

Ethical A.I. in China

— government, academia and industry

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Outline

- From A.I. development to A.I. Governance
- A.I. Governance - Government
- A.I. Governance - Academia
- A.I. Governance - Industry
- Comparison of China, EU, and USA

- On July 20, 2017, the State Council issued *“the Development Plan on the New Generation of Artificial Intelligence”*, including the plan to set up an AI governance committee.
- On Oct. 31, 2018, Xi Jinping hosted the 9th study group in the politburo of the CCP, discussing the development of A.I. in China.
- In the study group, Professor Gao Wen gave a lecture on the future development of A.I. in China.



- Gao Wen (Member of the Chinese Academy of Engineering, Professor of Peking University, ACM/IEEE fellow)

Government

- On Feb. 15, 2019, Xue Lan (professor at Tsing-Hua Univ.) was appointed the head of the National New Generation A.I. Governance Specialist Committee.
- On March 26, 2019, the first meeting of the A.I. governance committee was held.
- People who attended the meeting:
 - Academia:
 - Xue Lan 薛澜 (tech; Tsing-Hua U.)
 - Li Renhan 李仁涵 (law; Shanghai Jiao-Tong U.)
 - Huang Tiejun 黄铁军 (tech; Peking U.)
 - Gao Qiqi 高奇琦 (law; East China U. of Political Science and Law)
 - Zeng Yi 曾毅 (Chinese Academy of Sciences)
 - Industry:
 - Yin Qi 印奇 (Megivv, a CV company)
 - Zhou Bowen 周博文 (JD, an e-commerce company)
 - Lee Kai-Fu 李开复 (Sinovation Ventures)
 - Government:
 - Li Meng 李萌 (Ministry of Science and Technology)

- On June. 17, 2019, the A.I. governance committee released a “governance principle” document, proposing the framework and guidelines for AI governance.
- **“Governance Principles for the New Generation Artificial Intelligence”**
- <https://www.chinadaily.com.cn/a/201906/17/WS5d07486ba3103dbf14328ab7.html>

Eight Principles

Harmony and Human-friendly

Fairness and Justice

Inclusion and Sharing

Respect for Privacy

Safety and Controllability

Shared Responsibility

Open and Collaboration

Agile Governance

The Norms of Management

- On Sept. 25, 2021, the committee issued the “**Ethical Norms for New generation Artificial Intelligence**” .
(<https://cset.georgetown.edu/publication/ethical-norms-for-new-generation-artificial-intelligence-released/>)

Promotion of agile governance
Active Practice
Exercise and use power correctly
Strengthen risk preventions
Promote Inclusivity and openness

The Norms of Supply

- The code of ethics proposed six basic and 18 specific ethics requirements. They are:
 - Enhancing the well-being of humankind
 - Promote fairness and justice
 - Protect privacy and security
 - Ensure controllability and trustworthiness
 - Strengthening accountability
 - Improve Ethics Literacy

Respect market rules
Strengthen quality control
Protect the rights and interests of users
Strengthen emergency protection

The Norms of Research and Development

Strengthen the awareness of Self-discipline
Improve data quality
Enhance safety
Avoid bias and discrimination

The Norms of Use

Promote good use
Avoid misuse and abuse
Forbid malicious use
Timely and proactive feedback
Improve the ability of use

- **“Opinion of the General Office of the CPC Central Committee and the General Office of the State Council on Strengthening the Governance over Ethics in Science and Technology”** 《关于加强科技伦理治理的意见》 (Link: shorturl.at/psKW0), March 2022. The consultation paper came out on July 28, 2021
- The first official document from the state council, which means the whole government system needs to follow the guidelines while implementing policies.
- The document includes requirements, principles, governance, systematic guarantee, supervision, and education.

(三) 提高科技伦理治理法治化水平。推动在科技创新的基础性立法中对科技伦理监管、违规查处等治理工作作出明确规定，在其他相关立法中落实科技伦理要求。“十四五”期间，重点加强生命科学、医学、人工智能等领域的科技伦理立法研究，及时推动将重要的科技伦理规范上升为国家法律法规。对法律已有明确规定的，要坚持严格执法、违法必究。

Highlight the agenda to legislate to regulate biology, medical, and artificial intelligence ethically.

