

1 Considering the ethical implications of digital collaboration in the Food Sector

2 Naomi Jacobs^{1*}, Steve Brewer², Peter J. Craigon³, Jeremy Frey⁴, Anabel Gutierrez⁵, Samantha Kanza⁴,
3 Louise Manning⁶, Samuel Munday⁴, Simon Pearson², Justin Sacks¹

- 4
- 5 1. Imagination Lancaster, LICA, Lancaster University, Lancaster, Lancashire, LA1 4YW, UK
 - 6 2. The Lincoln Institute of Agri Food Technology, University of Lincoln, Lincoln, LN1 2LG, UK
 - 7 3. Future Food Beacon of Excellence and School of Biosciences, University of Nottingham, Sutton Bonington
8 Campus, LE12 5RD, UK
 - 9 4. School of Chemistry, Faculty of Engineering & Physical Sciences, University of Southampton,
10 Southampton, SO17 1BJ, UK
 - 11 5. School of Business and Management, Royal Holloway University, Egham, TW20 0EX, UK
 - 12 6. Royal Agricultural University, Cirencester, GL7 6JS UK

13 *Corresponding author Naomi.jacobs@lancaster.ac.uk

14 ORCIDS

15 Naomi Jacobs: <https://orcid.org/0000-0003-2079-1658>

16 Steve Brewer: <https://orcid.org/0000-0002-9708-0427>

17 Jeremy Frey: <https://orcid.org/0000-0003-0842-4302>

18 Anabel Gutierrez: <http://orcid.org/0000-0002-3730-8282>

19 Samantha Kanza: <https://orcid.org/0000-0002-4831-9489>

20 Louise Manning <http://orcid.org/0000-0002-9900-7303>

21 Samuel Munday: <https://orcid.org/0000-0001-5404-6934>

22 Simon Pearson: <https://orcid.org/0000-0002-4297-4837>

23 Justin Sacks: <https://orcid.org/0000-0002-8643-2087>

24

25 **Summary**

26 *The Internet of Food Things Network[†] (IoFT) and the Artificial Intelligence and Augmented Intelligence for*
27 *Automated Investigation for Scientific Discovery Network[†] (AI3SD) brought together an interdisciplinary multi-*
28 *institution working group to create an ethical framework for digital collaboration in the food industry. This will*

29 *enable the exploration of implications and consequences (both intentional and unintentional) of using cutting-edge*
30 *technologies to support the implementation of data trusts and other forms of digital collaboration in the food*
31 *sector. This article describes how we identified areas for ethical consideration with respect to digital collaboration*
32 *and the use of Industry 4.0 technologies in the food sector and describes the different interdisciplinary*
33 *methodologies being used to produce this framework. The research questions and objectives that are being*
34 *addressed by the working group are laid out, with a report on our ongoing work. The article concludes with*
35 *recommendations about working on projects in this area.*

36

37 **Keywords**

38 Food, supply chains, fourth industrial revolution, ethics, transparency, trust, design fiction, digital collaboration,
39 card-based tools

40 **Introduction**

41 With the increasing focus on food in today's modern world, from farm to table and everything in between, it is
42 unsurprising that food production is the largest sector in the United Kingdom (UK) manufacturing industry¹. The
43 food sector is facing several overarching challenges, such as continuing to feed the ever-expanding population,
44 reducing food waste, reducing environmental impacts of activities, and addressing different dietary and nutritional
45 requirements².

46 The so-called 'fourth industrial revolution'³ offers a wealth of opportunities in the food sector, especially through
47 the implementation of novel technologies such as distributed ledger technologies⁴ and artificial intelligence (AI)⁵.
48 However, for these opportunities to be fully realised, there is a need to be able to securely collaborate, share, and
49 access a wide variety of data sources across the entire food sector^{6,7}. Meeting this need requires a trusted
50 mechanism both to enable collaboration between the different parties throughout the supply chain and to support
51 each party to make decisions about the credibility of the separate data sources⁸. There is a plethora of data
52 associated with and generated by each stage of the food supply chain. However, use of this data may currently be
53 limited, with the result being that its innate value is not used productively or delivered equitably to actors across
54 the food system.

55 To create such a data collaboration would require the integration of both cutting-edge technologies and
56 surrounding social, institutional, and policy elements to ensure that the system works equally well and equitably
57 for all parties involved. As with the advent of any new technology or system, this data collaboration brings a
58 wealth of ethical implications to consider. For example, if AI is to be implemented, we need to address ethical
59 challenges that are well known in this area, such as bias and accountability, to create systems that are responsible
60 in their implementation and prioritise human well-being^{9,10}. Such complex challenges can be considered as 'wicked
61 problems'¹¹ and require an interdisciplinary approach. Additionally, by using holistic, speculative methods¹² that

62 explore potentialities as well as current solutions it is possible to consider both novel solutions, and emergent risks
63 that may not be evident purely by considering the current context.

64 This article first sets out the key areas in which the ethical implications need to be considered in the context of
65 digital collaboration in the food sector with a particular focus on the use of AI in shared data management and
66 utilisation, and the importance of responsible innovation. We have chosen AI as a representative example of the
67 type of fast-moving Fourth Industrial Revolution data technologies that are bringing particular ethical challenges to
68 this field³. Furthermore, AI can be seen as a converging socio-technical system which consist of many interlinked
69 ecosystems used by different actors interacting in complex ways (Stahl, 2021)¹³. Secondly, we report on ongoing
70 work to define and contextualise emergent ethical questions. We present how the use of interdisciplinary research
71 practices and methodologies, such as design fiction, can help to frame the transdisciplinary issues involved, assist
72 in gathering expert perspectives on how to address such complex challenges and support wider engagement of a
73 range of stakeholders including industry and communities. This paper is based on work currently in progress as
74 part of an interdisciplinary, multi-institution working group who are in the process of developing an ethical
75 framework to enable the exploration of the implications and consequences (both intentional and unintentional) of
76 using cutting-edge technologies to support the implementation of data trusts in the food sector. This is one of a
77 number of working groups undertaking focused research on issues around the challenges of data trusts in food
78 systems. This research is aligned to work funded by the Food Standards Agency (FSA) and led by the University of
79 Lincoln to create a data trust related to food safety¹.

