



Center for AI and
Digital Policy

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"The Center for AI and Digital Policy aims to promote a better society, more fair, more just — a world where technology promotes broad social inclusion based on fundamental rights, democratic institutions, and the rule of law."

DIGHUM

Marc Rotenberg
Digital Humanism Lecture
10 November 2021



Center for AI and
Digital Policy



New OECD Artificial Intelligence Principles: Governments Agree on International Standards for Trustworthy AI

OECD member countries approve and promote principles on AI that respect human rights and democratic values.



By Fabienne Lang

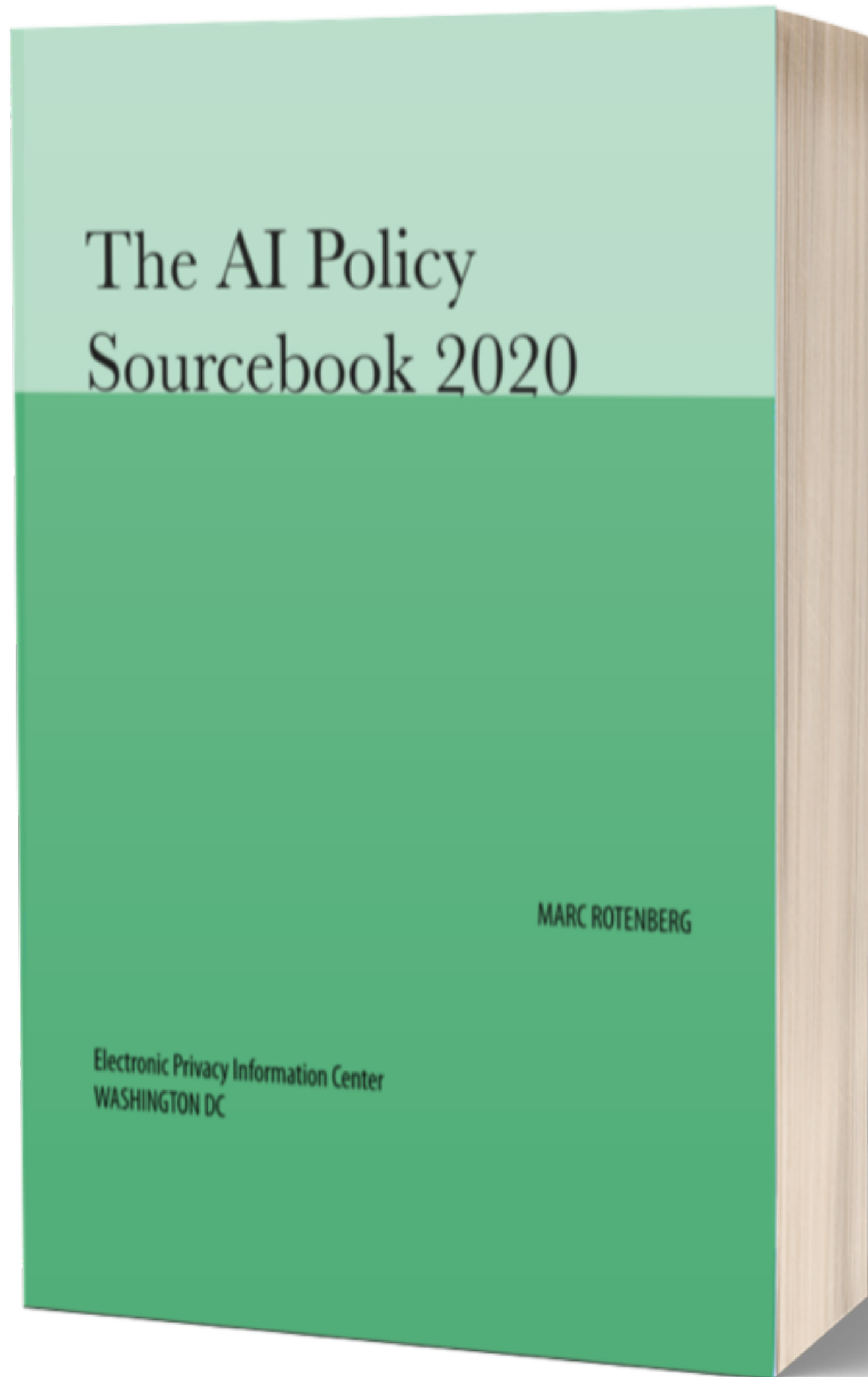
May 27, 2019



What are the OECD AI principles?

The five new principles mesh well with the pre-existing OECD standards: privacy, digital security risk management, and responsible business conduct. Complementing them, the new principles focus on values-based principles for the responsible leadership of trustworthy AI.

- AI should benefit people and the planet by driving inclusive growth, sustainable development, and well-being.
- AI systems should be designed in a way that respects the rule of law, human rights, democratic values, and diversity, and they should include appropriate safeguards – for example, enabling human intervention where necessary – to ensure a fair and just society.
- There should be transparency and responsible disclosure around AI systems to ensure that people understand AI-based outcomes and can challenge them.
- AI systems must function in a robust, secure, and safe way throughout their life cycles, and potential risks should be continually assessed and managed.
- Organizations and individuals developing, deploying, or operating AI systems should be held accountable for their proper functioning in line with the above principles.



- [Law] Standards <-> Guidelines <-> Principles [Ethics]
- “Human centric and trustworthy”
- “Job growth, sustainable growth, innovation”
- “Fairness, accountability, transparency”
- “Democratic governance, rule of law, fundamental rights”



Universal Guidelines for Artificial Intelligence

23 October 2018
Brussels, Belgium

New developments in Artificial Intelligence are transforming the world, from science and industry to government administration and finance. The rise of AI decision-making also implicates fundamental rights of fairness, accountability, and transparency. Modern data analysis produces significant outcomes that have real life consequences for people in employment, housing, credit, commerce, and criminal sentencing. Many of these techniques are entirely opaque, leaving individuals unaware whether the decisions were accurate, fair, or even about them.

We propose these Universal Guidelines to inform and improve the design and use of AI. The Guidelines are intended to maximize the benefits of AI, to minimize the risk, and to ensure the protection of human rights. These Guidelines should be incorporated into ethical standards, adopted in national law and international agreements, and built into the design of systems. We state clearly that the primary responsibility for AI systems must reside with those institutions that fund, develop, and deploy these systems.

