

Joint Recommendation

on University of the Philippines Principles for Responsible AI

August 2023



Painting created by DALL.E 2, an AI system that can create realistic images and art in response to a text description. The AI was asked to produce an impressionist painting of how AI and the University of the Philippines in harmony would look like. Concept by The Ambit - Global.



Center for AI and Digital Policy



AI & Partner



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Joint Recommendation

Open Comment on University of the Philippines' Principles for Responsible AI

9 August 2023

To: The University of the Philippines System

aicomments@up.edu.ph

The onset of 2023 is marked by rapid growth in the field of Artificial Intelligence (AI). With the release of wave after wave of new generative models, including ChatGPT, the immense potential of AI took the public spotlight. At the same time, however, issues and risks associated with AI started to crop up, both globally and locally.

Extensive research has shown that AI systems possessing an intelligence that is on par with that of humans can present significant dangers to society and humanity. Leading AI laboratories have acknowledged this.¹ On top of these risks also comes *the heightening Majority World (Global South) concerns*. For instance, 150 African workers behind ChatGPT, TikTok, and Facebook recently voted to unionize² at a landmark meeting in Nairobi. These AI workers, among others like us, when prompted by major AI companies to identify traffic lights and crosswalks, are the invisible underpaid backbone of the technology running in all our pockets.³

Last 12 May 2023, The Ambit through The Ambit Philippines Council launched its *Public Call on Ethics, Safety, and Governance of AI in the Philippines*⁴ in response to the openness of Philippine legislators to address issues posed by AI in legislation. We noted with concern that the measures are by far piecemeal and seek to solve narrower issues by regulating or prohibiting certain conduct. Beyond this, regulations in place are wanting to provide general frameworks within which the AI industry can flourish. To this end,⁵ we urged the members of the National AI Roadmap Advisory Committee and respective departments **to promptly act on the 13 keypoint recommendations** we provided. In line with this, The Ambit would like to extend the fruition of our recommendations by forging partnerships with key stakeholders from its founding national chapter, the Philippines.

Two months later, the University of the Philippines System announced an open comment on the policy on Artificial Intelligence that is under consideration.⁶ The Ambit Philippine Council, together with its joint partners in this recommendation, welcomes the open comment to the Principles for

¹ Future of Life Institute, *Policymaking in the pause: Giving democracies time to think on AI*, (2023 April) https://futureoflife.org/wp-content/uploads/2023/04/FLI_Policymaking_In_The_Pause.pdf

² Billy Perrigo via NY Times, *150 African Workers for ChatGPT, TikTok and Facebook Vote to Unionize at Landmark Nairobi Meeting*, (May 1, 2023) <https://time.com/6275995/chatgpt-facebook-african-workers-union/>

³ Josh Dzieza, *Inside the AI Factory: As the technology becomes ubiquitous, a vast tasker underclass is emerging — and not going anywhere* (June 2023), <https://www.theverge.com/features/23764584/ai-artificial-intelligence-data-notation-labor-scale-surge-remotasks-openai-chatbots>

⁴ The Ambit, *Public Call on Ethics, Safety, and Governance of AI in the Philippines* (2023), <https://www.change.org/p/public-call-on-ethics-safety-and-governance-of-ai-in-the-philippines>

⁵ Ibid, FULL DOCUMENT via SSRN

https://www.researchgate.net/publication/371451956_Public_Call_on_Ethics_Safety_and_Governance_of_AI_in_the_Philippines

⁶ University of the Philippines, *UP Principles for Responsible AI*, (Jul 19 2023), <https://up.edu.ph/up-principles-for-responsible-artificial-intelligence/>

Responsible Artificial Intelligence ('UP AI Principles') and is looking forward to meaningful consideration of the insights we will provide.

The Ambit⁷ is a global civic and social organization converging the Majority World nations at the center of ethical AI governance. Its founding chapter, The Ambit Philippines, aims to pioneer this initiative by empowering nations with shared development goals, long history as present and former colonies, as well as concentration of disenfranchised populations and marginalized groups - through partnerships, education, and policy advocacy.

As a coalition stimulating insight into action, our priorities include:

- researching the impact of AI on disenfranchised populations and marginalized communities;
- forging alliances with stakeholders beyond global centers of capital and innovation;
- strengthening the capacities of policymakers, researchers, and communities through public-private initiatives;
- and advocating for AI policies, standards, and best practices that consider the context, ethics, and priorities of the Majority World (the Global South⁸ and their diasporas in the Global North).

By integrating input from the Philippines and allies across the Majority World, The Ambit works to build governance protecting the world's most vulnerable from harm. Our vision is a future shaped by AI that honors and upholds human dignity.

We applaud the University of the Philippines for initiating its open comment on principles for responsible AI. Not only is this the first meaningful process for public participation in AI for the country, but this initiative is also exemplary among higher education institutions across Southeast Asia. The 'UP AI Principles' is a values-based approach consisting of 10 principles, namely: (1) public good, (2) everyone should benefit, (3) meaningful human control, (4) transparency, (5) fairness, (6) safety, (7) environment friendly, (8) collaboration, (9) accountability, and (10) governance.

