Atlanta Conference
On Science and Innovation Policy

Cornell Bowers C·IS
Information Science

TRANSITIONING BETWEEN GIMMICKY AND ADAPTIVE APPROACHES TO AI POLICY

THE CASE OF THE CHILEAN NATIONAL AI POLICY



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PRESENTATION IN BRIEF

- How to create AI strategies that are durable, adaptive, implementable, and generate societal consensus?
- The Chilean case of building a durable AI policy in the midst of social and sanitary crises.
- We distilled three interrelated elements (i.e., external crises, institutional features and power distribution) that moderate the transition from Gimmicky to Adaptive approaches.



Chile is working in an update of its AI Policy

GOVERNMENTS' ARE RACING TO BE THE LEADERS IN ARTIFICIAL INTELLIGENCE

Proliferation of AI systems can both yield positive and negative outcomes for humanity

- AI is estimated to have a big (unequal) economic impact[1].
- There are multiple ethical and governance issues being discussed with 700+ initiatives in 60+ countries[2].
- The discussion about AI governance has been mostly concentrated in the U.S. and Europe[3].

There is a need to build broad societal consensus around AI systems[4]

- Socio-technical futures are political[5].
- Groups with different imaginaries compete to frame the future[6].
- Governments seek to direct the process of technology-society mutual shaping toward desired futures[7].

1. PwC, 2018; McKinsey, 2020.
2. Calo 2017; Gasser & Almeida, 2017; Fjeld et al., 2020; OECD.AI, 2021
3. Jobin et al., 2019; Unesco, 2021
4. Taeihagh, 2019
5.Aykut, 2015; Granjou et al., 2017
6. Konrad & Bohle, 2019
7. Kaplan et al., 2021

AI POLICIES HAVE BEEN MOSTLY PERFORMATIVE AND IMPLEMENTATION REMAINS A CHALLENGE

- Implementation and update of AI strategies is still a challenge, especially in Latin America[1].
- Changes in governing coalition (e.g., Argentina, Colombia, Mexico) negatively affects policy continuity.

Country	Policy
Argentina	Dropped
Bolivia	No
Brazil	Implementing
Chile	Implementing
Colombia	Dropped
Costa Rica	Developing
Ecuador	No
Mexico	Dropped
Panama	No
Paraguay	No
Peru	Implementing
Uruguay	Implementing

1. Taeihagh, 2019; OECD & CAF, 2022.

THERE IS A DEMAND FOR PARTICIPATORY APPROACHES TO AI GOVERNANCE

- Competing priorities and value tensions underscore the importance of public deliberation to reach a consensus on AI Governance[1].
- Recognizing the reflexive agency of citizens in building S&T policy revitalizes technocratic policymaking by acknowledging the political dimension of these decisions[2].
- AI policies can gain legitimacy by engaging with diverse audiences, which is critical to creating effective, flexible, and adaptive institutions[3].

1. Unesco, 2022; Lo Piano, 2020; Cath, 2018; Cunneen et al., 2019
2.Bialie & Liveriero, 2017; Felt et al., 2007; Fischer, 2000; Leach et al, 2005.
3. EFSA, 2021; Gronlund et al., 2015; IAP2, 2018; Mercier & Landemore, 2012; OECD, 2022; UNDP, 2018; Hu et al., 2019.

CITIZEN DELIBERATION GENERATE EPISTEMIC, DEMOCRATIC AND ECONOMIC VALUE

- Policymakers can access experience-based knowledge and broader expertise that would otherwise be unavailable[1,2].
- Participation can generate collective learning and improve democratic institutions[1].
- Citizen involvement enhances the process's inclusiveness, transparency, and accountability, creating more engaged, informed, and active citizens[1,3].

1. Aitamurto & Chen, 2017
2. Pečarič., 2017; Brabham, 2013.
3. Koc-Michalska & Lilleker, 2017; Margolis & Moreno-Riaño, 2009.

