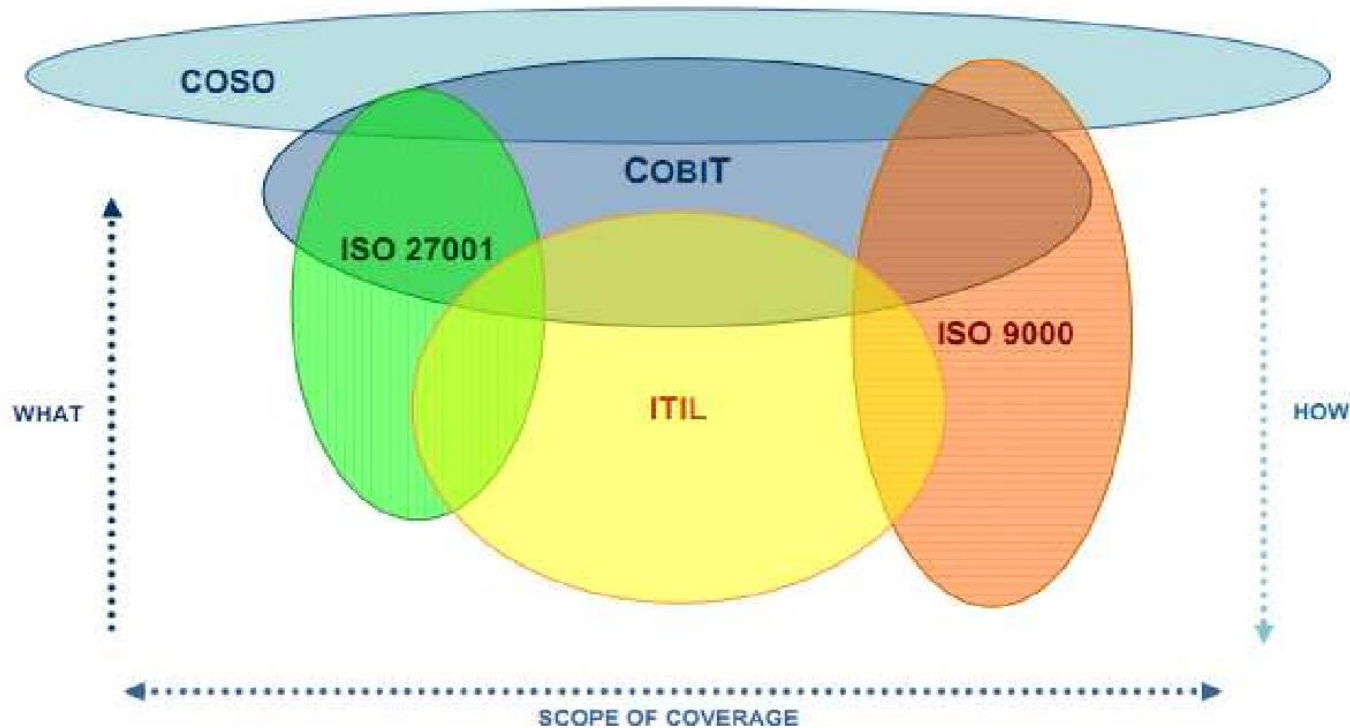# Ethical Practices: Part Four

Stephen Downes

December 22, 2021
