Unleash AI Governance

FROM GATEKEEPER TO GROWTH DRIVER

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Amara's Law:

"We tend to overestimate the effect of a technology in the short run and underestimate the effect in the long run."

- Futurist Roy Amara

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What is AI?

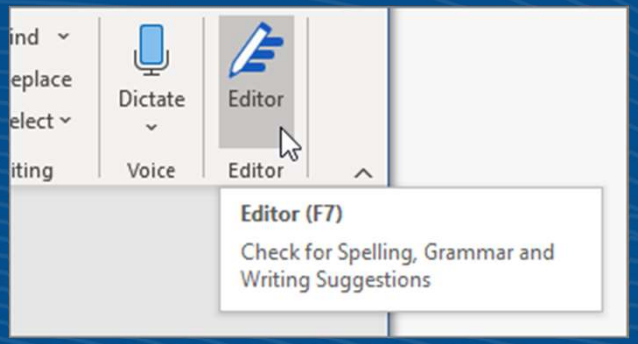
- A Machine or system that performs tasks that are normally considered to require human intelligence, or that behaves (or appears to behave) intelligently/ performs tasks that were assumed to be things only people (or other intelligent beings) could perform
- Turing Test: produces responses to a human interviewer that can fool the interviewer into thinking that they are human.
- Expectations of what AI is have changed (and will continue to change) over time.

Types of AI

- Artificial Narrow Intelligence (ANI) – Single task (e.g., play chess); automates repetitive tasks
- Broad AI – Multiple tasks, replying on multiple ANIs (e.g., self-driving cars)
- Artificial General Intelligence (or Full/Deep AI) – Closely resembles human intelligence; can think and learn unrelated tasks
- Artificial Super Intelligence (HAL 9000….) – Can perform a broad range of tasks better than humans

AI before ChatGPT

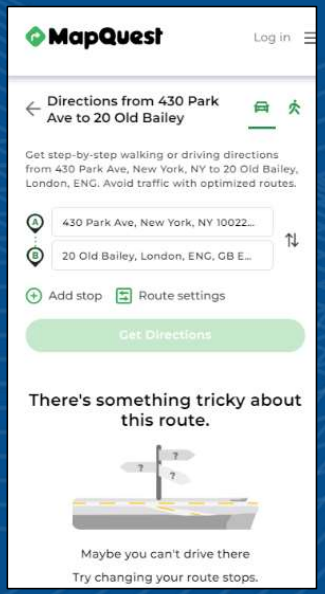
Chess Challenger (1977)



Microsoft Word Grammar Checker (1992)

Google Translate (2006)

Apple Siri (2011)



MapQuest (1996)

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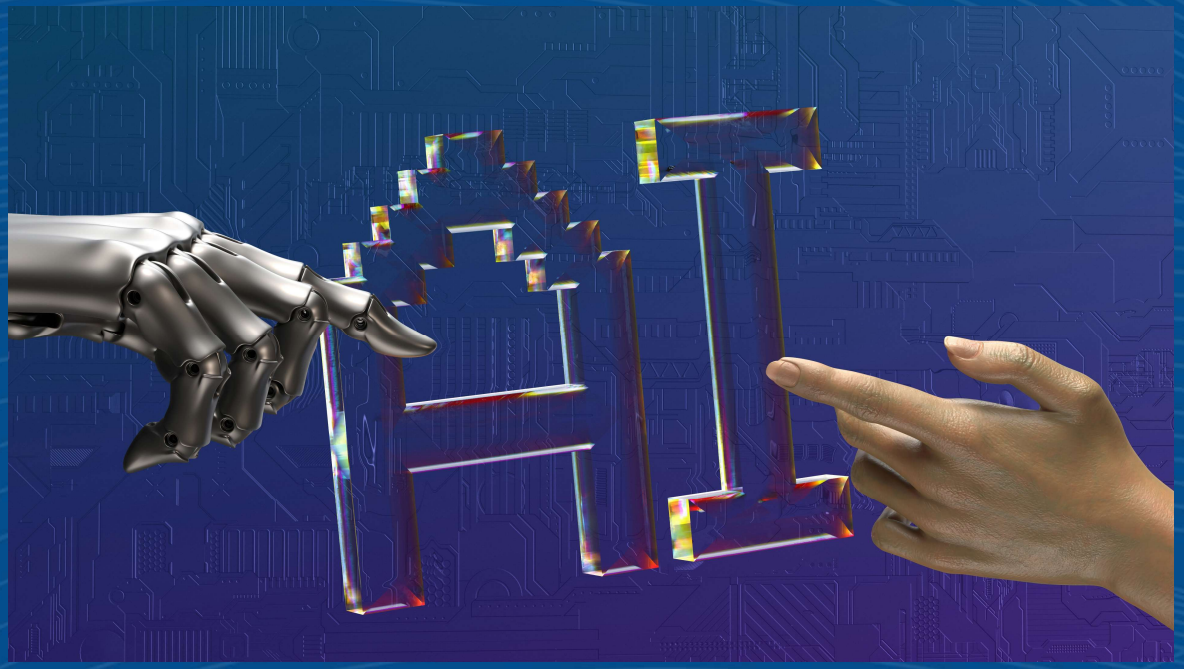
AI is Everywhere