RESEARCH OBJECTIVE

Assess how to enable participation for building adaptive AI policies

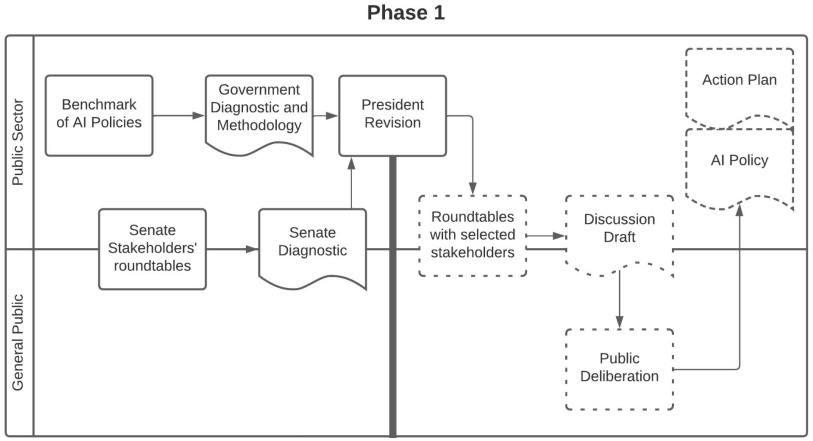
- Determine the elements enabling participatory AI governance.
- Analyze the elements that enable AI policies to transition from a gimmicky approach to an adaptive one.

Case Study

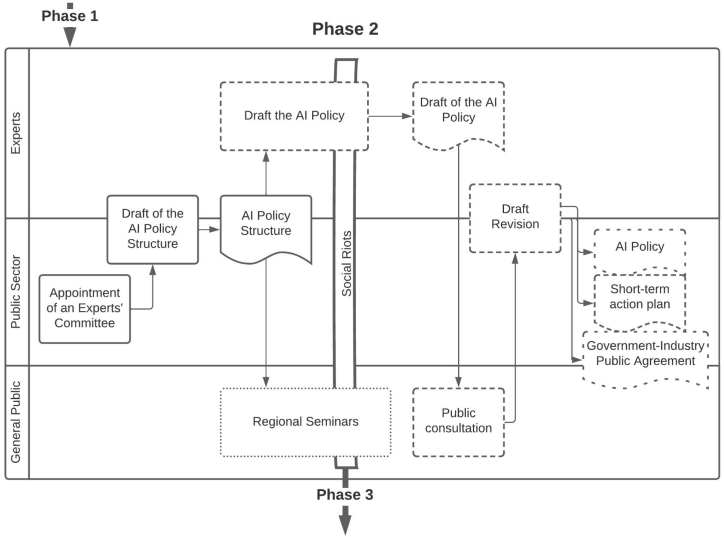


The Chilean National AI Policy developed between 2019 and 2021, involving more than 6,600 people and it is currently being implemented, surviving a change in the governing coalition.

SACRIFICING PARTICIPATION FOR SPEED AND PERFORMANCE



- The initial design contemplated top-down participation (i.e., government organized stakeholders' roundtables).
- The executive decision, however, was to privilege speed, and thus most participation was dismissed.
- Many authorities considered the public ignorant and unable to influence AI Policy.

