AI Governance Framework

stakeholders

Elected Council Member
Borough Wide Portfolio for AI Policy and Use

Directorates
- Infrastructure Services
- Resident Services

Corporate Functions
- Risk
- Info Security
- Learning / Development
- Data and Insight

Employees

Partners
- Local Government Agencies
- Voluntary Sector

Technology Vendors
- Existing
- New

Regulators
- Information Commissioners Office
- Care Quality Commission

Communities
- Residents
- Businesses

AI Governance Framework

framework on a page

The AI Governance Framework provides guidance across 6 areas, all of which are essential to safe deployment and operations of AI solutions.

The overarching governance component describes the roles and responsibilities that are required to ensure that the Framework is used as intended.

AI Governance Framework

policies

Guidelines, rules and principles that govern how and where we develop, deploy, manage and use Artificial Intelligence

Common Policies

- Public Engagement
- Collaboration and Partnerships
- Bias Mitigation
- Ethical Considerations
- Transparency and Explainability
- Continuous Evaluation

Additional Policies

- Domain Specific
- Directorate Specific
- Senior Responsible Officer

Linked Policies / Guidance

Internal

- Data Strategy and Governance
- Information Security
- Diversity, Equality, Inclusion

External

- Information Commissioners Office
- Local Government Association

AI Governance Framework

Risk Management

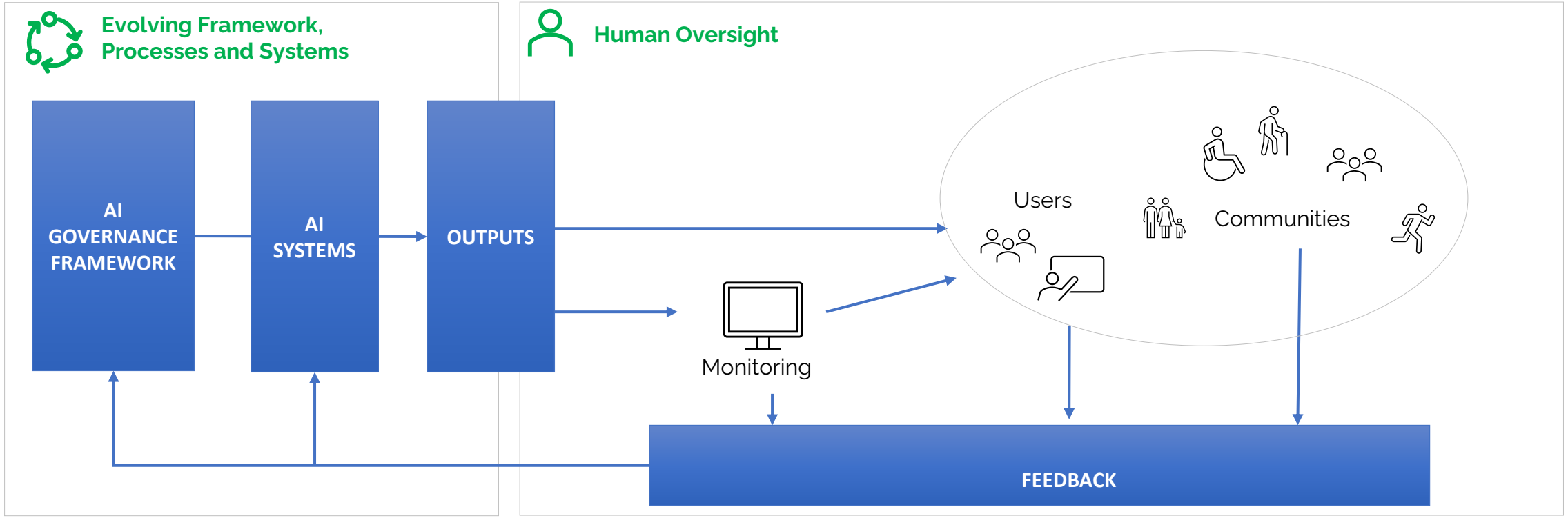
Approach to consistently identify risks and that appropriate mitigations are in place

Function Performed	Business Objectives	Risks	Controls
Natural Language Processing	Interpret and generate human language in a way that approximates to human conversation	Inability to deal with ambiguity resulting in incorrect or misleading responses	Build context awareness into algorithms to reduce potential for misunderstanding
Image Analysis	Interpret and respond to visual information	Inaccurate image classification leading to incorrect, misleading or harmful recommendations	Diverse data sets /ethical guidelines preventing deployment of solutions with insufficient data sets
Prescriptive Analytics	Generate actionable recommendations	Inaccurate data or bias in training data sets leading to incorrect recommendations or challenges from affected entities	Human intervention to prevent use of potentially harmful recommendations
Cognitive Computing	Capture and use the ability to understand, learn and make decisions in the way that humans do	Incomplete or misunderstood interactions as well as ethical concerns where systems are used without human oversight	Apply human oversight; Add context awareness to algorithms to reduce potential for misunderstanding;

AI Governance Framework

Operational Governance

Ensuring that deployed AI solutions evolve in line with technology, regulations, data and information



AI Governance Framework

Governance – Roles & Responsibilities (DARE)

Structure and process required to ensure that mandates and guidance provided within the framework are adhered to.

Role	Responsibilities	
	Focus	Tasks
Deciders	**Strategic Planning**	• define strategic direction of AI initiatives • alignment with organisation's goals and objectives
	Policy Development	• set the core principles • make final decisions on AI governance policies
Advisors	**Compliance Oversight**	• advising the board on compliance issues and potential legal implications
	Ethical Assessment	• provide guidance on ethical implications related to AI technologies
	Risk Assessment	• identify risks, oversee controls and mitigations
Recommenders	**Technical Expertise**	• provide technical expertise • advise on AI technologies to use, methodologies, and best practices.
	Implementation Strategies	• recommend implementation strategies • align technical aspects of AI projects to organisation's goals and capabilities
Execution Stakeholders	**Project Implementation**	• deliverer AI projects within the Framework of the AI Governance
	Continuous Improvement	• manage feedback and insights, ensure continuous improvement
	Stakeholder Engagement	• end-users and community engagement to ensure that AI meets requirements