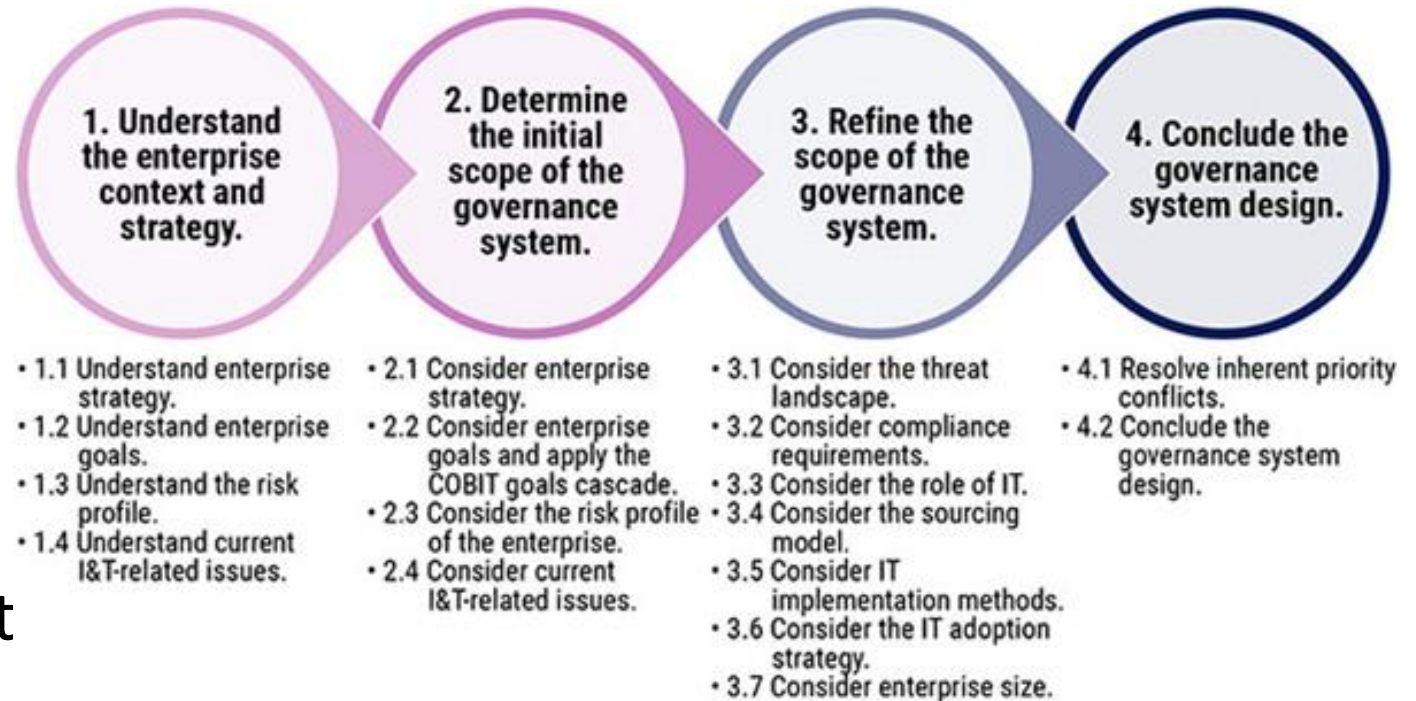
# IT Governance Frameworks
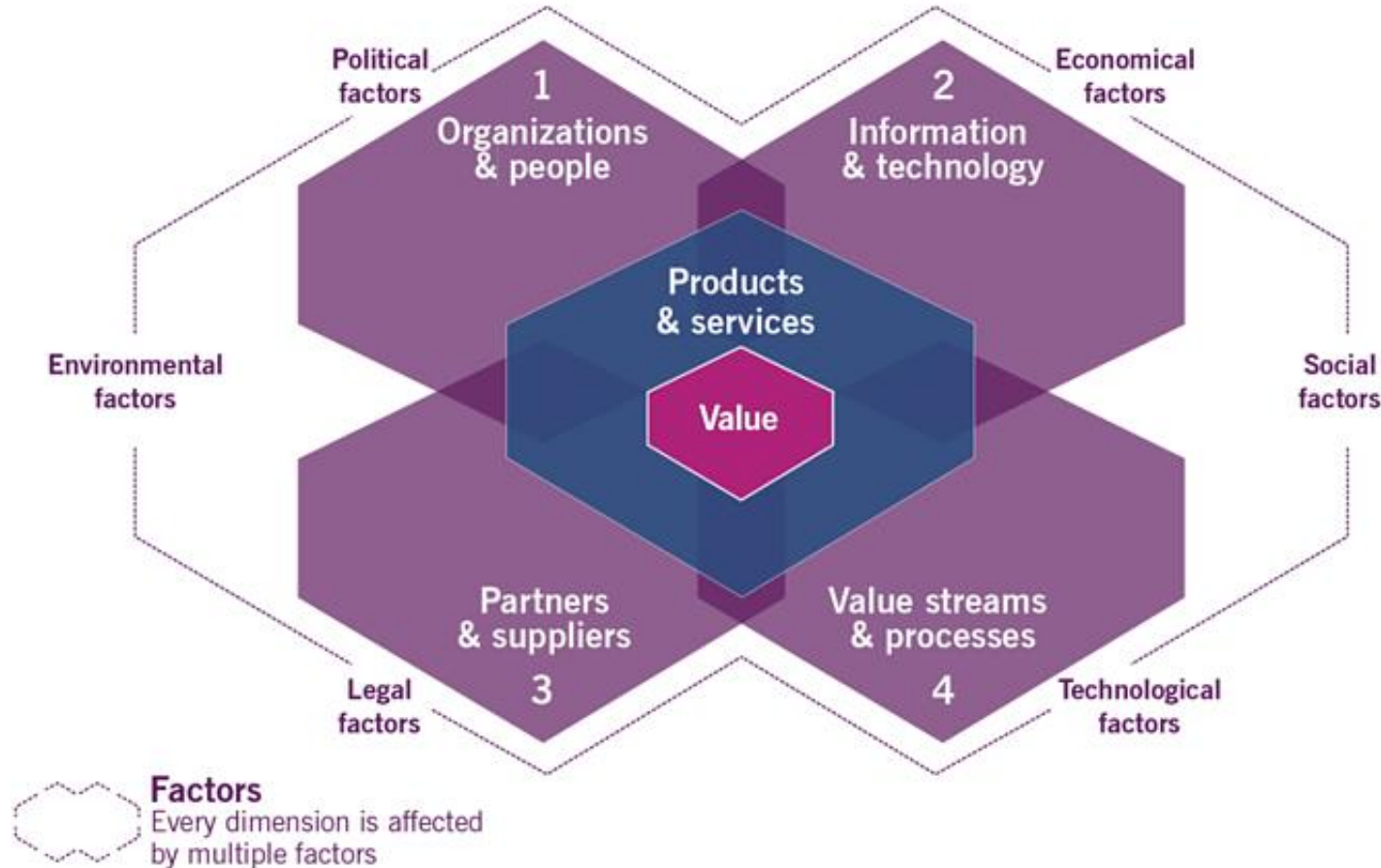