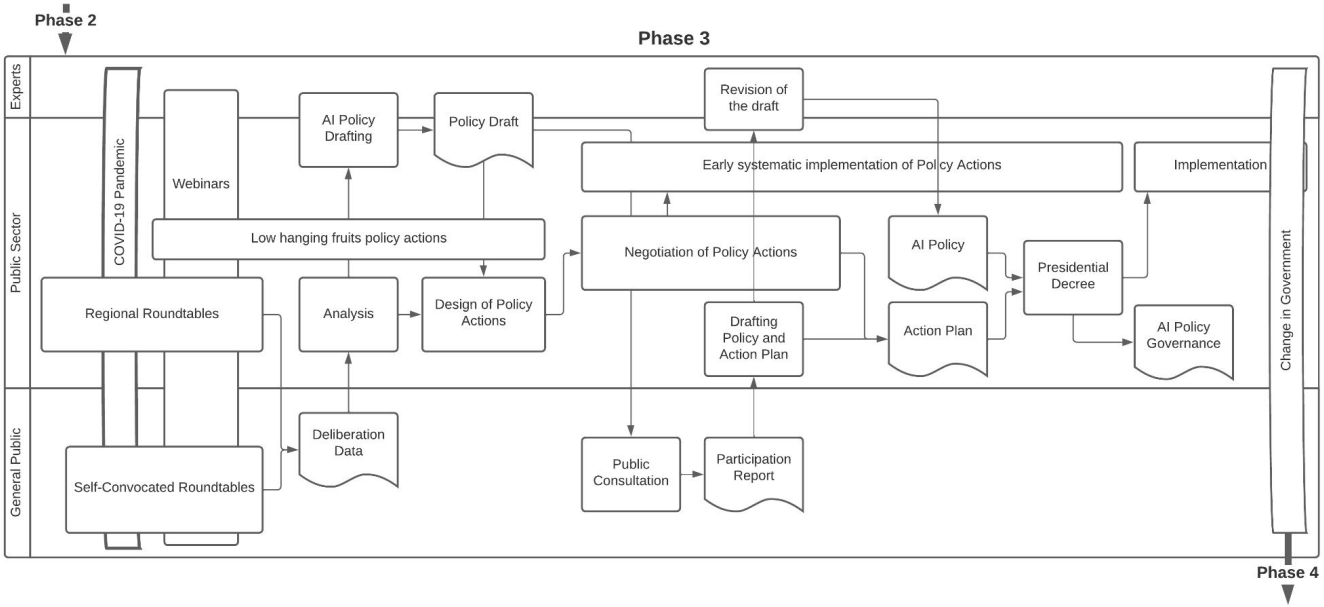


EXTERNAL CRISES ENABLED PARTICIPATIVE POLICYMAKING

- The social and sanitary crises crowded the public agenda, decreasing pressure on the AI policy, and changing the government's priorities.
- Legitimacy and durability became more relevant for the policy, which was approached through participation.
- Resistance to participation shifted from authorities to domain experts.



THE RESULTING PROCESS ENGAGED AN HETEROGENEOUS AND LARGE AMOUNT OF PEOPLE





BROAD PARTICIPATION HAD TO BE ACTIVELY PROMOTED BY THE GOVERNMENT

- The government had to build trust among different stakeholders:
  - Two-staged participatory process.
  - Involvement of stakeholders from the opposing coalition.
  - International visibility.
- The government argued against the expert/non-expert dichotomy.
  - E.g., response to academics that didn't want the public to participate.