In this joint recommendation, we would like to provide comments in five segments:

1. General comments on UP AI Principles
2. Specific modifications on UP AI Principles
3. Recommended action steps beyond UP AI Principles in the Philippines
4. On Education and Research
5. Annex

We urge the Board of Regents and UP System Officials **to promptly act on the following recommendations**, among others:

⁷ The Ambit (2023) <https://www.linkedin.com/company/theambit-org>

⁸ Arun Chinmayi, *AI and the Global South: Designing for Other Worlds*. In M. Dubber, F. Pasquale, & S. Das (Eds.), *The Oxford Handbook of Ethics of AI*, pp. 589-606. Oxford University Press, (2020) https://papers.ssrn.com/sol3/papers.cfm?abstract_id=3403010

I. General Comments

- (1) *Carry forward and open the public consolidation in drafting the **Systemwide AI Strategy of the University of the Philippines, no later than the end of 2023***⁹.

Considering the initiative of the university in this regard, we encourage your institution to pioneer the dialogue and concrete action on AI in the Philippines. We urge the UP officials to ensure an open and inclusive process for developing the strategy and provide an opportunity to comment on the recommendations regarding mandates on AI that could have far-reaching consequences for the Filipino people.

- (2) *Implement the **UNESCO Recommendation on Ethics of AI***

Implement the UNESCO Recommendation on Ethics of AI,¹⁰ already adopted by the Philippines along with other 192 UNESCO member states, so as to align the university system AI policy with other democratic nations and institutions. In accordance with the recommendation, specifically paragraph 53, we urge the UP Officials and respective units to incorporate a procedure “carry[ing] out ethical impact assessments on AI systems to predict consequences, mitigate risks, and avoid harmful consequences”.

- (3) *Ensure that an **AI Ethics and Governance Committee** exists in each Constituent University with **interdisciplinary representation** across the UP system to move forward an inclusive regulation for AI - **both on AI ethics and AI safety***

UNESCO in its recommendation on the Ethics of AI highlighted that “Respect, protection, and promotion of diversity and inclusiveness should be ensured throughout the life cycle of AI systems, consistent with international law, including human rights law”.¹¹ The development, review, and oversight of AI systems at the university must involve active participation across academic departments, including students. An inclusive AI ethics committee should be formed with representatives from students, faculty, staff, and industry experts to shape guidelines aligned with diverse perspectives.

In all decisions regarding AI, from proposed surveillance measures to academic integrations, students and the faculty **must have defined mechanisms** to provide input, express concerns, and contribute meaningfully, given their large population in UP. Faculty and student representatives should have seats at relevant oversight bodies, task forces, and review processes where their voices can directly inform AI policies. With multi-stakeholder participation and emphasis on student empowerment, the university can build trust and accountability in AI systems.

- (4) *Adopt the recommendations from the **index report AI and Democratic Values 2022***

The report¹² is a substantial source for emerging AI frameworks across the world, with 75 countries reported in the latest edition (3rd, 2022), including the Philippines. The 12 metrics¹³ it measures are a good starting point for the UP AI Roadmap Advisory Committee to advance the work on developing the UP system-wide AI strategy and policies.

⁹ See ‘Annex A’ of this document: *Recommended 5 year Timeline to UP Approach for Responsible AI Governance*

¹⁰ UNESCO, *Recommendation on the Ethics of Artificial Intelligence*, (2021)

<https://en.unesco.org/artificial-intelligence/ethics#recommendation>

¹¹ Id, paragraph 19

¹² Center for AI and Digital Policy, *2022 AI and Democratic Values Index Report (Apr 2023)*,

<https://www.caidp.org/reports/aidv-2022/>

¹³ See ‘Annex B’ of this document: *12-metrics for AI and Democratic Values (AIDV) Index from Center for AI and Digital Policy (CAIDP) 2022 report*

II. Specific Provisions

(1) ***Adopt already established principles, a global to national alignment on AI Policy***

The UNESCO Recommendation on Ethics of AI is “a remarkably comprehensive AI policy framework touching upon established AI concerns, such as fairness, explainability, accuracy, transparency, and emerging AI issues, including gender equity and sustainable development – **at any stage of the AI life cycle.**”¹⁴ It is a **rights-based framework** setting out **4 values, 10 principles, and 11 policy areas** (see Annex C of this document); and the first global recommendation for AI policy that engages **the Global South** or Majority World nations.

(2) *Moreover, the following are our comments on the draft ‘UP AI Principles’:*

2.1 **Principles 1 and 2** are redundant. We suggest merging or modifying as in the case of UNESCO Ethics of AI.

2.2 **Principles 3 and 9** are redundant. We suggest merging or modifying as in the case of UNESCO Ethics of AI.

2.3 Add ***Honor and Excellence*** as a merged principle. We note that this is the identifying principle of the university and should be part of the AI principles. This is to emphasize both integrity of the study (not using fake data)¹⁵ and the academic rigor¹⁶ of the created/studied AI systems.