- AI is now included (and often touted) in many software products
- Some are narrow, some more broad (not including GenAI)
  - **Salesforce Sales Cloud (with Einstein AI)** – Predictive lead scoring, opportunity insights, sales performance intelligence.
  - **Workday ERP** – Uses machine learning for anomaly detection, forecasting, and HR analytics (esp. in finance/workforce).
  - **Mimecast** – Embeds AI and machine learning, including for threat detection & anomaly analysis, natural language processing (NLP), machine learning & behavioral analytics, and AI security.
  - **Oracle Fusion Cloud** (vs. Oracle GenAI functions) – AI for financials, supply chain insights, and operational data analysis.
  - Shadow AI in Organizations

How to approach AI Governance



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Generally Accepted Record Keeping Principles (aka "The Principles")

Accountability Principle of Transparency Principle of Integrity Principle of Protection	•Principle of Compliance •Principle of Availability •Principle of Retention •Principle of Disposition

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Guidelines for AI Governance

- Transparency
- Accountability
- Bias Mitigation and Fairness
- Safety and Reliability
- Privacy and Data Security
- Compliance with Regulations
- Inclusiveness and Sustainable Innovation
- Data Governance
- Audits and Monitoring
- Human-Centricity

GARP

- **Principle of Accountability**
- **Principle of Transparency**
- **Principle of Integrity**
- **Principle of Protection**
- **Principle of Compliance**
- **Principle of Availability**
- **Principle of Retention**
- **Principle of Disposition**

AI

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AI Model Lifecycle

1. Development
2. Training operationalization
3. Model deployment
4. Prediction serving
5. Monitoring
6. Retirement

Data Inventory, Ownership and Segregation

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Data Mapping

- Why Map?
  - Basic source of information and foundational building block for compliance and operations
  - Identification of both operational and regulatory risk
  - Implementation of controls and processes
  - Necessary for incident response
  - Allows AI systems to know what they are touching

Data Mapping (cont.)

- Building the Data Map
  - Scope and process owner(s)
  - Discover locations and sources
  - Classify the data
  - Document data flows and access/roles
  - Validate, maintain and update

Data Ownership and Control

- Who owns each data type (and who has rights)
  - Disgorgement?
- Is the data subject to any other regulatory or legal requirements (e.g., SEC, privilege)?
- Data lifecycle details, such as creation, retention, archiving, disposal
- Key uses, sharing and access permissions

ROT

- 81% of AI investments are using flawed data
- 90% of AI Leaders believe leadership is failing to focus on it.
- 77% of companies with $5B+ in revenue expect poor data quality to cause a major crisis
- 65% of the above still believe their AI strategy is on the right path

Qlik Research, 3/5/25

Context ROT

- AI Conversations can gradually lose accuracy and reliability over time.
- An uncontrolled stream of information can lead to inaccuracy in the agent

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How do we improve the data quality?

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How do we improve data quality?

- Define AI-ready data standards for accuracy, completeness, consistency, timeliness and bias
- Valid data before use (automated checks for required fields, formats)
- Clean and standardize existing data (de-dup, update stale records, apply retention)
- Keep humans in the loop (data stewards and business users should review data)

AI Committee

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Privacy and AI Legal / Regulatory Compliance

- Is there any personal data (and the definitions can be broad and differ)?
- Is the data subject to any other regulatory or legal requirements (e.g., SEC, privilege)?
- Might there be export control or sanction issues?

Current AI-specific Laws (examples)

- Internationally: EU AI Act; China (multiple laws and regulations)
- US: No federal law (Executive Orders); Multiple State Laws; Municipalities (e.g., NYC AI in Employment)
- Laws may apply at different levels, based on role (developer/deployer), model size ("frontier models") and/or purpose (employment, chats).