Universal Guidelines for Artificial Intelligence

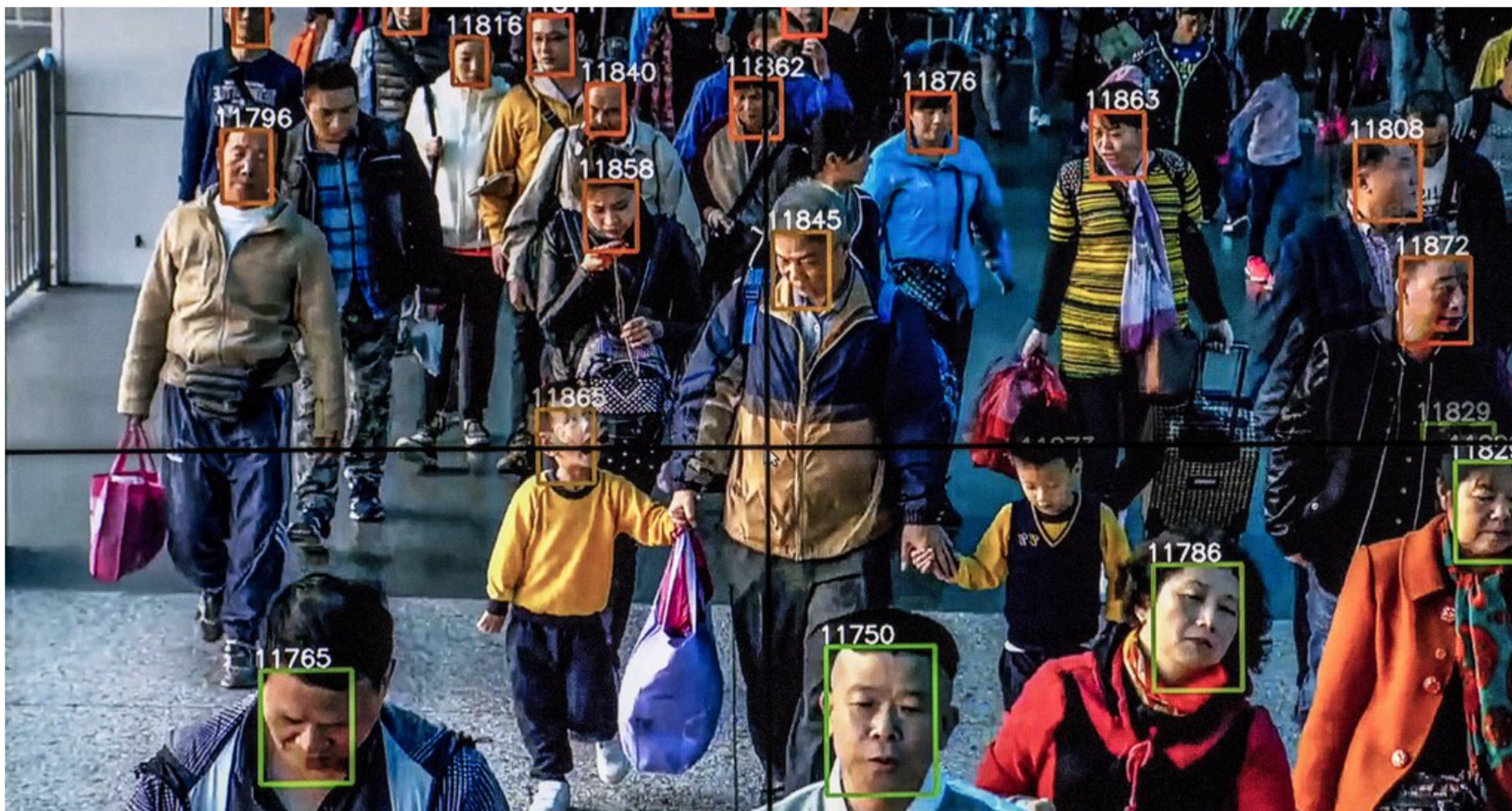
1. Right to Transparency.
2. Right to Human Determination.
3. Identification Obligation.
4. Fairness Obligation.
5. Assessment and Accountability Obligation.
6. Accuracy, Reliability, and Validity Obligations.
7. Data Quality Obligation.
8. Public Safety Obligation.
9. Cybersecurity Obligation.
10. Prohibition on Secret Profiling.
11. Prohibition on Unitary Scoring.
12. Termination Obligation.



thepublicvoice.org/ai-universal-guidelines

Behind the Rise of China's Facial-Recognition Giants

Megvii, one of China's highly valued facial-recognition startups, has filed for an IPO. Most of its revenue comes from a unit selling surveillance and security systems.

