

NAVIGATING AI GOVERNANCE: BUILDING ROBUST POLICIES FOR THE FUTURE

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INTRODUCTION

Building a Policy Team

Policy Basics

Procedure Basics

Questions



BUILDING A POLICY TEAM



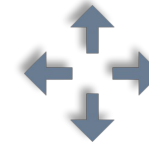
Why a *Team*

- Policy (depending on scope) impacts the entire organization
- AI Governance impacts how people work and needs champions and communication
- Broad points of view make for a better policy implementation



Data Governance Council/Committee

- Broad range of people
- Represents the entire organization
- Becomes a champion of your policy
- Communication vector



How do you do it?

- Committee Agenda – Memorandum
- 1-on-1 Discussions
- How many folks do you need?
 - You want to keep the overall size to a minimal working group
 - The sweet-spot is about six folks

Getting input from outside the Council

- Executive engagement – there's demand for this – executives can and will help
- Communication strategy

No Data Governance Program???

- Engage with executives – someone at your organization is either demanding this, or excited to sponsor it
- Executive team will help you recognize who can be on your policy team

How do you do it without governance?

- 1-on-1 Discussions with the folks your executive team mentioned
- “Is there anyone else you know that should be involved?”

Getting input from outside the Council

- Executive engagement – again, there’s demand for this, executives will help.





POLICY BASICS



Policy Statement

- ♥ Brevity is the soul of policy – keep this statement short.
- ¶ Approximately a paragraph.
- 🎯 GOAL: Explain the policy in simple terms that are easy to communicate



Scope

- ? What is the scope of this policy?
- ? When does it apply; when does it not?
- ? Who does it apply to; who doesn't it apply to?
- ➔ Be specific



Definitions

Every single term needs a definition.
Some of these will be easy, as they can be lifted from the internet.



Writing Definitions as a Team



Cheeseburger Definitions – Don't do this!



Start with a draft, and...

- Grab a definition from the internet to start with
- Talk with your policy team about that definition, does it work for your organization?
- Does the definition make sense? Will people in your organization understand it?



GOAL: Keep these short!

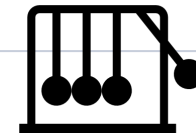
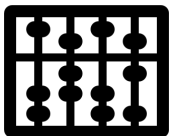


Principles



- ➔ This section is the body of your policy.
- ➔ List out what the policy states is the organization's position on a topic.
- ➔ This section can be long but doesn't need to be.
 - »» Each statement should be short, but you can have dozens of statements.

- 🎯 GOAL: Be specific – and still short
- 🎯 GOAL: Reference Procedures and/or Guidelines
- 🎯 GOAL: Reference applicable regulations or legislation





Related Documents

- List out every document that is related to this policy. This includes any other internal policies that are related or have impact on this policy. Any procedures or guidelines that are “children” of this policy. And any related external documents, like legislation or regulations that impact this policy



Audit Controls / Document History

- In the header, list out the basics, who lead the effort, who approved this policy, when it was approved, what day it became effective, when will it next be reviewed.
- In the footer, keep a list of changes and the dates they occurred on. This is critical, as folks may reference a policy statement that may have since been removed or changed.

Existing Legislation & Regulation happening now:

- [AI Act enters into force - European Commission \(europa.eu\)](https://european-council.europa.eu/media/en/press-operations/infographic-1-62022-1.pdf)
- [Government of Canada launches second phase of the Pan-Canadian Artificial Intelligence Strategy - Canada.ca](https://www150.com/pan-canadian-artificial-intelligence-strategy/)
- [S.1353 - 117th Congress \(2021-2022\): Advancing American AI Act | Congress.gov | Library of Congress](https://www.congress.gov/bills/117/1353)
- [In Hollywood writers' battle against AI, humans win \(for now\) | AP News](https://www.apnews.com/story/ai-writers-battle-2023)

Some Key Trends:



Model Transparency

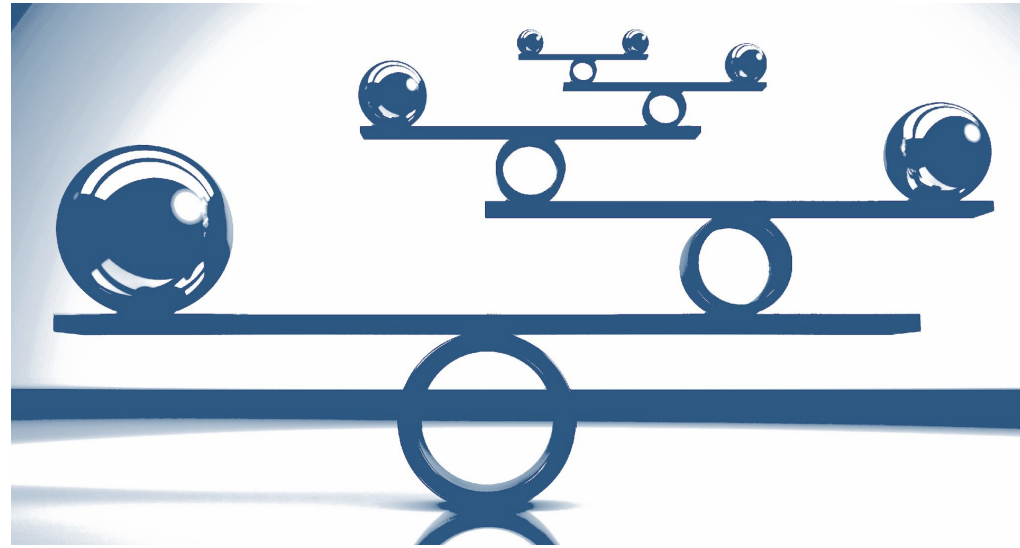


Bias



Disclosure of Use





PROCEDURE BASICS



Purpose / Background

Similar to our parent policy, a statement as to why this procedure was needed, what it's for, and when it should be followed.

GOAL: Be brief!

Definitions



Very similar to our policy again. Even if you've included a definition in a parent policy already – include it here again. Don't make your reader have to go back to another document.

Make sure you include all terms that exist in your procedures section.

Procedures

- These are specific statements about how a task is carried out, and what specifically needs to be done.
- Be complete – break things down.
- Some procedures will list potential disciplinary actions that will occur if not followed – depends on your organization.

 **GOAL: BE REASONABLY PRACTICABLE**

Exceptions

- ❖ What are the listed exceptions to the procedure, when does it not need to be followed.
- ❖ If needed, what procedure is followed to have an exception to the procedure!



Related Documents

- Link back to the parent policy
- Reference any related policies
- Reference any related procedures or guidelines
- If containing disciplinary actions – link to applicable HR policies and procedures



Audit Controls / Document History

- For the exact same reasons as our policy header
 - Who approved it and when?
 - Which role owns the procedure?
 - When will it be reviewed?
- For the footer
 - What changed when? So we have history.

Guidelines

- Guidelines are essentially procedure documents that are more passively worded.
- Gives the folks who the policy governs a sense of how to conform to the policy without giving specific instructions.
- Useful for expanding on a policy without introducing too much bloat into the policy itself.



GOAL: Use a guideline to give people...well...guidance on how the policy should be followed.

- It uses the exact same sections as a procedure document

AI Procedures

Generative AI (GenAI)

- A lot of the drive for AI Governance at organizations happened when GenAI became popular.
- Be specific about what people can put into prompts.
- Be specific about which GenAI tools the organization supports.
- Be specific about the tasks that the organization supports the use of GenAI for.

Data Science / AI Models / AI Tools

- If you're using algorithms for population selection, write procedures that will help with:
 - Bias
 - Model Transparency
 - Ethics

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