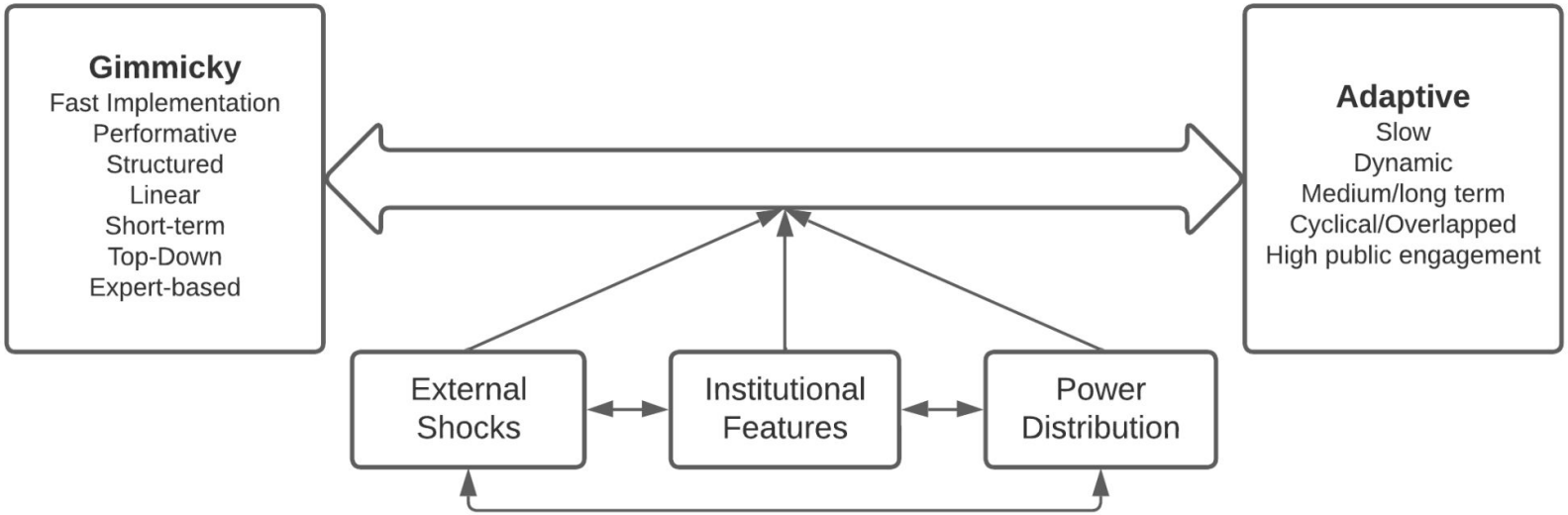


INSTITUTIONAL FLEXIBILITY WAS A KEY INGREDIENT IN NAVIGATING THE PROCESS

- The Ministry of S&T was new, which enabled experimenting methods for involving the public.
  - E.g., Self-convocated roundtables.
- The government developed support tools for multiple publics to navigate pressure from heterogeneous stakeholders.
  - E.g., Participation manual for the public, Government sponsorship for roundtable discussions.

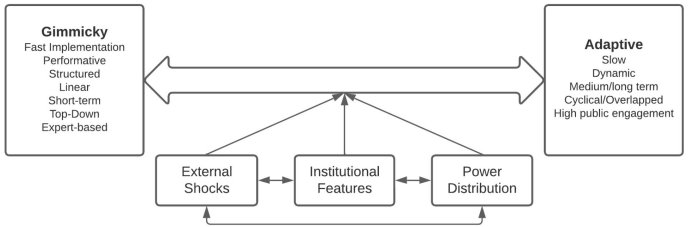


USING SYSTEMS ARCHITECTURE TECHNIQUES, WE DISTILLED A SPECTRUM FOR AI POLICIES'



THE SPECTRUM IS MODERATED BY THREE INTERRELATED ELEMENTS: EXTERNAL SHOCKS, INSTITUTIONAL FEATURES, AND POWER DISTRIBUTION

- External shocks reshuffled power distribution and through institutions enabled changes in the process.
- Institutional flexibility made possible changes in rules and experimenting new approaches to balance power asymmetries between stakeholders.
- Power distribution changed with crises, but created new challenged that institutions had to navigate.



CONCLUSION

- We frame approaches to AI Policy as an spectrum between gimmicky and adaptive approaches.
- We distilled how three elements moderate how policymakers move policy design within the spectrum.
- External crises, institutional features and power distribution are interrelated and need to be navigated by policymakers to build adaptive AI policies.

LIMITATIONS AND FUTURE WORK

Main Limitations

- Elements are not exhaustive and based on an in-depth analysis of a specific context.
- Framework simplifies many policymaking complexities into a linear spectrum.

Future Work

- Comparative analysis of AI Policies' processes worldwide using the elements distilled from this in-depth approach.
- In-depth analysis of participation processes to distill the specific value they provide to AI Governance.

