Interoperability and AI Governance

IGF's Policy Network on Artificial Intelligence
3rd Session, 04 July 2023

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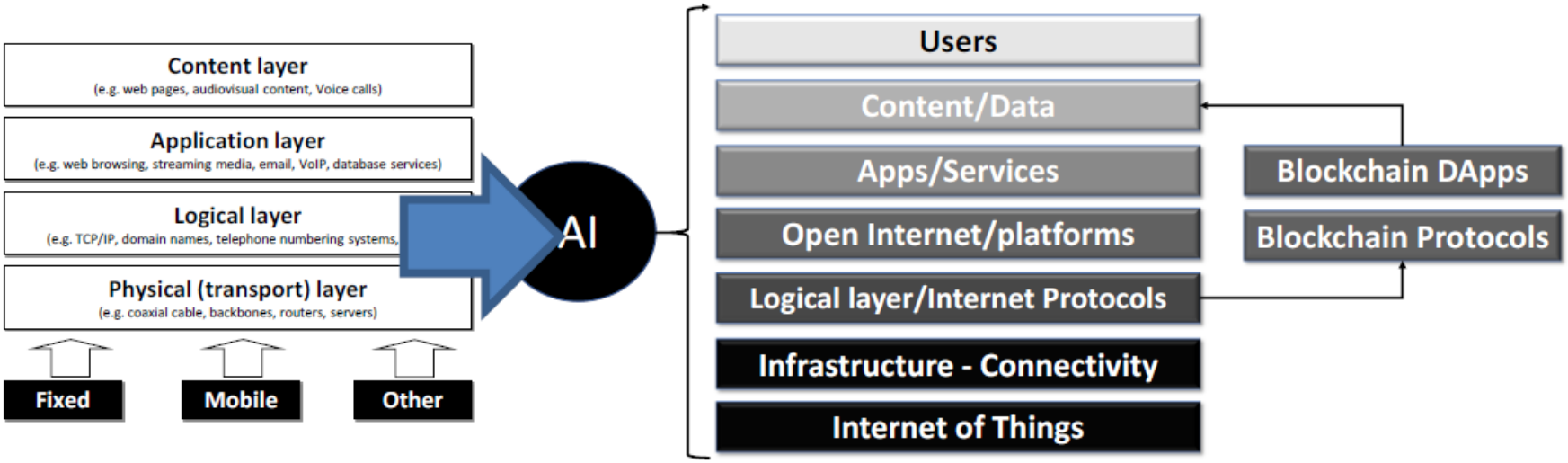
Agenda

