

AI ETHICS INDEX

AI and Human Rights: A Global Survey of Policies and Practices

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Common Good Digital Framework
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SUMMARY

The AI Ethics Index is a global survey that will allow policymakers and the public to assess progress toward normative AI goals. The AI Ethics Index has these objectives: (1) to evaluate a country's AI policies and practices in 2020, (2) to compare the AI policies and practices of various countries in 2020, and (3) to evaluate a country's AI policies and practices over time. The AI Ethics Index will focus on human rights, rule of law, and democratic governance metrics. Endorsement and implementation of the OECD AI Principles will be among the primary metrics. Opportunities for the public to participate in the formation of national AI policy, as well as the creation of a national commission to address AI challenges, will be included among the metrics. Patents, publications, and investment are important metrics for AI policies, but they will not be considered here. The AI Ethics Index will be published on an annual basis.

SCOPE

The first edition of the AI Ethics Index will examine policies and practices in 25 countries, either Top 25 by GDP or Top 25 by Population.

METHODOLOGY

To establish an objective basis to evaluate a particular country's AI policies and practices it is necessary to select well established metrics. It will also be necessary to note that a country's endorsement of a legal framework does not necessarily mean the country complies with the legal framework. For this reason, the AI Ethics Index will closely at both policies and practices. Proposed metrics follow below.

A simple scale will be used to evaluate compliance with each metric: Green = most favorable, Yellow = neutral, Red = least favorable.

PROPOSED METRICS

- Has the country endorsed the OECD AI Principles?
- Has the country implemented the OECD AI Principles?

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- Has the country endorsed the Universal Declaration of Human Rights?
- Has the country implemented the Universal Declaration for Human Rights?
- Has the country established a process for meaningful public participation in the development of a national AI Policy?
- Are materials about the country's AI policies and practices readily available to the public?
- Has the country established a national AI commission with a significant focus on human rights?
- Do the following goals appear in the national AI policy: "Fairness," "Accountability," "Transparency," "Rule of Law," "Fundamental Rights"?
- Has the country by law established a right to Algorithmic Transparency?
- Has the country considered the Universal Guidelines for AI?
- Has the country considered the Social Contract for AI?

RELEVANT WORK

The AI Ethics Index will draw on earlier comparative studies for encryption policy and privacy policy. Key is the need to consider both a country's commitment to good policies and also a country's implementation of good policies.

PROPOSED TABLE OF CONTENTS

- Introduction and purposes
- Background on AI policy
- Summary of Key Findings
- Explanation of Methodology
- Individual country reports (approx 25 countries)
 - Brief description of country 's AI policies and practices
 - Assessment of compliance with metrics
 - Rating
- References (related work)

OTHER AI SURVEYS

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Although there are many papers on the public policy dimensions of AI, there appear to be very few comparative studies, similar to the proposed AI Ethics Index.

- OECD Science, Technology and Industry Working Papers 2020/05, *Identifying and measuring developments in artificial intelligence: Making the impossible possible* (2020)

This report provides a numeric evaluation of AI conference themes, patent applications, publications, and key term analysis. However, none of the terms typically associated with AI and human rights, such as privacy or transparency, are considered in the report.

- [Other reports]

ANTICIPATED RELEASE

- Boston Release – December 12, 2020. Boston Global Forum Cybersecurity Day
- Brussels Release – January 25, 2021. Conference on Computers, Privacy and Data Protection

REFERENCES

Banisar, David, *National Comprehensive Data Protection/Privacy Laws and Bills 2019* (November 30, 2019). Available at SSRN: <https://ssrn.com/abstract=1951416> or <http://dx.doi.org/10.2139/ssrn.1951416>

Cryptography and Liberty: An International Survey of Encryption Policy (EPIC, editions 1999-2004) (creation of objective metrics, explication of methodology, use of green-yellow-red classification, published annually)

Greenleaf, Graham, [Survey of Global Privacy Laws]

Privacy and Human Rights: An International Survey of Privacy Laws and Developments (EPIC and Privacy International, editions, 1998-2006) (developed from annual human rights report of State Department, development of descriptive characteristics, published annually)

CONTACT

Suggestions for the *AI Ethics Index* are appreciated.

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