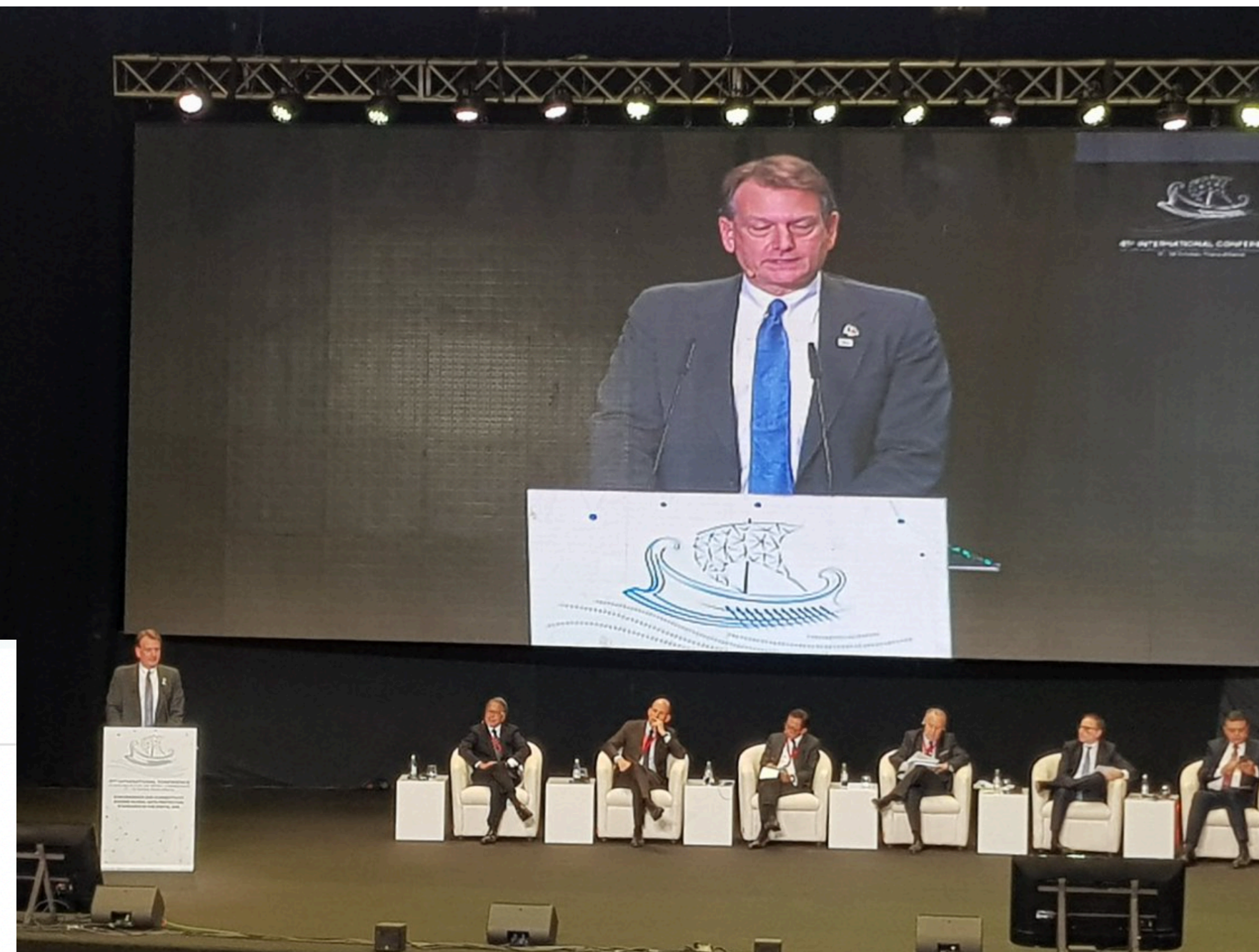




Declaration: A Moratorium on Facial Recognition Technology for Mass Surveillance

October 2019
Tirana, Albania

We the undersigned call for a moratorium on the use of facial recognition technology that enables mass surveillance.



The New York Times

Facebook, Citing Societal Concerns, Plans to Shut Down Facial Recognition System

Saying it wants “to find the right balance” with the technology, the social network will delete the face scan data of more than one billion users.

Artificial Intelligence Poses New Threat to Equal Employment Opportunity



Patricia Barnes Contributor

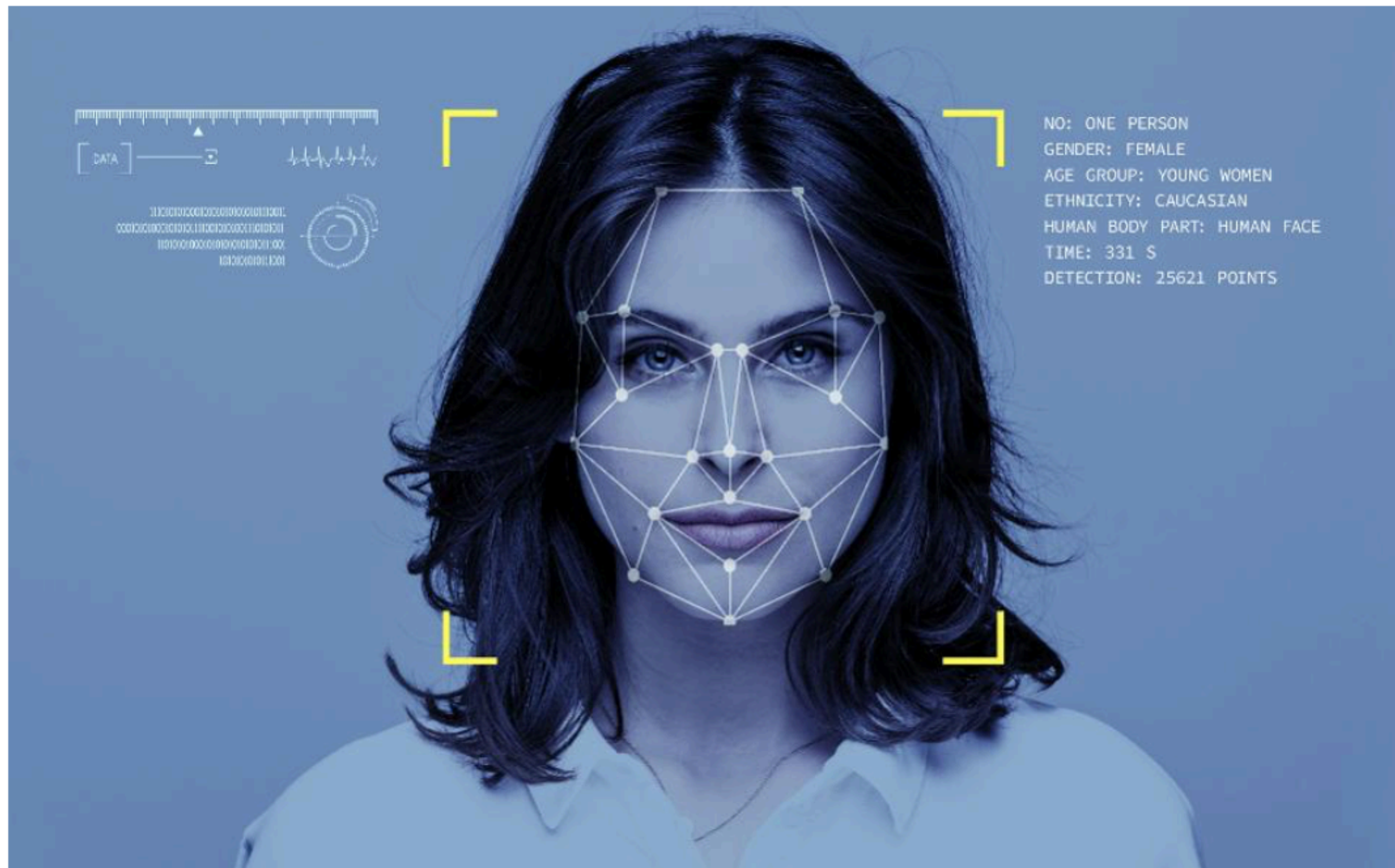
Diversity & Inclusion

I am an attorney, author and consultant on employment discrimination.

