

AI Governance @ China

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TimeLine

Milestones of Chinese Approach to AI Governance

Roadmap

2017.07 *New Generation AI Development Plan*, issued by **State Council**
——by 2020 / 2025 / 2030

Agency

2019.02 *National New Generation AI Governance Professional Committee*, established by **MST**
——2019.06 *New Generation AI Governance Principles - Developing Responsible AI*
——2021.09 *New Generation AI Ethics Code*

Vertical Fields

2019- *Different AI Related Policies & Initiatives Issued by Several Departments*
——2019.10 *National AI Social Experimental Research Launched*, led by **MST**.
——2020.06 *National AI Standards System Guidelines*, led by **CAC**.
——2021.07 *Safeguarding Gig Workers' Rights and Interests*, led by **All-China Federation of Trade Unions**

Laws

2022- *Regulatory Rules*, led mainly by **CAC**
——2022.03 *Internet Information Service Recommendation Algorithm Management Regulations*
——2023.08 *Interim Measures for Generative AI Service Management*

Global Governance

2022- *Global Cooperation*, led mainly by **MFA**
——2022.11 *China's Position Paper on Strengthening Ethical Governance of AI*

Landscape

Governance Initiatives / Projects

Cooperation between
**Central & Local
Governments**

→ National New Generation AI Innovation and Development Pilot Zone
(MST & Local Gov.)

→ Guiding Opinions on Accelerating Scenario Innovation and Promoting High-Quality Economic Development with High-level Application of AI
(6 Ministries & Local Gov.)

Cooperation between
**Public & Private
Sectors**

→ Guidelines for the Construction of National New Generation AI Open Innovation Platform
(issued by **MST**)

- AI Application Best Case
- *AI Policy Experiments*
- *AI Social Impacts Experiments*
- AI Infrastructure Construction

- Agriculture, ports, mines, factories, homes, smart education, autonomous driving, diagnosis and treatment, courts, supply chains, etc.

- To Promote SME

Landscape

Governance Agencies

S&T Ethics Committee

2019.07: National Science and Technology Ethics Committee Formation Plan
→ *Case: Science & Technology Ethics Committee of MIIT and Science & Technology Ethics Expert Committee of MIIT are established in 2023.05.*

AI Ethics Committee

2019.02: National New Generation AI Governance Professional Committee

Regulatory Agencies

2022.03: CAC on *Recommendation Algorithms, Deepfake, Generative AI*
2023.03: National Data Bureau