80

81 **Digital collaboration in the food sector**

82 Schwab³ has described the Fourth Industrial Revolution (also called Industry 4.0) as being characterised “by more
83 ubiquitous and mobile internet, by smaller and more powerful sensors that have become cheaper, and by artificial
84 intelligence and machine learning.”. The backbone of the integration of these technologies is the data that they
85 utilise. This data is collected and generated in many ways, including by Internet of Things (IoT) sensors and other
86 sources, creating large data sets on which machine learning algorithms and other AI tools can be used to generate
87 valuable insight. To facilitate deriving economic, environmental and social value from such large and diverse
88 quantities of data, digital collaboration among supply chain actors and wider stakeholders is necessary.

89 The collaborative use of these new technologies has the potential to address some of the major challenges facing
90 the food sector. These challenges include adopting processes to deliver efficiency, productivity, sustainability,
91 traceability, transparency and information disclosure, as well as assuring food safety, improving diets and health,
92 minimising food fraud, and reducing food loss and food waste^{5,14}. For example, there have been several recent

¹ www.foodchain.ac.uk

93 high-profile incidents where the unforeseen or unacknowledged presence of allergens within food products has
94 caused illness or death, leading to calls for regulatory changes in mandatory labelling requirements¹⁵ and
95 improvements in the integrity of data used in supply chains.

96 The use of sensors and machine learning to predict and manage cross-contamination incidents in factories could
97 reduce some of these risks¹⁶. However, the data that could contribute to solving these problems may be
98 commercially and personally sensitive, is resource intensive to capture, and may lead to disproportionate
99 advantages for some chain actors, for example large agri-food conglomerates who own and exploit 'big data' with
100 negative ecological, economic and health consequences¹⁷. For this reason, digital collaboration and the sharing of
101 data require a degree of openness and trust. Trust and trustworthiness are already key factors in delivering
102 integrated food supply chains and food networks^{4,18}. How this trust is created and then evolves, is a complex
103 process. These trust-based challenges become even more complex, and more pressing, when new technologies are
104 introduced to either the food supply chain or the data sharing process.

105 It has been proposed that new data governance and organisation structures may be needed to facilitate trusted
106 data sharing, in order to fully take advantage of the opportunities that the fourth industrial revolution can bring to
107 society¹⁹. One such avenue for this is to establish data trusts. A report produced for the UK Department for Digital,
108 Culture, Media & Sport and Department for Business, Energy & Industrial Strategy in 2017 suggested that: "To
109 facilitate the sharing of data between organisations holding data and organisations looking to use data to develop
110 AI, Government and industry should deliver a programme to develop Data Trusts – proven and trusted frameworks
111 and agreements – to ensure exchanges are secure and mutually beneficial."²⁰. It has been suggested that such
112 frameworks could function effectively where other mechanisms such as commercial agreements would be
113 unsuitable²¹.

114 There are many definitions of data trusts, which cover a range of concepts from formal legal agreements to more
115 conceptual framings²². The Open Data Institute (ODI) defines a data trust as: "a legal structure that provides
116 independent stewardship of data"²³. The Internet of Food Things Network⁺ is exploring the concept of data trusts
117 in the context of food production supply and has taken the ODI work as a foundation. Network members, including
118 authors of this paper have contributed to developing a working definition of a data trust as part of the network's
119 research activities, which we are using for the purposes of this research. This definition is as follows: "*The concept
120 of a data trust is a mechanism to collate data from multiple sources, either physically, or virtually, to be managed
121 or orchestrated in some way on behalf of all of the parties through independent, fiduciary stewardship of data*".

122 This digital collaboration framework could include a range of fourth industrial revolution technologies, such as
123 distributed ledger technologies (e.g. blockchain) and Artificial Intelligence (AI technologies).

124 **Ethical challenges of data sharing and AI**

125 There are many well-known examples where autonomous systems that use AI and machine learning result in
126 unintended and harmful consequences. Such systems are popular because they are efficient, flexible and are quick
127 to react to complex systems; however, this in turn can lead to unanticipated, undesirable outcomes. Examples
128 include unintended bias²⁴, violations of privacy²⁵, and fatal accidents²⁶. Consequences can arise from the behaviour
129 of the systems or as a result of the ways in which they are conceived, designed, deployed, or used. It is important
130 that all parts of the application life cycle are considered to ensure responsible and ethical use in the design and
131 deployment of these technologies. Despite significant discussion on these ethical issues across many fields of
132 academic study, and a plethora of ethical guidelines being published by businesses, governments, professional
133 organisations and others, there are still few binding regulations and mutually agreed normative standards for
134 ethical use of AI²⁷. However, this work is ongoing, for example, in the development of a new set of standards for
135 ethical autonomous and AI systems¹⁰.

136 Many of these ethical challenges relate to issues of trust and transparency, which as previously highlighted in this
137 paper are also key considerations with regard to the operation of the food supply chain more generally. In the case
138 of systems that use AI, it is important that the function and decision-making capabilities of the systems are
139 transparent in order that accountability and auditability can be ensured. We must understand how the ethical
140 concerns are framed and operationalized, in order to identify where the use of such systems may introduce new
141 risks and challenges. Examples include areas such as bias and privacy, as well as wider ethical concerns, such as
142 sustainability, and the impact of automation on labour and well-being. Rather than evaluating the technical
143 challenges of adopting and integrating a data collaboration framework (as other working groups are doing²²), our
144 working group focusses specifically on identifying and classifying conceptions and understandings of the ethical
145 issues, and on the long-term implications of creating a framework that relies on the characteristics and efficacy of
146 the technologies employed. In this way, it is intended that these considerations can be incorporated into the
147 technical development process, with a goal of facilitating progress towards ethics by design whereby ethical
148 considerations are raised during the design process and they become design requirements integral to the
149 technology under development, designed in from the start rather than applied retrospectively.

