



Center for AI and
Digital Policy

ARTIFICIAL INTELLIGENCE AND DEMOCRATIC VALUES INDEX

APRIL, 2023

CENTER FOR AI AND DIGITAL POLICY
WASHINGTON, DC
CAIDP.ORG

Artificial Intelligence and Democratic Values 2022

Center for AI and Digital Policy

EXECUTIVE SUMMARY

Purpose and Scope

Artificial Intelligence and Democratic Values is the first global survey to assess progress toward trustworthy AI, based on detailed narrative reports, combined with a methodology that produces ratings and rankings for national AI policies and practices.

The **AI Index** has these objectives: (1) to document the AI policies and practices, based on publicly available sources, (2) to establish a methodology for the evaluation of AI policies and practices, based on global norms, (3) to provide a basis for comparative evaluation, (4) to provide the basis for future evaluations, and (5) to ultimately encourage all countries to make real the promise of AI that is trustworthy, human-centric, and provides broad social benefit to all.

Artificial Intelligence and Democratic Values focuses on human rights, rule of law, and democratic governance metrics. Endorsement and implementation of the OECD/G20 AI Principles is among the primary metrics. Opportunities for the public to participate in the formation of national AI policy, as well as the creation of independent agencies to address AI challenges, is also among the metrics. Patents, publications, investment, and employment impacts are important metrics for the AI economy, but they are not considered here.

Artificial Intelligence and Democratic Values will be published on an annual basis and will evolve as country practices change and new issues emerge.

Artificial Intelligence and Democratic Values 2022

Center for AI and Digital Policy

The 2023 Edition

The 2023 edition of the report updates and expands the initial report. Among the key changes:

- The number of countries assessed increased from 50 to 75
- Implementation of the UNESCO Recommendation on AI Ethics is now one of the key metrics to assess progress toward human-centric and trustworthy AI.
- For the metric concerning Implementation of the OECD AI Principles, we have awarded top scores to Canada, France, Japan, and Korea, the countries that were central to the development and implementation of the first global framework for AI policy.
- For the metric concerning the AI-related Global Privacy Assembly resolutions, the 2022 Resolution on Principles and Expectations for the Appropriate Use of Personal Information in Facial Recognition Technology has been added.
- Additional efforts were made to normalize scores across key metrics. For example, the determination of implementation of the Universal Declaration for Human Rights now tracks the designation of Freedom House for countries as “Free,” “Partly Free,” and “Not Free.”
- The scores for country reports previously published were reviewed and revised based on developments during the past year concerning AI policies and practices.
- The number of researchers participating in the project has grown significantly. The 2023 CAIDP Research Group now includes almost 200 participants from more than 60 countries.
- We acknowledge the comments of several reviewers who recommended a more detailed approach to the review of human rights. Additional recommendations concern expanded coverage of AI and immigration and AI and criminal justice. We will address these topics in the next edition.

Artificial Intelligence and Democratic Values 2022

Center for AI and Digital Policy

Findings

- **The OECD/G20 AI Principles have Framed the Global Debate over AI policy.** There are hundreds of frameworks for ethical AI, but only the OECD/G20 Principles have significantly shaped the policies and practices of national governments. Over 50 governments have formally endorsed the OECD/G20 AI Principles.
- **Governments have Both National Ambitions and Collaborative Goals.** National AI policies typically reflect ambitions to be a leader in AI, to establish centers of AI excellence, and to promote economic growth. Many of these ambitions will set countries in competition for investment, personnel, and deployment. At the same time, countries recognize the need for global cooperation in such areas as public health, climate change, and sustainable development.
- **AI Safeguards Build on Data Protection Law.** AI policy safeguards follows from other laws and policy frameworks, most notably data protection. The GDPR (Article 22), the Modernized Council of Europe Privacy Convention (Article 9), and the recently adopted California Privacy Rights Act in the US include explicit provisions for AI. The Global Privacy Assembly, the international conference of data protection officials, has recently adopted a sweeping resolution on the need for AI accountability.
- **Facial Surveillance as an AI “Red Line.”** Few AI applications are more controversial than the use of AI for surveillance in public spaces. The use of facial recognition on a general population has raised widespread controversy with many NGOs stating it should be prohibited. Other controversial AI applications include the scoring of citizens, criminal sentencing, administrative service decisions, and hiring assessments.
- **Concern About Autonomous Weapons Remains.** The risk of lethal autonomous weapons was among the first AI issues to focus the attention of government policymakers. Although many other AI policy issues have emerged in the last few years, concerns about autonomous weapons remains.
- **NGOs are Powerful Advocates for the Public.** In Europe, civil society groups have published substantial reports on AI policy, documented abuses, and called for reform. Their advocacy has also strengthened democratic institutions which must now consider legal measures to address public concerns.
- **AI Policy is in the Early Days, but the Pace is Accelerating.** AI research can be traced back to the 1950s but the effort of national

Artificial Intelligence and Democratic Values 2022

Center for AI and Digital Policy

governments to develop formal frameworks for AI policy is a recent phenomenon. Governments around the world are moving rapidly to understand the implications of the deployment of AI as more systems are deployed. We anticipate that the rate of AI policymaking will accelerate in the next few years.

Artificial Intelligence and Democratic Values 2022
Center for AI and Digital Policy

Recommendations

1. *Countries must establish national policies for AI that implement democratic values*
2. *Countries must ensure public participation in AI policymaking and also create robust mechanisms for independent oversight of AI systems*
3. *Countries must guarantee fairness, accountability, and transparency in all AI systems*
4. *Countries must commit to these principles in the development, procurement, and implementation of AI systems for public services*
5. *Countries must halt the use of facial recognition for mass surveillance*
6. Countries must curtail the deployment of lethal autonomous weapons
7. Countries must begin implementation of the UNESCO AI Recommendation
8. Countries must establish a comprehensive, legally binding convention for AI



Center for AI and
Digital Policy