

Guidance on the Ethical Development and Use of Artificial Intelligence



The Guidance on the Ethical Development and Use of Artificial Intelligence is intended for organisations which develop artificial intelligence (AI) or use AI in their operations. The objectives of the Guidance are to facilitate the healthy development and use of AI in Hong Kong and assist organisations in complying with the provisions of the Personal Data (Privacy) Ordinance (Cap. 486) in their development and use of AI. This pamphlet highlights the core recommendations of the Guidance.

ETHICAL AI

**3 DATA
STEWARDSHIP VALUES**

**7 ETHICAL
PRINCIPLES FOR AI**

**PRACTICE GUIDE:
4 MAJOR BUSINESS
PROCESSES**

3 DATA STEWARDSHIP VALUES

Being
RESPECTFUL

to the rights, interests
and reasonable
expectations of
stakeholders



Being
BENEFICIAL

by providing benefits
and minimising harm
to stakeholders



Being
FAIR

by avoiding unjust
bias and unlawful
discrimination



7

ETHICAL PRINCIPLES FOR AI

ACCOUNTABILITY

Organisations should be responsible for what they do and should provide sound justifications for their actions



TRANSPARENCY AND INTERPRETABILITY

Organisations should disclose their use of AI and the relevant policies to stakeholders while striving to improve the interpretability of automated and AI-assisted decisions



FAIRNESS

Unjust bias and unlawful discrimination should be avoided in the use of AI



RELIABILITY, ROBUSTNESS AND SECURITY

AI systems should operate reliably, should be resilient to errors and protected against attacks



HUMAN OVERSIGHT

The level of human involvement in the operation of AI should be proportionate to the risks and impact of using AI



DATA PRIVACY

Effective data governance should be put in place to protect individuals' personal data privacy in the development and use of AI



BENEFICIAL AI

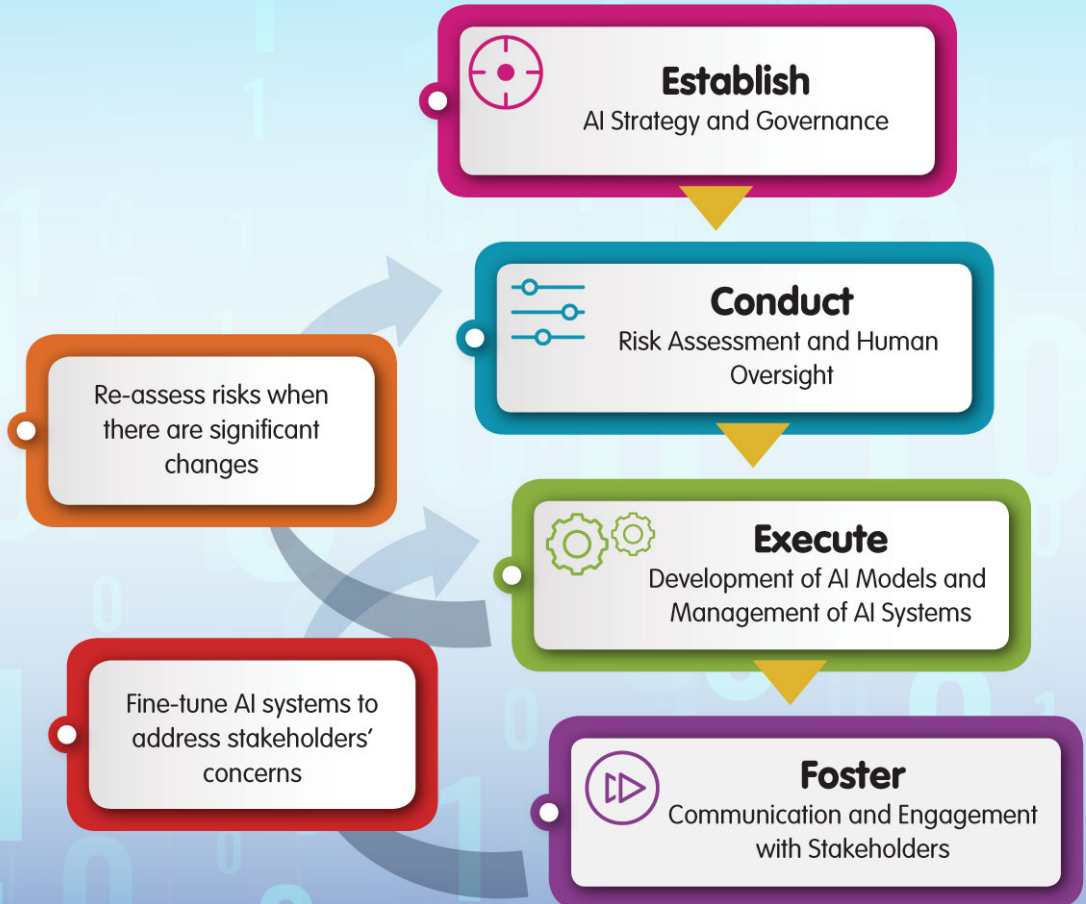
The use of AI should provide benefits and minimise harm to stakeholders