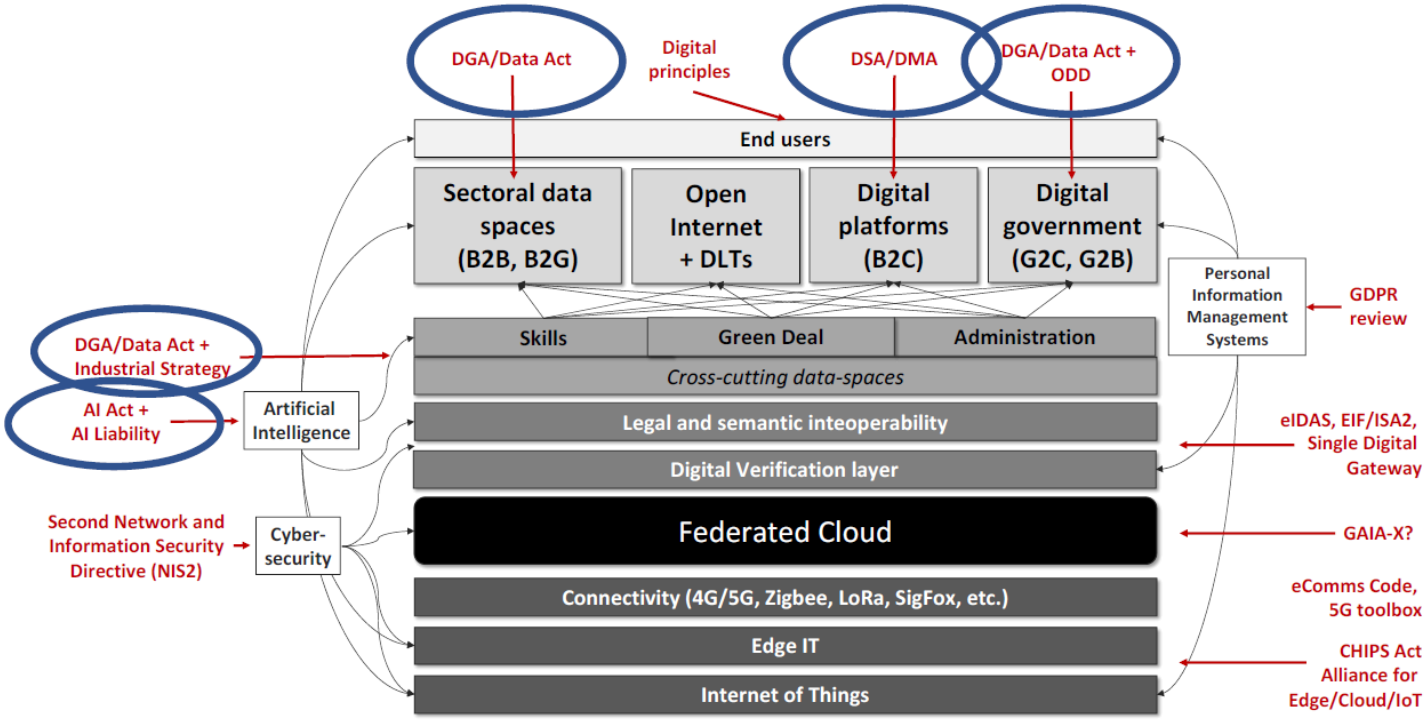
- Looking at Internet Governance Complexity
- AI Governance and Interoperability
  - What? The Scope
  - Who and How? Stakeholders and Influences
- Challenges and Recommendations
  - Multistakeholderism in Standard-Setting
  - Capacity Building
- Questions

Old vs New Old vs New Digital Tech Stack



Source: Andrea Renda, Single Market 2.0: the European Union as a Platform, 2020

EU's Regulatory Initiatives around the Stack



Source: Andrea Renda, Presentation at EUI – Executive Training - The Age of Platform Regulation: The EU Digital Services Act, Digital Markets Act, & AI Act