2.4 On **Principle 5**, AI Developers should not just be aware of unintended consequences but should work hand-in-hand with social scientists to look for risk in the systems in the entire AI lifecycle.

2.5 On **Principle 6**, AI systems must not only function in a safe way but also require Safety Mechanisms.

2.6 **Principles 5 and 6** are passive in spirit as written in the draft, which should not be.

2.7 **Principle 7** should mention UN Sustainable Development Goals, not only just having no risk to the Environment. In UNESCO Ethics of AI,¹⁷ this is under the 4th value: Environment and Ecosystem Flourishing.

2.8 On **Principle 10**, governance and privacy are two different things. **Governance** should be about having an Inclusive and Independent (aside from inter-sectoral, interdisciplinary, and multi-stakeholder) governing body to assist with AI Policy. **Privacy** should be its own principle, along with the Security of the user's Data, in recognition of data at the heart of AI.

2.9 There is no principle that covers **Security and Robustness**.

2.10 There is no principle that covers **Explainability**. In UNESCO Ethics of AI,¹⁸ this is under the 6th principle: *Transparency and Explainability*.

¹⁴ As cited in: Lyantoniette Chua and Alex Moltzau, *5 Key Points: UNESCO Recommendation on the Ethics of AI* via CAIDP, (2022), <https://tinyurl.com/5KP2022-UNESCOaiethics>

¹⁵ A case study: Maya Yang, *Harvard professor who studies honesty accused of falsifying data in studies*, (June 2023), <https://www.theguardian.com/education/2023/jun/25/harvard-professor-data-fraud>

¹⁶ A case study: Susan Svrluga and Jack Stripling, *Stanford president will resign after questions about research*, (July 2023), <https://www.washingtonpost.com/education/2023/07/19/stanford-university-marc-tessier-lavigne-research-controversy/>

¹⁷ UNESCO, *Recommendation on the Ethics of Artificial Intelligence*, (2021) <https://en.unesco.org/artificial-intelligence/ethics#recommendation>

¹⁸ Id.

(3) *Design an **Explainable and Responsible AI framework** and widespread **use** of the corresponding **toolkit**.*

The guidelines or framework¹⁹ shall be used by different stakeholders along the AI pipeline, starting with data collection considerations to limit succeeding bias, to model developers, performance assessors, model deployment, and end-user usage (typically non-data scientists).

(4) *Collection/Inclusion of **sensitive data** shall not be forbidden - but an impact assessment should be a strict mandate*

In a 2022 study by Kelley et al, it was shown²⁰ that having information on personal attributes like gender could decrease gender discrimination by almost factor 3 –while increasing profitability by 8%. This finding is further supported with a 2023 study²¹ noting that by following the EU or US regulations on sensitive data, this would not have been possible because measures cannot be taken for an existing bias without knowing the groups that are victims of the bias. Instead of absolute prohibition on sensitive data collection, we recommend instead requiring an impact assessment - where it has to be disclosed clearly how the data will be used in a responsible way.

We urge the UP College of Law, UP EEEI, and UP AI Program to conduct a review process on how the findings of these studies will work alongside the existing major digital policies in the Philippines, RA 10173 or the Data Privacy Act of 2012 (on government, stakeholders) and RA 10175 or the Cybercrime Prevention Act (on data interference).

¹⁹ Aboitiz Data Innovation is developing a guideline, methodology, and toolkit that can be used.

²⁰ Kelly, S., et al. (2022), *Anti-discrimination laws, artificial intelligence, and gender bias: A case study in nonmortgage fintech lending*, Management Science, 68(5), 3272-3292. <https://doi.org/10.1287/msom.2022.1108>

²¹ S. Kelley, A. Ovchinnikov, A. Heinrich, and D. Hardoon, *Removing Demographic Data Can Make AI Discrimination Worse* via Harvard Business Review, (March 2023), <https://hbr.org/2023/03/removing-demographic-data-can-make-ai-discrimination-worse>

III. Next Action Steps

(1) *Carry forward and promptly establish the **UP AI Ethics, Safety, and Governance Committee***

We recommend that this committee welcome collaboration with reputable global institutions that are making strides in AI policy, standards, and governance; as well as local organizations that propose concrete solutions and mechanisms to address AI impacts in the Philippines. This committee can be initially formed by hosting thematic working groups prior to finalizing the university systemwide AI strategy. The members of this June 2023 panel on ethical considerations for AI are a good starting point.²² Moreover, mandating principles for the working groups to comply with is encouraged.

This committee is tasked with developing guidelines and a framework for AI development and deployment that each constituent university is expected to implement. The committee's recommendations will also be available for adoption by other organizations.

This committee is also expected²³ to work alongside the office(s) designated for data governance protocols. This is to safeguard the collection, storage, and use of data for AI purposes. This committee will ensure compliance with relevant data protection regulations.

(2) *Promptly establish an ad-hoc **AI Policy Committee**, and conduct a **Policy assessment***

Create a dedicated committee comprising experts from diverse fields, including AI researchers, ethicists, legal experts, educators, and representatives from relevant departments. This committee will be responsible for formulating and updating the university's AI policy.