"Many respected IT organizations and standards setting bodies have established frameworks to identify the 'risks and mitigation strategies with the evolving cloud computing paradigm'"

# CobiT

"Control Objectives for Information and Related Technology (CobiT) is an IT governance control framework that helps organizations address the areas of regulatory compliance, risk management and aligning IT strategy with organizational goals."



1. Understand the enterprise context and strategy.
- 1.1 Understand enterprise strategy.
- 1.2 Understand enterprise goals.
- 1.3 Understand the risk profile.
- 1.4 Understand current I&T-related issues.

2. Determine the initial scope of the governance system.
- 2.1 Consider enterprise strategy.
- 2.2 Consider enterprise goals and apply the COBIT goals cascade.
- 2.3 Consider the risk profile of the enterprise.
- 2.4 Consider current I&T-related issues.

3. Refine the scope of the governance system.
- 3.1 Consider the threat landscape.
- 3.2 Consider compliance requirements.
- 3.3 Consider the role of IT.
- 3.4 Consider the sourcing model.
- 3.5 Consider IT implementation methods.
- 3.6 Consider the IT adoption strategy.
- 3.7 Consider enterprise size.

4. Conclude the governance system design.
- 4.1 Resolve inherent priority conflicts.
- 4.2 Conclude the governance system design.

https://www.bmc.com/blogs/cobit-vs-itil-understanding-governance-frameworks/
https://www.bmc.com/blogs/cobit-2019-vs-cobit-5/

# ITIL



**Factors**
Every dimension is affected by multiple factors

https://info.axiossystems.com/blog/what-is-the-itil4-service-value-system
https://core.ac.uk/download/pdf/301361909.pdf
What is ITIL? (2012, June 30). Retrieved from ITIL Offical Site:
http://www.itil-officialsite.com/AboutITIL/WhatisITIL.aspx

- IT Infrastructure Library (ITIL) provides a set of best practices that have become the most widely accepted approach to IT service management in the world.