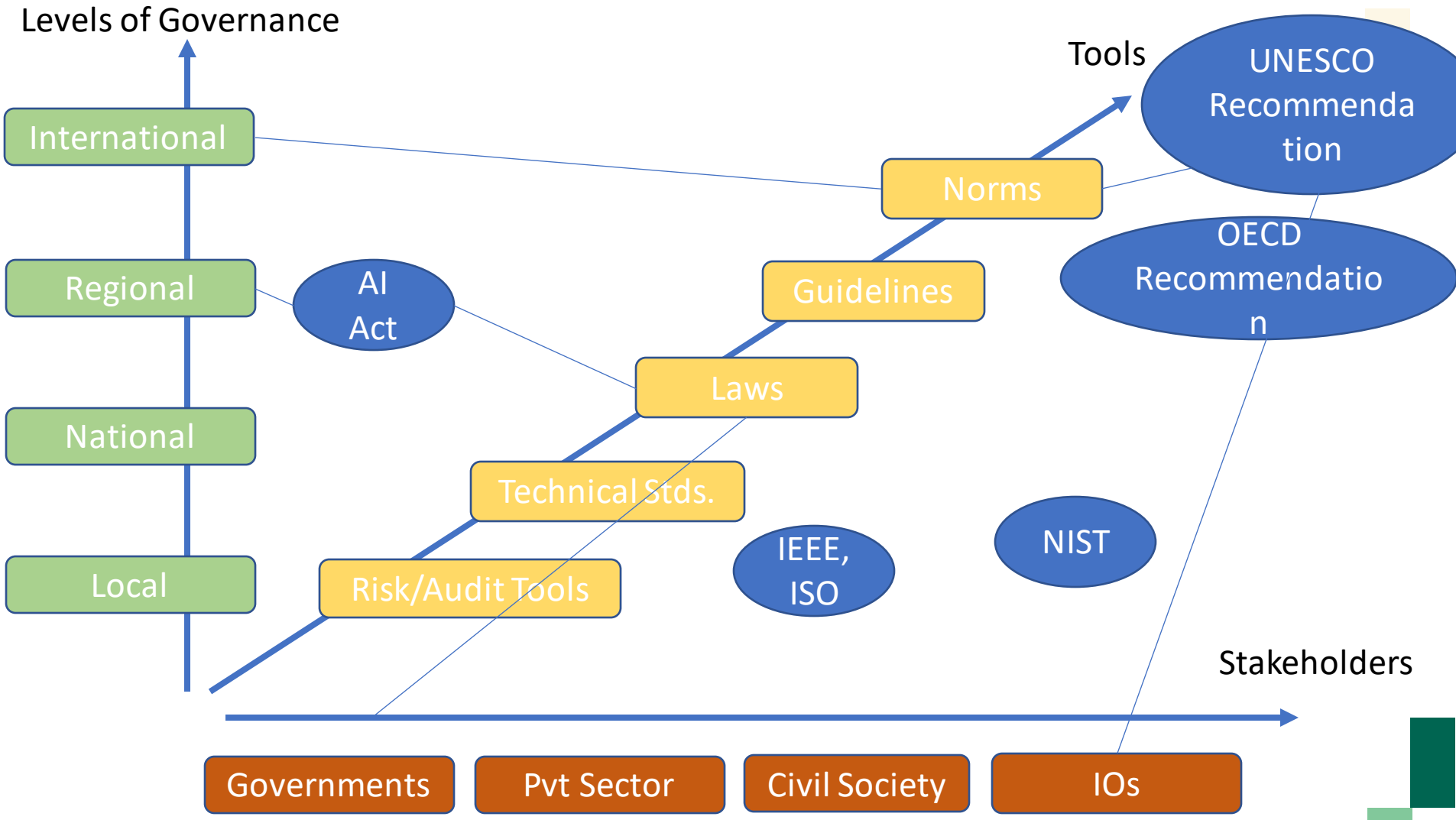
AI Governance and Interoperability

Governance

Development and application of shared principles, norms, rules, decision-making procedures and programs that shape the evolution and use of AI (Kurbalija, 2016, p.5), including institutional and technical arrangements (Lessig, 1999; 2006).

Source: Fjeld and Nagy (2020) Principled Artificial Intelligence: Mapping Consensus in Ethical and Rights-based Approaches to Principles of AI. Berkman Klein Center at Harvard. Available at: Principled Artificial Intelligence | Berkman Klein Center (harvard.edu).