Assess the current AI landscape within the university, including existing AI projects, research, and applications. Identify potential ethical, legal, and privacy concerns associated with AI adoption in Constituent universities.

(3) ***Monitor and Review Policy***

Regularly review and update the AI policy as AI technology and regulations evolve. Encourage feedback from stakeholders to ensure continuous improvement and alignment with the university's objectives.

(4) *Separate efforts need to be made for **Change Management** to optimize the empowerment and collaboration of people with AI.*

AI progresses fast, faster than the uptake and proper assessment by humans. Therefore initiatives need to be supported for change management (for understanding AI, reskilling, increasing trust, and empowering us). In order to succeed it is imperative for people to feel comfortable with AI and to find the right way to work with it.

²² Cathy Resurreccion via CoinGeek, *2023 National Analytics and AI Summit Day 2: Achieving ethical and regulatory compliance for AI*, (July 11, 2023)

<https://coingeek.com/2023-national-analytics-and-ai-summit-day-2-achieving-ethical-and-regulatory-compliance-for-ai/>

²³ See 'Annex D' of this document: *Starting Outline for Key Performance Indicators of AI Ethics Committee*

We note that AI and other technological systems, do not determine society, it is society.²⁴

(5) *Issue an executive circular Memorandum of Agreement from UP Board of Regents to all Constituent Universities*²⁵

In response to the mandate of the UNESCO recommendation (see Section 1.4 of this joint recommendation), we urge the UP Board of Regents to issue a memorandum of agreement to the 8 campus chancellors and 1 autonomous unit dean across the university system regarding the establishment and implementation of responsible governance framework²⁶ on AI throughout its lifecycle.

(6) *Establish an independent oversight mechanism on transparent and accessible procedures for redress regarding ethical violations or harms caused by AI systems*

An independent office should be designated to receive complaints, conduct investigations, and provide remedies upholding fundamental rights. Channels for grievance reporting should be widely publicized and easy to navigate so faculty and students feel empowered to come forward without fear.

Clear protocols for record-keeping, due process, and enacting remedies should be instituted. Where AI systems infringe on rights or breach ethical guidelines, responsible parties must be held accountable, and impacts remediated through appropriate corrective actions. Robust remedial pathways signal the university's commitment to ethical AI and willingness to confront failings courageously. This fosters trust that the well-being of UP stakeholders remains the top priority.

(7) *Support AI for Social Good and engage with Industry partners*

Encourage AI projects and initiatives that contribute positively to society, addressing local and national challenges, while aligning with the university's mission. Foster partnerships with AI industry players to stay updated on the latest advancements and potential applications. We encourage collaboration on joint research projects and initiatives.

²⁴ Lyantoniette Chua, *Keynote on Ethics of AI: A Roundtable Discussion* held in Cebu - hosted by PizzaPy, DTI Region 7 et al, (Apr 2023), <https://www.linkedin.com/feed/update/urn:li:activity:7056260075757207552/>

²⁵ The UP System Structure: <https://up.edu.ph/administration/>

²⁶ As a suggestion, consider the findings on: Singapore's *Model AI Governance Framework (2nd ed, 2020)*, https://media.linkedin.com/dms/document/media/D561FAOHXACjEpTNOeg/feedshare-document-pdf-analyzed/0/1691415106807?e=1692230400&v=beta&t=wcYfzcrsKaJS1Z8Id4PTTfhuFZFjtgcZ_Ikf7cw1LTY

IV. Education and Research

(1) *Encourage **Interdisciplinary AI Research***

There is a need to promote collaborations among various faculties and departments to foster interdisciplinary research on AI. We encourage the exploration of AI applications across different domains, such as healthcare, education, arts, and environmental sciences.

(2) *Prioritize **AI Security and Risk Management***

We emphasize that **all AI research is potentially dual-use**. Researchers have an ethical duty to proactively mitigate risks. This requires envisioning worst-case scenarios, implementing technical safeguards, engaging stakeholders on societal risks, and incorporating best practices in AI safety and security. Mere checklist compliance is irresponsible because fulfilling the duty of care requires comprehensive, creative thinking about preventative measures throughout the AI lifecycle. The stakes are too high for anything less. There is a need to implement measures to protect AI systems from potential attacks and vulnerabilities.

(3) *Champion **nationwide AI literacy and upskilling programs***

While the University of the Philippines' new graduate program in AI is an important step in developing expertise, broader public awareness and capacity-building around AI are critical. To truly uphold the principles of public good and collective beneficence, we recommend the University spearhead creation of programs aimed at:

(a) **improving basic AI literacy** across all sectors of society, prioritizing communities most impacted by AI systems in public awareness campaigns, community workshops, and distributing accessible educational resources;

(b) **expanding labor opportunities** for those whose jobs may be transformed by AI to gain relevant skills and transition into new roles, achieved through public-private partnerships that maintain upskilling programs, online courses, apprenticeships, and other initiatives enabling workforce readiness;

(c) ensuring **marginalized populations** including women, youth, elders, indigenous groups, persons with disabilities, and those in remote areas are fully included in AI literacy and upskilling efforts.

