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**Artificial Intelligence and Democratic Values Index**
*Report and related materials:*
caidp.org/reports/aidv-2021/

### Updated Index Ranks AI Policies and Practices in 50 Countries
*Canada, Germany, Italy, and Korea Rank at Top,*
*US Makes Progress as Concerns about China Remain*

**AI POLICY HIGHLIGHTS -2021**

- *UNESCO AI Recommendation banned social scoring and mass surveillance*
- *EU introduced comprehensive, risk-based framework*
- *Council of Europe makes progress on AI convention*
- *Continued progress on implementation of OECD Principles, first AI policy framework*
- *G7 leaders endorsed algorithmic transparency to combat AI bias*
- *US opens-up policy process, embraces "democratic values"*
- *EU and US move toward alignment on AI policy*
- *AI regulation in China leaves open questions about independent oversight*
- *UN fails to reach agreement on lethal autonomous weapons*
- *Growing global battle over deployment of facial recognition looms ahead*

**OVERVIEW OF CAIDP REPORT**

The Center for AI and Digital Policy (CAIDP) today released the updated global ranking of countries, based on national AI policies and practices. The report – ***Artificial Intelligence and Democratic Values Index*** measured progress toward AI policies that safeguard human rights and the rule of law. The ***AIDV Index*** bridges the gap between policies and practices with fact-based evaluations of individual countries, and ratings and rankings to compare countries and to evaluate trends over time.

The ground-breaking analysis of AI in 50 countries was conducted by a global team of

AI policy experts. The findings include ambitious plans and wide disparities on metrics such as data privacy, algorithmic transparency, and public participation in policy development. Some countries are making progress. Others have work to do to catch up with democratic norms.

"We have reasons for optimism and reasons for concern," said CAIDP Chair **Merve Hickok**. "The **AIDV Index** found global support for strong frameworks to regulate AI. At the same time, the threats to fundamental rights, enabled by AI techniques, are on the rise."

The *AIDV Index*, prepared by CAIDP, is based on global norms found in the OECD/G20 AI Principles, the Universal Declaration of Human Rights, and the new UNESCO Recommendation on AI Ethics. Policies and practices were evaluated for 50 countries. There was also careful analysis of AI related developments in 2021 at international organizations, including the G7 and the G20, the European Union, and the Council of Europe. This was the second edition of the report, and reflected the contributions of more than 100 experts and advocates from almost 40 countries.

## TOP COUNTRY RATINGS

Canada, Germany, Italy, and Korea scored in the top tier for their global leadership on AI policy, their commitment to democratic values, and meaningful engagement with the public on proposed AI strategies. Also important for top rankings was a well-established data protection infrastructure, support for algorithmic transparency, and a commitment to fairness, accountability, and transparency for AI systems.

Notable outcomes in 2021 from the top-tier countries:

- Canadian authorities determined that ClearviewAI was a form of mass surveillance and violated the privacy and data protection rights of Canadian
- Germany continued its leadership on AI policy in the European Union, emphasizing protection for fundamental rights and ongoing public participation on AI policy development
- As host of the G20 summit, Italy advanced AI policy proposals, emphasizing data protection and gender equality, diversity and inclusion
- Korea introduced new requirements for AI impact assessments, published guidance on AI Personal Information Protection, and expanded algorithmic transparency

## THE AI SUPERPOWERS: US AND CHINA

The AI superpowers, the United States and China, did not score as well, though there was progress. The United States placed in Tier 3. According to the report of the Center, the US AI policy process is opaque, and the U.S. lacks strong laws for data privacy. However, the US rating improved over the past year as the Biden administration stressed a commitment to "democratic values" and created new opportunities for public participation in AI policy making.

In prioritizing concerns about AI bias, the US is also moving favorably to promote algorithmic transparency.

China ranked in Tier 4 because of the widespread use of facial recognition against ethnic minorities and political protesters and the continued rating of people, based on AI-techniques. "As China is now rapidly developing AI systems, there is an urgent need to assess China's actual practices against global standards for human-centric AI," according to the *AIDV Index*. In the past year, China did adopt a privacy law and a regulation for recommendation algorithms. Though similar to the GDPR and EU proposals to regulate algorithms, the Chinese legislation lacks necessary independence from state authorities. However, China's rating improved over the past year as China endorsed the UNESCO Recommendation on AI Ethics which will require the end of the social scoring system.

## OTHER COUNTRY CHANGES

There were several other changes to country ratings over the past year, mostly favorable. Turkey's rating improved following publication of the National AI Strategy, the authority of independent agencies to review AI practices, and support for several principles outlined in the Universal Guidelines for AI. However, the rating for Brazil fell as the country moved forward controversial legislation for AI that jurists and advocates said would diminish fundamental rights and would also make it difficult to establish liability when an AI system caused harm. Israel dipped to Tier 4 because it is among a handful of countries that is not a member of UNESCO and therefore did not endorse the UNESCO Recommendation on AI ethics.