150 These ethical implications are emergent from the utilisation of these technologies, whether they are used by single
151 or multiple actors, in isolation or in consortia. It is critical that ethical implications must be addressed if such
152 technology is to be implemented in a way that is responsible and socially beneficial.

153 **Responsible (Research and) Innovation (R(R)I)**

154 Examining the ethical implications of emerging technology situates this current work in a wider discourse that has
155 become known as Responsible Innovation with its policy counterpart being known as Responsible Research and
156 Innovation as part of the EU's horizon 2020 framework programme. This has developed out of predecessors such
157 as Appropriate Technology, Technology Assessment and Science and Technology Studies²⁸ and the Ethical Legal

158 and Social Aspects of Technology amongst others^{29,30}. There are many facets to RRI with its definition and scope
159 subject to multiple perspectives. Having said this, it has been summarised as:

160 *'a transparent, interactive process by which societal actors and innovators become mutually responsive to each*
161 *other with a view on the (ethical) acceptability, sustainability and societal desirability of the innovation process and*
162 *its marketable products (in order to allow a proper embedding of scientific and technological advances in our*
163 *society)*³¹.

164 Stilgoe et al³² expand this to a more general definitions meaning:

165 *'Taking care of the future through collective stewardship of science and innovation in the present.'*

166 Given these definitions, there has been much work on integrating these elements into the operation and
167 governance of Research and Innovation activities. For example, R(R)I considerations have been embedded in the
168 development of specific technologies, for example Smart information Systems (SHERPA)³³, Human genomics,
169 human enhancement and human machine interaction (SIENNA)³⁴ or approaches to ethical assessment of R and I
170 (SATORI)³⁵ alongside other approaches technologies such as nanotechnology³⁶ and geoengineering³².

171 These emerging technologies are all subject to uncertainty in their development and impact and what is known as
172 the Collingridge dilemma³⁷ which states that 'attempting to control a technology is difficult. . . because during its
173 early stages when it can be controlled, not enough can be known about its harmful social consequences to warrant
174 controlling its development; but by the time these consequences are apparent, control has become costly and
175 slow'. This requires steps to be taken to try and anticipate the impact of emerging technology and make changes
176 to its development and implementation before they become more difficult. One potential approach is what is
177 known as the precautionary principle where steps are taken to mitigate potential negative impacts of a technology
178 even when these impacts are subject to considerable uncertainty. This has been seen to be a barrier to
179 technological progress but instead it is intended to act as a safeguard against potential future negative impacts so
180 that they can be addressed before the impact has become embedded and difficult to change. A wide variety of
181 approaches have been developed to address these difficulties in engaging with the ethics of emerging technology.
182 Reijers et al³⁸ provide a review which classify such approaches into ex ante (for example anticipatory technology
183 ethics and scenario approaches), intra (for example Value Sensitive Design and Ethical Impact Assessment) and ex
184 post (for example checklist approaches or the Ethical Matrix) methods depending on whether they are undertaken
185 before, during or after the technology development process indicating the complexity of the issues at stake and
186 the variety of approaches proposed for addressing them.

187 The potential impacts and social context of emerging technologies is varied and hard to predict, especially when
188 considered in logically malleable computational technologies such as AI. R(R)I therefore requires scientists and
189 stakeholders in research and innovation themselves to develop skills to reflect on their own practice and engage
190 with stakeholders in an upstream manner³⁹ to consider and work towards a societally desirable innovation, in all

191 aspects of their work. To this end R(R)I has been generalised into several frameworks, approaches, tools and forms
192 of measurement to enable and ensure responsible innovation. For example, Stilgoe et al formulate R(R)I as a four-
193 stage process to enable the Anticipation, Reflexivity, Inclusion and Responsiveness of Research and Innovation to
194 the concerns of society³². This has been adapted and adopted for example by the UK's Engineering and Physical
195 Sciences Research Council (EPSRC) and their AREA framework, which asks researchers to Anticipate, Reflect,
196 Engage and Act in relation to the societal aspects of their research⁴⁰, which has been aided by the specification of
197 an accompanying '4P' process asking them to consider the Purpose, Process, People and Product of their research
198 across the AREA framework⁴¹. In practice, this generalised structure has been considered too vague and non-
199 specific for individual research projects to adopt and 'do' R(R)I for their project. To mitigate this, there have been
200 considerable efforts to provide accessible tools, across subjects and domains to make R(R)I elements accessible,
201 engaging and implementable, as illustrated by the breadth of the information, case studies and tools made
202 available through the RRI tools website⁴².

203 The project discussed in this paper brings together different disciplines and groups at the intersection of Food and
204 Technology research and innovation research communities. The project is focused on aiding the discursive
205 engagement with different stakeholder communities, both through exploring and producing a shared glossary and
206 in using design fiction to creatively anticipate the data trust model and its application in the food sector through
207 the reflective co-creation of the speculative design artefacts. These tools and outcomes will act as an exemplar of
208 how such methods can be used to engage with wider stakeholders. Further engaged reflection using an ethics by
209 design tool will result in the creation of an ethical framework to inform future reflections, engagement and actions
210 in this space from the research, governance, business and civil society organisations and beyond.

211 Not only will the work represent a grounded reflexive engagement with the ethics of data sharing in the food
212 system, but this will act as an example of a novel, engaged reflexive, co-creation methodology to potentially act as
213 a model for further engagement. Furthermore, this work addresses some of the recommendations and
214 shortcomings identified by Reijers et al³⁸ with emerging technologies to enable them to be developed towards the
215 goals of Responsible (Research and) Innovation.