- "ITIL advocates that IT services must be aligned to the needs of the business and underpin the core business processes. It provides guidance to organizations on how to use IT as a tool to facilitate business change, transformation and growth."
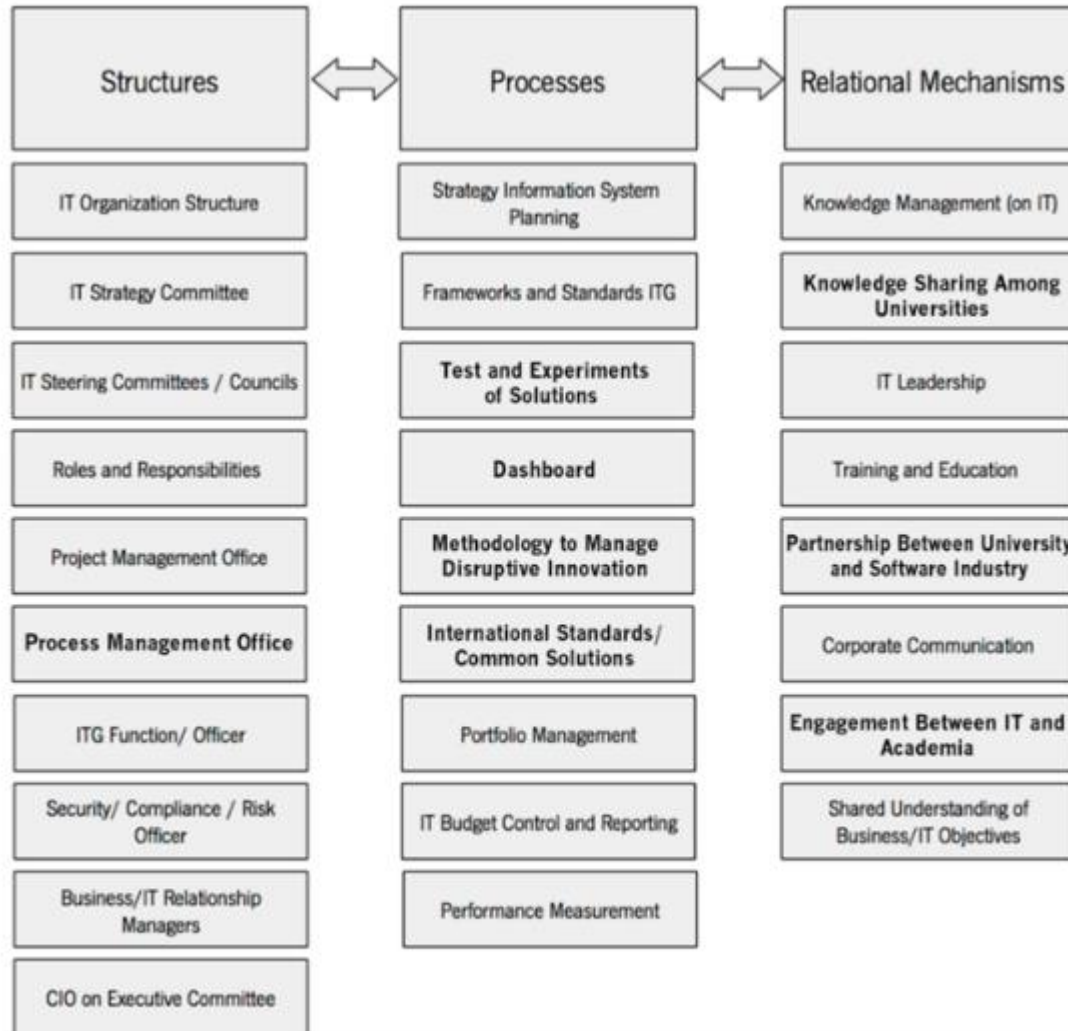
# IT Governance for Higher Education



Figure 2. ITG Practices Baseline.

Argues: "the best configuration is one where both worlds have a federal structure, where the infrastructure, strategy, roles and procedures are centralised to avoid wasting resources and the execution and operations are decentralised."

https://www.mdpi.com/2227-9709/8/2/26/pdf

# IEEE P7000 Series

- 7000 Ethical System Design
- 7001 Autonomous Systems
- 7002 Data Privacy Process
- 7003 Algorithmic Bias
- 7004 Child and Student Data
- 7005 Employer Data
- 7006 Personal AI Agent
- 7007 Robotics - Ontology
- 7008 Robotics - Nudging

- 7009 Fail-Safe Design
- 7010 Impact on Human Well-Being
- 7010.1 Corporate Social Responsibility
- 7011 Trust-worthiness of News Sources
- 7012 Personal Privacy Terms
- 7013 Facial Recognition
- 7014 Emulated Empathy
- 7015 AI Literacy, Skills, and Readiness

