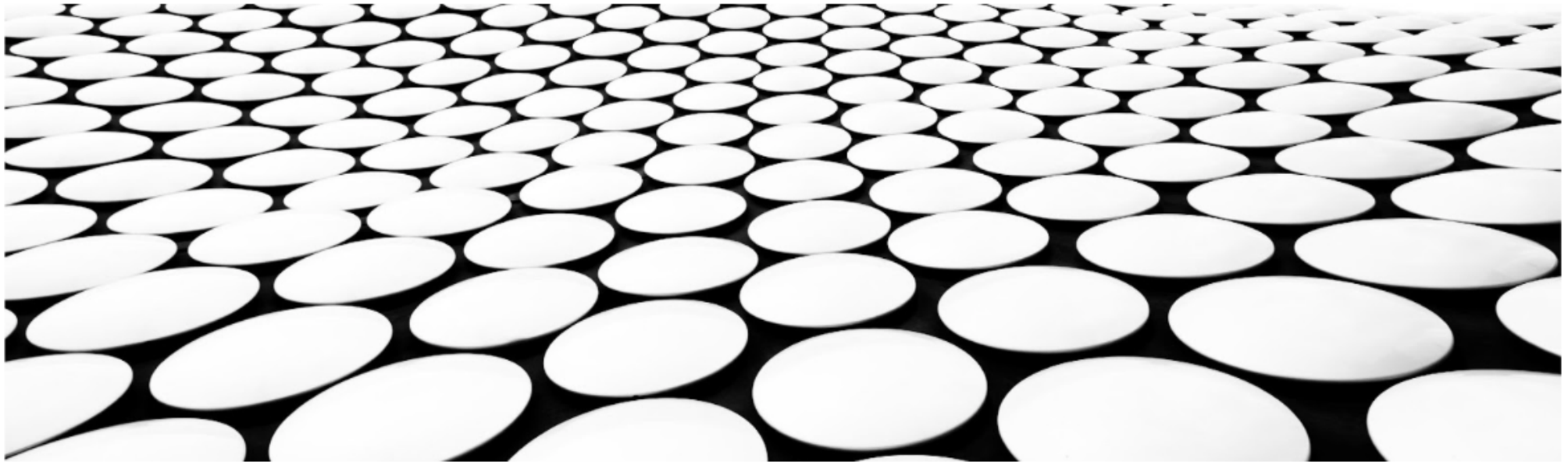


THE AI TRANSPARENCY INSTITUTE

UN GLOBAL COMPACT - 17 May 2021





Trust in AI and in automatised decision making processes are central for social acceptance.



The Initiatives

- ethos

Ethos Engagement Paper

Corporate digital responsibility

The Initiatives

CORPORATE DIGITAL RESPONSIBILITY

Ethos 7 expectations

Contribute to reducing
Digital technology
Environmental footprint



Establish a digital
responsibility code(DRC)



Ensure transparency
with stakeholders on
digital practices and
footprint



Ensure fair and
responsible
social transition



Digital Responsibility

Comply with the
highest standards of
data processing and
data protection



Exclude sensitive
digital activities



Establish ethical principles
for the use of artificial
intelligence (AI)





The Solution

Delphi 4|2019

Towards an Index of Digital Responsibility | 167

AI Governance: Digital Responsibility as a Building Block

Towards an Index of Digital Responsibility

*Eva Thelisson, Jean-Henry Morin and Johan RocheI**

The rapid development of AI-based technologies significantly impacts almost all human activities as they are tied to already existing underlying systems and services. In order to make sure that these technologies are at least transparent if not provably beneficial for human beings and society and represent a true progress, AI governance will play a key role. In this paper, we propose to reflect on the notion of 'digital responsibility' to account for the responsibility of economic actors. Our objective is to provide an outline of what digital responsibility is and to propose a Digital Responsibility Index to assess corporate behavior. We argue that a Digital Responsibility Index can play a central role in restoring trust in a data-driven economy and create a virtuous circle, contributing to a sustainable growth. This perspective is part of AI governance because it provides a concrete way of quantifying the implementation of AI principles in corporate practice.