216 **Challenges of addressing ethics in the use of AI in digital collaboration in the food sector**

217 In order to begin to address some of these challenges, it is necessary to bring together interdisciplinary teams with
218 a range of expertise and knowledge. It is critical that we consult those with expertise in digital technology, for
219 example, distributed ledger technologies and machine learning. However, we also need contributions from those
220 with in-depth knowledge of the food sector and the current ways in which supply and distribution chains function,
221 as well as legal scholars who can construct new regulatory and governmental frameworks for data sharing. It will
222 also be beneficial to have input from philosophers who can unpick some of the complex ethical challenges that
223 arise from these new technologies, which raise new conceptual and contextual questions such as: How do we

224 frame the nature of responsibility when AI autonomous agents are part of functional and decision-making systems
225 and act on behalf of supply chain actors and ultimately consumers? It is also important to consider expertise from
226 outside the academy, and engage (as responsible innovation advocates) with a wider range of stakeholders
227 including industry, policymakers and the public who have vested interest in the development of these systems.
228 This can be particularly challenging to accomplish.

229 Such collaborations across disciplines and sectors are necessary and fundamental to tackling these issues.
230 However, working collaboratively with people who have different disciplinary backgrounds can result in its own co-
231 creational challenges. A significant barrier to the development and enacting of effective interdisciplinary
232 collaboration is the lack of a shared common language⁴³. This may manifest in subtle ways; for example, the term
233 transparency, utilised already in this paper, is used commonly across many different discussions of this topic but
234 can have very different meanings to those using it (in addition to meanings from everyday language), depending
235 on the discipline from which they come. Transparency might have a range of meanings relating to the ability to
236 have full access to the algorithms and associated training data when considering AI systems⁴⁴. It might also mean
237 that opacity and information asymmetry is reduced and as a result actors have accurate data associated with the
238 traceability and provenance of food items. In the case of certain disciplines such as computer interaction design, it
239 might even mean something entirely contradictory: the ability of devices and sensor-based systems to operate in
240 such a way that they blend into the background and are not consciously considered by those using them⁴⁵. For this
241 reason, we suggest that the first stage in the construction of an ethical framework in this complex area must be a
242 co-created set of definitions of terms in order to develop a common understanding for discussing ethical issues
243 that may arise and their consequences.

244

245 **A Multidisciplinary Approach**

246 The Ethics of AI in Food Data Trusts Working Group was established to investigate and frame the ethical issues that
247 arise from the creation and use of a data trust, and how the potential negative or unintended consequences of
248 using Industry 4.0 technologies to facilitate a data trust model between many collaborative parties can be
249 mitigated. Table 1 describes our research objectives and aims. Through initial scoping work, we identified sharing
250 data about allergens as a conceptual scenario on which we could base our research. This allergens case study,
251 which included the use of AI for classification and prediction, therefore became the focus of our studies and
252 examples; both to identify why an ethical framework is necessary and how one could be implemented within a
253 specific context.

254 **[Insert Table 1 here]**

255 Our working group comprises researchers from different disciplines who have extensive experience working in
256 interdisciplinary research projects, as well as industry experience within the food sector. Our skillsets include

257 technical expertise in AI, Semantic Web and IoT Technologies, ethics and law, in addition to experience in food
258 safety, food integrity, and food sustainability risk assessment and risk mitigation. The team also includes design
259 researchers who bring new methodological approaches to bear on these challenges, including the use of
260 speculative design and design fiction, which can be used for wider participatory approaches and stakeholder
261 engagement⁴⁶.

262 Speculative design is a design methodology that aims to provoke discussion by using speculation to consider
263 potential, plausible, or possible future outcomes of current directions in societal or technological development.
264 These speculative outcomes are not intended to be predictive or suggest how things should be, but instead
265 provide opportunities for discussion. In their influential work *Speculative Everything*, Dunne and Raby⁴² suggest
266 that, “Props used in design speculations are functional and skilfully designed; they facilitate imagining and help us
267 entertain ideas about everyday life that might not be obvious. They help us think about alternative possibilities—
268 they challenge the ideals, values, and beliefs of our society embodied in material culture.”

269 The development of tangible objects that represent and embody technological design speculations is known as
270 design fiction, a method popularised by Julian Bleeker⁴⁷. Design fiction is the process of creating prototypical
271 objects that are physical manifestations of a fictional shift in the world, which may reflect alternate pasts or
272 presents or speculated futures. These design fictions can be used to engage with multiple stakeholders and assist
273 in considering complex issues that might result from the deployment of technology. For example, Jacobs et al⁴⁶
274 created objects representing a fictional deployment of IoT-enabled dustbins and used these objects in
275 participatory work with the local community to consider questions of data access, privacy, and transparency. These
276 objects included informational leaflets and resident access cards distributed by the local council as well as press
277 coverage of public pushback on the privacy implications of the devices.

278 Because data collaboration frameworks in the food sector are part of complex existing systems, and there are
279 many potential opportunities and solutions to address these challenges, they are a good example of so-called
280 ‘wicked problems’⁴¹. Design fiction is a useful method by which to address such wicked problems, because
281 potential solutions can be evaluated without designing and building expensive fully-working prototype systems,
282 cutting through the Collingridge dilemma described above. If a system is built in its entirety, it may have to be fully
283 redesigned when issues are found. This could prove costly and result in damaging outcomes if such issues are only
284 revealed when the systems are deployed in the real world, and stakeholders interact with them in real-world
285 contexts.

