

Developing AI Governance in Higher Education

Beyond



A Beyond Academics Quick Guide

Developing AI Governance in Higher Education: Leveraging Global Frameworks as Starting Points.

As artificial intelligence (AI) becomes increasingly prevalent in higher education, institutions must develop governance strategies tailored to their unique circumstances. Beyond Academics recommends that institutions must start to develop a Point of View on the impact of AI on Higher Education. We developed this white paper to help institutions become familiar with three primary global AI framework standards: the NIST AI Risk Management Framework, the EU AI Act, and the OECD AI Principles. These frameworks serve as valuable starting points for universities and colleges to understand the scope of AI governance and begin developing their own approaches to mapping and mitigating AI-related risks.

1. The Need for AI Governance in Higher Education

AI technologies are being adopted across various domains in universities and colleges, including admissions, personalized learning, research, administrative processes, and student support services. While offering significant benefits, these applications also introduce potential risks related to bias, privacy, transparency, academic integrity, and ethical considerations.

Developing a tailored AI governance approach allows institutions to:

- Maximize AI benefits while minimizing risks
- Prepare for potential regulatory requirements
- Build trust among stakeholders
- Promote responsible innovation
- Equip students for an AI-driven future

2. Overview of Key AI Frameworks as Starting Points

It's important to note that institutions are not required to adopt all three frameworks in their entirety. Instead, these frameworks offer valuable insights and guidelines for developing institution-specific approaches:

a) NIST AI Risk Management Framework (AI RMF) This voluntary U.S. guideline provides:

- A flexible approach to AI risk management
- Emphasis on trustworthy AI characteristics
- Guidance on continuous improvement

b) EU AI Act While this regulation will be mandatory in the EU from July 2024, it offers important considerations for all institutions:

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- Risk-based categorization of AI systems
- Strict obligations for high-risk AI applications
- Transparency requirements for certain AI uses

Note: Institutions with European campuses, departments, or enrolling EU students may need to comply with specific aspects of this regulation.

c) OECD AI Principles This international approach offers:

- High-level principles for responsible AI stewardship
- A framework for classifying AI systems
- A global perspective on AI governance

3. Using Frameworks to Develop Institutional AI Governance

These frameworks serve as valuable resources for institutions to:

a) Understand the scope of AI governance:

- Identify key areas of concern in AI development and deployment
- Recognize potential risks and opportunities in the higher education context

b) Develop a risk assessment approach:

- Adapt relevant components from the frameworks to create a tailored risk evaluation process
- Consider how to categorize and prioritize AI risks specific to your institution

c) Establish institutional AI principles:

- Use the frameworks as inspiration for developing AI values aligned with your institution's mission
- Address specific concerns in higher education, such as academic integrity and research ethics

d) Create governance structures:

- Develop oversight mechanisms appropriate for your institution's size and AI usage
- Define roles and responsibilities for AI governance

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e) Implement transparency and accountability measures:

- Establish processes for explaining AI-driven decisions
- Create mechanisms for addressing concerns about AI applications

f) Promote AI literacy and responsible innovation:

- Develop AI ethics curricula and training programs
- Foster responsible AI research and innovation within your institution

4. Adapting to Regulatory Requirements

While the EU AI Act will be mandatory in the EU, its impact may extend beyond European borders:

- Institutions with European presence should prepare for compliance
- U.S. and Canadian institutions enrolling EU students or collaborating with EU entities should assess potential obligations
- All institutions can benefit from considering the Act's principles in developing robust AI governance

5. Next Steps for Institutions

To begin developing your AI governance approach:

- Assess your current AI initiatives and potential risks
- Review the key principles from each framework
- Identify which elements are most relevant to your institution
- Develop a tailored plan for AI governance that addresses your specific needs and circumstances
- Regularly review and update your approach as AI technologies and regulations evolve

Conclusion: The NIST AI RMF, EU AI Act, and OECD AI Principles offer valuable starting points for higher education institutions to develop AI governance strategies. By understanding these frameworks and adapting relevant elements to their specific contexts, universities and colleges can create robust approaches to harness the benefits of AI while effectively managing associated risks. As the AI landscape continues to evolve, ongoing assessment and refinement of these governance strategies will be crucial for responsible AI adoption in higher education.

For a detailed review of the frameworks please see the following websites:

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NIST: <https://www.nist.gov/itl/ai-risk-management-framework>

EU: <https://artificialintelligenceact.eu/ai-act-explorer/>

OECD: <https://oecd.ai/en/classification>

For an excellent example of an AI Policy Framework that is based and aligned with of these three organizations please see the **Anthology Trustworthy Ai Program** policy framework:

https://www.anthology.com/sites/default/files/2024-01/Mastering%20AI%20Policies-A%20Framework%20for%20Institutional%20Alignment-v4_11-23.pdf

Watch the Video!

This quick-guide was promised to the viewers as a demonstration of how quickly you can create usable content. Co-creating with Claude Pro and using official source materials from NIST, EU and OECD this guide was created in less than an hour. Layout and design was provided by a design automation application named Designerr. Scan the QR code to watch Episode 3.

