Artificial intelligence Systems Governance Policy

Prepared by Aaron Ansel (Chief Artificial Intelligence Officer)

1. Purpose

The purpose of this document is to establish clear guidelines and assign responsibility and accountability for troubleshooting, managing, operating, overseeing, and controlling AI systems during and after deployment. It also defines roles for ensuring compliance, governance, and adherence to regulatory and contractual requirements.

2. Responsibilities for AI Systems Operations

2.1 Designated Role for AI System Operational Framework

The designated role for overseeing the architecture of AI systems within KYG Trade is the **AI Solutions Architect**. This individual is responsible for:

- Ensuring AI systems have adequate monitoring frameworks.
- Coordinating the high-level design and architectural integrity of AI systems.
- Overseeing deployment strategies and ongoing updates at the architectural level.
- Ensuring AI system performance aligns with overarching business objectives.

2.2 Designated Role for AI System Operational Implementation

The designated role for leading the practical execution and detailed implementation of AI systems is the AI Engineer Lead. This individual is responsible for:

- Troubleshooting and resolving technical issues promptly.
- Implementing and maintaining monitoring tools and systems.
- Ensuring the practical execution of deployment and updates.
- Collaborating with the AI Solutions Architect to align technical implementation with the high-level design.

2.3 Accountability

The **AI Quality Assurance Team**, overseen by the Chief AI Officer, is accountable for ensuring that the AI systems operate efficiently and effectively. They will:

- Document and address issues promptly.
- Provide regular reports to senior management.
- Maintain logs of all incidents and resolutions.

3. Compliance Oversight for AI Systems

3.1 Designated Role for Compliance

The designated role for ensuring compliance with internal policies and external regulations is the **AI Compliance Officer**. This individual works closely with legal, operational, and technical teams to maintain adherence to all applicable laws and contracts.

3.2 Responsibilities

The AI Compliance Officer is tasked with:

- Auditing AI system practices to ensure regulatory compliance.
- Developing and updating compliance documentation.
- Providing training to staff on compliance requirements.
- Acting as the primary point of contact for regulatory bodies and legal advisors.

4. Authority and Accountability of Governing Personnel

4.1 Governance Committee

The **AI Governance Committee** has the ultimate authority over AI-related decisions. It includes representatives from:

- AI Quality Assurance
- The Compliance Office
- The IT Department
- Legal and Risk Management Teams

4.2 Accountability

The AI Governance Committee is responsible for:

- Reviewing and approving all AI system deployments.
- Addressing ethical concerns and risks.
- Ensuring the alignment of AI projects with the organization's strategic goals.
- Reporting directly to the Chief Technology Officer (CTO).

5. Designated Personnel and Job Descriptions

5.1 AI Systems Architect

Name: Rajesh Barade

Job Description:

- Oversee the AI system lifecycle from development to decommissioning.
- Ensure proper documentation of system updates and issues.
- Collaborate with the AI Compliance Officer on regulatory matters.
- Report weekly to the AI Governance Committee.

5.2 AI Compliance Officer

Name: Aaron Ansel (Chief AI Officer)

Job Description:

- Monitor compliance with data protection laws, such as GDPR and CCPA.
- Maintain a record of AI system assessments and audits.
- Ensure adherence to ethical AI principles outlined by the organization.
- Liaise with external auditors and regulatory bodies.
- Works with and manages the AI Solutions Architect and AI Development Team

5.3 AI Quality Assurance

Name: Kashika Sharma

Job Description:

- Develop and implement AI quality assurance processes and standards.
- Conduct regular testing and validation of AI systems to ensure reliability and accuracy.
- Identify and address any AI system defects or areas for improvement.
- Provide detailed reports on AI system performance and quality metrics to the AI Governance Committee.

5.4 AI Governance Committee

Chairperson: Aaron Ansel (Chief AI Officer)

Members: Representatives from the Operations, Compliance, Sales, and Risk Management Teams.

Role Description:

- Ensure organizational accountability for AI decisions.
- Approve AI-related policies and procedures.
- Conduct quarterly reviews of AI performance and risks.

6. Review and Updates

This AI Governance policy will be reviewed annually to ensure alignment with evolving technologies, regulations, and ethical standards. Updates will be made to reflect changes in the regulatory landscape, AI technology, and organizational goals. Stakeholder feedback will be incorporated to continuously improve the policy.

7. Conclusion

This framework ensures that KYG Trade maintains robust governance, operational efficiency, and compliance in managing its AI systems. By clearly defining roles and responsibilities, the organization demonstrates its commitment to ethical and effective AI usage.

8. Approval

This document has been reviewed and approved by the following individuals:

Name	Title	Signature	Date
Delsean Littlejohn	VP of Customer Success and Compliance Lead	*Delsean Littlejohn*	12-17-2024

9. Document Revision History

Date	Version	Description of Changes	Author
12-17-2024	1.0	Initial creation	Aaron Ansel

This document is a living policy and will be updated regularly to reflect advancements in AI technologies, regulatory changes, and organizational growth. Stakeholder feedback is encouraged to ensure the policy remains relevant and effective.