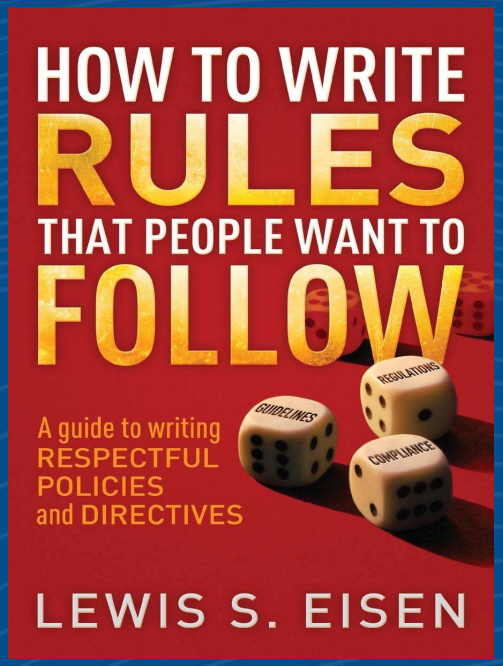
Current Key Frameworks (examples)

- NIST AI Risk Management Framework (RMF)
  https://airc.nist.gov/airmf-resources/playbook/
- ISO/IEC 42001
- OECD AI Principles
- IEEE 7000-2021

Framework Comparison

Dimension	IEEE 7000-2021	OECD AI Principles	EU AI Act	NIST AI RMF
Scope	System design ethics	Full AI value chain	Risk-based classification	Organizational Risk Management
Enforcement	Voluntary	Softlaw principles	Legally binding	Voluntary
Accountability	Design-stage value alignment	Proportional answerability	Provider / deployer obligations	Govern function roles
Strength	Engineering integration	International Consensus	Legal enforceability	Operational practicality
Certification	No	No	Compliance Required	No, but pairs with ISO/IEC 42001

AI Policies



VS

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AI Policies

- Governance = “How we can” instead of “Why we Can’t”
- The expansion of information governance → AI governance
- Governance as Growth—how guardrails create speed while reducing/mitigating risks.

The Gatekeeper Model is failing

- Innovation Lag
- Trust Erosion
- Process Silos
- Shadow AI Usage

Changing the mindset

Attribute	The Old Gatekeeper	The New Growth Driver
Primary Goal	Risk Avoidance	Trusted Innovation
Involvement	End-of-lifecycle review	Embed in the lifecycle
Focus	What we can't do	How we do it safely
Success Metric	Compliance Audits	User adoption
Mindset	Defensive / Protective	Strategic / Enabling

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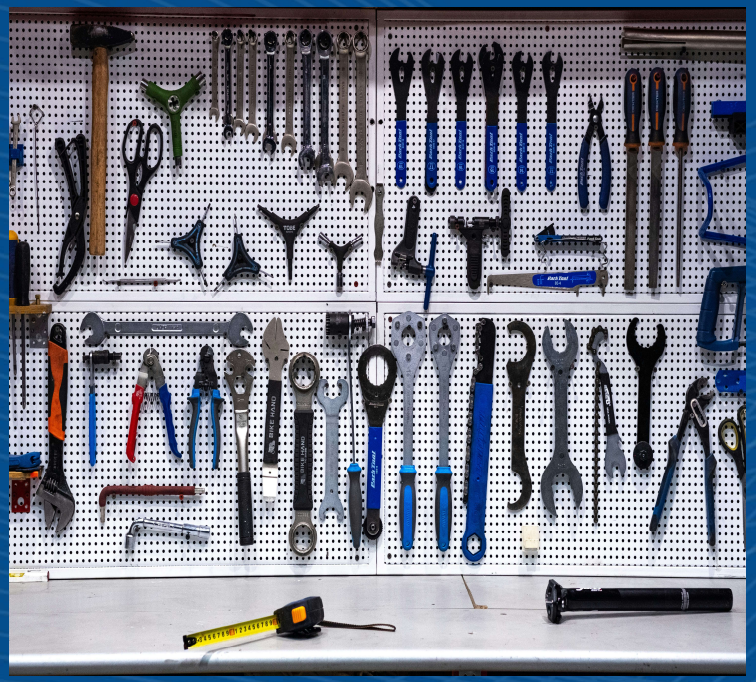
AI Tool Diligence



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AI Tool Diligence

- Key part of understanding and doing AI risk/benefit analysis and implementing appropriate controls.
- There are no industry standards on fundamental issues like ingestion and training, retention/deletion, security, breach or fail notification.
- Requires legal/compliance, data/governance, business/operational, IT/technical and security review of the tool and documentation

AI Tool Diligence (cont.)