Standard now available    Standardization work group discontinued

https://ethicsinaction.ieee.org/p7000/

# Measuring Benefits and Performance

"It is reasonable to argue that organizations should first focus on the benefits that promote (out) more other benefits rather than being promoted (in) by other benefits."
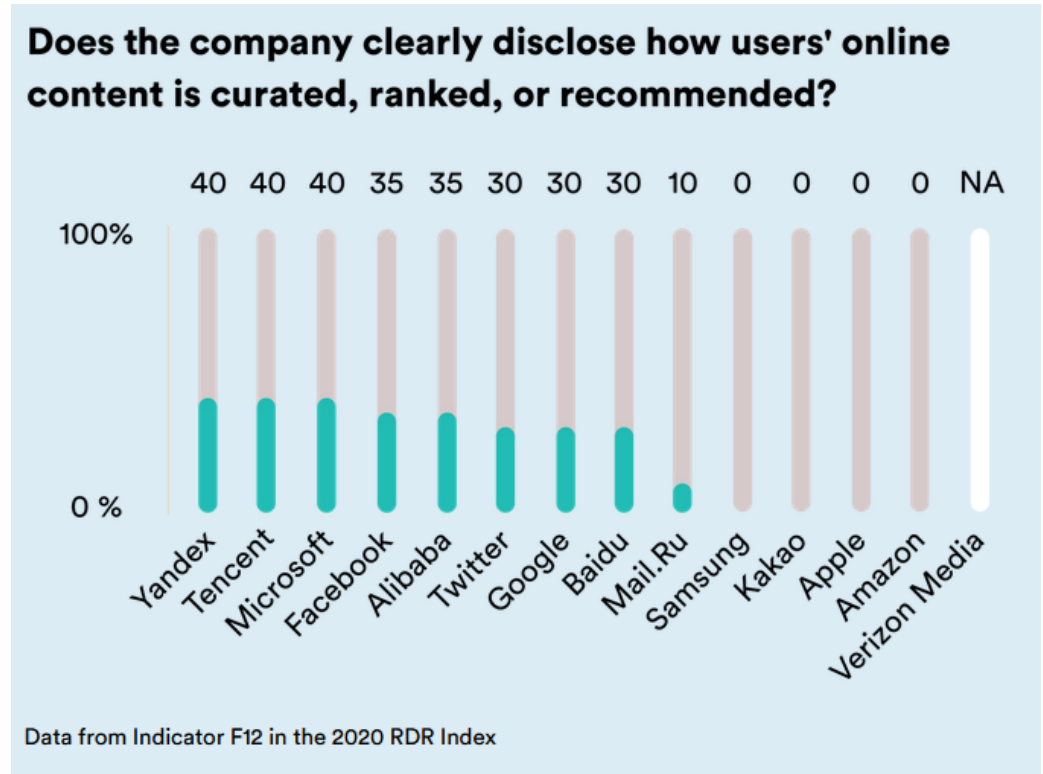
# Human Rights Frameworks