+ 16 000
downloads

Green and Digital Europe



NEW REGULATORY FRAMEWORK



2021 European Commission AI Package April 2021

- A Game Changer for AI Industry
- Direct application of EU Regulation
- Risk based approach
- Same level of fines as the General Data Protection Regulation
- Reputation Risk
- Strict obligations for High-Risks AI-based Technologies

Supervisory Authorities

- National competent market surveillance authorities supervise the new rules.
- Creation of a European Artificial Intelligence Board
- Voluntary codes of conduct are proposed for non-high-risk AI
- Regulatory sandboxes to facilitate responsible innovation.

Competitive Advantage

Access to EU Market

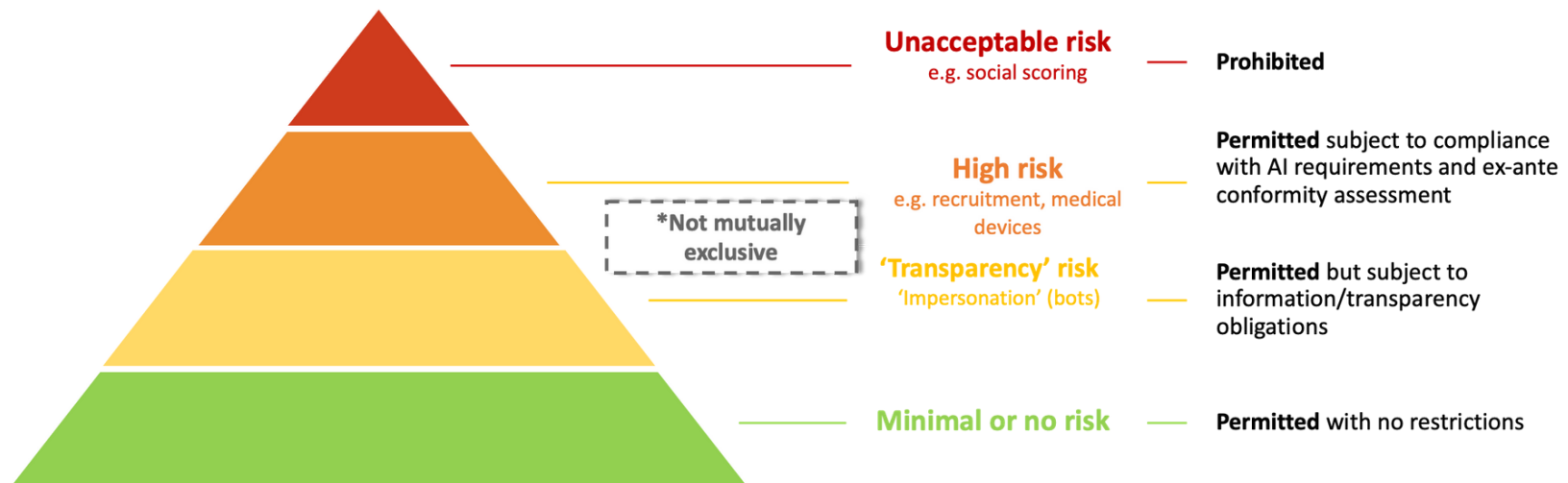
Competitive advantage towards competitors