Targeted action to build AI capacities among the general population, not just future experts, will allow more Filipinos to meaningfully shape and benefit from the AI systems of tomorrow. The University of the Philippines is well-positioned to lead this charge nationwide. **A comprehensive understanding of AI literacy should include:**

(d) knowledge of common AI systems, technologies, and tools;

(e) awareness of the opportunities and risks associated with AI, including potential biases and harms;

(f) skills to critically evaluate AI systems and their impacts;

(g) ability to ensure AI systems comply with regulations and align with human rights principles;

(h) capacity of providers to develop AI responsibly and users to deploy it safely;

(i) notions of algorithmic transparency, accountability, and democratic oversight; and

(j) appreciation for ensuring inclusive participation in AI across age, gender, and other demographic factors.

(4) *Educational institutions must foster the **ethical integration of AI to empower inclusive learning***

Educational institutions must foster the ethical integration of AI to empower inclusive learning. This requires establishing comprehensive guidelines, co-developed with students and experts, that govern responsible AI use and raise awareness of privacy, attribution, and ethics. Initiatives must proactively ensure equal access, addressing algorithmic biases, and involve underrepresented groups in AI design.

Institutions should integrate interdisciplinary AI tools that strengthen critical thinking, cooperation, and achievement across disciplines. Students must apply AI in an ethical manner to augment their studies. Tailored support services, including skills training and expert consultations, will enable confident AI utilization. With proper safeguards, students can unlock AI's potential as an academic asset while developing critical perspectives on emerging tech. However, irresponsible or unethical AI uses have no place in education. AI integration must be thoughtful, ethical and truly empower inclusive learning.

(5) ***Students' use of AI tools should be encouraged, alongside transparency and academic mandates***

Prohibiting the use of AI tools in education is backward. While mandatory declarations may seem to promote transparency, they risk marginalizing students leveraging AI and implying their work is inferior. Instead, AI-assisted work labeling should be promoted as part of an open culture that welcomes voluntary discussions around AI experiences that empower students to integrate these technologies.

Faculty should be equipped to provide tailored guidance on AI-assisted work through professional development programs. With the right support, students can seamlessly utilize AI as an integrated instrument that augments human capabilities and potential. This creates an inclusive academic environment focused on the quality of work regardless of the tools used.

We note that there are guidelines available for adopting AI tools in higher education with care and creativity, building the capacity to understand and manage these tools, and conducting an AI audit, among others.²⁷

The Ambit Global Network has followed the development²⁸ of digital regulations over several years including the micro developments in AI, its policies, and governance in the Philippines. Moreover, **we urge** the UP System Officials and its Advisory Committee on AI to review and engage in the 13-key point provisions listed²⁹ in The Ambit Philippines' Public Call.

²⁷ UNESCO, *ChatGPT, artificial intelligence and higher education: What do higher education institutions need to know*, (Apr 2023)

<https://www.iesalc.unesco.org/en/2023/04/14/chatgpt-and-artificial-intelligence-in-higher-education-quick-start-guide-and-interactive-seminar/>

²⁸ p. 740 - Philippines, *2022 AI and Democratic Values Index Report (Apr 2023)*,

<https://www.caidp.org/reports/aidv-2022/>

²⁹ The Ambit, *Public Call on Ethics, Safety, and Governance of AI in the Philippines (2023)*,

<https://www.change.org/p/public-call-on-ethics-safety-and-governance-of-ai-in-the-philippines>

ANNEX A

Recommended 5 year Timeline to UP Approach for Responsible AI Governance

from 2023 to 2028

Year 1 AI Experts and AI Policy Stakeholders Alliance	Q1-2: Press Release and Launching of High-Level Experts Group; First UP AI Alliance Assembly	Q3-4: Coordinated plan on AI; Stakeholder consolidation on draft UP ethical guidelines on Responsible AI
Year 2 High-Level Experts Group consolidation	Q2: on Ethical Guidelines on Responsible AI	Q3: on Policy and investments recommendations on AI Q4: on piloting assessment list for Responsible AI framework
Year 3 UP System approach on Responsible AI	Q1: UP System: A whitepaper on AI: the Honor and Excellence approach to Responsible AI Q2: Public consultation	Q3: Final assessment list for Responsible AI framework; High-level expert group on AI: sectorial recommendations to UP approach Q4: Second UP AI Alliance Assembly
Year 4 Coordination and Harmonizing Rules	Q1: Harmonizing rules (RA and codes) Q2: Updated coordinated plan on AI	Q3: UP Board of Regents' Compromise Text on the Honor and Excellence approach to Responsible AI Q4: Third UP AI Alliance Assembly
Year 5 Regulatory Sandboxing	Q1: Launching of first AI regulatory sandbox in the Philippines	Q3: Proposal on AI Liability Directive Q4: General approach of UP System to existing AI-related laws in the Philippines

**timeline based on: the important milestones of the European Commission on AI³⁰*

Additional Recommendation: Following the four step-process outlined in the WEF's National AI Strategy Framework [page 15]³¹, which is as follows: (a) assess country's long-term strategic priorities; (b) set national goals and targets; (c) create plans for essential strategic elements; and (d) develop the implementation plan.