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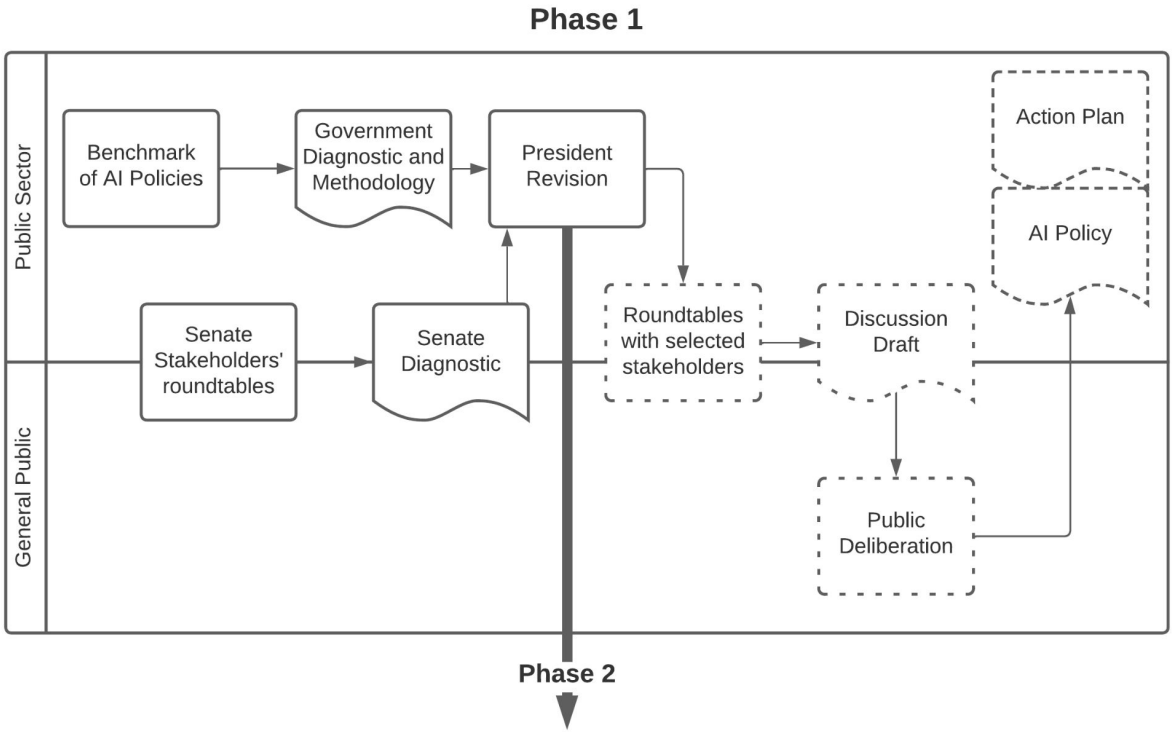
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