286 In this project we are therefore combining the design fiction work with another key method, that of ethical
287 reflection, engagement and evaluation using a card-based tool, specifically the Moral-IT cards. The Moral-IT cards
288 have been developed as a tool to prompt reflection on the legal, ethical, technical and social implications of new
289 information technologies⁴⁸. The reflective use of the Moral-IT cards has many flexible applications, one of which is

290 to help technology developers work towards 'ethics by design', as noted above where, ethical considerations are
291 raised during the design process and ethical requirements become integral to the technology under development.

292 The Moral-IT cards ask open questions across a range of principles, grouped into four loose overlapping categories
293 or suits of Ethics, Security, Privacy and Law (as well as Narrative prompts) (See Fig 1). These questions are all posed
294 in relation to 'your technology', which is the technology under consideration in the exercise. Previous work has
295 shown that the Moral-IT cards work flexibly across a range of IT-based technologies to enable developers to
296 ethically consider their work. The flexibility of their use allows for the expression of a range of perspectives,
297 anchored through the shared resources of the cards to facilitate the ethical assessment of technology⁴⁸. Through
298 the use of combining design fiction and these cards, we can explore speculative ethical challenges.

299 **[Insert Fig 1 here]**

300

301 To contribute to the development of our ethical framework our approach therefore has three methodological
302 strands that contribute to a novel responsible innovation approach:

303 **Create common glossary:** The glossary will be constructed through multidisciplinary literature review and iterative
304 collaborative discussion to reflect the interdisciplinary scope of this activity. It will allow us to map out the key
305 understandings of the different disciplinary definitions of concepts related to ethics within the food industry and
306 supply chain. Through this we can develop a shared understanding and enable discussions across different
307 disciplines and sectors.

308 **Create speculative design for data trust model:** This research method will synthesise the expertise of the working
309 group and identify challenges that emerge from the glossary exercise to create design fiction objects; tangible and
310 explorable items which represent a fictional future data trust based on plausible extrapolations of proposed
311 models. These design fictions will be used within the project for evaluation and to demonstrate a methodology
312 which can be used in subsequent work to enable a wide range of stakeholders to engage with the operation of a
313 data trust and explore the ethical issues and potential barriers to its operation. The design fiction objects will
314 revolve around the use-case of monitoring and tracking of food allergens in the food supply chain in a system that
315 includes AI prediction and classification.

316

317 **Evaluation of speculative design project:** The design fictions will be ethically 'assessed' using the Moral-IT cards,
318 which were developed to support and encourage the 'ethics by design' of technology. This research method will
319 help to identify and prioritise emergent ethical issues and concerns in the design and use of a data trust system for
320 the food system, with particular focus on the management of food allergens.

321

322 **Preliminary findings**

323 We have found that the process of bringing together an interdisciplinary team has itself yielded promising insights
324 into this topic. Ideas that were initially developed in a two-day research retreat have been developed through
325 collaborative working and a series of workshops². In the first of these workshops, the allergen model that was
326 proposed at the retreat event was developed further via a process of speculative worldbuilding. This process
327 (following Coulton et al (2017))⁴⁹ aims to construct not a single speculative object or a narrative scenario, but
328 rather a cohesive 'world' which can be probed and explored, and which can be further explicated through
329 representative design fiction objects which instantiate and concretise its features. In this case, our model included
330 identifying different actors who would interact with the data trust as well as features of the data storage and
331 functions of AI processes that would act within it, such as prediction systems to provide producers with
332 information on likely periods of increased demand in the event of a contamination incident (see Fig 2).

333 **[Insert Fig 2 here]**

334 Based on this work, four design fiction objects were developed through a grounded, iterative process to represent
335 plausible elements of the future implementation of a food data trust and associated socio-technical systems. These
336 include a documentary film, minutes from the meeting of the governance board managing the data trust, the
337 design and use by consumers of a smart phone app, and the use of smart packaging that uses shared data (see Fig
338 3). We held a participatory workshop whereby external academic participants with a range of domain expertise
339 (including computer science, law and food) assessed these objects using the Moral-IT Cards.

340 **[Insert Fig 3 here]**

341 During this process, the participants were asked to identify: potential ethical benefits and harms of the technology,
342 ways of maximising the benefits and minimising the harms, as well as the pragmatic challenges of implementation
343 of these maximisation and minimisation strategies. The workshop discussions were prompted and anchored by the
344 questions and cards in relation to the design fiction artefacts. By analysing the data from this activity, we aim to
345 reveal emergent themes important to the overall data trust concept. For example, how people view the
346 technology according to how they are situated in relation to it (e.g whether allergen tracking is of concern to
347 them), particular concerns of the use of AI (e.g whether issues of bias and fairness disproportionately affect some
348 stakeholders) and how the ethical challenges of a system may relate to the wider sociotechnical context of which it
349 is part. Using such a flexible and pragmatic tool to ethically assess the design artefacts provides insights generated
350 in response to 'real' scenarios to enable the development of an ethical framework based on the reality of an as yet
351 undeveloped system. This will give the ethical framework a pragmatic grounding that would be lacking from a
352 more abstract approach to the potential implementation of a data trust within the food system and will reveal how

² These were held online due to COVID-19 restrictions, which required the development of some novel tools for remote collaboration.

353 this methodological approach compares to those developed for practising ethics and responsible innovation in
354 relation to technology as noted above ³⁸.

355 **Future work: Creating an ethical framework:**

356 Having conducted the research through these different activities, our working group plans to collate the extensive
357 findings to create an ethical framework. This framework is conceived as a mechanism for parties at all stages of the
358 digital food chain to identify ethical questions, risks, and trade-offs that need to be considered for their systems to
359 contribute to responsible innovation.

