

Request for Amendment/s

Human Research Ethics Committee

A condition of your original ethics approval was that any variations or modifications you might wish to make to your project must be formally notified to the ethics committee for further consideration and approval.

If you are proposing a major change to your project you may need to submit a new application to a meeting of the HREC.

Please phone the Ethics Office on 5327 9765 if you require further information.

Please Note: Requests for Amendments will not be approved if there are overdue reports for this project.

| 1) ADMINISTRATION: | |
|-------------------------|--|
| HREC approval No: | A20-135 |
| Project name: | Measuring the Effectiveness of Explanations of the Decisions of Artificial Intelligence (AI) Algorithms. |
| Current Approval dates: | 07/10/2020 to 31/12/2021 |
| Principal Researcher | Peter Vamplew |
| Other Researchers | Cameron Foale Richard Dazeley Charlotte Young |

Complete each category requiring assessment and approval:

PROPOSED CHANGES TO THE PROJECT

- ☐ Amendment (go to Category 2)
 ☐ Extension (go to Category 3)
- ☒ Change of Personnel (go to Category 4)

2) AMENDMENT to Approved project

(Note: authorisation by Dean, Deputy Dean, Associate Dean Research or School/Discipline Ethics Coordinator is required in addition to authorisation of the Research team – see final page)

2.1 Project Description:

Provide a one paragraph lay summary of your original project

2.2 Nature of and reason/s for amendment/s:

Provide details of the changes you propose to make to the project and explain why they are necessary.

2.3 Possible inconveniences or risks to subjects:

Outline any inconvenience or possible risks that the changes you propose may create for participants eg. changes to confidentiality provisions, physical or psychological risks, increased time commitments etc

2.4 Actions to be taken by researchers to reduce risks:

Advise details of any additional actions and/or support that you will need to provide to subjects as a result of the proposed changes

2.5 Expected date of implementation of amendments to research:

2.6 Will any funding arrangements for the research been affected by the changes?

2.7 Implications for compliance with legislative requirements:

Please check current legislation and related requirements, if appropriate - e.g. Privacy Act 1998 / National Statement / Australian Code for the Responsible Conduct of Research

If no other change is required, please go to Section 5 (if applicable), then Sections 6 & 7

3) EXTENSION OF THE PROJECT

3.1 Provide the proposed new completion date.

___ / ___ / ____

3.2 Provide the reason for the extension of the project.

If no other change is required, proceed to Section 6

4) CHANGE OF PERSONNEL

4.1 Removing personnel from the project: (Copy and paste for multiple changes)

| | |
|---|-----|
| Name: | n/a |
| Date of Departure: | n/a |
| Signature of Principal Researcher: | n/a |

4.2 Adding new personnel to a project (Copy and paste for multiple changes)

Note: A Principal researcher must be a staff member:

| | |
|---|---|
| New researcher: | |
| Name | Dr Francisco Cruz |
| Phone | +61 3 522 73620 |
| Email (Use Federation details for internal personnel) | francisco.cruz@deakin.edu.au |
| Student ID: | n/a |
| Position on this project: (eg: Principal Researcher, Co Researcher) | Co Researcher |
| Researcher Qualifications, Experience & Skills 4.2.1 Describe what the researcher will do in the context of this project. | <p>Dr Francisco Cruz has been invited to participate in this project to create and then evaluate an Explainable Artificial Intelligence (XAI) explanation using the existing Mechanical Turk survey methodology.</p> <p>In the original survey, Charlotte Young used the results of the rubric survey to improve the quality of an AI explanation which was subsequently reassessed by Mechanical Turk respondents. As Charlotte was also the designer of the rubric, we wish to demonstrate that it can also be used by other independent AI practitioners to improve the quality of the explanations created by their systems. Dr Francisco Cruz is undertaking research into explainable AI at Deakin University, and has not been involved in the discussions leading to the creation of Charlotte's rubric. Therefore we propose to repeat the previous study, but with Francisco providing an initial explanation based on his robotic AI system, and then using rubric-based feedback to refine this explanation</p> |
| 4.2.2 List the researchers academic qualifications and outline the experience and skills that the additional researcher/s has in carrying out the research. | Relevant skills in Artificial Intelligence and XAI. Experience using Mechanical Turk surveys. Experience writing explanations for XAI. |
| Declaration of the new researcher: I confirm I have read the originally approved application and subsequent amendment/s and agree to comply with the standard conditions of approval and the National Statement | Signature: Date: |

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RESEARCHER TRAINING

All researchers at Federation University are required to undertake training in responsible research conduct (see *Australian Code for the Responsible Conduct of Research, R16*).

| | | |
|---|---|-----------------------------|
| Have all of the added named Federation University researchers completed the online training module provided by the University (Research Integrity, Second Edition)? (Every researcher must complete all of the modules they have been advised to complete by the Research Integrity Office - research.integrity@federation.edu.au) | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| If no , please list those still to complete the training below and confirm that the relevant researchers will complete the training within 3 months of the date of approval of this application (evidence will be required) | <input type="checkbox"/> Confirm | |
| | | |

4.3 Changing the status of a researcher on the project (Copy and paste for multiple changes)

| Researcher changes: | |
|--|-----|
| Name | n/a |
| Email (Use Federation details for internal personnel) | n/a |
| Current position on this project: Principal Researcher, Co Researcher | n/a |
| New position on this project: Principal Researcher, Co Researcher | n/a |
| Reason for change | n/a |

Proceed to Section 6

5) ATTACHMENTS: (if applicable)


- ☐ Copies of amended surveys, questionnaires or interview questions
- ☐ Copies of the amended advertisement, plain language statement, and consent form
- ☐ Details of other permission or approvals required as a result of your proposed changes

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6) DECLARATIONS: (for all proposed Amendments, Extensions & Changes to Personnel)

PRINCIPAL RESEARCHER (STAFF MEMBER): I accept responsibility for the conduct of this project and for the supervision of all associated personnel listed.

| | |
|------------|---|
| Name | Peter Vamplew |
| Signature: |  |
| Email: | p.vamplew@federation.edu.au |
| Date | 3 August 2021 |

STUDENT/OTHER RESEARCHER/S: I will perform all tasks/activities in compliance with the National Statement, under the direction of the principal researcher

| Name | Signature | Email | Date |
|-----------------|---|--|------------|
| Cameron Foale |  | c.foale@federation.edu.au | 06/08/2021 |
| Richard Dazeley |  | richard.dazeley@deakin.edu.au | 06/08/2021 |
| Charlotte Young | Charlotte Young | cm.young@federation.edu.au | 07/08/2021 |

7) ADR or Dean or Deputy Dean or School/Section Ethics Coordinator

***NB: Amendment requests (only) will not be considered without this additional authorisation:**

| Name | Signature | Date |
|------|-----------|------|
| | | |

For assistance contact the Ethics Office, Mt Helen:

Ph: +613 5327 9765

Email: research.ethics@federation.edu.au