f

🐦

in



BLOG@CACM

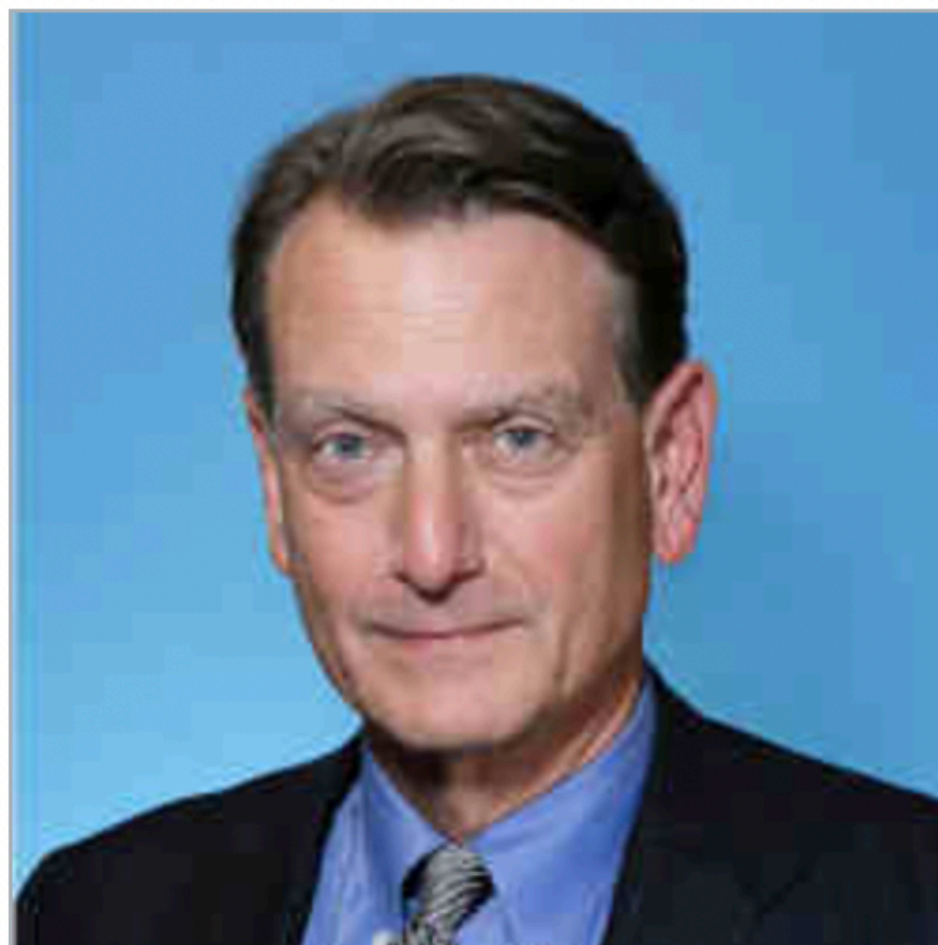
Time to Assess National AI Policies

By Marc Rotenberg

November 24, 2020

[Comments](#)

VIEW AS:   SHARE:       



The artificial intelligence (AI) ethics field is booming. According to the Council of Europe, there are [now more than 300 AI policy initiatives](#) worldwide. Professional societies such as the [ACM](#) and the [IEEE](#) have drafted frameworks, as have private companies and national governments. Many of these guidelines set out similar goals: human-centric policies, fairness, transparency, and accountability. But little effort has been made to evaluate whether national governments have taken steps to implement AI policies.

The [Center for AI and Digital Policy](#) has undertaken the first comparative review of national AI policies. Our goal is to understand the commitments that governments have made, the AI initiatives they have launched, and the policies they have established to protect fundamental rights and to safeguard the

public. Constructing the methodology for such a survey is not a simple task. A country can commit to "fairness" in AI decision-making, as many have, but to determine whether they are implementing the practice is a much harder task.

ARTIFICIAL INTELLIGENCE AND DEMOCRATIC VALUES

The Event

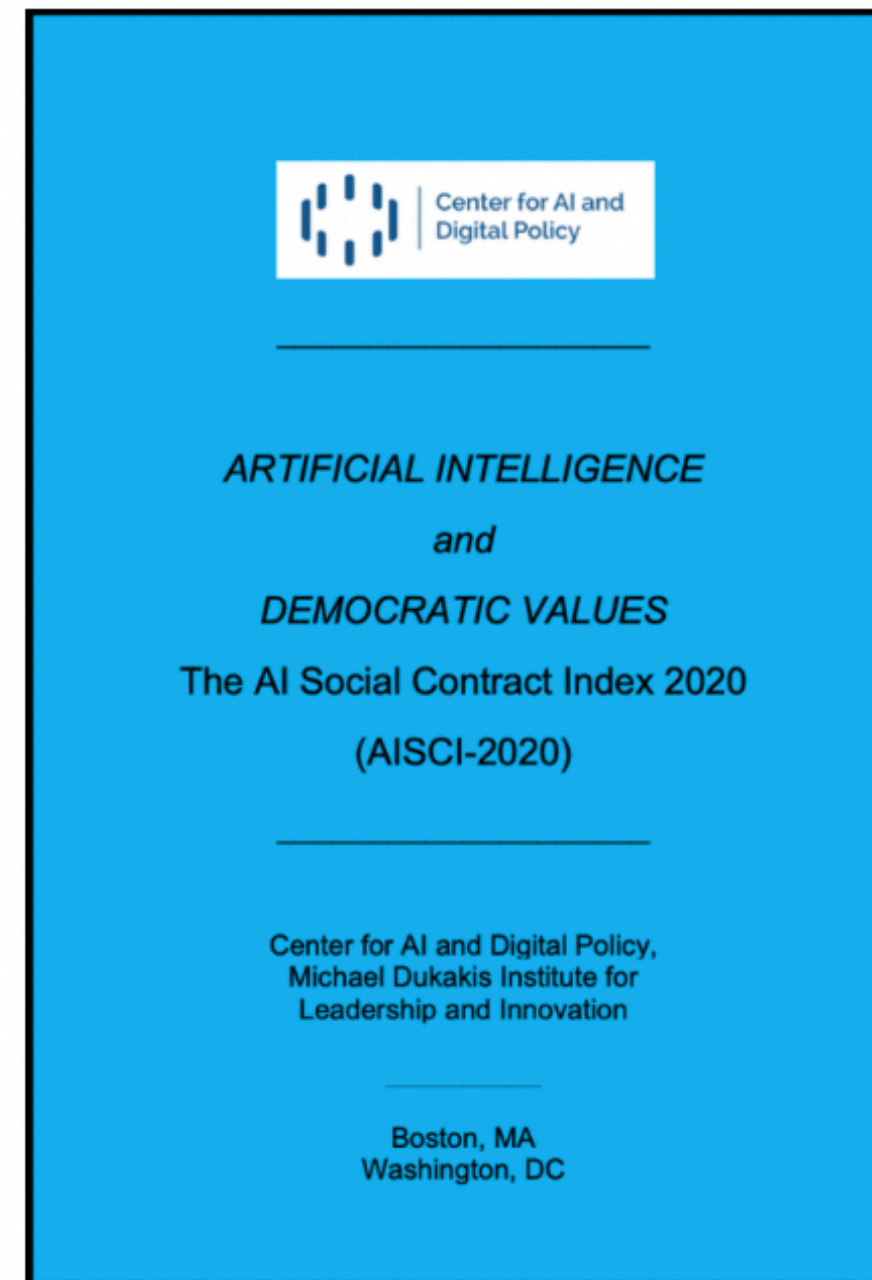


Speech by
President von der Leyen
at the World Leader for Peace and Security
Award
(Brussels, Dec. 12, 2020)
(text and media)

