



Becoming an Al leader in Public Sector

Al governance planning workbook for the public sector

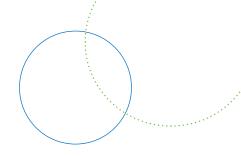
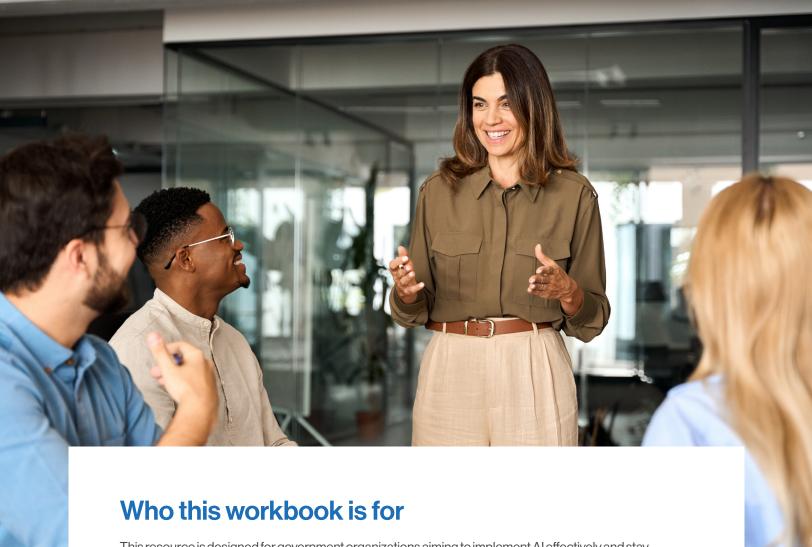


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This resource is designed for government organizations aiming to implement AI effectively and stay compliant with regulations as they arise. Whether you're at the beginning of your Aljourney or looking to refine existing Al practices, this workbook offers practical insights and tools to establish a robust Algovernance practice that aligns with frameworks, such as NIST.

What will you learn?

Al holds tremendous potential, but establishing a successful, scalable, and trusted Al program in the public sector presents unique challenges. That's why implementing Al governance is essential. This workbook is crafted to:

- Introduce and walk you through a straightforward Al governance framework
- Assist you in creating an effective, reliable AI governance program at your department or agency

By the end of this workbook, you will have a solid understanding of the steps necessary for robust Algovernance and practical insights to help you implement these steps successfully.

Al starts with trusted data

As Al becomes more integral to public sector operations, the importance of data quality has never been greater. If your agency is deploying Al applications, a critical question arises: Can your data be trusted?

The rapid advancement of AI has heightened these concerns. While AI offers promising opportunities to enhance public services, without proper governance and a deep understanding of the data and models in use, there are significant risks. These include potential damage to your agency's reputation, security breaches, legal challenges as well as budget overruns. The reality is that successful Al initiatives in government must be built on a foundation of trusted data.

If you already have concerns about the accuracy and reliability of your current data, introducing Al will only amplify these challenges. To ensure the safe development, deployment, and monitoring of AI models, a strategic approach to building trust in your data is essential.

Fortunately, an AI governance framework offers a structured set of principles and practices to guide the responsible development, deployment and management of Al within your agency.

Why Al projects fail

The telltale signs of an Al program that's faltering include a lack of clear, well-defined objectives that not only leaves teams without direction but also obscures the understanding of the ROI of your Alinvestments. The lack of clarity about ROI leads to misaligned expectations and resources. Inadequate or biased data undermines AI models and leads to flawed outcomes, while compliance issues and ethical dilemmas often accompany an insufficient understanding and implementation of robust Algovernance.

Key benefits of Al governance

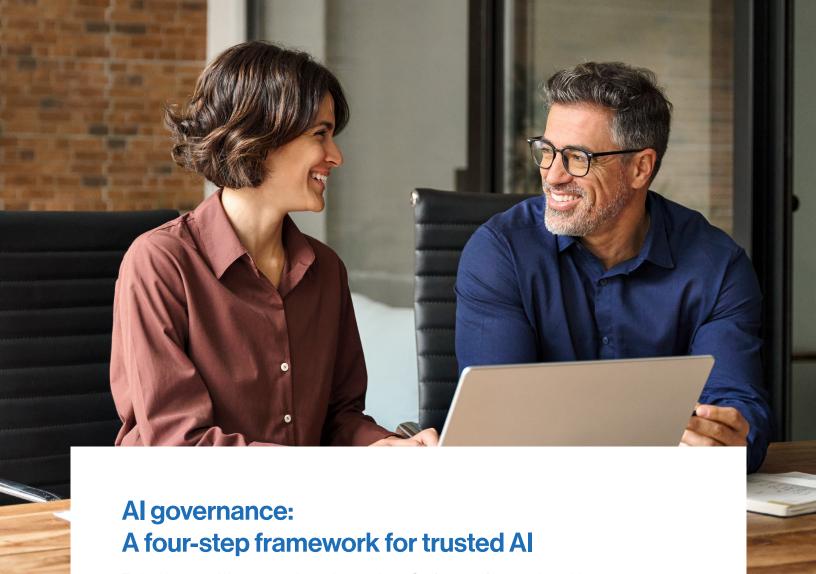
Al governance is often misunderstood as just another checkbox, but when implemented correctly, it can accelerate Al success. The key benefits include:

- 1. Quality and explainability: Ensure your Al projects produce high-quality outputs that are easy for everyone in your organization to understand
- 2. Compliance and trust: Maintain compliance with relevant laws and regulations, avoiding legal risks and enhancing public trust
- 3. Accountability and transparency: Establish clear responsibilities for AI developers, operators and users

Want to dig deeper into Al governance? Get our eBook, "Al Governance: 4 Steps to Success."

Al governance defined

Algovernance is the application of rules, processes and responsibilities to drive maximum value from your automated data products by ensuring applicable, streamlined and ethical Al practices that mitigate risk, adhere to legal requirements and protect privacy.



Embarking on an Aljourney requires a clear roadmap. Our four-step framework provides a repeatable process for developing reliable and trusted AI systems.

Ready to be an Algovernance champion? Take these four essential steps:

Step 1 Define the use case: Clearly outline the problem your Al aims to solve. This ensures alignment with your agency's strategic goals and sets the stage for successful implementation.

Step 2 | Identify and understand data: Your data must be relevant, unbiased and compliant. This step involves a thorough assessment of data sources, quality and governance policies.

Step 3 | Document models and results: Transparency is key. Documenting your Al models and their outcomes ensures compliance and facilitates continuous improvement.

Step 4 | Verify and monitor: Al governance is an ongoing process. Continuous monitoring and verification are essential to maintaining AI effectiveness and adapting to evolving regulatory landscapes.

By diligently following these steps, you position your agency to fully unlock Al's potential.

Getting ready: Assembling your Al roundtable

Successful Al governance requires collaboration across various departments. This section provides guidance on assembling a diverse team of stakeholders, including Al experts, data officers, legal advisors and other leaders, to ensure a well-rounded approach to Al implementation.

- Chief Al Officer and Data Science teams: Their inclusion is essential for leveraging overall Al strategy, model development, and data analysis expertise as well as ensuring Al's technical viability and alignment with objectives
- Chief Data Officer / Data Office: Their participation is vital for managing all data-related aspects, particularly ensuring the accessibility of trusted data
- Legal, Compliance and Privacy teams: Their involvement is crucial for navigating legal risks, understanding regulations related to Al and data, and ensuring compliant usage
- Unit Leaders: Inclusion of these leaders is important, particularly if Al implementation could significantly impact their efforts

Name and title:	
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Name and title:	
Name and title:	
List desired characteristics of business ar	nd technical stakeholders
☐ Entrepreneurial or trailblazer spirit	
☐ Well-respected cross functionally	
☐ Subject matter expertise	
□ Proactive	
☐ Responsive	
☐ Uses time efficiently	
□ Other:	

1 | Define the use case

Crafting a use case is an essential step in ensuring the effectiveness and alignment of your Al model with your agency's needs. To achieve this, consider framing your approach in the form of key questions that guide your planning and implementation process:

Agency/Department goals

- How does the Al model align with the organization's strategic goals and objectives
- Who are the key stakeholders impacted by the Al model, and what are their insights
- What does success look like for this use case, and how will it drive value

Legal, ethics and compliance

- What are the legal constraints or considerations the AI model must adhere to
- How does the Al model comply with the ethical standards of the government
- What compliance requirements are relevant to the data and functionalities of the Al model

Data

- What specific data is required, including sources, types, and formats
- How will data be managed, accessed, and protected throughout the Al model's lifecycle
- How will you ensure data quality and integrity so it's suitable for the AI model

Aligning Al use cases with strategic initiatives

Check all the scenarios that apply or add your own. Prioritize them based on your unique agency's needs.

- 1. List strategic initiatives where an Al project will have a positive impact
- Sample initiatives and outcomes:
- ☐ Traffic Management: Aldriven traffic management systems use real-time data to optimize traffic flow, reduce congestion, and improve public transportation efficiency
- ☐ Energy Management: Alis used to manage energy consumption in public buildings and street lighting, leading to significant cost savings and environmental benefits
- ☐ Predictive Policing: AI algorithms analyze crime data to predict potential hotspots and allocate police resources more effectively
- ☐ Disaster Response: Al-powered systems help in predicting natural disasters, optimizing emergency response, and coordinating relief efforts
- ☐ Telemedicine and Remote Monitoring: Al enhances telemedicine services by providing diagnostic support and remote patient monitoring, especially crucial in underserved areas