Risk mitigation

Positive impact of your business on all stakeholders



A RISK-BASED APPROACH



High Risks AI Systems



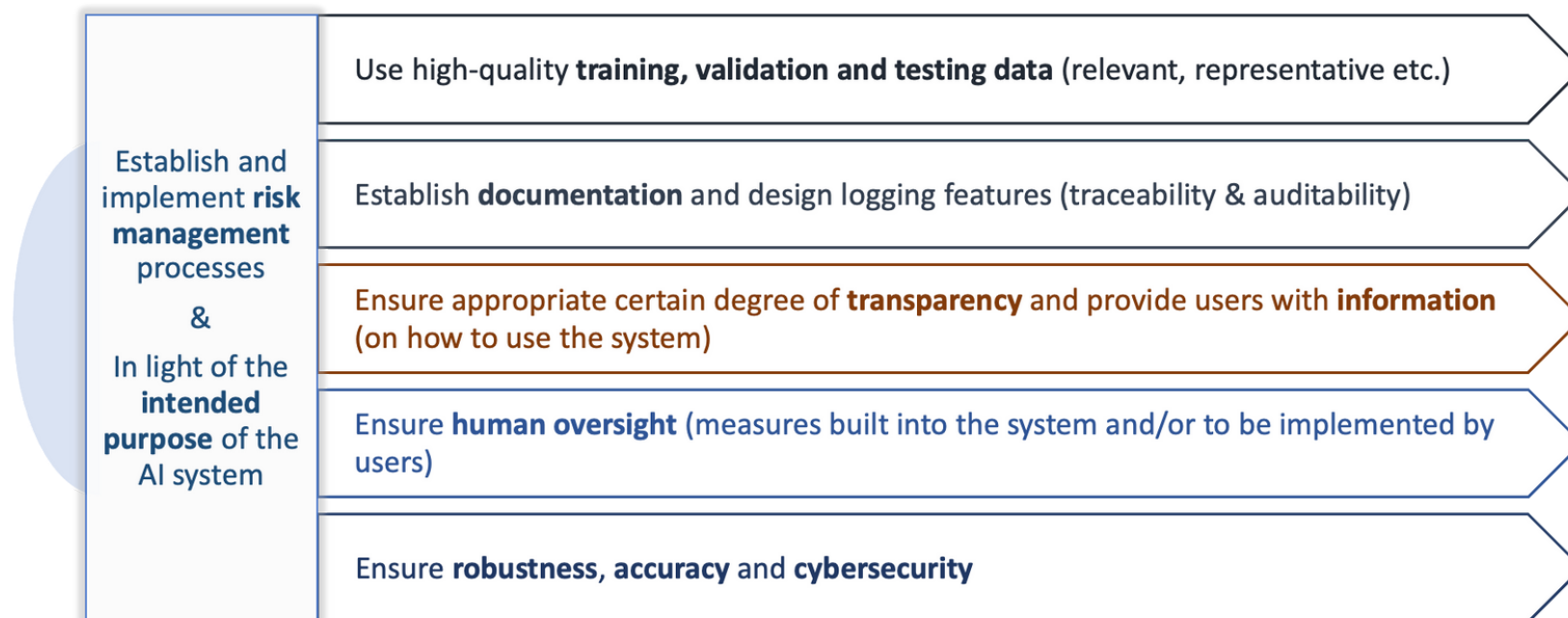
Provider obligations

- ▶ Establish and Implement **quality management** system in its organisation
- ▶ Draw-up and keep up to date **technical documentation**
- ▶ Undergo **conformity assessment** and potentially re-assessment of the system (in case of substantial modification)
- ▶ **Register AI system** in EU database
- ▶ Affix **CE marking** and sign declaration of conformity
- ▶ Conduct **post-market monitoring**
- ▶ **Collaborate** with market surveillance authorities