Event links

- [Remarks of Governor Michael Dukakis](#)
- [Award image #1\(Pres. Von der Leyen\)](#)
- [Award image #2 \(Pres. von der Leyen and panel\)](#)
- [Award image #3 \(Pres. von der Leyen and panel\)](#)
- [Award image #4 \(Gov. Dukakis and panel\)](#)
- [Event Image \(12-12-20\)](#)
- [Schedule image \(12-12-20\)](#)
- [Event press release \(12-12-20\)](#)

The Report



Resources

- ["Artificial Intelligence and Democratic Values \(AIDV-2020\)" \(complete report\)](#)
- [Presentation of Report](#)
- [Press Release \(12-12-20\)](#)
- [CAIDP Team bios](#)

Report Details

ARTIFICIAL INTELLIGENCE AND DEMOCRATIC VALUES Sections

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 - [Israel](#)
 - [Italy](#)
 - [Japan](#)
 - [Kazakhstan](#)
 - [Korea](#)
 - [Mexico](#)
 - [Netherlands](#)
 - [Poland](#)
 - [Russia](#)

The Background

- First comparative study of national AI policies based on common metrics
- First numeric evaluation of national AI policies
- First ranking of nations based on numeric evaluation
- Based on global norms for AI and democratic values

Q5. Has the country established a process for meaningful public participation in the development of a national AI Policy?

Almost every country in our report has set out a national AI strategy or action plan. We have attempted to fairly summarize and present these initiatives. But we are also interested in the development of these policies. Was there an opportunity for public participation? Was there a formal consultation process? Do the national AI policies reflect the views of those who may be impacted by the deployment of AI techniques? And is there an ongoing mechanism for public participation as national AI policies evolve?

Determinations in this category were based on our ability to identify opportunities for meaningful public participation. The distinction between a Y and P in this category reflected the quality of the opportunity for public participation.

Q1. Has the country endorsed the OECD AI Principles?

Q2. Is the country implementing the OECD AI Principles?

Q3. Has the country endorsed the Universal Declaration of Human Rights?

Q4. Is the country implementing the Universal Declaration for Human Rights?

Q5. Has the country established a process for meaningful public participation in the development of a national AI Policy?

Q6. Are materials about the country's AI policies and practices readily available to the public?

Q7. Does the country have an independent (agency/mechanism) for AI oversight?

Q8. Do the following goals appear in the national AI policy: "Fairness," "Accountability," "Transparency," ("Rule of Law," "Fundamental Rights")? [implementation? = legal force? = enforcement?]

Q9. Has the country by law established a right to Algorithmic Transparency? [GDPR? / COE+?]

Q10. Has the country supported the Universal Guidelines for AI?

Q11. Has the country supported the Social Contract for AI?

Q12: Has the country's Data Protection Agency sponsored the 2018 GPA Resolution on AI and Ethics and the 2020 GPA Resolution on AI and Accountability?

Response Codes

"Y" – Yes

"N" – No

"P" – Partly

The Numbers

=> The Study

- **30 countries**
- **12 metrics**
- **Scores from 10.5 (Germany) to 2.5 (Kazakhstan)**
- **Grouped in 5 tiers**

=> The Research

- **100,000+ words, 1,000+ footnotes**
- **20+ researchers, a dozen countries (Bios at CAIDP website)**
- **25 outside reviewers (comments in press release)**

The Findings: General

- OECD/G20 AI Guidelines are influential
- AI policy safeguards build on data protection law
- There are “red lines” for AI (facial surveillance in schools and public spaces, criminal sentencing, scoring of citizens)
- AI policy is in early days but pace is accelerating

The Findings: Specifics

- Germany in Tier I - robust safeguards, AI leadership, public participation, strong data protection infrastructure
- Tier II - Canada, France, Korea, Japan, and others
- US in Tier III - opaque policy process, absence of privacy law
- China in Tier IV - widespread use of AI techniques (scoring and face surveillance) for tracking minorities (Uyghers) and political opponents (Hong Kong)

COUNTRY EVALUATIONS

Evaluation Grid

Country	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Score
Australia	Y	P	Y	Y	Y	Y	Y	P	P	P	P	N	8.5
Belgium	Y	P	Y	Y	P	P	P	P	Y	P	N	P	7.5
Brazil	Y	P	Y	Y	P	P	P	P	P	P	N	N	6.5
Canada	Y	P	Y	Y	Y	P	Y	Y	P	P	P	Y	9.5
China	Y	P	Y	P	P	P	N	Y	N	N	N	N	5.0
Estonia	Y	P	Y	Y	Y	Y	P	N	Y	P	N	N	7.5
France	Y	P	Y	Y	P	P	Y	Y	Y	P	P	P	9.0
Germany	Y	P	Y	Y	Y	Y	Y	Y	Y	P	P	Y	10.5

The Recommendations

1. Countries must establish national policies for AI that implement democratic values
2. Countries must ensure public participation in AI policymaking and also create robust mechanisms for independent oversight of AI systems
3. Countries must guarantee fairness, accountability, and transparency in all AI systems
4. Countries must commit to these principles in the development, procurement, and implementation of AI systems for public services
5. Countries must halt the use of facial recognition for mass surveillance

Future Plans

- Provide report to key decision makers at EU, Council of Europe, UN, White House and Congress, G20, other national governments, and international organizations
- Promote democratic values in AI policy
- Update *AI and Democratic Values* during 2021 at CAIDP
- Publish AISCI-2021 in December 2021. Review country ratings and rankings