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PRACTICE GUIDE: MAJOR BUSINESS PROCESSES

4 Major Business Processes for Ethical Development and Use of AI





Establish

AI Strategy and Governance

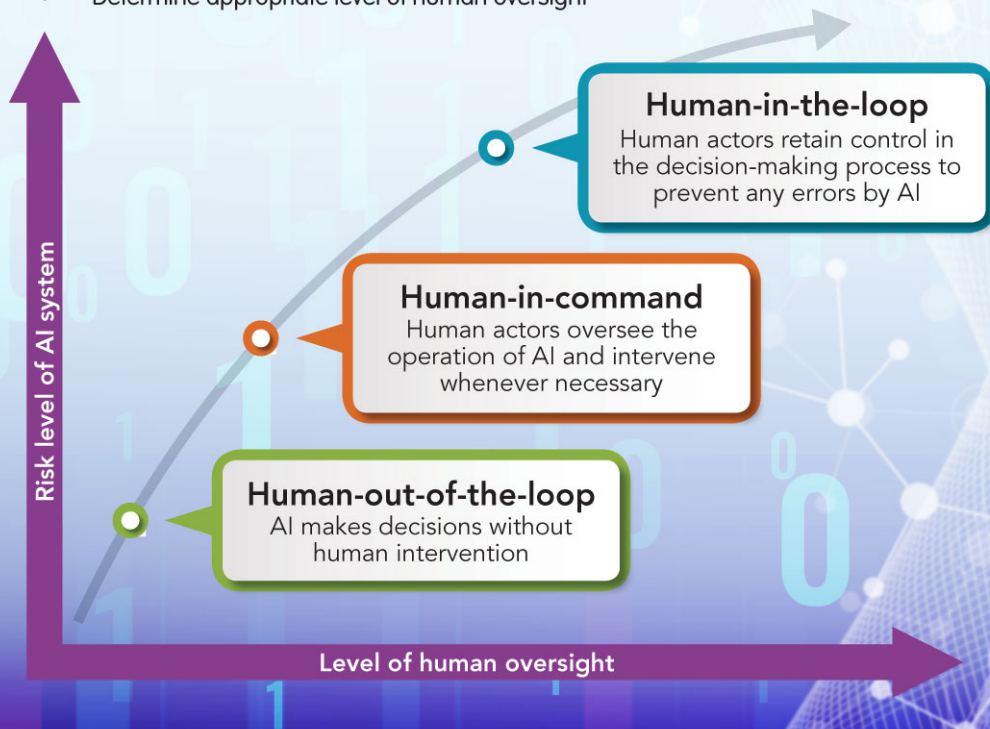
- Provide directions from the top
- AI Governance Committee to oversee the development and use of AI
- Staff training and awareness raising



Conduct

Risk Assessment and Human Oversight

- Comprehensive and early risk assessment, consider:
 - ▶ What is the potential impact of AI on stakeholders?
 - ▶ How significant is the impact if it occurs?
 - ▶ How likely will the impact occur?
- Take a risk-based approach to adopting appropriate risk mitigation measures
- Determine appropriate level of human oversight





Execute

Development of AI Models and Management of AI Systems

- Ensuring quality and lawful use of data for training AI models
- Testing AI models to ensure reliability, robustness and fairness
- Ongoing monitoring and review of AI systems





Foster

Communication and Engagement with Stakeholders

- Being transparent with stakeholders
- Channels for engagement with stakeholders
- Comprehensible communications using layman's language



Communication
with
Stakeholders



Disclose the
Use of the AI
System



Provide
Adequate
Information



Disclose the
Risks



Engagement
with
Stakeholders



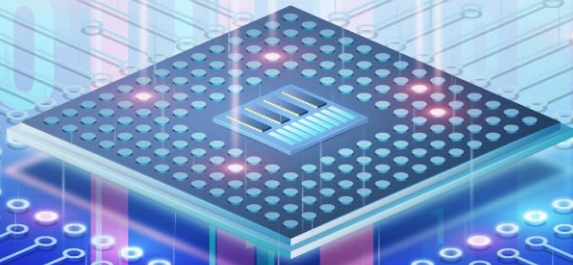
Allow Opt-out
and Correction
of Inaccuracies



Provide
Explanation
upon Request



Provide an
Option of Human
Intervention





私隱公署網頁
PCPD website
pcpd.org.hk

查詢熱線 Enquiry Hotline : (852) 2827 2827
傳真 Fax : (852) 2877 7026
地址 Address : 香港灣仔皇后大道東248號大新金融中心13樓1303室
Room 1303, 13/F, Dah Sing Financial Centre,
248 Queen's Road East, Wanchai, Hong Kong
電郵 Email : communications@pcpd.org.hk



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