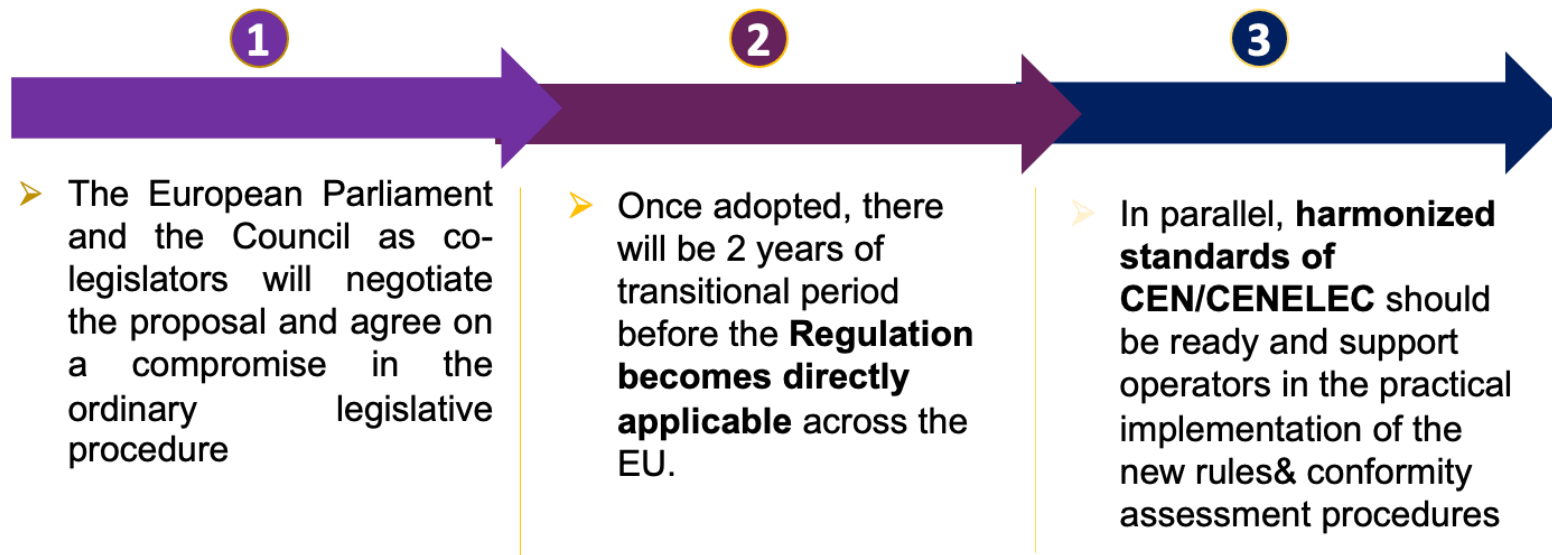
User obligations

- ▶ Operate AI system in accordance with **instructions of use**
- ▶ Ensure **human oversight** when using of AI system
- ▶ **Monitor** operation for possible risks
- ▶ **Inform the provider or distributor about any serious incident or any malfunctioning**
- ▶ **Existing legal obligations** continue to apply (e.g. under GDPR)

High Risks AI Systems



Legislative Process



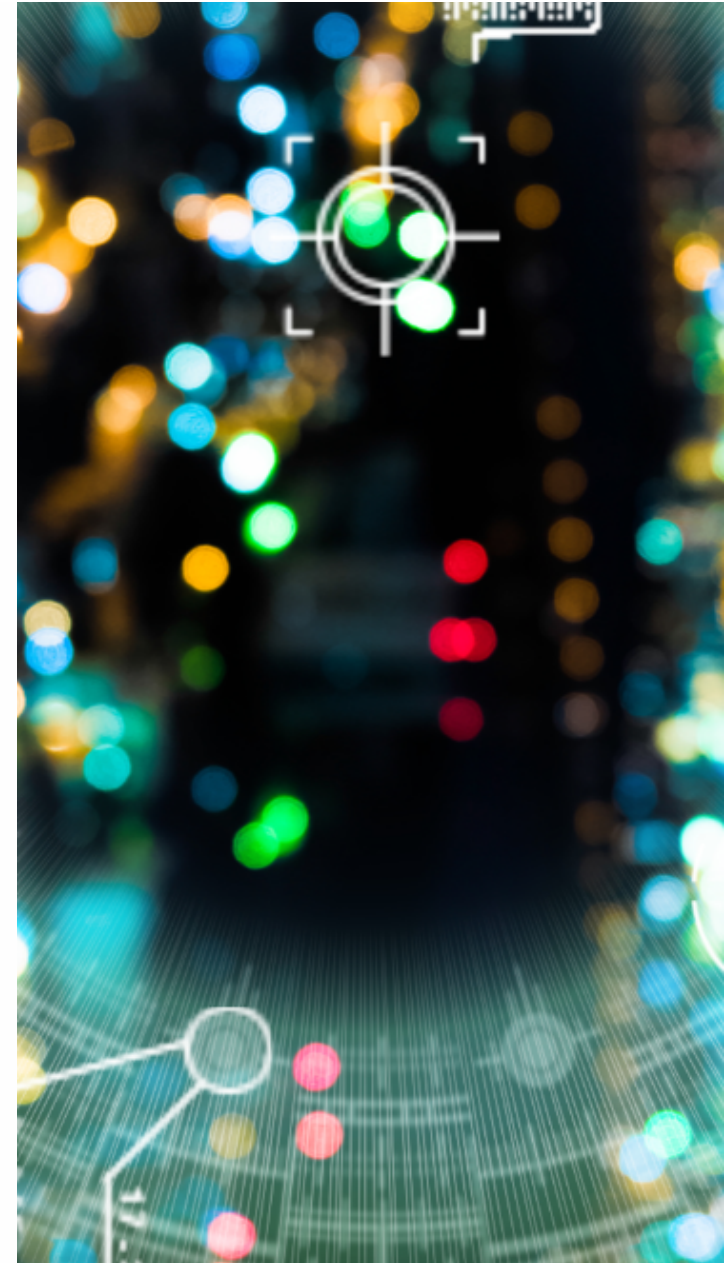


The Solution

An independent institute which assist companies in managing this CSR transition, in engaging in business models that are sustainable, zero-carbon and eco-responsible.