- Process:
  - Inventory and classification of tools (based on function, risk, etc.)
  - Vendor risk assessment – both of the tool and the vendor itself
  - Compliance and security review
  - Legal and contractual review
  - Approval (and conditions/controls/exceptions)
  - Monitoring, auditing and reassessing

AI Tool Pilot

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AI Tool Piloting

- Buying AI quickly without considering impact and where it fits in the puzzle
  - The gold rush encouraged fast decisions without considering strategy and integration.
  - AI as a solution to an undefined problem, rather than examining the problem and determining if/what tools (AI or otherwise) can be used to resolve/mitigate it.
  - Ensuring correct people are involved in the pilot
  - 90%+ of AI projects fail

AI Tool Piloting (cont.)

- Why pilot before deploying?
- *AI tools carry real governance risk – piloting can help surface risks/issues early*
  - *Data exposure – what data enters, is retained, is used for training, etc.*
  - *Use cases – what is it good/bad for; who can use it; how are controls implemented, etc.*
  - *Value analysis – does it actually solve the particular problem(s)*
  - *Shadow AI controls – without pilots, personnel will experiment anyways*

AI Tool Piloting (cont.)

- Pilot Process
  - *Define scope and risk*
  - *Initial vendor due diligence*
  - *Implement controlled/limited pilot, and perhaps expand after initial stage*
  - *Evaluate and decide on implementations*

AI Impact Assessment

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AI Impact Assessment

- An AIIA is a structured process to identify, document, and mitigate the risks an AI system poses before and during deployment
  - Invisible Harms: AI systems can discriminate, leak sensitive data, and produce unreliable outputs — are better surfaced through deliberate assessment, rather than accidentally through use.
  - Increased Regulation
  - Identifies Governance Gaps

AI Impact Assessment (cont.)

- Key Domains:
  - Purpose and Risk
  - Data Lineage/Retention
  - Privacy and Security
  - Legal Basis and Regulatory Requirements
  - Bias and Disparate Impact
  - Human Oversight and Accountability
  - Vendor and Contractual Controls

Training

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Training

- Necessary to address legal, operational and reputational risk.
- Compliance Risk Without Training
  - Sensitive data exposure, improper use for regulated purposes, etc.s
- AI Doesn't Behave Like Other Software
  - Personnel must understand how specific tools/models work, what the use cases are for each, and how to evaluate prompts and outputs
- Training is Required by Governance Frameworks
  - Lack of training is a gap in compliance with various frameworks

Training (cont.)

- General Training (all personnel)
  - What AI can and cannot do — address over-trust and under-trust
  - Data input and output rules and limitations
  - Approved tools vs. shadow AI — your organization's permitted list
  - Incident reporting: what to do when AI produces problematic output
- Role-Based Trainings (targeted by function & risk)
  - Certain roles (based on access to sensitive data, use cases for outputs, etc.

Model Cards

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Model Cards

- A standardized disclosure document that tells you what an AI model does, how it was built, and where it falls short.
- Governance artifacts — allow accountability, enable oversight, and support compliance.
- Like a nutrition label for an AI model. Just as a nutrition label tells you what's in your food — calories, allergens, ingredients — a model card tells you what's in your AI
- Developed by developers (vendors) or deployers

Model Cards (cont.)

- Intended Use
  - What is the model is designed to do — and what it is not.
- Training Data
  - The data nature and source(s), and how was it processed/integrated
- Performance Metrics
  - Accuracy and test results across different processes and functions
- Limitations and Risks
  - Known failures, biases, and out-of-scope uses

Why Model Cards Matter for IG

- Risk & Compliance
  - Documents fitness for purpose and issues; creates audit trail for model selection decisions
- Records & Accountability
  - Defines data lineage; captures change history; identifies responsible parties; provides retention and disposition context
- Vendor management
  - Vendor transparency; will be key for tool diligence; indicates gaps/risk

Ongoing analysis

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Ongoing Analysis / Continuous Monitoring

- Set up automated pipelines with alerts for data drift, schema violations, and quality drops post-ingestion.
- Combine rules-based checks with machine learning for predictive degradation detection, reviewing after each milestone.
- Maintain human oversight via dashboards showing KPIs like completeness and freshness.

Governance and Prevention

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Build Governance and Prevention

- Enforce validation at the source (schemas, blocking bad data) and promote cross-team ownership with shared metrics.
- For enterprises, break silos using AI-driven mapping and harmonization across systems.
- Start small: focus on high-impact datasets for your pilots, then scale practices.