360 Through undertaking this multidisciplinary research, it has become apparent that there is significant value in a
361 combined methodological approach of this nature. Often in work pertaining to such complex systems and
362 theoretical questions, the starting point may be a set of generalised principles such as transparency and trust. By
363 contrast, our approach started from a situated, plausible and tangible (though fictional) instantiation (that is,
364 example) of a data trust in operation, which provided valuable grounded insight. The fact that this data trust is a
365 speculative fiction means that this interrogation could take place without having to wait for technical or practical
366 implementation, which could take many years, potentially mitigating some of the impact of the Collingridge
367 Dilemma as discussed above.

368
369 An ethical assessment developed from first principles would also have been impeded by the need to coalesce
370 complex and varied understandings of ethical terms across perspectives, as demonstrated through the creation of
371 a shared glossary and vocabulary which took considerable work. Starting with the technology rather than the
372 ethics helps to mitigate this issue and has allowed for valuable insight into the ethical considerations of a data trust
373 to emerge, an approach which may be valuable and applicable more widely in the context of responsible
374 innovation.

375
376 With respect to the diverse ethical questions and issues surrounding digital collaboration and the use of AI in the
377 food industry we have found that, unsurprisingly, there are no simple “right or wrong” answers. There are complex
378 issues at stake, and trade-offs to be considered. For example, our workshops included discussion of the multiple
379 competing environmental impacts which could require compromise. Creating systems to evaluate the
380 environmental impact of different food solutions with a view to reduce environmental damage must be balanced
381 against the environmental impact that harnessing the required additional computing power would have. Before
382 anyone can start to make ethical decisions, a pragmatically emergent and grounded framework needs to be in
383 place to highlight all of the different elements that need to be considered such that users of the framework can be
384 empowered to make informed decisions.

385 **Recommendations & Conclusions**

386 Working on this project has made it very clear that it is absolutely vital to have an interdisciplinary team. Ethics is a
387 complex interdisciplinary issue and as such needs to be understood across a range of different domains.
388 Preliminary discussions demonstrated that there are disparate meanings and understandings of the core ethical
389 terms (such as transparency and accessibility) across different domains, and as such it is imperative to work to
390 develop a shared understanding of the language used. While our working group did include those with practical
391 industry experience, the majority of the group are academics. The pilot project was limited in scope and reach
392 due to resource constraints, and we therefore suggest that further work should take a similar methodological
393 approach but extend this to include a much wider range of stakeholders and expertise, including from outside
394 academia in line with the focus on engagement at the heart of responsible innovation.

395 A key aspect that keeps arising is the need to plan and consider ethical issues of digital collaboration *before*
396 embarking on their creation and usage. Using a range of methodologies such as design fiction and the Moral-IT
397 cards enables researchers, managers and designers in both an industry and an academic context to explore
398 potential ethical issues from the start rather than after system development. Most importantly, an iterative
399 approach is key, as ethical considerations need to develop alongside changing digital collaboration developments.
400 Such considerations speak to responsible innovation and its requirement to anticipate and reflect on potential
401 impacts of technology in advance. The creative combination of 'design fiction' and 'ethics by design' methods
402 developed here to potentially act as a valuable way of engaging with the ethical acceptability of emerging
403 technology, mitigate elements of the Collingridge Dilemma and help them to be aligned to be more societally
404 desirable overall.

405 **Experimental Procedures**

406 *Resource Availability*

407 Further information and requests for resources should be directed to and will be fulfilled by the lead contact,
408 Naomi Jacobs (naomi.jacobs@lancaster.ac.uk)

409 *Materials Availability*

410 This study did not generate new unique materials, beyond the use-specific Design Fiction objects which can be
411 viewed via contacting the lead contact.

412 *Data and Code Availability*

413 The qualitative data reported in this study cannot be deposited in a public repository because of ethical
414 considerations and identifiable personal information.

415 **Acknowledgements**

416 This research is aligned to the Food Standards Agency (FSA) funded work led by the University of Lincoln to create
417 a Data Trust related to Food Safety.

418 This working group is joint-funded by the Internet of Food Things Network⁺ (Grant Number: EP/R045127/1) and
419 the Artificial Intelligence and Augmented Intelligence for Automated Investigation for Scientific Discovery
420 Network⁺ (AI3SD) (Grant Number: EP/S000356/1).

421

422 **Author Contributions**

423 N.J initiated the paper and drafted the initial manuscript. This was based on the working group proposal
424 documents that were collaboratively developed by all authors. N.J and J.S led the design fiction process, and P.C
425 led the use of the Moral-IT Cards. All authors took part in the workshops and read and provided input into the
426 manuscript. S.K and S.M helped revise the final manuscript. The working group was led by S.K with support from
427 S.M and S.B.

428

429 **Declarations of Interest**

430 The Authors declare no competing interests.

431

432 **References**

- 433 1. FDF public site: Home [Internet]. [cited 2021 Jan 20]. Available from: <https://www.fdf.org.uk/>
- 434 2. Kowalska A, Manning L. Using the rapid alert system for food and feed: potential benefits and problems on
435 data interpretation. *Crit Rev Food Sci Nutr.* 2020 Apr 10;0(0):1–14.
- 436 3. Schwab K. *The Fourth Industrial Revolution.* Crown; 2017. 194 p.
- 437 4. Pearson S, May D, Leontidis G, Swainson M, Brewer S, Bidaut L, et al. Are Distributed Ledger Technologies the
438 panacea for food traceability? *Glob Food Secur.* 2019 Mar 1;20:145–9.
- 439 5. Brewer S, Pearson S, Pauli M, Leveson-Gower H, Frey J, Maull R, et al. Digital collaboration in the food and
440 drink production supply chain [Internet]. Zenodo; 2019 Sep. Available from:
441 <https://zenodo.org/record/3368237>
- 442 6. Wolfert S, Ge L, Verdouw C, Bogaardt M-J. Big Data in Smart Farming – A review. *Agric Syst.* 2017 May
443 1;153:69–80.
- 444 7. Marvin H, Janssen E, Bouzembrak Y, Hendriksen P, Staats M. Big data in food safety: An overview. *Crit Rev*
445 *Food Sci Nutr.* 2017 Jul 24;57(11):2286–95.

