

# Appendix 5: Assessing Implementation, Monitoring and Enforcement of the AI Ethics Code

Ask the following questions after implementation of the AI code of ethics is underway or complete. These questions can be used whether it is an AI ethics board, an ethics board with broader scope or management that is responsible for implementation, monitoring or enforcement.

**Implementation of the code:** Does the board of directors receive (from the management team or ethics board):

- Insight on how the business units are implementing the AI ethics code?
- Reactions from employees and management to the implementation of the code?
- Plans of action for addressing implementation issues?

Are there processes in place (by the management team or the ethics board) to:

- Allow all stakeholders to express their views on the implementation of the code?

**Monitoring adherence, compliance, responses and new developments affecting AI ethics:** Does the board of directors receive responses to the following questions (from the management team or AI ethics board):

- Is there access to relevant, timely and complete information about the company's AI ethics activities?
- Are there regular updates on compliance with the code? Do these updates include measures, such as performance against KPIs or ethics benchmarks?
- Are there continuous and, when necessary, real-time updates on emerging AI ethics issues that have been raised by clients, partners and competitors, and from within the company?

Are there processes in place (by the management team or ethics board) to:

- Measure and report compliance with the code?
- Determine how clients and partners evaluate the organization's AI systems for ethics?
- Monitor acquisitions and partnerships for adherence to the AI code of ethics?
- Allow employees, customers and other stakeholders to express their opinion about ethical issues with the AI systems deployed by the company? Or about the impact of AI on existing systems?
- Check whether any of the conditions that trigger an update of the code have occurred?

**Enforcing the code:** Has the management team:

- Included AI ethics activities within the annual business plan?
- Set aside sufficient funds and other resources to support monitoring and enforcement?

Does the board of directors:

- Include compliance to the AI ethics code when evaluating executive performance, compensation and termination?
- Review acquisitions, sell-outs and other business actions for their impact on the organization's AI ethics values and adherence to the ethics code?