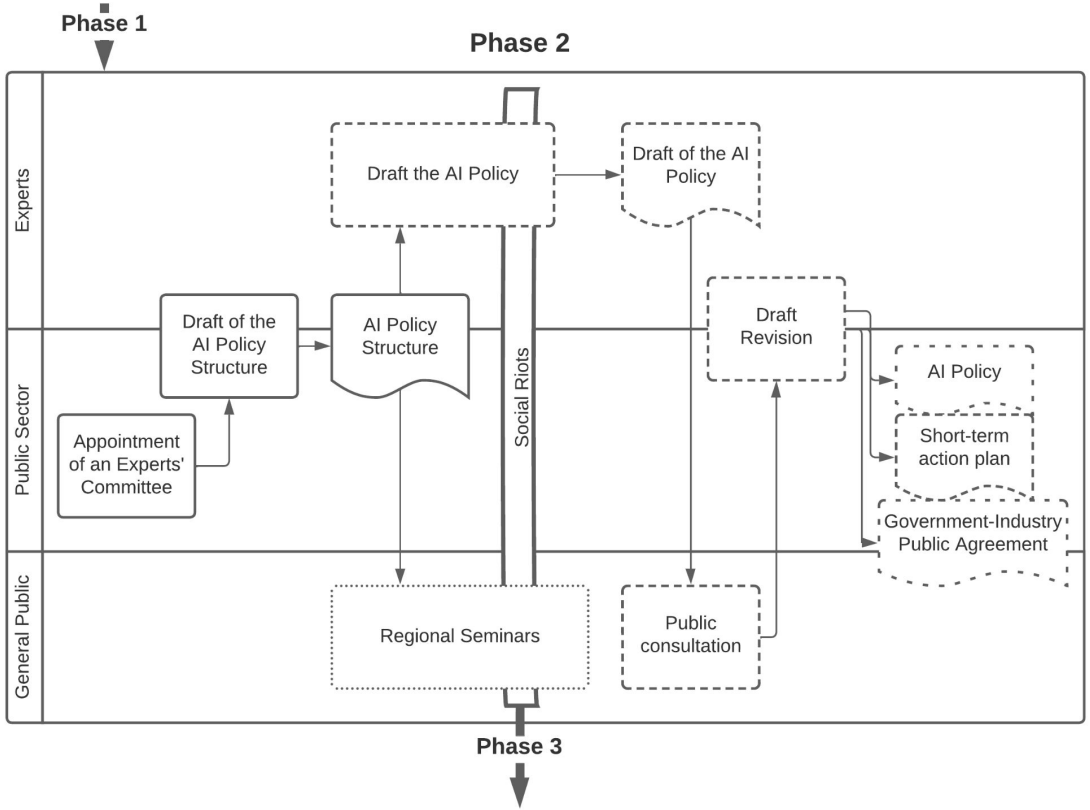
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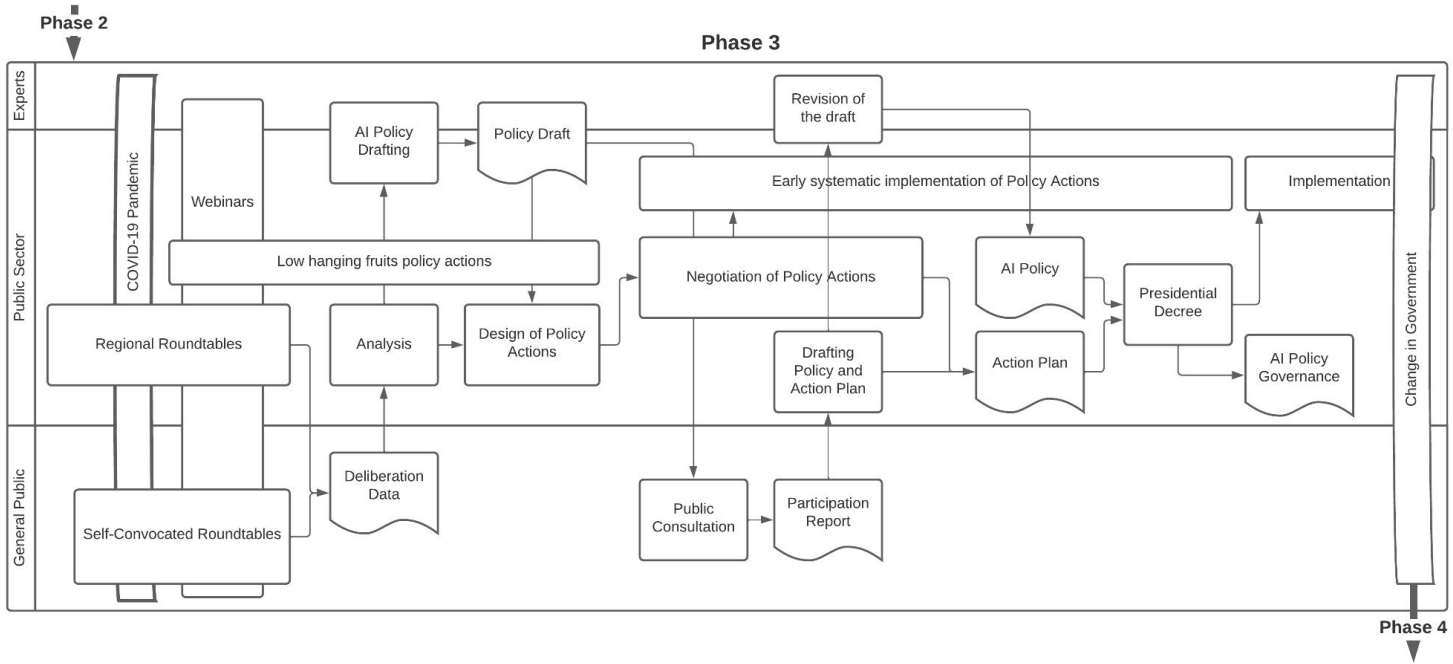
Phase 1


