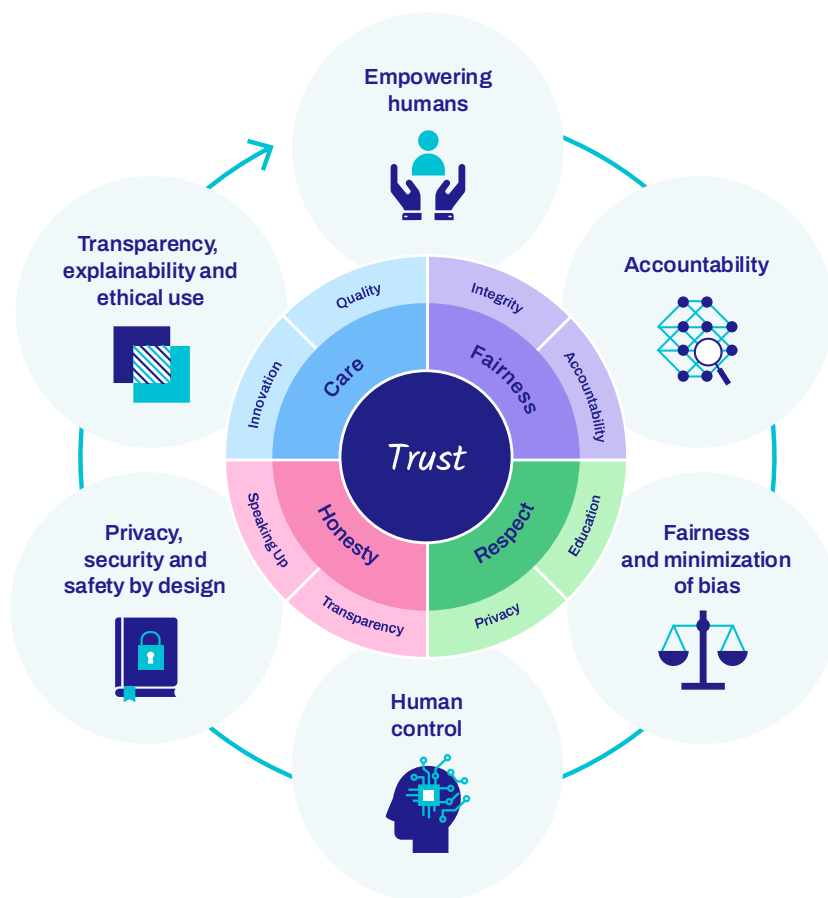


# Ethics considerations for AI initiatives

Have you thought of these aspects for your AI solution?\*

This document outlines the key ethics considerations (but not limited to) for working on AI systems. The considerations are based on the IFPMA AI Ethics Principles and should be used by project teams in the initial assessment of your AI systems.



\* In addition to existing organizational business processes, SOP, policies, guidelines, etc.

Note: Every organization is different and should be factored when consulting colleagues in the industry.

## Purpose and operation

- Is the solution's purpose, audience and how it is achieved clearly disclosed, well documented and discussed with the business owners?
- Is there a clear description of the data being processed, potential results possible impact on individuals, as well as any existing limitations or specifications about the system e.g., access to data, data availability, targeted for a specific audience, etc.?

## Accountability and governance

- Is there enough AI expertise internally within the organization that can understand the technical details of the algorithm?
- How do the benefits and opportunities weigh with the associated risks?
- Is the AI to be embedded in a human decision-making process, is it a descriptive, predictive, or prescriptive analytics model?
- Will the AI solution have a direct or indirect impact to the user, and how?

## Minimization of bias

- Have steps been taken to address bias and consider diversity, non-discrimination, equity, etc.? Are there any measures to detect biases?
- Have alternative sources of data been explored to drive more informed results?

## Validation

- Is there a formal approval process to validate AI prototype/MVPs?
- Has the solution been piloted to assess its output and tested and validated in a controlled environment?
- Is there sufficient human supervision to the solution's output where decision is being informed or recommended?

## Usage

- Have you evaluated the solution and it's intended for compliance with applicable laws and regulations in areas such as GxP, SaMD, SOX, ABAC, and HCP Transparency among others?
- Are the algorithm's inner workings fundamentally understood from a functioning/operational standpoint?
- Has audience of the solution received adequate training on its usage and interpretation?
- Is there a platform/mechanism for the user to raise concerns and for them to be address timely if something goes wrong?
- Is there an effective process to withdraw the AI system once it has fulfilled its purpose or it is outdated?

## Privacy and security

- Are there data protection policies and guidelines in place regarding personal data usage?
- Have privacy and security preserving techniques (homomorphic encryption, multi-party computation, differential privacy, etc.) been explored?