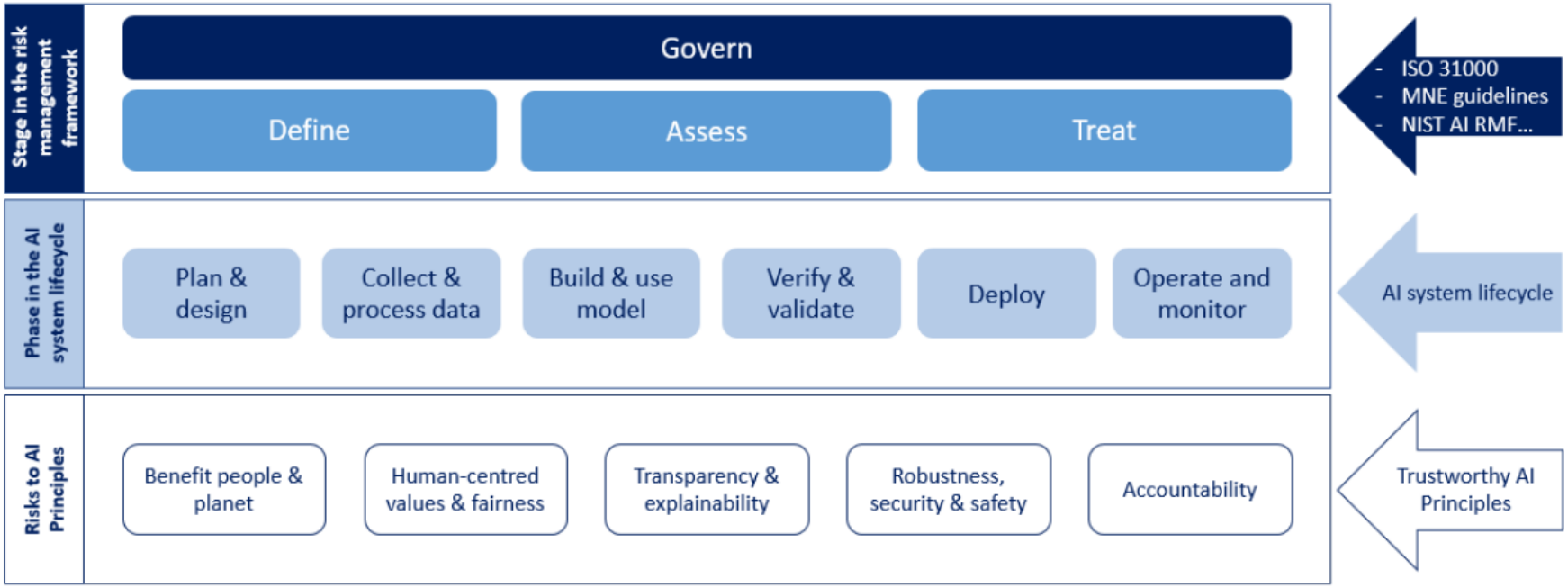
Mapping Inter-Operability



NIST AI RISK Management Framework

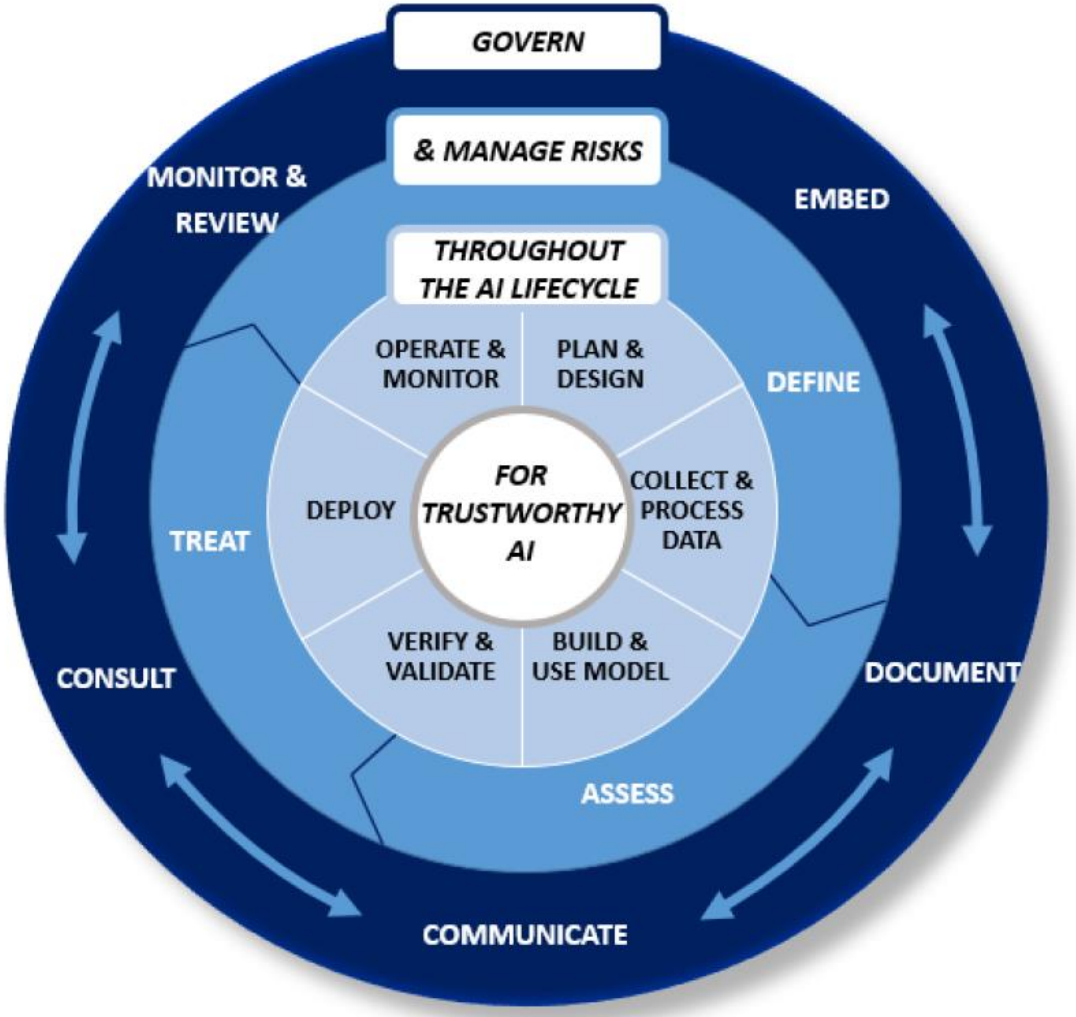
Source: [Artificial Intelligence Risk Management Framework (AI RMF 1.0) (nist.gov)]