- 2. Identify and prioritize use cases that align with strategic initiatives
- Examples
- ☐ Traffic Management
- 3. Identify any potential risks an Al project could introduce to a strategic initiative
- Sample scenarios:
- ☐ Compatibility with current systems: Will the Al solution integrate seamlessly with existing architecture, or are there potential incompatibilities
- ☐ Skills and expertise: Is there a risk of lacking or losing essential skills and subject matter expertise needed for the Al project
- ☐ Data management and Integrity: Could there be risks related to data loss or corruption during the AI project implementation
- ☐ Financial management: Are there potential budget overruns associated with the Al project, and how can they be mitigated
- ☐ Data security: What are the risks to data security when implementing AI, and how will sensitive information be protected
- ☐ Data governance and compliance: How will the Al project adhere to existing data governance frameworks and compliance regulations? Are there any new compliance challenges introduced by AI

2 | Identify and understand data

Al starts with trusted data. It's why the old adage - "garbage in, garbage out" - is especially true when it comes to Al. It explains why once you've defined your Al use cases, you need to take a close look at your data.

Can you identify all the data sources you need for the use case?

- Where does the datareside
- Is the data compatible with your Al platform
- Are there existing metadata connectors between your data governance platform and the source and destination platforms
- Are there existing connectors between the source and destination platforms
- Is sensitive or critical citizen data stored at the source

Are the data stakeholders and the benefits to each stakeholder known for the use case?

- Who are the data owners
- · Who is needed to validate and certify the data
- Who benefits from the use case and how

Can the use case benefits be measured?

- What are the tangible benefits that can be measured
- Are there soft benefits?
- · How will you measure and report on them

Are the data policies needed for the data assets known or easily defined?

- Do the existing policies need to be refined
- Are there regulations or best practices that need to be assessed
- · Is there sensitive data involved
- Are there data residency restrictions that need to be taken into account
- Who should be allowed access to the data
- · What are the data retention policies

3 | Document models and results

As you progress to Step 3 of the Al governance framework, the focus turns to meticulously documenting the development and outcomes of your Al model. This phase is critical for ensuring transparency, $compliance \, and \, effectiveness \, of \, the \, Ali mplementation.$

Model development documentation

- How are you documenting the Al model's development process, including algorithm choices, parameter settings and version
- What methods are being used to track and record the performance and adjustments of the model over time

Data product and usage tracking

- How is the associated data product being documented and tracked
- What systems are in place to ensure accurate and comprehensive usage logs of the Almodel

Data lineage and transparency

- · Can you clearly trace the origin, transformations, and applications of the data used in the Al model
- · How is data lineage being maintained and documented, especially in industries with stringent regulatory requirements

Model analysis and reporting

- What processes are in place for continuous analysis and reporting on the Al model's performance
- How are challenges, anomalies, or biases in the model being documented and addressed

Preparation for production

- What criteria are being used to determine when the Al model is ready to move into production
- · How are the initial results from the model being evaluated and validated against the defined use case and objectives

4 | Verify and monitor

Step 4 of the Algovernance framework emphasizes the ongoing nature of Algovernance. Once your model transitions into production, continuous monitoring and verification are crucial to ensure its effectiveness, compliance and adaptability to evolving regulations.

Model performance verification

- How do you verify that the Al model performs as intended before its full-scale deployment
- What measures are in place to ensure the model meets both technical specifications and department/agency objectives

Transition to production environment

- What is your process for integrating the AI model into the operational environment
- How do you document and trace the data flow within the Al system to understand its transformation and role in decision-making

Ongoing data quality and compliance monitoring

- What mechanisms are in place for monitoring the model's performance, data drifts, or unexpected behaviors
- How do you ensure ongoing compliance with regulatory and ethical standards, especially when the model interacts with new data sets

Periodic model retraining

- What triggers the retraining of the AI model, and how frequently is this done
- How do you integrate new data, regulations and technological advancements into the retraining process



Lead the way in your agency's Al and Al governance journey

In the public sector, Al offers the potential to transform how your agency delivers value and innovation. Your journey begins with careful planning and selecting the right Al use cases, supported by the implementation of robust governance and management strategies.

However, the success of your Al governance strategy extends beyond technical execution. It's about ensuring that AI governance not only drives efficiency and accountability but also aligns with your agency's mission and objectives. The true impact of Al governance is reflected in improved decision-making, ethical Al practices and the cultivation of a data-driven culture.

As you navigate this journey, whether you are just beginning or already well underway, it is crucial to prioritize strategic planning, engage stakeholders across all levels, and foster an environment that is adaptable to change.

The future of public service is closely tied to AI, and with the AI governance framework outlined in this workbook, you are well-equipped to lead your agency through this transformative era. Embrace the challenges and opportunities that Al governance presents, and guide your agency into a future where Al is not only innovative and impactful but also responsible, trusted, and aligned with public values.

Learn more about Collibra Al Governance.



Looking to begin your Al governance journey? Collibra is here to help.

- Algovernance for Federal Agencies
- Algovernance: 4 steps to success
- IDC insights: The critical role of Al governance for Al success
- Algovernance 101: The basics of governing Al
- Algovernance framework
- Al readiness checklist



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