"A human rights framework for algorithms that would "not just set forth standards for how to 'do no harm' or 'be ethical,' but it would help hold companies accountable for those standards, by providing mechanisms for risk assessment, enforcement, redress when harm has occurred, and individual empowerment for technology users."
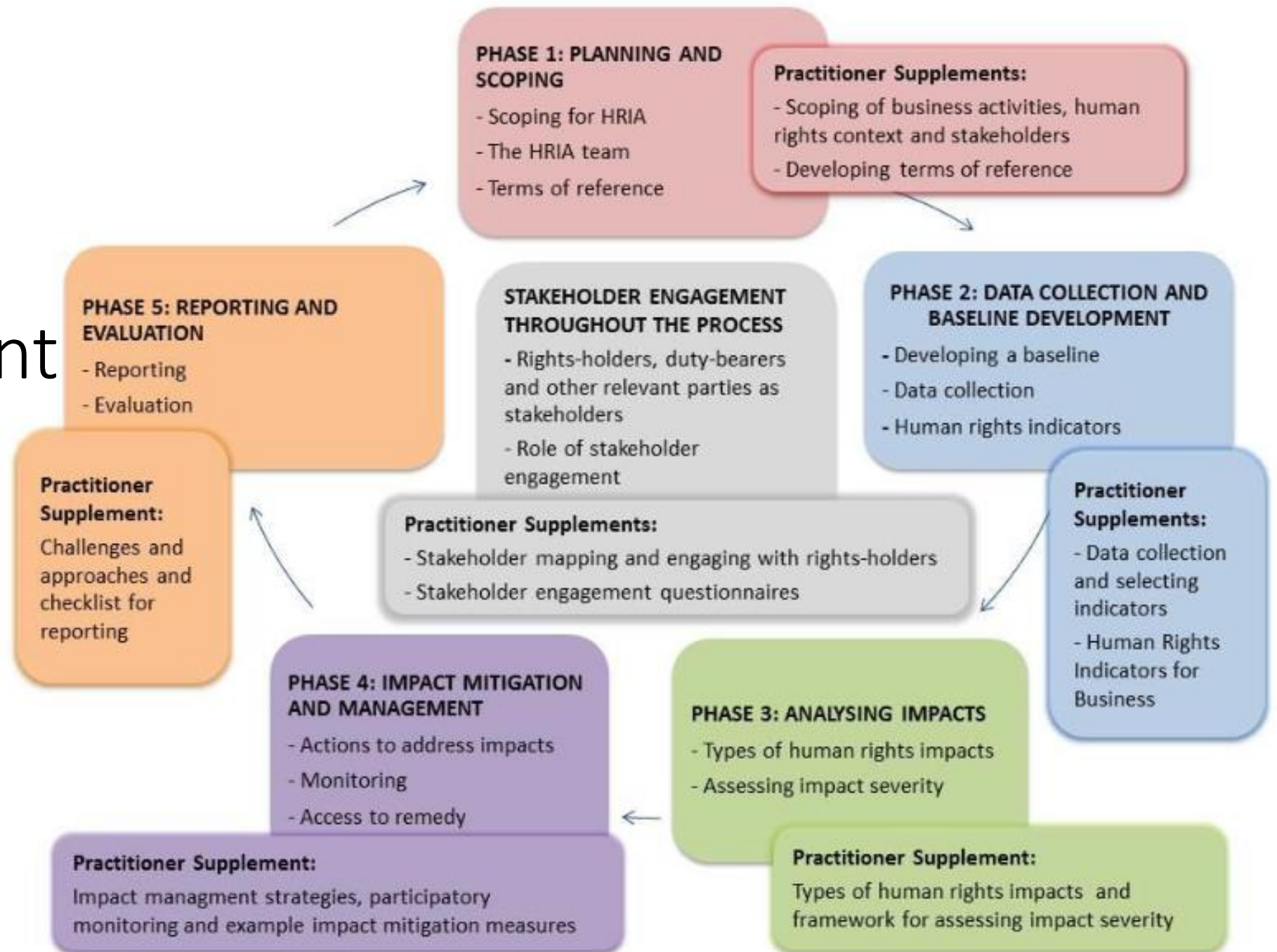


**Does the company clearly disclose how users' online content is curated, ranked, or recommended?**

40  40  40  35  35  30  30  30  10  0  0  0  0  NA

100%

0 %

Yandex  Tencent  Microsoft  Facebook  Alibaba  Twitter  Google  Baidu  Mail.Ru  Samsung  Kakao  Apple  Amazon  Verizon Media