OECD – Advancing Accountability in AI



Source: [Advancing accountability in AI: Governing and managing risks throughout the lifecycle for trustworthy AI | en | OECD]

OECD – Advancing Accountability in AI



Source: [Advancing accountability in AI: Governing and managing risks throughout the lifecycle for trustworthy AI | en | OECD]

AI Governance and Interoperability

Who and How? Stakeholders and Influences.

How governance translates into technical tools, specifications and standards?

- **Legal Influence**: Risk Assessment and Auditing

UNESCO's Ethical Impact Assessment

Description: What are the prospective impacts of the system on

Significance Levels: Scale of the prospective impact

Impacted Groups/Entities: Scope of the outcome

Likelihood of the outcome occurring (i.e., low, medium, high, very high)

Mitigating Impact

NIST AI Risk Management Framework

Map: Context is recognized and risks related to context are identified

Measure: Identified risks are assessed, analyzed and tracked

Manage: Risks are prioritized and **acted upon based on a projected impact**

OECD's Advancing Accountability in AI

Define: Scope, context, actor and criteria

Assess: Identify and measure AI-related risks

Treat: Prevent, mitigate or cease AI risks

Govern: Monitor, document, communicate, consult and embed a culture of risk management

AI Governance and Interoperability

Who and How? Stakeholders and Influences.