Self-Governance Agencies

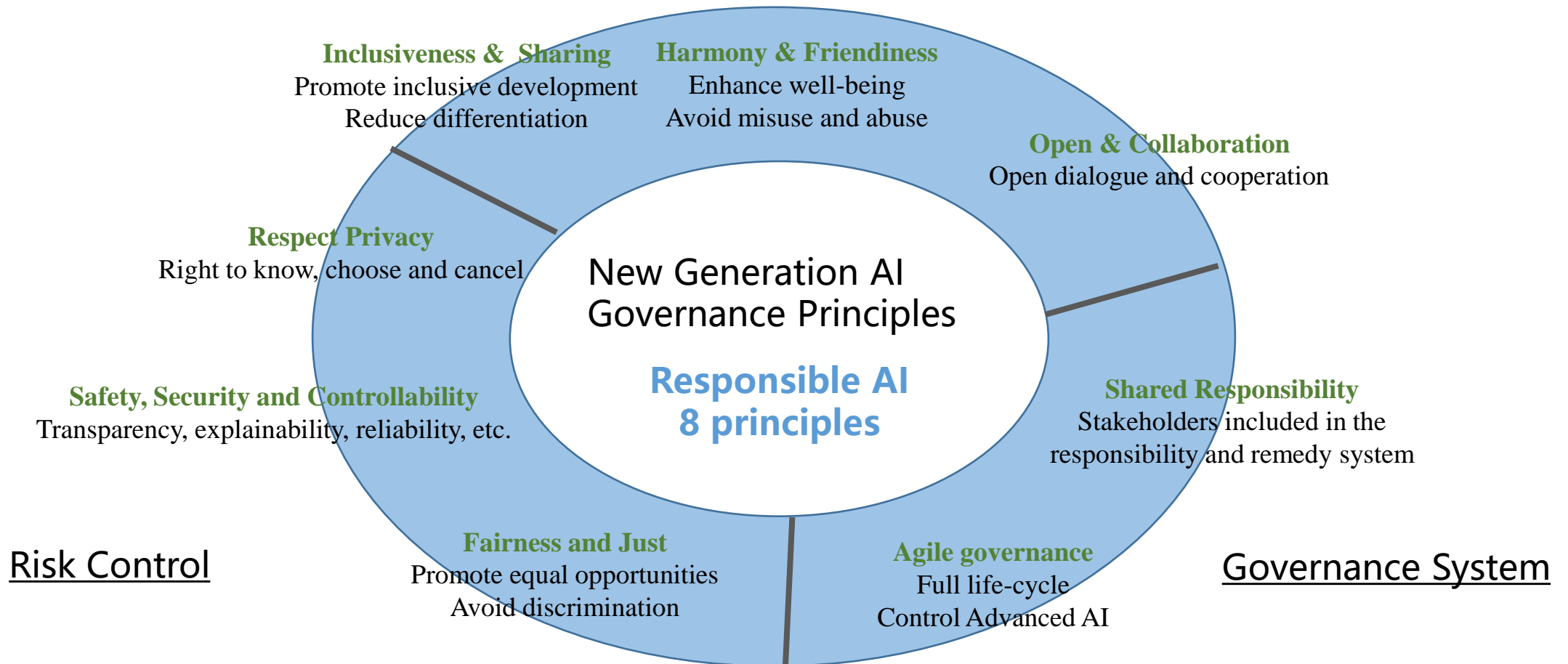
2020.01: Sense Time, AI Ethics and Governance Committee
2022.09: Alibaba Group, Technology Ethics Governance Committee
2023.03: Ant Financial Group, Technology Ethics Advisory Committee

Key Areas

AI Ethics

→ New Generation AI Governance Principles - Developing Responsible AI @2019.06

Guide Development



Key Areas

Governance *of* Algorithms

Algorithms *by* Fields

- **General Requirements:** Recommendation Algorithms, Generative AI, Deepfake AI.
- **Vertical Industry:** Self-Driving, AI Medial Device/Service, etc.

Governance Goals

- **Transparency:** Explainability to the Public
- **Accountability:** Producer & Implementor (Gatekeeper), rather than Researcher
- **Equality & Just:** e.g. Algorithmic Collusion

Governance Tools

- **Algorithm Recording**
- Algorithm Classification and Grading
- Algorithmic Risk Assessment
- Algorithm Parameters Should Balance the Benefits of Stakeholders

Typical Case 1

Algorithm Recording System

21.12.31

22.03.01

22.08.12

23.05.06

<Provisions on the Administration of Internet Information Service Recommendation Algorithms>

Cyberspace Administration Office of China

Ministry of Industry and Information Technology of the People's Republic of China

Ministry of Public Security of the People's Republic of China

State Administration for Market Regulation

Algorithms Recording System is online

The first 30 kinds of algorithms by 28 platforms are public online.

262 kinds of algorithms by 100+ platforms are public online.



附件1: 境内互联网信息服务算法备案清单 (2022年8月)

附件2: 境内互联网信息服务算法备案清单 (2022年10月)

附件3: 境内互联网信息服务算法备案清单 (2023年1月)

附件4: 境内互联网信息服务算法备案清单 (2023年4月)

Typical Case 1

Algorithm Recording System

1. What is required?

2. What is open?

- Name of the algorithms
- Category: recommendation/search/rank/decision-making/Synthetic
- Principle & Mechanism of the algorithms
- Possible risk of the algorithms
- Governance mechanism of the risk of the algorithms (human in/over the loop)