³⁰ European Commission, *A European Approach to artificial intelligence*, (last accessed July 2023), <https://digital-strategy.ec.europa.eu/en/policies/european-approach-artificial-intelligence>




³¹ World Economic Forum, *A Framework for Developing a National Artificial Intelligence Strategy Centre for Fourth Industrial Revolution*, (Aug 2019), https://www3.weforum.org/docs/WEF_National_AI_Strategy.pdf

ANNEX B

12-metrics for AI and Democratic Values (AIDV) Index³² from Center for AI and Digital Policy (CAIDP) 2022 report

with insights on the Philippines³³

Metrics
 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 endorsed the UNESCO Recommendation on AI Ethics?
 Q11. Is the country implementing the UNESCO Recommendation on the Ethics of 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

Ethics of AI

A Roundtable Discussion Cebu, Philippines | 15 April 2023
Lyantoniette Chua, Center for AI and Digital Policy



Center for AI and Digital Policy

Color code:

Yes = Green

Partly = Yellow

No = Red

Representing Assesment to the Philippines

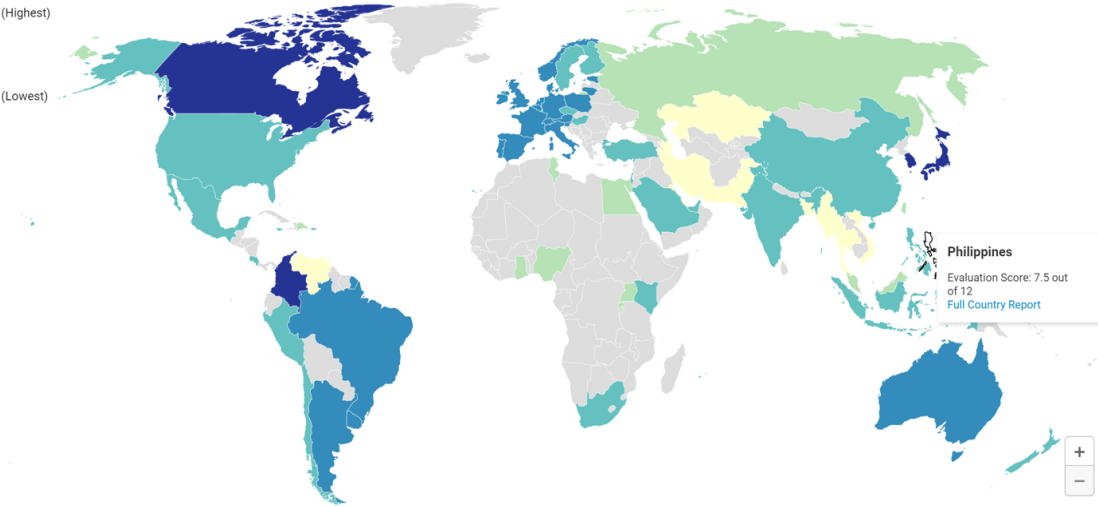
³² Center for AI and Digital Policy, *2022 AI and Democratic Values Index Report (Apr 2023)*, <https://www.caidp.org/reports/aidv-2022/>

³³ p. 740 - Philippines, <https://www.caidp.org/reports/aidv-2022/>

AIDV 2022

CAIDP's Artificial Intelligence and Democratic Values 2022 Index visualized

- Tier 1 (Highest)
- Tier 2
- Tier 3
- Tier 4
- Tier 5 (Lowest)



AIDV Map. Philippines Evaluation Score (2022): 7.5 out 12, Middle Tier

Country Distribution by Tier

TIER I (High)	TIER 2	TIER 3 (Middle)	TIER 4	TIER 5 (Low)
Canada Japan South Korea Colombia	Belgium Germany Italy Portugal Switzerland United Kingdom Argentina Austria Netherlands Slovenia Spain Australia Brazil Denmark Estonia France Ireland Lithuania Norway Poland Uruguay	Chile Costa Rica Finland Hungary Kenya Luxembourg New Zealand Sweden Czechia Indonesia Israel Malta Mexico South Africa Philippines Saudi Arabia Turkey Hong Kong India Jamaica Mauritius Peru United States of America	China Singapore United Arab Emirates Malaysia Rwanda Egypt Nigeria Russia Taiwan Dominican Republic Tunisia Uganda	Bangladesh Pakistan Qatar Trinidad and Tobago Ghana Thailand Puerto Rico Vietnam Bahrain Iran Kazakhstan Kuwait Azerbaijan Myanmar Venezuela

Country Distribution by Tier

TIER I (High)	TIER 2	TIER 3 (Middle)	TIER 4	TIER 5 (Low)
Japan South Korea		Indonesia Israel	China Singapore United Arab Emirates Malaysia Taiwan	Bangladesh Pakistan Qatar Thailand Vietnam Bahrain Iran Kazakhstan Kuwait Azerbaijan Myanmar