- 446 8. Jakku E, Taylor B, Fleming A, Mason C, Fielke S, Sounness C, et al. "If they don't tell us what they do with it,
447 why would we trust them?" Trust, transparency and benefit-sharing in Smart Farming. *NJAS - Wagening J Life*
448 *Sci.* 2019 Dec 1;90–91:100285.
- 449 9. Dignum V. *Responsible Artificial Intelligence: How to Develop and Use AI in a Responsible Way.* Springer
450 Nature; 2019. 133 p.
- 451 10. Chatila R, Havens JC. The IEEE Global Initiative on Ethics of Autonomous and Intelligent Systems. In: Aldinhas
452 Ferreira MI, Silva Sequeira J, Singh Virk G, Tokhi MO, E. Kadar E, editors. *Robotics and Well-Being* [Internet].
453 Cham: Springer International Publishing; 2019. p. 11–6. (Intelligent Systems, Control and Automation: Science
454 and Engineering). Available from: https://doi.org/10.1007/978-3-030-12524-0_2
- 455 11. Durant R, Legge J. "Wicked Problems," Public Policy, and Administrative Theory: Lessons From the GM Food
456 Regulatory Arena. *Adm Soc.* 2006;38(3):309–34.
- 457 12. Dunne A, Raby F. *Speculative Everything: Design, Fiction, and Social Dreaming.* MIT Press; 2013. 235 p.
- 458 13. Stahl B C. *Artificial Intelligence for a Better Future - An Ecosystem Perspective on the Ethics of AI and*
459 *Emerging Digital Technologies* [Internet]. 2021 [cited 2021 May 28]. 124 p. Available from:
460 <https://www.springer.com/gp/book/9783030699772>
- 461 14. Manning L, Soon JM. Developing systems to control food adulteration. *Food Policy.* 2014 Dec 1;49:23–32.
- 462 15. Gregory D. From the Chief Executive and IFST News. *Food Sci Technol.* 2018;32(4):8–12.
- 463 16. Porcheron M, Watson N, Fischer JE, Reeves S. The future of factory cleaning: responsible cleaning data
464 collection and use framework. 2020 May 27; Available from: <http://doi.org/10.17639/nott.7054>
- 465 17. Bronson K, Knezevic I. Big Data in food and agriculture. *Big Data Soc* [Internet]. 2016 Jun;3(1). Available from:
466 <https://doi.org/10.1177/2053951716648174>
- 467 18. Murphy B, Benson T, Lavelle F, Elliott C, Dean M. Assessing differences in levels of food trust between
468 European countries - ScienceDirect. *Food Control.* 2021 Feb;120(107561).
- 469 19. Luthra S, Mangla SK. Evaluating challenges to Industry 4.0 initiatives for supply chain sustainability in emerging
470 economies. *Process Saf Environ Prot.* 2018 Jul 1;117:168–79.
- 471 20. Hall W, Pesenti J. Growing the artificial intelligence industry in the UK. Department for Digital, Culture, Media
472 & Sport and Department for Business, Energy & Industrial Strategy. Part of the Industrial Strategy UK and the
473 Commonwealth.; 2017.
- 474 21. Stalla-Bourdillon S, Wintour A, Carmichael L. Building Trust Through Data Foundations A Call for a Data
475 Governance Model to Support Trustworthy Data Sharing. *Web Science Institute;* 2019 Dec p. 31.
- 476 22. Durrant A, Markovic M, Matthews D, May D, Leontidis G, Enright J. How might technology rise to the
477 challenge of data sharing in agri-food? *Glob Food Secur.* 2021 Mar 1;28:100493.
- 478 23. Hardinges J, Wells P. Defining a 'Data Trust' [Internet]. *Open Data Institute Blog.* 2018 [cited 2021 Jan 19].
479 Available from: <https://theodi.org/article/defining-a-data-trust/>
- 480 24. Caliskan A, Bryson JJ, Narayanan A. Semantics derived automatically from language corpora contain human-
481 like biases. *Science.* 2017 Apr 14;356(6334):183–6.