ABOUT US

We are a non-profit interdisciplinary research center aiming to assist companies in understanding the impact of Artificial Intelligence on decision-making processes, work, organizations, and society. We foster public debates on the impact and governance of digital transformation with the object of having a positive footprint on society, tackling the most pressing challenges in a sustainable and ethical way.



OUR MISSION

RESEARCH

Research on AI ethics
and sustainability

EDUCATION

Develop and
disseminate knowledge
on AI ecosystems

ADVOCACY

Advocacy on
Responsible AI at major
public institutions



AI GOVERNANCE FORUM - 2019 - Brocher Foundation (GE)



OUR SERVICES

Consulting Services

- Data governance and organization
- Transparent algorithms' design
- Environmental impact of digitalization

Indices

- Corporate responsibility index
- Digital responsibility index
- Organisation and trustworthiness index
- Digital and Green

Certifications

Certifications are provided to companies to get their ratings public.

Education Programs

On Beneficial AI, Digital Ethics and Sustainable AI (in partnership with the OECD)

Memberships

Access to a strong international network of senior policy-makers and researchers in AI and ML, Ethicists and Lawyers



THE INDICES



Corporate Digital Responsibility Index

An ESG index for use mainly in the financial and digital services industry.

This Index encompasses principles of governance, environmental protection, data and algorithm management, people, fair transition and progress.

Responsible AI index

An ESG index which provides metrics (scoring and visualization) and recommends metrics disclosure in the annual reports of companies across industry sectors and countries to demonstrate sustainable value creation and a positive footprint for the environment and society.

This Index assists companies in designing responsible AI systems, products, and services. In accordance with the list of requirements to design Responsible AI Systems published by the EU Commission.





Organisational trustworthiness index

This Index encompasses principles of governance, data life cycle, cybersecurity principles, environmental protection, data and algorithm management, people, and fair transition. Thus, it provides a holistic risk management framework that assists companies in identifying specific risks related to GDPR Compliance, Ethics, and Security.

It considers the lifecycle of the development of the AI system, from the design of its components to the processing of the data at each critical step, the operational impact of the AI outputs, and the review of its key actors.

The index also recommends ESG metrics to disclose in the annual reports of companies across industry sectors and countries to demonstrate sustainable value creation with regards to AI Technologies.

Anti-Trust Index



This Index is dedicated to be used by public authorities and investigation services. It addresses anti-trust related matters. and considers the full data lifecycle and market manipulation.

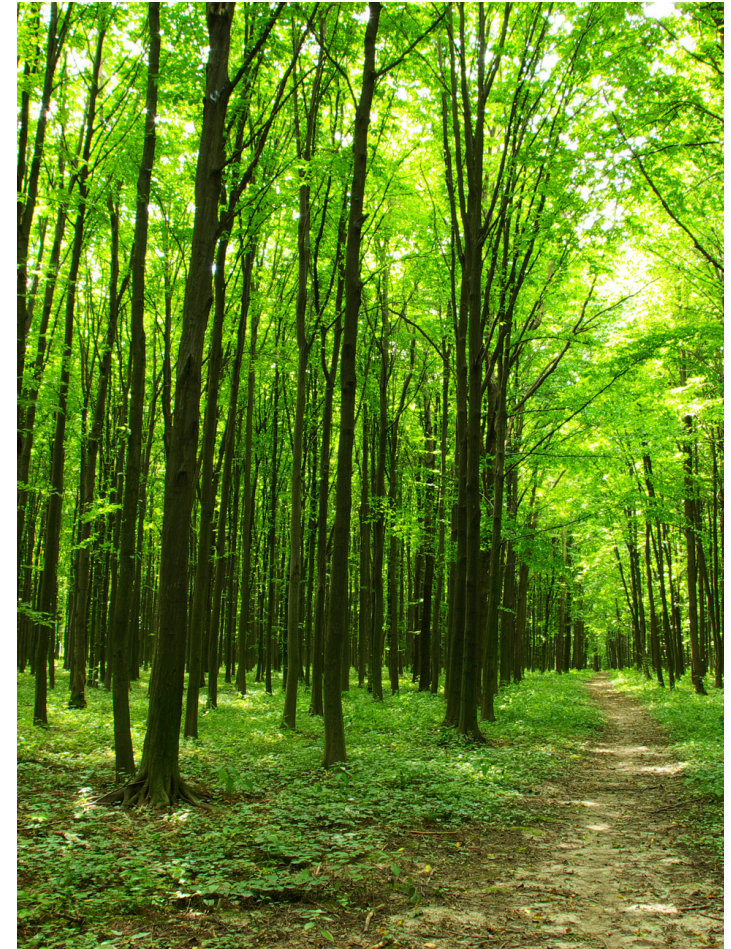
It was designed in cooperation with Prof. Marty Frederic (CNRS) and Thierry Warin (HEC Montreal), Nathalie de Marcellis (CIRANO).