Data from Indicator F12 in the 2020 RDR Index

https://rankingdigitalrights.org/index2020/spotlights/unaccountable-algorithms
https://www.theguardian.com/law/2019/dec/17/people-should-be-held-accountable-for-ai-and-algorithm-errors-rights-commissioner-says
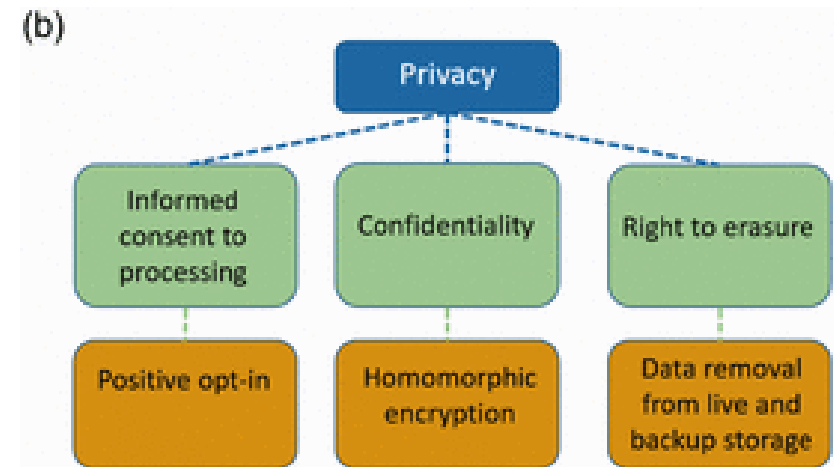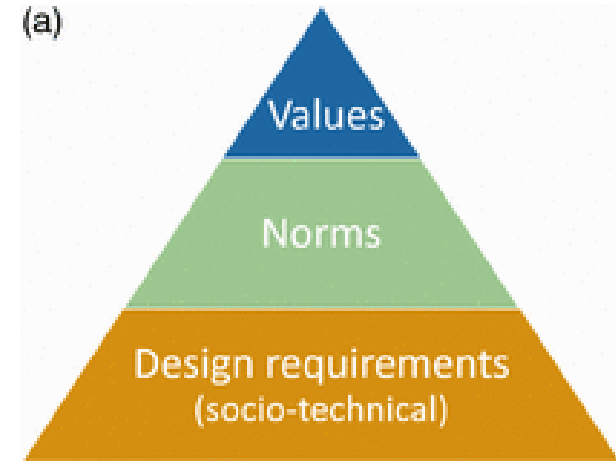
# Human Rights Impact Assessment



**PHASE 1: PLANNING AND SCOPING**
- Scoping for HRIA
- The HRIA team
- Terms of reference

**Practitioner Supplements:**
- Scoping of business activities, human rights context and stakeholders
- Developing terms of reference

**PHASE 5: REPORTING AND EVALUATION**
- Reporting
- Evaluation

**Practitioner Supplement:**
Challenges and approaches and checklist for reporting

**STAKEHOLDER ENGAGEMENT THROUGHOUT THE PROCESS**
- Rights-holders, duty-bearers and other relevant parties as stakeholders
- Role of stakeholder engagement

**Practitioner Supplements:**
- Stakeholder mapping and engaging with rights-holders
- Stakeholder engagement questionnaires

**PHASE 2: DATA COLLECTION AND BASELINE DEVELOPMENT**
- Developing a baseline
- Data collection
- Human rights indicators

**Practitioner Supplements:**
- Data collection and selecting indicators
- Human Rights Indicators for Business

**PHASE 4: IMPACT MITIGATION AND MANAGEMENT**
- Actions to address impacts
- Monitoring
- Access to remedy

**Practitioner Supplement:**
Impact managment strategies, participatory monitoring and example impact mitigation measures

**PHASE 3: ANALYSING IMPACTS**
- Types of human rights impacts
- Assessing impact severity

**Practitioner Supplement:**
Types of human rights impacts and framework for assessing impact severity
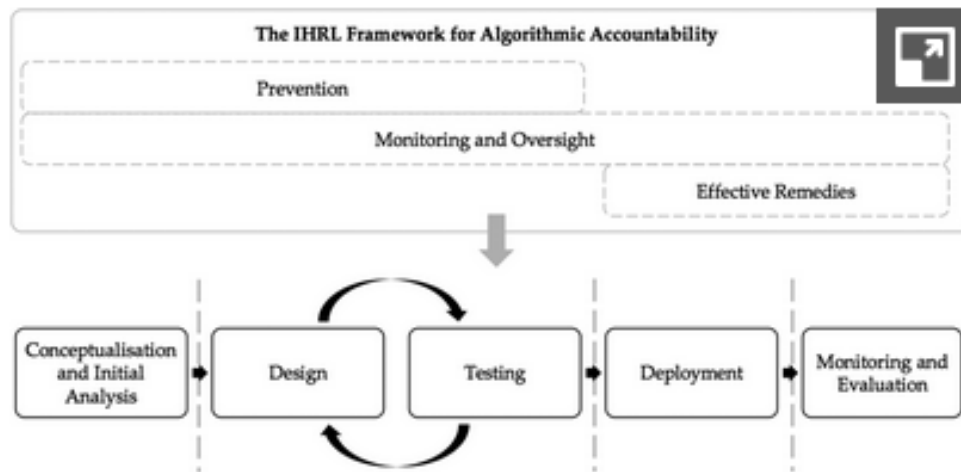
# Designing for Human Rights

Halbertal (2015) three categories of violations:

- Humiliation: being put in a state of helplessness, insignificance; losing autonomy over your own representation.
- Instrumentalization: treating an individual as exchangeable and merely a means to an end.
- Rejection of one's gift: making an individual superfluous, unacknowledging one's contribution, aspiration, and potential.