Exercise: Applying AI Governance

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Exercise: Applying AI Governance

- You are given 100 potential points to allocate across resources for developing an AI Governance Program at your organization.
- Discuss and allocate the resources so that the sum equals 100 points. The points should be allocated by priority, not time or money
- Provide a brief explanation and rationale for your decisions.

AI Action plan

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Initial step: Strategy, Readiness, Governance

- Establish AI Leadership and operating model
- Mapping and Data Posture
- Define AI vision, success matrix, and guardrails
- Run AI Readiness and data / infrastructure assessment
- Outline initial AI governance and policy considerations
- Identify and prioritize 3-5 high value pilot use cases
- Prepare people and skills

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Key Deliverables

- Documented AI vision, success metrics, and prioritized pilot list.
- Initial AI governance framework and policies.
- Baseline measurements and a ready pilot team with training.

Pilot, Build, Integrate & Launch

- Technical design and environment set up
- Build and configure pilot solutions
- Internal testing and risk checks
- Soft launch to controlled user groups
- Measure usage

Key deliverables

- 2–3 AI pilots live with real users under governance.
- Dashboards and weekly review forums in place.
- First set of documented improvements and lessons learned.

Prove Value, Standardize, Plan Scale

- Deep-dive on pilot performance and ROI (Week 9–10)
- Decide scale-up, pivot, or stop for each pilot
- Institutionalize governance and operating practices
- Build the next-phase AI roadmap
- Scale change-management and communications

Key deliverables

- Measured ROI and qualitative impact story for each pilot.
- Formalized AI governance and operating model.
- Approved 6–12 month AI roadmap and scale-out plan.

Questions?

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THANK YOU!

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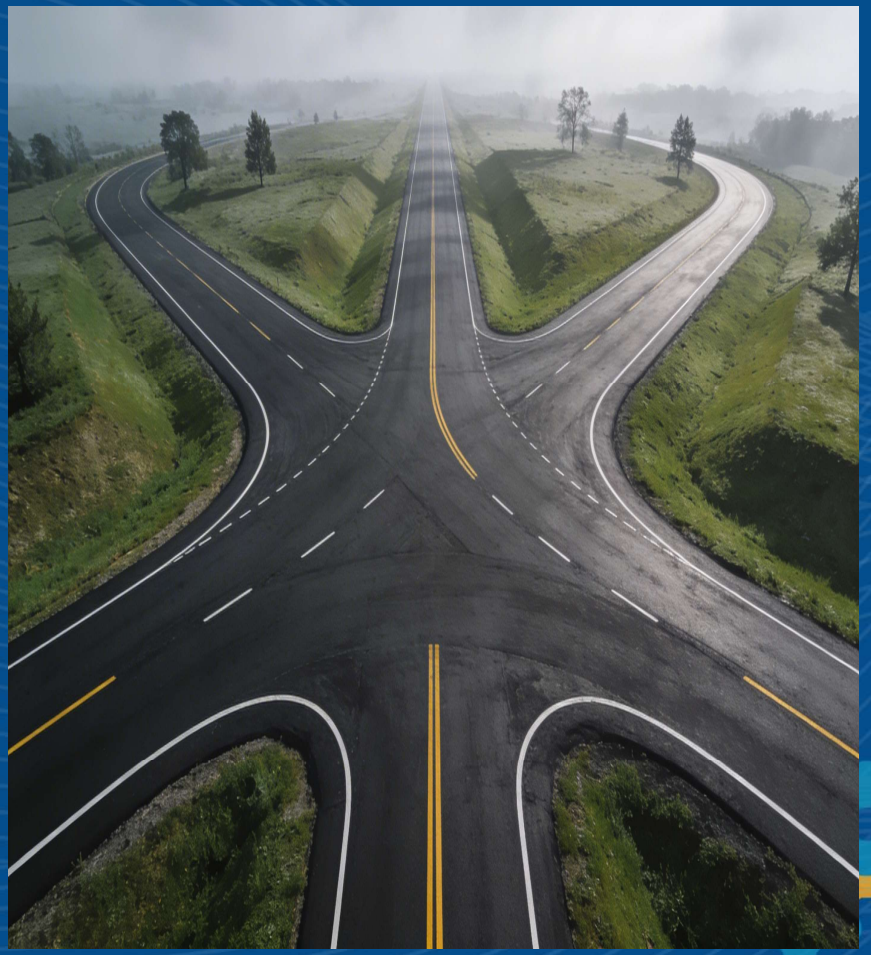
Your competitive advantage in the modern enterprise lies in the crucial intersection of Trust, AI Governance and Scale



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