Prof. Marty is a Member of the College of the French Competition Authority.

Related Publication : <https://ssrn.com/abstract=3744497> or <http://dx.doi.org/10.2139/ssrn.3744497>

Digital and Green index

This Index is focused on the management of sustainability challenges. It encompasses the awareness and understanding of these challenges as well as concrete actions. Thus, it provides a holistic risk management framework that assists companies in identifying specific risks related to sustainability-related to digital technologies in the interest of today and future generations. It encourages companies to become "sustainability leaders" in developing a culture based on a circular economy. It also encourages companies to reflect on how data and Artificial Intelligence can help in tackling these challenges. The index also recommends ESG metrics to disclose in the annual reports of companies to demonstrate their positive footprint.



Digital Health index

This Index is focused on the management of risk in the digital health context. It encompasses the awareness and understanding of these challenges as well as concrete actions. Thus, it provides a holistic risk management framework that assists companies in identifying specific risks related to digital health (platform, providers, data, models accuracy and robustness, etc)

It takes into account the well-being of patients, the privacy and data governance as well as security component. It also encompasses strict safety measures on AI models and quality. The index also recommends ESG metrics to disclose in the annual reports of companies to demonstrate their responsible behavior regarding the use of AI in the context of digital health.



How does it work?

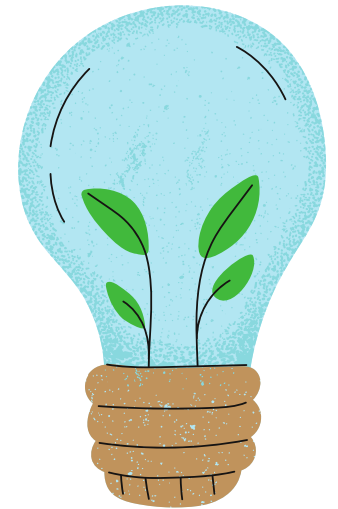
The Artificial Intelligence Transparency Institute has created a fast and secure means for you to become certified. By means of a simple self-completed questionnaire and the uploading of a set of standard corporate documents, the Institute can assess and certify your business with the AI Transparency Trust certification.

Why a certification?

Developments in technologies like AI and ML are allowing us to transform our businesses and services like never before.

Only those organizations that can demonstrate safe and responsible management of personal and commercial data are the ones that will create enduring relationships with the public and valued stakeholders.

Bearing the AI Transparency Trust marque will send a clear message of the company's ethical and responsible approach to digital innovation.



Partner Institutions



FOUNDING TEAM



Eva Thelisson Ph.D. in Law on data protection in the digital age, Master ESSEC Business School, +15 years experience in Project Management, Internal Audit, Innovation and Governance related matters



Diane de Pompignan, Sciences-Politiques Paris, Public Policy Expert, +20 years experience in Advisory



Clément Vignac, ENS, Ecole Polytechnique, Machine Learning Expert



Himanshu Verma, Ph.D in Computer Science, EPFL, Expert in Human-Computer Interaction



Chris Greenwood, Ph.D. Cambridge & Harvard, +20 years experience in Fund-Raising and Marketing



ADVISORY BOARD



Prof. Michael Wade (IMD, Lausanne, Switzerland),

Prof. Dominique Lambert (NAMUR University, Belgium),

Dr. Danielle Belgrave (Microsoft)

Prof. Kshitij Sharma (NTNU University, Norway),

Dr. Lukasz Kidzinski (Stanford University),

Dr. Raffaele Marino (EPFL, Switzerland)

Prof. Olivia Erdelyi (University of Canterbury, New-Zealand)

Noella Bigirimana (Rwanda Biomedical Center, World Economic Forum Fellow)

JOIN US TODAY !