➔

AIDV (2022). 75 Country Reports and Indexing

vs. Asian Countries Distribution by Tier

ANNEX C

UNESCO Ethics of AI Recommendation A rights-based framework

- The Recommendation provides a universal framework of values and principles of the ethics of AI. It sets out:

4 values	10 principles	11 policy area <small>(at any stage of AI life cycle)</small>
<ul style="list-style-type: none"> ❖ Respect, protection and promotion of human rights and fundamental freedoms and human dignity; ❖ Environment and ecosystem flourishing; ❖ Ensuring diversity and inclusiveness; ❖ Living in peaceful, just and interconnected societies. 	<ul style="list-style-type: none"> • Proportionality and do no harm • Safety and security • Fairness and non- discrimination • Sustainability • Right to privacy and data protection • Human oversight and determination • Transparency and explainability • Responsibility and accountability • Awareness and literacy • Data regulation in accordance to international law and further measures on meaningful participation from marginalized groups 	<ol style="list-style-type: none"> 1. Ethical impact assessments 2. inclusive, transparent, multidisciplinary, multilateral, and multi-stakeholder 3. data governance strategies and privacy 4. international collaboration 5. businesses shall assess the direct and indirect impact on the environment 6. gender equality is fully maximized 7. preservation, enrichment, understanding, promotion, management and accessibility of cultural heritage 8. AI literacy education to empower people and reduce the digital divide and digital access inequalities 9. improve access to information and knowledge including enhancing freedom of expression etc. 10. impact of AI systems on labor markets 11. improving human health and protecting the right to life, including mitigating disease outbreaks as well as raising awareness about the anthropomorphization of AI technologies.

[Press release](#) >

UNESCO to support more than 50 countries in designing an Ethical AI Policy this year

17 July 2023 - Last update:19 July 2023

UNESCO worked with a high-level group of AI experts from all regions of the world to develop the Readiness Assessment Methodology (RAM) in 2022. The tool is a comprehensive assessment that tests the adequacy and pertinence of existing national laws and policies to frame the technological development positively, and gauges the technical capacities of public servants and institutions.

*** 50 countries are engaged with UNESCO in the implementation of RAM this year, including Antigua & Barbuda, Barbados, Brazil, Botswana, Chad, Chile, Costa Rica, Cuba, Democratic Republic of Congo, the Dominican Republic, Gabon, India, Kenya, Malawi, the Maldives, Mauritius, Mexico, Morocco, Mozambique, Namibia, Rwanda, São Tomé and Príncipe Senegal, South Africa, Timor Leste, Uruguay, and Zimbabwe.*

ANNEX D

A Starting Outline

Key Performance Indicators for the UP Ethics and Governance Committee

1. Compliance Rate: The percentage of committee decisions and actions that align with the established governance guidelines.
2. Meeting Attendance: The percentage of committee members attending scheduled meetings, indicating their commitment to governance responsibilities.
3. Meeting Minutes Accuracy: The accuracy and completeness of meeting minutes in reflecting discussions, decisions, and actions taken in line with governance guidelines.
4. Decision Turnaround Time: The average time taken by the committee to make decisions from the date an item is presented, ensuring timely responses.
5. Conflict of Interest Declarations: The percentage of committee members who consistently declare any potential conflicts of interest before discussions or decision-making processes.
6. Implementation Rate: The percentage of governance decisions effectively implemented within specified timeframes.
7. Policy and Procedure Review: The frequency and thoroughness of committee-led reviews of governance policies and procedures for alignment with best practices and regulatory changes.
8. Risk Mitigation: The effectiveness of the committee's risk management efforts in identifying, evaluating, and mitigating potential risks.
9. Stakeholder Feedback: Feedback from stakeholders (e.g., shareholders, employees, customers) on the committee's adherence to governance guidelines.
10. Training and Development: The number of training sessions and workshops attended by committee members to enhance their understanding of governance guidelines.
11. External Audit Findings: The frequency and severity of findings in external audits related to governance compliance.
12. Whistleblower Reports: The number and nature of reports received through the whistleblower mechanism related to governance concerns.
13. Complaint Resolution Time: The average time taken to address and resolve governance-related complaints or concerns.
14. Board-Committee Alignment: The level of (alignment between the committee's actions and the board's expectations outlined in the governance guidelines.

Key Contributors

Thank you for considering our views. The Ambit Global and Philippines Network welcome engagement with governments for AI and digital policies to promote ethical AI governance for the majority world. In this regard, The Ambit – Philippine Council would be pleased to offer you our advice and expertise. We welcome the opportunity to discuss this further and answer any inquiries you may have.