共有 3 条关于“滴滴”的备案记录

主体名称	算法类型	算法名称	公示内容	备案编号(唯一)	发放日期	当前备案状态
滴滴出行科技有限公司 <small>企业</small>	调度决策类	滴滴路径规划算法	公示内容_网信算备12...	网信算备120116299582...	2023-05-06	正常
滴滴出行科技有限公司 <small>企业</small>	调度决策类	滴滴网约车供需折扣...	公示内容_网信算备12...	网信算备120116299582...	2023-05-06	正常
滴滴出行科技有限公司 <small>企业</small>	调度决策类	滴滴网约车分单算法	公示内容_网信算备12...	网信算备120116299582...	2023-05-06	正常

DiDi

Route Plan

Supply &
Demand
Adjustment

Order
Distribution

- **Function:** four stages including pairing, filtering, scoring, matching.
- **Strategy:** nearest first, global optimum
- **Environment:** in app
- **Goal:** given the restrains, optimize the success rate of passengers and the income of drivers.

Typical Case 1: Implementation Challenges

Algorithm Recording System

3. What is the result?

4. What is next?

The screenshot displays two side-by-side views of a driver's income report for '王师傅' (Mr. Wang). The left view shows '您的收入占比' (Your Income Ratio) and the right view shows '小滴留存占比' (Didi Retention Ratio). Both views compare data for '昨天5月17日' (Yesterday, May 17) and '5月11日-5月17日' (May 11-17). The report is broken down into three order types: '实时快单' (Real-time Express), '拼车单' (Carpooling), and another '实时快单' (Real-time Express). Each order type includes a table with columns for '乘客支付' (Passenger Payment), '您的收入' (Your Income), '本行程收入' (Income for this trip), '本行程奖励' (Reward for this trip), and '您的收入占比' (Your Income Ratio).

Order Type	Time	乘客支付 (元)	您的收入 (元)	本行程收入 (元)	本行程奖励 (元)	您的收入占比 (%)
实时快单	5月17日 12:30:23	47.61	40.64	36.92	3.72	85.4%
拼车单	5月17日 13:01:42	20.95	15.49	15.49	0	73.9%
实时快单	5月17日 14:12:51	41.92	39.09	32.52	6.57	93.2%

Income Breakdown
of DiDi platform & drivers

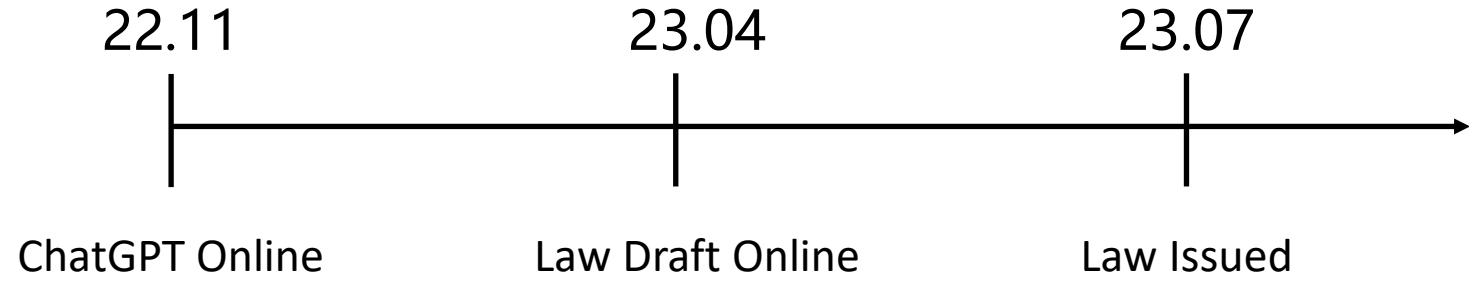
- From *Algorithm Recording* to *Algorithm Inspection*
- Details of the enclosure
- The Role of the System: Criteria *ex ante* **OR** *ex post*
- The Use of the System: CAC & SAMR

categories of
the order
User Paid
Driver Income
Driver Subsidy

Typical Case 2

Generative AI

Quick Response



Guiding Principle

Encouraging Innovation and Rule *of* Law

Policy Tools

- Algorithm Recording Requirements
- Distinguish Service *from* Technology
- Distinguish Public Service *from* Non-public Service

Thanks