(一) 严格科技伦理审查。开展科技活动应进行科技伦理风险评估或审查。涉及人、实验动物的科技活动，应当按规定由本单位科技伦理（审查）委员会审查批准，不具备设立科技伦理（审查）委员会条件的单位，应委托其他单位科技伦理（审查）委员会开展审查。科技伦理（审查）委员会要坚持科学、独立、公正、透明原则，开展对科技活动的科技伦理审查、监督与指导，切实把好科技伦理关。探索建立专业性、区域性科技伦理审查中心。逐步建立科技伦理审查结果互认机制。

Highlight the agenda to set up ethical committees inside/outside organizations. (Similar to Institutional Review Boards policies in the USA)

- **“Position Paper of the People's Republic of China on Strengthening Ethical Governance of Artificial Intelligence (AI),” Nov. 2022 (shorturl.at/nvyAJ)**
- A follow-up proposal after **“Position Paper of the People's Republic of China on Regulating Military Applications of Artificial Intelligence (AI),” Dec. 2021**
- Most of the content in the position paper is already covered in **the Opinion** and **Ethical Norms** files. This position paper concerns more with international collaboration in the framework of the United Nations.

(4) International cooperation

Governments should encourage transnational, interdisciplinary, and cross-cultural exchanges and cooperation, ensure that the benefits of AI technologies are shared by all countries, promote joint participation of countries in international discussions and rules-making on major issues regarding AI ethics, and oppose the building of exclusive groups and malicious obstruction of other countries' technological development.

Governments should strengthen the regulation of AI ethics for international cooperative research activities. Relevant science and technology activities should comply with the requirements of AI ethics management in the countries where the cooperating parties are located, and pass the AI ethics review accordingly.

China calls on the international community to reach international agreement on the issue of AI ethics on the basis of wide participation, and work to formulate widely accepted international AI governance framework, standards and norms while fully respecting the principles and practices of different countries' AI governance.

Academia

International Research Center for AI Ethics and Governance

Institute of Automation, Chinese Academy of Sciences

<https://ai-ethics-and-governance.institute/>

Led by Zeng Yi (Institute of Automation, Chinese Academy of Science, China)

Collaborated with researchers from *TUM, Cambridge, TU Eindhoven, University of Pretoria, etc.*

Contribute to:

- Governance Principles for the New Generation Artificial Intelligence, China
- Ethical Norms for the New Generation Artificial Intelligence, China
- Recommendation on the Ethics of Artificial Intelligence, UNESCO
- Ethics and governance of Artificial Intelligence for Health, WHO



LAIP – Linking Artificial Intelligence Principles

Integrating, synthesizing, analyzing, and promoting global Artificial Intelligence Principles as well as their social and technical practices.

Center for AI Governance and Law

China Institute for Social-Legal Studies, SJTU

上海交通大学
中国法与社会研究院
China Institute for Social-Legal Studies
Shanghai Jiao Tong University

首页 | 概况 | 动态报道 | 研究领域 | 成果展示 | 文献资源 | 课程资讯 | 国际合作 | 学术共同体 | 刊物 | 人工智能治理...

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当前位置: 首页 > 人工智能治理与法律研究中心 > 研究团队

研究团队

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A.I. and International Standards
Author: Li Renhan

Academia Efforts to Automate AI Governance

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报告	团体标准	其它标准		
	政府报告	国际组织报告	企业报告	研究机构报告
	其它报告			

Regulation Landscape



- A collaboration work from:
 - Shanghai Artificial Intelligence Laboratory
 - Tsing-Hua U
 - Fudan U

<http://www.openeglab.org.cn/>

Industry

Artificial Intelligence Industry Alliance

AI Governance and Credibility Committee



Chair: Nan-Ning Zheng
Fellow of the Chinese Academy of Engineering

Committee Members:



Comparisons

Principles of Ethics

Number of Documents

	China	EU	USA
Regulations	15	27	27
Guidance	7	17	18

Top Labels for documents from different regions

China: Security (12.5%), Privacy (12.5%), Controllability (12.5%)

EU: Transparency (11.3%), Privacy (10.4%), Data Protection (8.8%)

USA: Security (16.7%), Transparency (10.4%), Fairness (6.3%)

Thank you for listening.