News



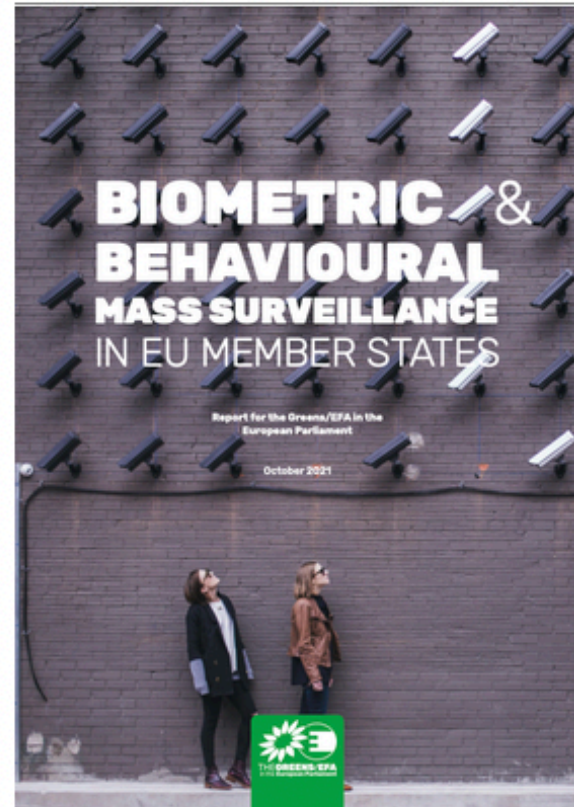
G20 Rome Leaders Advance AI Policy, Elevate Privacy, Gender Equality, CAIDP Update 2.40 (Oct. 31, 2021)



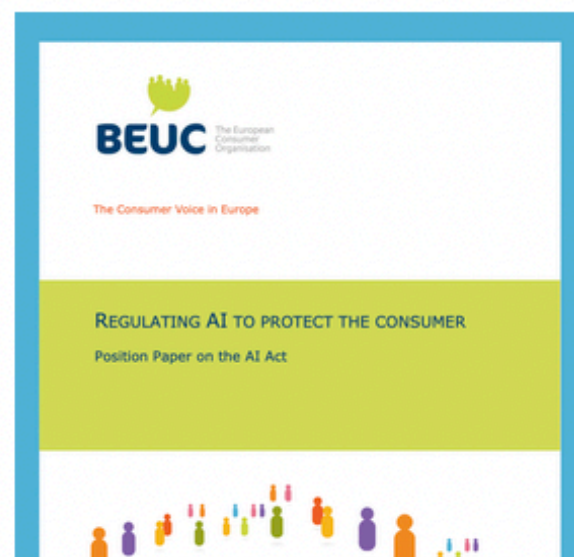
NATO Announces AI Strategy, CAIDP Update 2.39 (Oct. 22, 2021)



Resources



Biometric and Behavioural Mass Surveillance in EU States, Report for the Greens/EFA in the European Parliament (Oct. 2021)



CAIDP Statements



CAIDP Statement to the G20 Regarding AI Policies (27 Oct. 2021)

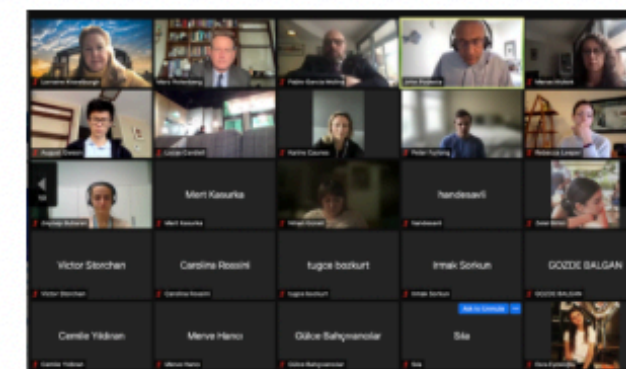


CAIDP Statement to the US Office of Management and Budget on the Need to Establish Regulations for the Use of AI by Federal

AI Policy Events



CAIDP meets with Members of the European Parliament AIDA Committee, Washington, DC, 4 November 2021



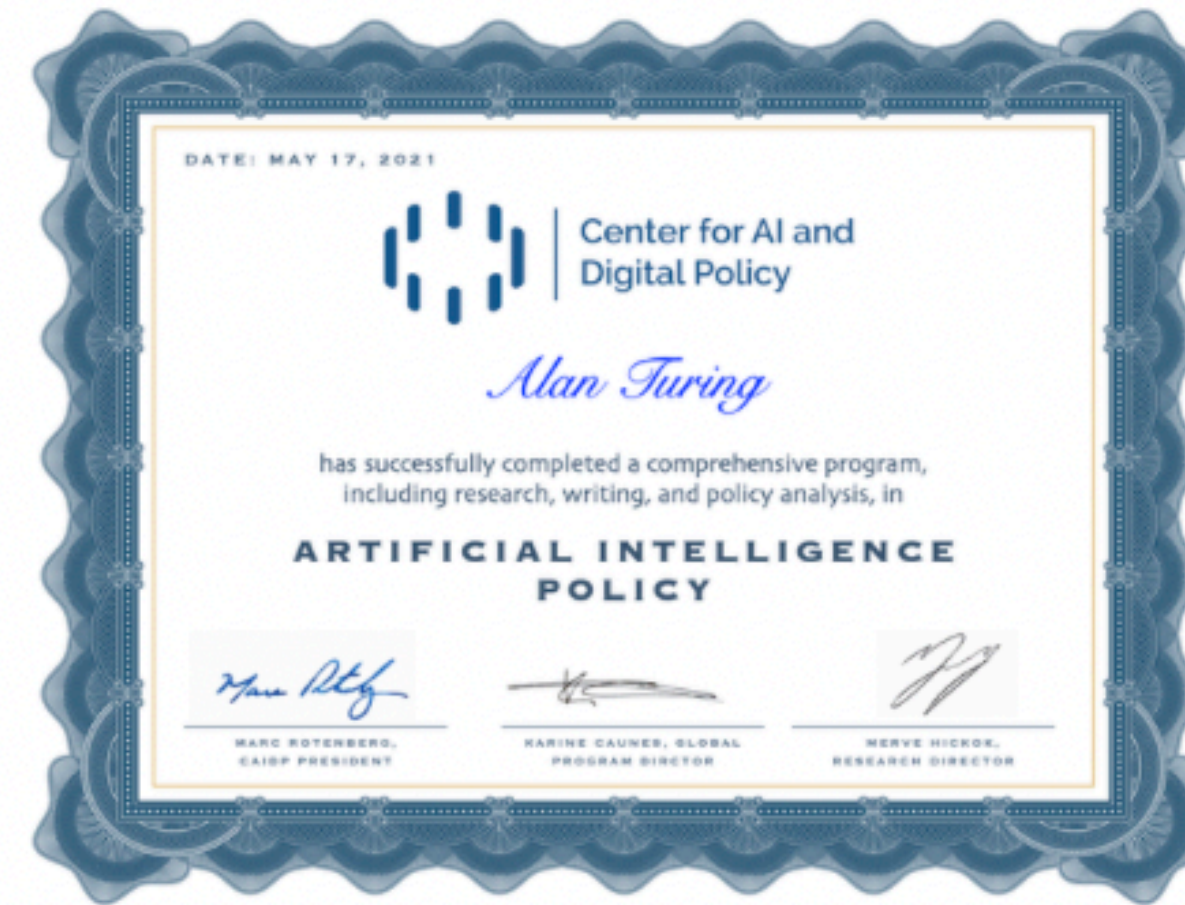
CAIDP Conversation with Former White House Advisor and AI Policy Expert John Podesta, 4 November 2021



Activities

The CAIDP AI Policy Certificate

The **Center** has launched a comprehensive certification program for AI Policy. The certification program is an outgrowth of the work of the **Research Group**, and includes requirements for research, writing, and policy analysis. Receipt of the **CAIDP AI Policy Certification** requires completion of a detailed multi-part test. The subjects are: AI History, AI Issues and Institutions, AI Regulation, and Research Methods. Candidates are also required to sign a **Statement of Professional Ethics for AI Policy**.