Quoted from: Designing for human rights in AI. Evgeni Aizenberg, Jeroen van den Hoven. August 18, 2020
https://journals.sagepub.com/doi/10.1177/2053951720949566

# Drawing on International Human Rights Law

- IHRL as a Means for Assessing Harm

- Clearly Defined Obligations and Expectations That Apply Across the Algorithmic Life Cycle



- Identifying roles and responsibilities attached to different entities across the full algorithmic life cycle
- Operationalizing the measures necessary to ensure rights compliance
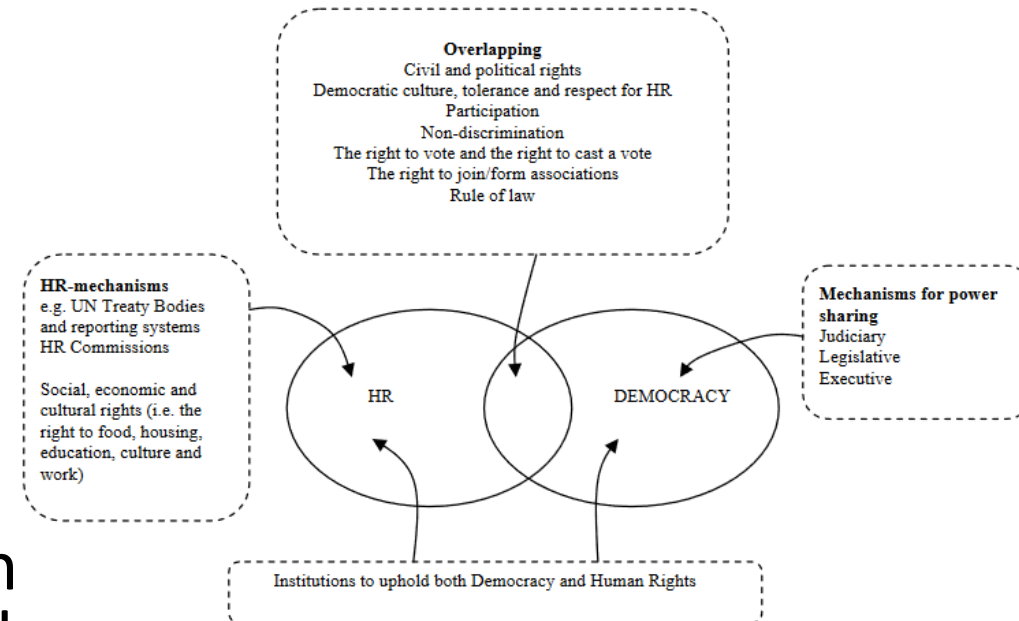- Integrating a rigorous accountability framework

https://www.cambridge.org/core/journals/international-and-comparative-law-quarterly/article/international-human-rights-law-as-a-framework-for-algorithmic-accountability/1D6D0A456B36BA7512A6AFF17F16E9B6

# Limitations of Human Rights Frameworks

- these rights may be too Western

- too individualistic

- too narrow in scope

- too abstract to form the basis of sound AI governance.

Requires democracy: "without... securing an underlying societal infrastructure that enables human rights in the first place, any human rights-based governance framework for AI risks falling short of its purpose"

Nathalie A. Smuha, 2020, Beyond a Human Rights-Based Approach to AI Governance: Promise, Pitfalls, Plea https://link.springer.com/article/10.1007/s13347-020-00403-w



https://www.researchgate.net/publication/237390540_What_is_the_Rights_Based_Approach_all_About_Perspectives_from_International_Development_Agencies/link/00b7d52bd62368c112000000/download

# The Problem With Governance Frameworks

- They're designed for organizations, not wider society

- They depend on agreement and shared presumptions

- They are not actually based in ethics

- Humans

https://www.linkedin.com/pulse/cobit-2019-review-framework-its-major-concepts-gr%C3%A9gory-franc/