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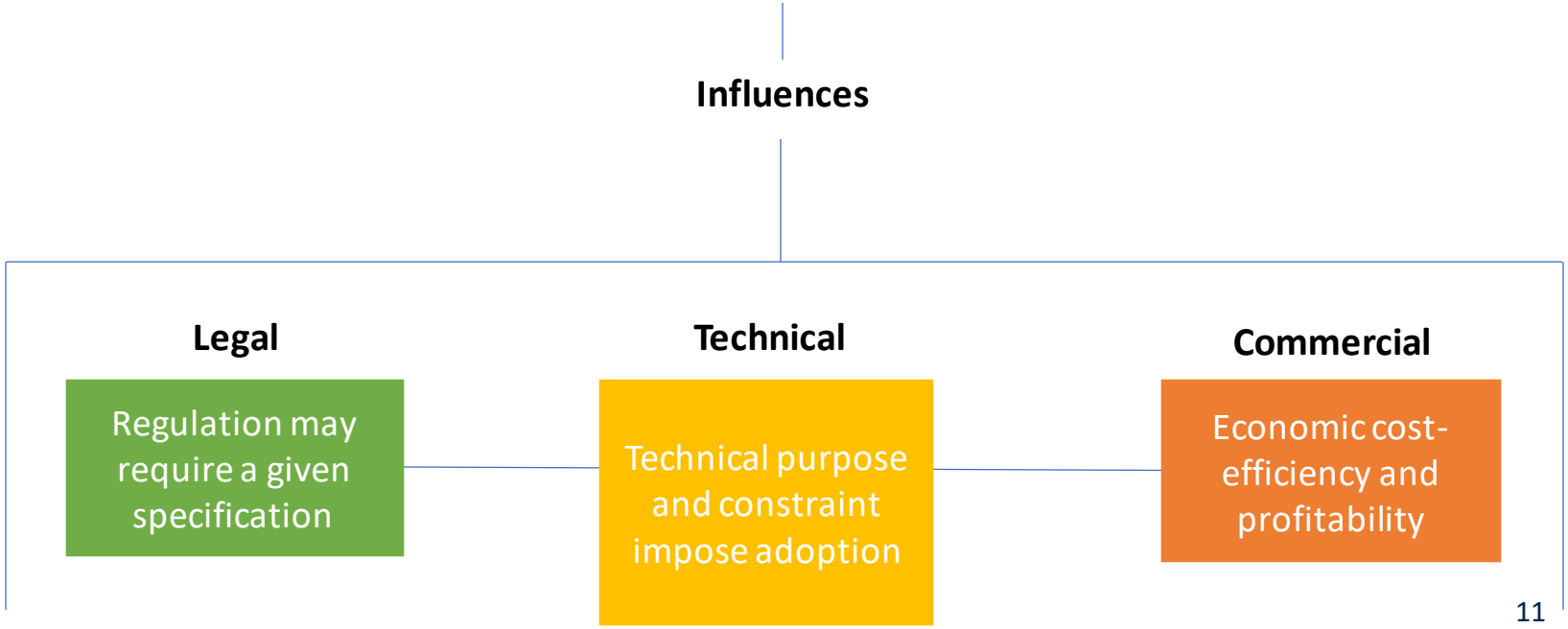
How governance translates into technical tools, specifications and standards?

- "Standards enforce policy. They are the rules that others must follow and the categories from which others choose" (Voo, 2019; Busch, 2011).



Challenges to Interoperability of AI Governance

Multistakeholderism in Standard-Setting

- Lack of **coordination** among stakeholders
  - UNESCO: Member States should establish mechanisms, in collaboration with international organizations, transnational corporations, academic institutions and civil society, to ensure the active participation of all Member States, especially LMICs, in particular LDCs, LLDCs and SIDS, in international discussions concerning AI governance (UNESCO, 2022, para. 60).
- Lack of **legitimacy** due to restrictive standard setting processes
  - Technical specifications have two pathways to become standards (Voo, 2023, p.141)
    - From below, through product adoption at such a high volume that a de facto standard is set
    - From above, through proposing and securing agreement for technical standards in SDOs and thereby setting a de jure standard
    - "SDOs unwittingly exclude emerging economies and civil society through invisible thresholds, such as the unpaid nature of participation and the high levels of technical expertise required to participate in discussions" (Voo, 2023, p.148)
- **Funding** and **Capacity** Gaps

Challenges to Interoperability of AI Governance

Digital Planning and Design

Understand complexity
Anticipate unexpected
Recognize opportunities

Data Use and Governance

Understand data
Leverage data
Manage data

Digital Management and Execution

Manage projects
Implement policies
Be agile and collaborative

Questions for Discussion

- What recommendations can be made based on the mapping for enhanced interoperability for AI governance?
- How can standard-setting, whether market-driven or via SDOs, become substantively multistakeholder, rather than just formally?
- What are / will be the challenges Global South countries face to operationalize ethical AI via technical specifications?
- How may capacity be built accordingly?

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Thank you!

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