Phase 1
Public Sector
General Public
Benchmark of AI Policies
Government Diagnostic and Methodology
President Revision
Action Plan
AI Policy
Senate Stakeholders' roundtables
Senate Diagnostic
Roundtables with selected stakeholders
Discussion Draft
Public Deliberation
Phase 2

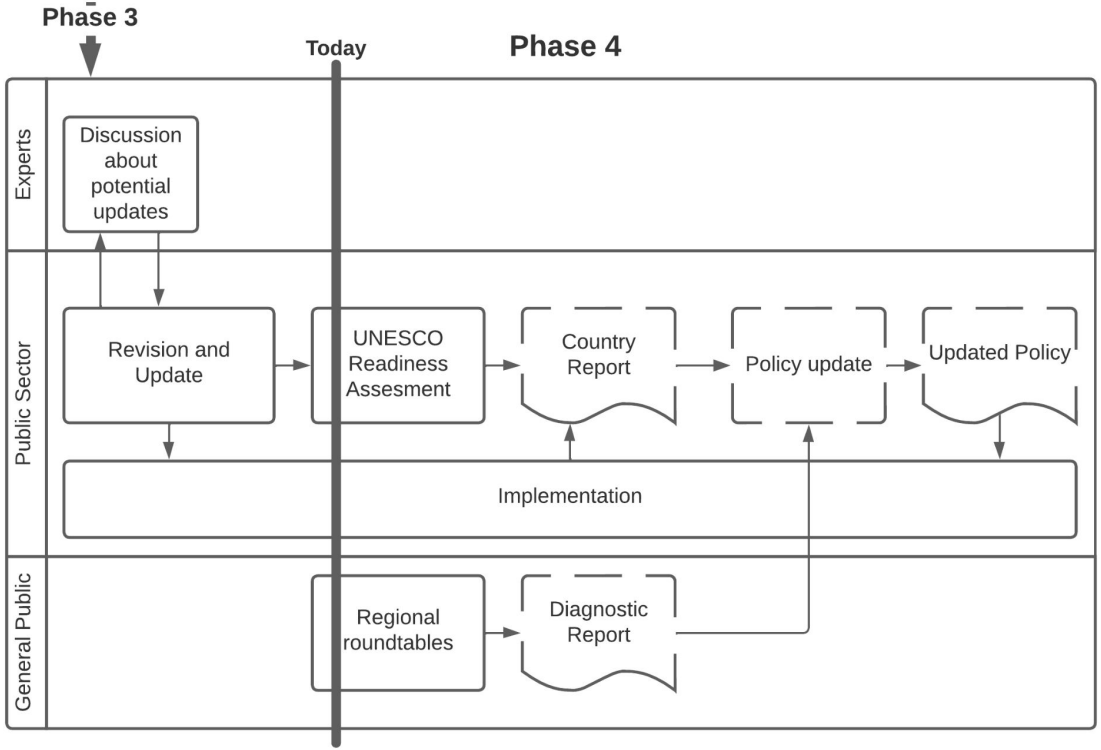
Phase 2


Phase 1
Phase 2
Experts
Public Sector
General Public
Draft the AI Policy
Draft of the AI Policy
Draft of the AI Policy Structure
AI Policy Structure
Social Riots
Draft Revision
AI Policy
Short-term action plan
Government-Industry Public Agreement
Appointment of an Experts' Committee
Regional Seminars
Public consultation
Phase 3

Phase 3


Phase 2
Phase 3
Experts
Public Sector
General Public
COVID-19 Pandemic
Webinars
AI Policy Drafting
Policy Draft
Revision of the draft
Early systematic implementation of Policy Actions
Implementation
Low hanging fruits policy actions
Negotiation of Policy Actions
AI Policy
Presidential Decree
Regional Roundtables
Analysis
Design of Policy Actions
Drafting Policy and Action Plan
Action Plan
AI Policy Governance
Change in Government
Deliberation Data
Public Consultation
Participation Report
Self-Convocated Roundtables
Phase 4

Phase 4


Phase 3
Today
Phase 4
Experts
Discussion about potential updates
Public Sector
Revision and Update
UNESCO Readiness Assesment
Country Report
Policy update
Updated Policy
Implementation
General Public
Regional roundtables
Diagnostic Report

Chile’s policymaking approach sacrificed participation for quick results and performative actions

- The president merged the Executive participatory proposal with the Senate’s diagnosis and mandated a top-down approach dominated by a narrow subset of domain experts.
- Many authorities considered the public ignorant and unable to influence AI Policy.
- Highly visible policies actions were expected of the policy in six months.