The Ambit and The Ambit - Philippine Council

Lyantoniette Chua

*Founder and Global Convenor, The Ambit;
Policy Lead and Fellow, Center for AI and Digital Policy - Washington DC
Associate Editor, AI and Democratic Values Index 2022 (3rd ed);
Vice Chair, IEEE Tech and Concentration of Power Committee - IEEE Global AIS Ethics Initiative*

Feil Immanuel Aquino

*Co-founder and National Convenor of the Philippines, The Ambit;
Education and Research Councilor and Student Representative to the University Committee on
Environment and Risk Reduction, University of the Philippines Cebu*

Neriah “BJ” Ato

*Founding Council Member, The Ambit Philippines;
Lead Organizer, PizzaPy - Cebu Python Users Group*

AI & Partners

Michael Borrelli

*Co-Chief Executive Officer/ Chief Operating Officer, AI & Partners
Director, McBorrelli Advisors Limited*

Sean Musch

Co-Chief Executive Officer/ Chief Financial Officer, AI & Partners

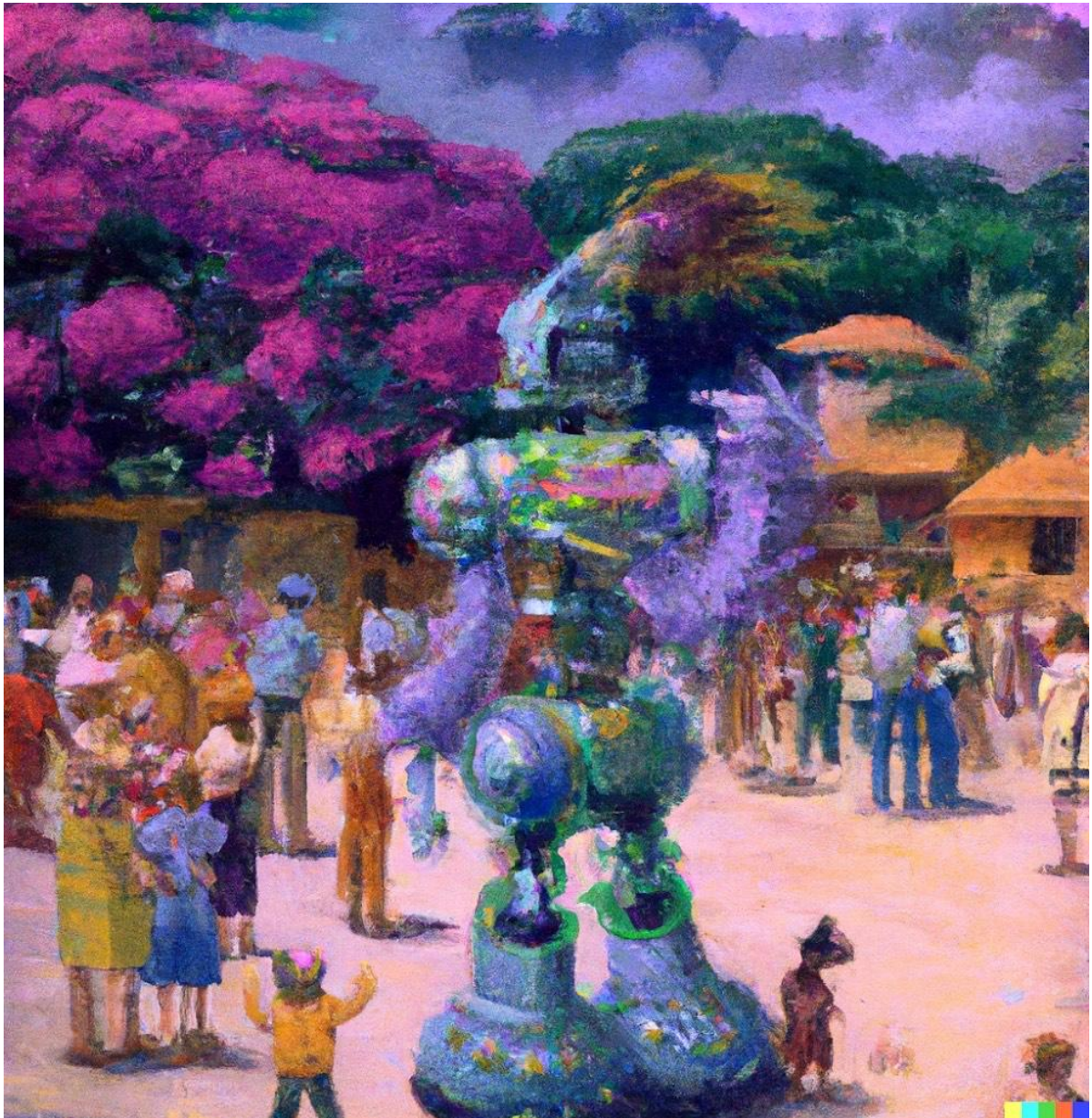
Charles Kerrigan

*Partner, CMS and CMS UK
Advisor, Holistic AI*

Aboitiz Data Innovation

Adrienne Heinrich

Head of AI and Innovation Center of Excellence, Aboitiz Data Innovation



Painting created by DALL.E 2, an AI system that can create realistic images and art in response to a text description.

The AI was asked to produce an impressionist painting of how the University of the Philippines and AI in harmony would look like.

Concept by The Ambit - Global.

Email: contact@theambit.org

LinkedIn: [linkedin.com/company/theambit-org](https://www.linkedin.com/company/theambit-org)