- 482 25. Tockar A. Riding with the Stars: Passenger Privacy in the NYC Taxicab Dataset – Neustar Research Blog
483 [Internet]. [cited 2021 Jan 19]. Available from: <http://content.research.neustar.biz/blog/differential-privacy/QueriesWidget.html>
484
- 485 26. N. T. S. Board. Collision between a car operating with automated vehicle control systems and a tractor-
486 semitrailer truck near williston, florida, may 7, 2019. 2017. Report No.: Accident Report NTSB/HAR-17/02,
487 PB2017-102600.
- 488 27. Haas L, Gießler S, Thiel V. In the realm of paper tigers – exploring the failings of AI ethics guidelines [Internet].
489 AlgorithmWatch. 2020 [cited 2021 Jan 19]. Available from: [https://algorithmwatch.org/en/ai-ethics-
490 guidelines-inventory-upgrade-2020/](https://algorithmwatch.org/en/ai-ethics-guidelines-inventory-upgrade-2020/)
- 491 28. Shanley D. Imagining the future through revisiting the past: the value of history in thinking about R(R)I's
492 possible future(s). *J Responsible Innov.* 2021 Mar 2;0(0):1–20.
- 493 29. Zwart H, Landeweerd L, van Rooij A. Adapt or perish? Assessing the recent shift in the European research
494 funding arena from 'ELSA' to 'RRI'. *Life Sci Soc Policy.* 2014 May 14;10(1):11.
- 495 30. Owen R, Macnaghten P, Stilgoe J. Responsible research and innovation: From science in society to science for
496 society, with society. *Sci Public Policy.* 2012 Dec 1;39(6):751–60.
- 497 31. Union PO of the E. Towards responsible research and innovation in the information and communication
498 technologies and security technologies fields. [Internet]. Publications Office of the European Union; 2011 Nov
499 [cited 2021 May 28]. Available from: [http://op.europa.eu/en/publication-detail/-/publication/60153e8a-0fe9-
500 4911-a7f4-1b530967ef10](http://op.europa.eu/en/publication-detail/-/publication/60153e8a-0fe9-4911-a7f4-1b530967ef10)
- 501 32. Stilgoe J, Owen R, Macnaghten P. Developing a framework for responsible innovation. *Res Policy.* 2013
502 Nov;42(9):1568–80.
- 503 33. Project Sherpa – Shaping the Ethical Dimensions of Smart Information Systems a European Perspective
504 [Internet]. [cited 2021 May 28]. Available from: <https://www.project-sherpa.eu/>
- 505 34. Fernow J. SIENNA [Internet]. Uppsala University, Sweden; [cited 2021 May 28]. Available from:
506 <https://www.sienna-project.eu/>
- 507 35. SATORI [Internet]. [cited 2021 May 28]. Available from: <https://satoriproject.eu/>
- 508 36. Felt U, Schumann S, Schwarz CG, Strassnig M. Technology of imagination: a card-based public engagement
509 method for debating emerging technologies. *Qual Res.* 2014 Apr 1;14(2):233–51.
- 510 37. Genus A, Stirling A. Collingridge and the dilemma of control: Towards responsible and accountable innovation.
511 *Res Policy.* 2018 Feb 1;47(1):61–9.
- 512 38. Reijers W, Wright D, Brey P, Weber K, Rodrigues R, O'Sullivan D, et al. Methods for Practising Ethics in
513 Research and Innovation: A Literature Review, Critical Analysis and Recommendations. *Sci Eng Ethics.* 2018
514 Oct;24(5):1437–81.
- 515 39. Wynne B. Risk and Environment as Legitimatory Discourses of Technology: Reflexivity Inside Out? *Curr Sociol.*
516 2002 May 1;50(3):459–77.
- 517 40. Framework for Responsible Innovation - EPSRC website [Internet]. [cited 2021 May 28]. Available from:
518 <https://epsrc.ukri.org/research/framework/>

519 41. AREA 4P Framework | Orbit RRI [Internet]. Orbit. [cited 2021 May 28]. Available from: [https://www.orbit-](https://www.orbit-rri.org/about/area-4p-framework/)
520 [rri.org/about/area-4p-framework/](https://www.orbit-rri.org/about/area-4p-framework/)

521 42. RRI Tools [Internet]. [cited 2021 May 28]. Available from: <https://rri-tools.eu/>

522 43. Jacobs N, Amos M. NanoInfoBio: A case-study in interdisciplinary research. In: Applied Research and
523 Professional Education Proceedings of the First CARPE Networking Conference edited by Juha Kettunen,
524 Ursula Hyrkkänen, and Anttoni Lehto. Utrecht: University of Turku; 2011. p. 289–309.

525 44. Larsson S, Heintz F. Transparency in artificial intelligence. Internet Policy Rev [Internet]. 2020 May 5 [cited
526 2021 Jan 19];9(2). Available from: <https://policyreview.info/concepts/transparency-artificial-intelligence>

527 45. Bardram JE, Bertelsen OW. Supporting the development of transparent interaction. In: Blumenthal B,
528 Gornostaev J, Unger C, editors. Human-Computer Interaction. Berlin, Heidelberg: Springer; 1995. p. 79–90.
529 (Lecture Notes in Computer Science).

530 46. Jacobs N, Markovic M, Cottrill C, Edwards P, Corsar D, Salt K. Made-Up Rubbish: Design Fiction as a Tool for
531 Participatory Internet of Things Research. Des J. 2020;23(3):419–40.

532 47. Bleeker, Julian. A short essay on design, science, fact and fiction. 2009.

533 48. Urquhart L, Craighan PJ. The Moral-IT Deck: A Tool for Ethics by Design. J Responsible Innov. 2021 Forthcoming;

534 49. Coulton, P, Lindley J, Sturdee M, Stead M. Design Fiction as World Building. In 2017 [cited 2021 Jul 19]. p. 163–
535 79. Available from:
536 https://figshare.com/articles/journal_contribution/Design_Fiction_as_World_Building/4746964

537

538 **Figure Titles and Legends**

539 Figure 1: The Moral-IT Card Categories or ‘Suits’

540 Figure 2: Speculative World Building Preliminary Model

541 Figure 3: Design Fiction Object: Smart Packaging

542

543 **Tables, Table Titles and Legends**

RESEARCH QUESTIONS	RESEARCH AIMS
<p>RQ1: How can we translate well-established ethical issues for cutting-edge technologies to the particular context of the food industry, to support wider discussion about ethics in digital collaboration systems?</p>	<p>RA1: Identify ethical issues (both obvious/unobvious and intentional/unintentional) of using cutting-edge technologies to create and implement a large-scale data trust model for collaboration and data sharing</p>

<p>RQ2: What tools are needed to support those who are sharing data in ensuring that they provide individuals with the necessary information and tools to make ethical decisions about, for example, allergens data, if they want to? This should be considered on both a small individual scale and large corporation scale in a food network.</p>	<p>RA2: Identify potential mitigations / solutions to these ethical issues of sharing data between supply chain actors.</p>
<p>RQ3: Can we develop tools that enable evaluation of whether a data trust model benefits and is accessible to all related parties irrespective of size, resources or access to technology?</p>	<p>RA3: Identify a set of strategies to provide individuals at each stage of the food supply chain with the necessary tools and information to identify and make ethical decisions about (allergens related) data, if they want to?</p> <p>RA4: Address diversity and inclusivity in all aspects of our work</p>

544

545 Table 1: Research Questions and Aims

546

547

548