BE A PIONEER

- **Tomorrow** AI Trustworthiness will be a must
- Join our community **today**
- Make a positive impact to the world
- Help us to develop
- Welcome to our network !



Contact Information

Email:

contact@aitransparencyinstitute.com

Website:

aitransparencyinstitute.com

Address:

Switzerland (Vaud Canton)



CORPORATE DIGITAL RESPONSIBILITY

7 Ethos' expectations

17 MAY 2020
VINCENT KAUFMANN, CEO

ETHOS - WWW.ETHOSFUND.CH

The Swiss Foundation for Sustainable Development

- Ethos Foundation
 - 225 members; CHF 306 billion AuM; 1,5 million insured persons
 - Promote Socially Responsible Investment (SRI) as well as a stable and prosperous socio-economic environment
- Ethos Services AG (owned by Ethos Foundation and 17 of its members)
 - Ethos investment funds and mandates
 - Proxy voting services for listed companies
 - Engagement program with listed companies (investor dialogue)
 - SRI consulting

DIGITALISATION – NEW ISSUES FOR COMPANIES AND INVESTORS

Data protection

Facebook sued over Cambridge Analytica data scandal

By Cristina Criddle
Technology reporter

🕒 4 days ago

Facebook-Cambridge Analytica scandal



Swisscom data breach: 800,000 customers affected

The 2017 incident took place due to a sales partner security failure.

BIOTECH AND PHARMA

Ousted Novartis scientist ‘categorically denies’ wrongdoing in data manipulation scandal

PUBLISHED TUE, AUG 20 2019-12:40 PM EDT | UPDATED TUE, AUG 20 2019-1:10 PM EDT

 Meg Tirrell
@MEGTIRRELL

Markets

Ex-UBS Employee Charged With Data Theft on Trial in Switzerland

By Hugo Miller

January 7, 2019, 7:00 AM GMT+1

DIGITALISATION – NEW ISSUES FOR COMPANIES AND INVESTORS

Artificial Intelligence - AI

17 May 2018
Carly Cassella,
Science Alert

Article

Share
f t e

Thousands of Google employees are worried their company will help create autonomous weapons

21. janvier 2019 **INDUSTRIE** ⌚ 2 min

Le patron d'ABB a de grandes ambitions dans l'intelligence artificielle

PAR **AWP**

AI's infiltration of pharma: How COVID-19 accelerated change

November 2, 2020

The pharmaceutical industry has sometimes been a laggard in terms of digital maturity, but the COVID-19 crisis has provided companies the impetus to rapidly implement the most cutting-edge technologies. At the heart of most of these digital advancements is AI and machine learning.

New approach to link data and A.I. with insurance systems

Innovation | Article | July 18, 2018

In a step towards transforming the insurance industry, Zurich is using a new approach to deploy insights from data and artificial intelligence (A.I.) that enhance customers' insurance experience.

DeepMind : dominé par l'IA, le champion de jeu de go Lee Se-dol abandonne

Par Mathieu Chartier (@chartier_mat) | Publié le 29/11/19 à 14h51 | Édité par Noluenn Bizien

1 2 3 4 5 6 7 8 9 10 11 12




COMMENTER

Après avoir battu l'IA de DeepMind au jeu de go dans lequel il excelle, le champion sud-coréen Lee Se-dol annonce sa retraite. Une supériorité technologique des machines qu'il connaît avoir du mal à accepter.

DIGITALISATION – NEW ISSUES FOR COMPANIES AND INVESTORS

Social impact

Banking Industry Cuts Millions of Jobs Forced by AI and Digitization in Banking

 AI & Linda • 5 min read

CATEGORY: [Experience](#)

TAGS: [BANKING INDUSTRY](#) [DIGITAL BANKING DESIGN](#) [AI IN BANKING](#) [FUTURE OF BANKING](#)

BUSINESS • COVID-19
Millions of Americans Have Lost Jobs in the
Pandemic—And Robots and AI Are Replacing
Them Faster Than Ever

CNN BUSINESS

[Markets](#) [Tech](#) [Media](#) [Success](#) [Perspectives](#) [Videos](#)