## INTERNATIONAL ORGANIZATIONS

In addition to UNESCO, several global organizations, most notably the OECD and the G20, have produced policy frameworks for AI. Human rights groups and technology experts have also backed such proposals as the Universal Guidelines for AI. The G7 adopted a notable statement in 2021 on robust transparency to combat algorithmic bias. But questions about implementation of ambitious policy frameworks remain.

"One of our central objectives is to see whether countries are fulfilling their commitments for trustworthy AI. We examined whether countries are willing to draw red lines with certain AI applications, such as facial recognition in public spaces," said **Marc Rotenberg**, director of the Center for AI and Digital Policy. Rotenberg, continued, "There is strong support for these outcomes, as the UNESCO Recommendation makes clear, but whether governments have the political will to shut down poorly conceived AI systems remains a key test."

## LOOKING TO 2022

Looking ahead to 2022, the report calls attention to legislative proposals at the European Union and the Council of Europe and also transatlantic relations on AI policy.

Researchers with the Center anticipate continued discussion on the EU AI Act, a comprehensive, risk-based approach to AI regulation.

"We are also watching closely the dynamics of the EU-US relationship on AI policy," said CAIDP Global Program Director **Karine Caunes**, who is also Editor in Chief of the *European Law Journal.* "The Trade and Technology Council is a promising undertaking that sets out a transatlantic partnership for AI, but we will need to see concrete progress on both sides of the Atlantic."

## RECOMMENDATIONS

The 600-page report sets out key recommendations to guide policymakers and the public toward the goal of ensuring AI systems which respect human rights, democracy, and the rule of law.

1) Countries must establish national policies for AI that implement democratic values
2) Countries must ensure public participation in AI policy making 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

In the most recent report, CAIDP set out three new recommendations:

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

The Center studied the issue of lethal autonomous weapons in an earlier report, but held off on a recommendation until this year.

"I am very encouraged to see that this new report explicitly recommends that countries pursue a ban on lethal autonomous weapons," said **Professor Stuart Russell,** author of the leading textbook on Artificial Intelligence and also *Human Compatible: Artificial Intelligence and the Problem of Control.* "The UN negotiations in Geneva have stalled, but the issue is urgent and these weapons are being used. There are 8 billion people wondering why their governments cannot agree on some protections against being hunted down and killed by robots," said **Professor Russell.**

## ABOUT CAIDP

The **Center for AI and Digital Policy** *aims to ensure that artificial intelligence and digital policies promote a better society, more fair, more just, and more accountable – a world where technology promotes broad social inclusion based on fundamental rights, democratic institutions, and the rule of law.*

The **Center** provides AI policy advice to international organizations and national governments, provides intensive training to future leaders in AI policy around the world, tracks Public Voice opportunities for public comment on AI policy, promotes collaboration among scholars through a Global Academic Network, and maintains a global research network. The Center is incorporated as a non-profit, educational organization in Washington, DC.

The work of the Center is made possible by the voluntary contributions of an expert group of AI policy researchers around the globe, and the donations of private individuals and charitable foundations. CAIDP does not receive support from governments or tech companies and is not aligned with any political parties.

**Handle and Hashtags**

@theCAIDP, #AI #AIDV #democraticvalues #artificialintelligence

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## Endorsements

"A very worthwhile analysis."

- Stuart Russel, University of Berkeley, California

"An impressive body of work."

- Alessandro Acquisti, Carnegie Mellon University

"An excellent report, a very useful tool for the community and a reference to see nexus between AI and Democratic Values"

- Leyla Keser, Istanbul Bilgi University

"A very insightful report on AI laws and policies that addresses significant international developments and provides a terrific comparison of AI laws and policies across 50 countries."

- Professor Lee J. Tiedrich, Duke University

"This report is unique in that it compares AI policies and practices around the world and should inspire progress toward trustworthy and hiuman-centric AI. The report also documents the important role of digital rights and consumer groups in this endeavour."

- Ursula Pachl, European Consumer Association (BEUC)

"It's rare to read a document that has the potential to influence national policies on artificial intelligence around the world. The country descriptions and evaluations are thoughtfully organized, well-written, and carefully documented. The country rankings enable readers to have a broad understanding of who the leaders are and why, while pointing out what still needs to be done. The *AI and Democratic Values* index gives me hope that AI policy efforts can improve human rights, social justice, and dignity."

- Professor Ben Shneiderman, author, *Human-Centric AI* (Oxford 2022)

"In this historical moment of global interest negotiation and competition on AI we are in right now, we urgently need a shared narrative serving the human interest and democracy. With its comprehensive overview of key global and local power actors and initiatives *The Artificial Intelligence and Democratic Values Index* is an essential instrument for the facilitation of this shared global dialogue on AI now and in many years to come."

- Gry Hasselbalch, DataEthics.eu, InTouchAI.eu

"This is a very ambitious and important exercise. The outcome is impressive- detailed and rigorous."

- Valsamis Mitsilegas, Queen Mary University of London

"This comparative study sheds critical light on the adoption of Artificial Intelligence in democratic societies. *AI and Democratic Values* is an indispensable reference source for regulators, reporters, academics, and practitioners

- Dr. Pablo G. Molina, Georgetown University and founder, International Applied Ethics and Technology Association (iaeta.org)

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