Statement of Professional Ethics for AI Policy

CAIDP has also launched the first code of professional ethics for the field of AI policy. The goal is to ensure that those who provide advice regarding AI policy commit themselves to a high level of professional conduct. The **CAIDP Statement of Professional Ethics** recognizes that AI systems impact the rights and opportunities of others, may pose a risk to public safety, and that bias is an ongoing challenge. Among other obligations, the **Statement** requires individuals to ensure that AI systems are fair, accountable, and transparent.

Endorsement of the **Statement of Professional Ethics** is a necessary requirement to receive the **CAIDP AI Policy Certificate**.



STATEMENT OF PROFESSIONAL ETHICS FOR AI POLICY (2021)

- I recognize that AI systems may impact the opportunities and rights of others.
- I recognize that bias is an ongoing challenge in the design and use of AI systems.
- I recognize that AI systems may pose a risk to public safety.
- I will work to ensure that AI systems are fair, transparent, and accountable.
- I will work to ensure that AI systems protect fundamental rights, the rule of law, and democratic values.
- I will work to ensure diverse perspectives are represented in discussions about AI policy.
- I will provide advice about AI systems that is objective, fair, and well-supported.
- I will reveal any conflicts of interest that may influence my recommendations.
- I will continue to review emerging issues in AI policy to ensure that my advice reflects the best information available to me at the time I make an assessment.
- I will work to ensure that AI systems are human-centric and trustworthy.

Signature _____

Printed Name _____

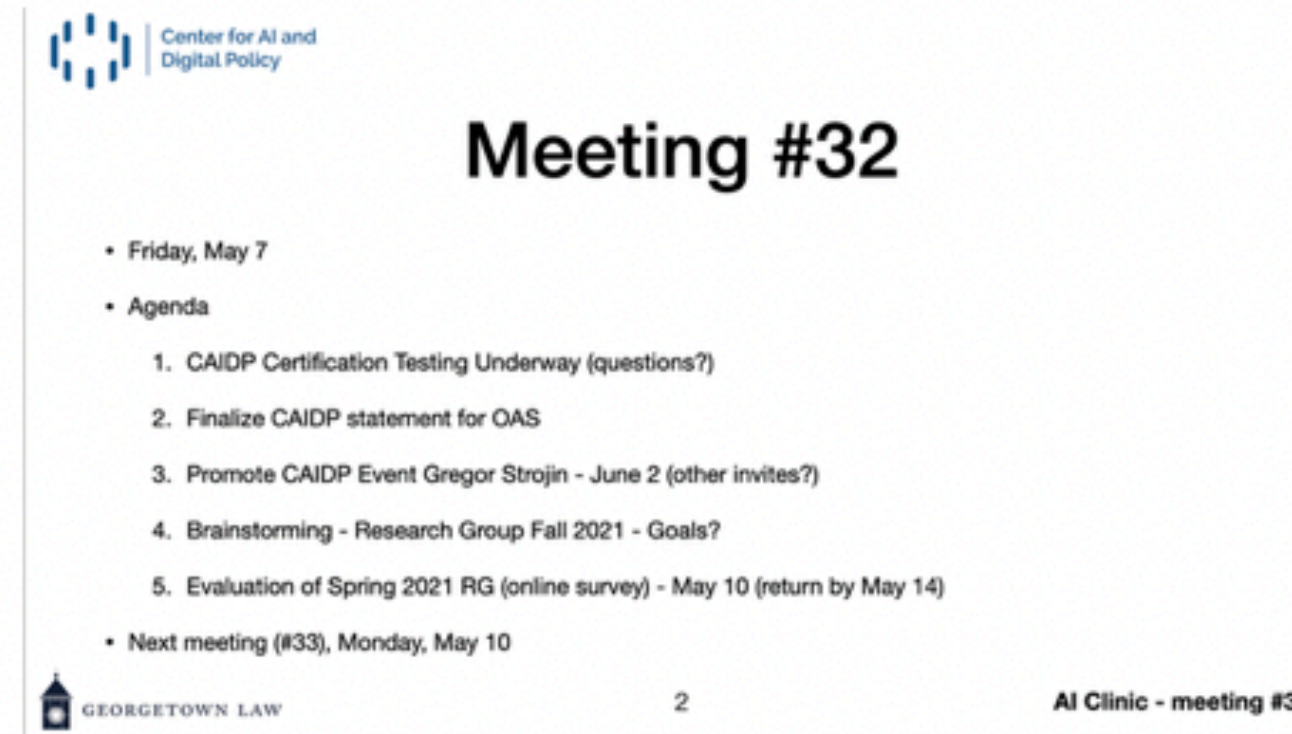
Date _____

CAIDP Research Group

The **Research Group** provides the basis for the Center's policy work. The Research Group met twice a week during the Spring 2021 semester. The Research Group members identified Significant AI Policy News, drafted statements on AI policy for national governments and international organizations, and examined emerging trends in AI Policy. CAIDP will continue the **Research Group** in the Fall 2021. **Global Academic Network** partners are invited to recommend students, at the graduate and post-graduate level for participation.

(Please contact CAIDP Research Director [Merve Hickok](#) if you would like more information about the Research Group)

Applications are now open for the Spring 2022 AI Policy Clinic. Applicants should complete the form [available here](#) by 15 December 2021.



The slide is titled "Meeting #32" and is from the Center for AI and Digital Policy. It lists the date as Friday, May 7, and provides an agenda with five items: 1. CAIDP Certification Testing Underway (questions?), 2. Finalize CAIDP statement for OAS, 3. Promote CAIDP Event Gregor Stojin - June 2 (other invites?), 4. Brainstorming - Research Group Fall 2021 - Goals?, and 5. Evaluation of Spring 2021 RG (online survey) - May 10 (return by May 14). It also notes the next meeting (#33) on Monday, May 10. The slide includes logos for Georgetown Law and AI Clinic - meeting #32, and a page number of 2.