Edition   

Uber and Lyft must reclassify drivers as employees, appeals court finds



By [Sara Ashley O'Brien](#), CNN Business

Updated 0519 GMT (1319 HKT) October 23, 2020

CORPORATE DIGITAL RESPONSIBILITY

Ethos 7 expectations

Contribute to reducing
Digital technology
Environmental footprint



Establish a digital
responsibility code(DRC)



Ensure transparency
with stakeholders on
digital practices and
footprint



Ensure fair and
responsible
social transition



Digital Responsibility

Comply with the highest
standards of data
processing and data
protection



Exclude sensitive
digital activities



Establish ethical principles for
the use of artificial
intelligence (AI)



CORPORATE DIGITAL RESPONSIBILITY

Expectation 1 : Establish a Digital Responsibility Code



- Coverage
 - Governance of the digital risk and opportunities
 - Technology monitoring
 - Cybersecurity strategy
 - Privacy and data protection management
 - Ethical rules for the use of AI
 - Social responsibility for the digital transition
 - Strategy to reduce the digital environmental footprint
- Transparency
 - Available on the website
 - Training of employees

CORPORATE DIGITAL RESPONSIBILITY

Expectation 4 : Establish ethical principles for AI use



- Ensure AI is developed with the aim of having a positive impact on society and the planet
- Ensure equal treatment and non-discrimination of the AI companies develop and use
- AI should remain explainable
- Ensure human in the loop process and the right to appeal
- Ensure that the development of AI is responsible, safe and useful, that machines retain tool status and that people maintain control and responsibility for them

CORPORATE DIGITAL RESPONSIBILITY

Expectation 5 : Exclude sensitive digital activities



- People tracking systems that infringe fundamental rights.
- Systems to limit or reduce freedom of expression.
- Systems designed to create addictions.
- Autonomous weapons.
- Systems serving to manipulate a market or influence the behaviour of a market or population in a covert way.
- Systems disseminating sensitive, racist, sexist or illegal content or allowing access to content and activities inappropriate for minors.

CORPORATE DIGITAL RESPONSIBILITY

Expectation 6 : Ensure a fair and responsible social transition



- Companies should :
 - Conduct a technology monitoring activity to plan their skills needs and give priority to retraining and skills transitions.
 - Provide for personal development and retraining programmes by offering continuing education systems, as well as opportunities for job change
 - Provide AI systems that serve people and limit job cuts by distributing productivity gains equitably.
- New business models through digital transformation and AI should not allow companies to evade their obligations to employees or be used to circumvent collective agreements or social security systems



>20 YEARS OF SOCIALLY RESPONSIBLE INVESTMENT

ETHOS – WWW.ETHOSFUND.CH



Place de Pont-Rouge 1
Case postale 1051
CH-1211 Genf 26
T +41 (0)22 716 15 55
F +41 (0)22 716 15 56

Büro Zürich:
Bellerivestrasse 3
CH-8008 Zürich
T +41 (0)44 421 41 11
F +41 (0)44 421 41 12

This marketing document is issued by Ethos Services SA. It is not intended for distribution or use by any person or entity who is citizen or resident in a place, state, country or jurisdiction where its distribution, publication, availability or use would violate applicable laws or regulations. Only the latest version of the prospectus, regulations and annual report of the funds or subfunds is deemed to be the publication on which investment decisions are based. These documents are available on the website www.ethosfund.ch or from the Ethos offices mentioned above. The information or data contained in this document does not constitute an offer or an invitation to buy, sell or subscribe to securities or other financial instruments. The information, opinions and estimates contained herein reflect an assessment at the time of publication and are subject to change without notice. Ethos Services SA has taken no steps to ensure that the funds or sub-funds of funds mentioned in this document are suitable for each individual investor and this document cannot replace an independent judgement. The value of and income from the securities or financial instruments referred to in this document may fluctuate up or down and investors may not get back the full amount originally invested. The risk factors are described in the fund prospectus. It is therefore not intended to reproduce them in full here. Past performance is not a guide to or guarantee of future results. Performance data do not include commissions or fees charged on the subscription or redemption of units. This marketing material is not intended to replace the detailed documentation issued by the Fund or the information that investors must obtain from the financial intermediary or intermediaries responsible for their investments in the units of the funds or sub-funds mentioned in this document. If the portfolio consists of assets denominated in other currencies, the risk associated with exchange rate fluctuations may persist.