initials in each box if you agree with the statement.

I have read and understood the information sheet and have had the opportunity to ask questions about the study.	
I agree to take part in this research project and agree for my data to be used for the purpose of this study.	
I understand that my data (including personal data), as part of this research, will be stored in the United States as described in the information sheet. If I am currently in the European Economic Area (EEA), I understand that my data will be transferred to the US and will be accessible exclusively by the research team.	
I understand that this research study collects demographic information to ensure balanced participation (Data will be anonymized prior to completion of the research).	
I agree for my data to be used in future related studies provided that they will be approved by the proper ethics university authorities. **(You may opt out, if you'd like, by not initializing this box.)**	
I understand that my participation is voluntary, that I will receive no compensation for participating, and that I may withdraw for any reason without any negative effects on me.	
I understand that my interview will be recorded and that the interviewer might take notes electronically during the course of the interview.	
I understand that the audio will be transcribed leveraging automatic tooling and then anonymized. A copy of the transcript will be provided to me before further processing for my approval. I understand I can further redact the transcripts as necessary.	
I agree that parts of my anonymized transcript, which has been approved by me, will be quoted in research outputs as long as they don't contain any identifying attribution.	
I understand that information collected about me during my participation in this study will be stored on a secure server (the university's OneDrive) and that this information will only be used for the purpose of ethically approved research studies.	
I understand that any data that is identifiable or can allow for the re-identification of participants will be deleted prior to the conclusion of this study. I also understand that fully anonymized data may be retained indefinitely.	

I freely give my consent and agree to participate in this research by signing below.

Name of participant _____

Signature of participant _____

Date _____