CAIDP Externships

CAIDP provides the opportunity for full-time students in law or public policy to work with the Center during the Semester for credit. Typical externships include intensive work in AI policy research and analysis, as well as the opportunity to connect with experts and leaders in the AI policy field. CAIDP has recently partnered with **Georgetown Law** and **Stanford Law School** for externship opportunities and welcomes other partnerships. Interested applicants should send a letter of interest, a CV, and a relevant writing sample to [Marc Rotenberg](#). Institutions should also contact Marc for further information.



Stanford
Law School

Author: Lorraine Kisselburgh and Marc Rotenberg



Next Steps on the U.S. AI Bill of Rights

Posted by Lorraine Kisselburgh and Marc Rotenberg | Nov 2, 2021 |
Politics, Technology | ★★★★★

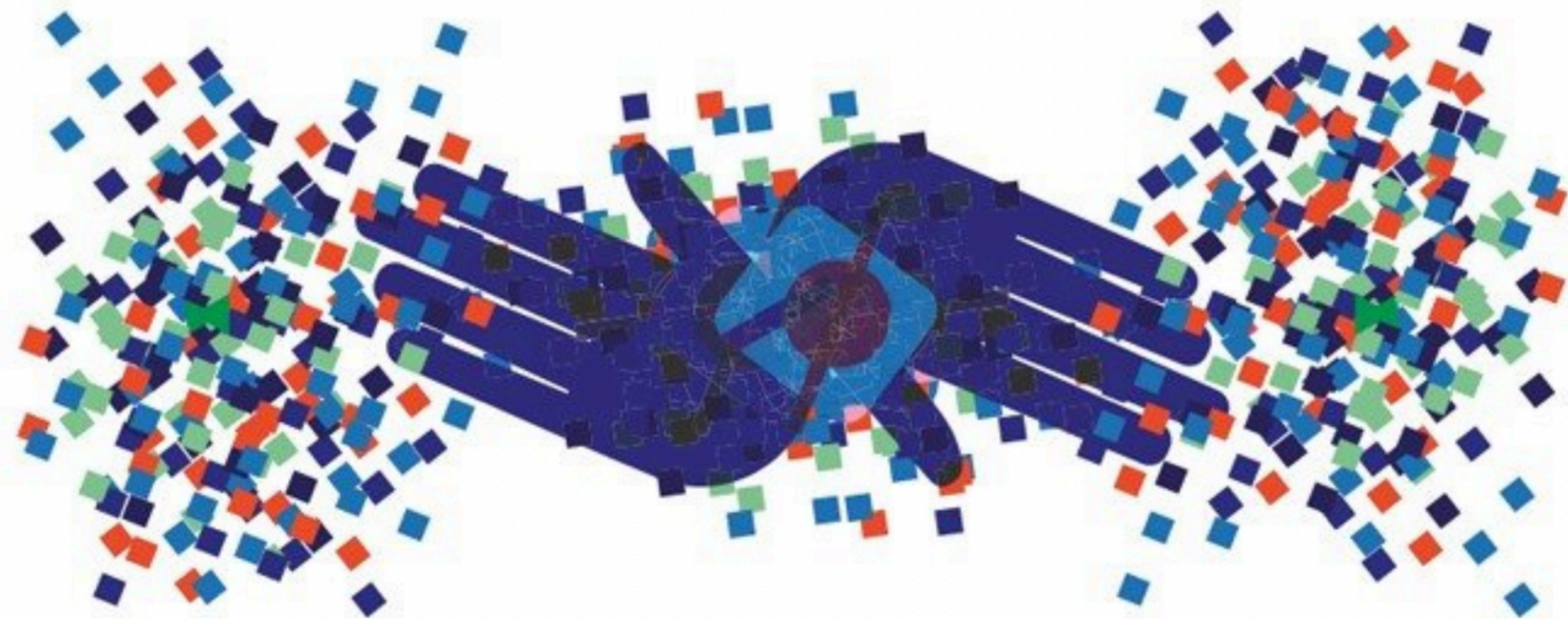
The President's top science advisors, Dr. Eric Lander and
Dr. Alondra Nelson, have called for a...

[READ MORE](#)



Recommendation on the Ethics of Artificial Intelligence

ICC-UNESCO Roundtable



UNESCO

Gabriela Ramos/ ADG, Social and Human Sciences

30 October 2020





Conference on Artificial Intelligence and Democratic Values



Organized in partnership with Groupe d'études Géopolitiques, Ecole Normale Supérieure

10 November 2021
2pm to 4pm CET (Paris)
8am to 10am Eastern (US)
Paris & Online

Registration at:
CAIDP.org/events/aidvparis2021



Roundtable II - Upholding Fundamental Rights in AI: Which Way Forward?

Moderator
Lorraine Kisselburgh
Inaugural Chair, ACM
Global Technology
Policy Council
Purdue University

Solomon Ayele Dersso
Chairperson African
Commission on Human
and Peoples' Rights

Ella Jakubowska
Policy Analyst, EDRI

Félicien Vallet
AI Lead, Commission
Nationale de
l'Informatique et des
Libertés

Edward Santow
Professor,
Responsible
Technology,
University of
Technology Sydney

Twitter: @theCAIDP #AIDVparis2021

Conference on Artificial Intelligence and Democratic Values

10 November 2021
2pm to 4pm CET (Paris)
8am to 10am Eastern (US)
Paris & Online

Registration at:
CAIDP.org/events/aidvparis2021



Roundtable I - Global Governance Solutions for Trustworthy AI

Moderator
Wonki Min
Ambassador for
Science, Technology
and Innovation of Korea
and President, SUNY
Korea

Gabriela Ramos
UNESCO Assistant
Director-General for
Social Human Sciences

Andrew Wyckoff
Director of the OECD's
Directorate for Science,
Technology and
Innovation

Leyla Keser
Dean, Istanbul Bilgi
University and CAHA
Advisor

Gianclaudio Malgieri
Associate Professor of
Law and Technology at
the EDHEC Business
School in Lille

Juha Heikkila
Advisor for Artificial
Intelligence,
European
Commission, DG
CONNECT

Twitter: @theCAIDP #AIDVparis2021



CONFERENCE

ON ARTIFICIAL INTELLIGENCE & DEMOCRATIC VALUES



Center for AI and
Digital Policy

**Organized by CAIDP and Groupe
d'études Géopolitiques, Ecole Normale
Supérieure**

**10 NOVEMBER
2021
14.00 TO
16.00 CET
PARIS,
FRANCE
(AND ONLINE)**

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[CAIDP.ORG/EVENTS/AIDVPARIS2021/](https://caidp.org/events/aidvparis2021/)
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