

Survey on the **Draft G7 Guiding Principles for Organizations Developing Advanced AI systems**

Fields marked with * are mandatory.

The purpose of this survey is to consult broadly, with all interested stakeholders, on the voluntary G7 Guiding Principles on AI. These principles have been jointly developed by the EU together with the G7 members in international context, and have no impact on the EU Artificial Intelligence Act proposal and /or the ongoing negotiations on this proposal.

The survey seeks feedback from relevant stakeholders on the importance of each principle to contribute to establishing guardrails on advanced AI systems on the global level, to seek information on the monitoring mechanism to ensure accountability and solicit views on any potential missing elements or actions. The results of this survey will inform the EU's position in the ongoing discussions in G7 on international principles and a code of conduct on AI.

Background:

The proposal for the Artificial Intelligence (AI) Act ([EU AI Act](#)) is Europe's response to address the risks of AI, enhance trust and promote innovation in trustworthy AI. **The AI Act** will provide, **risk-based, legally binding rules for AI systems** that are placed on the market or put into service in the Union market.

In a separate process, the European Commission is actively working with key international partners in the **G7** to develop **principles and voluntary commitments** (an international "code of conduct" on AI). The objective of this so-called [G7 AI Hiroshima Process](#) is to establish guardrails for advanced AI systems at the global level. These global commitments would complement the legally binding rules of the more comprehensive AI Act, which will apply in the EU.

As a first step towards a code of conduct, the G7 Members have developed voluntary '**Draft International guiding principles for organisations developing advanced AI systems**' (**G7 Guiding Principles**). They provide guidance for organisations developing, deploying and using advanced AI systems, such as foundation models and generative AI. The organisations are called on to follow these principles, in line with the risk-based approach, and take concrete actions based on the principles.

The draft of the G7 Guiding Principles can be downloaded here.

[Hiroshima Process International Draft Guiding Principles.pdf](#)

This survey is available in English and it is open as of Friday 13th October. It will **close at 13:00 CEST on Friday, 20th October.**

For any technical difficulties please contact: CNECT-AI-CONSULT@ec.europa.eu

Part I. General Questions on the Respondent

* I am giving my contribution as

Company/business

* On which level does your organization mainly operate?

International

* First name

Ansgar

* Surname

Koene

* Email (this won't be published)

ansgar.koene1@be.ey.com

* Organization name

EY

* What economic sector(s) is your organization active in?

- Agriculture, forestry and fishing
- Oil and gas
- Manufacturing
- Electricity and Gas supply
- Water supply, Waste management
- Construction
- Trade, retail
- Transportation and storage
- Accommodation and Food
- Information and Communication
- Finance, insurance
- Real estate
- Education
- Human health, Social work

- Recreation activities
- Other

What other sector(s) is your organization active in?

Professional Services

* Organization size

Large (250 or more)

* Does the organization you represent ...

Developer - an organisation that designs, codes, or produce AI systems); *Deployer* - an organisation that uses AI systems; *Distributor* - an organisation other than the developer that makes an AI system available on the market

- develop AI systems
- deploy AI systems
- distribute AI systems
- take part of the AI value chain but it is not a developer, deployer or distributor
- does not utilize AI in any way

How does your organization utilise AI systems? (if applicable)

Improve employee efficiency and performance, provided customer services

* What is (are) the core application area(s) of your AI system(s)?

We base these categories on the core application areas from the "[OECD Framework for the Classification of AI systems](#)", Page 53.

- human language technologies (to analyse, modify, produce or respond to human text and speech)
- computer vision
- robotics
- automation and/or optimization (process automation, simulation, forecasting & prediction, pattern recognition, recommendation systems)
- other

(Optional) Please describe the system(s) shortly and indicate for each whether you are developing, deploying or distributing it in brackets.

(Optional) What is your transparency register number?

04458109373-91

* Country of origin

Please add your country of origin, or that of your organisation if you are giving your contribution on their behalf. In case your organization is a multinational one, please indicate the country that it is headquartered in.

* Publication privacy settings

 Anonymous

Only your type of respondent, country of origin and contribution will be published. All other personal details (name, organisation name and size, transparency register number) will not be published.

 Public

Your personal details (name, organisation name and size, transparency register number, country of origin) will be published with your contribution.

I agree with the [personal data protection provisions](#)

Part II. Questions related to the draft G7 Guiding Principles

* 1. To what type of organizations employing AI should those guiding principles apply?

Developer - an organisation that designs, codes, or produce AI systems); *Deployer* - an organisation that uses AI systems; *Distributor* - an organisation other than the developer that makes an AI system available on the market

- Developers
 Deployers
 Distributors
 other actors in the AI value chain (please specify below)

* 1.1. Who are these other actors?

In addition to developers and deployers, the Principles should also be made applicable to, and promoted among third-party organisations that invest in the development and deployment of advanced AI systems (e. g., governments, financial institutions, investment funds, individual investors etc.). This would encourage a holistic approach across the value chain and embed the Principles into the full AI systems [AI systems] lifecycle as part of investor expectations. This would also help to encourage investor driven growth of the responsible AI innovation ecosystem.

2. Please indicate how important you consider each of the following principles on a scale from 1 (= not very important) to 5 (= very important)

Please evaluate the importance of each principle to achieve the main objective of providing effective and proportionate guardrails on advanced AI systems on the global level and solicit views on any possibly missing elements or actions.

	1	2	3	4	5
* Principle 1: Take appropriate measures throughout the development of advanced AI systems, including prior to and throughout their deployment and placement on the market, to identify, evaluate, mitigate risks across the AI lifecycle.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
* Principle 2: Identify and mitigate vulnerabilities, and, where appropriate, incidents and patterns of misuse, after deployment including placement on the market.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>

* Principle 3: Publicly report advanced AI systems' capabilities, limitations and domains of appropriate and inappropriate use, to support ensuring sufficient transparency.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
* Principle 4: Work towards responsible information sharing and reporting of incidents among organizations developing advanced AI systems including with industry, governments, civil society, and academia.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
* Principle 5: Develop, implement and disclose AI governance and risk management policies, grounded in a risk-based approach – including privacy policies, and mitigation measures, in particular for organizations developing advanced AI systems.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
* Principle 6: Invest in and implement robust security controls, including physical security, cybersecurity and insider threat safeguards across the AI lifecycle.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
* Principle 7: Develop and deploy reliable content authentication and provenance mechanisms such as watermarking or other techniques to enable users to identify AI-generated content.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
* Principle 8: Prioritize research to mitigate societal, safety and security risks and prioritize investment in effective mitigation measures.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
* Principle 9: Prioritize the development of advanced AI systems to address the world's greatest challenges, notably but not limited to the climate crisis, global health and education.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
* Principle 10: Advance the development of and, where appropriate, adoption of where appropriate, international technical standards.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
* Principle 11: Implement appropriate data input controls and audits.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>

* **3.** In these Guiding Principles, G7 Members also commit to develop proposals to introduce monitoring tools and mechanisms to help organizations stay accountable for the implementation of these actions. **How this monitoring mechanism should look like?** (multiple answers possible)

- monitoring by an internationally trusted organisation
- national organisations
- self-assessment
- no monitoring

Please explain your choice

1000 character(s) maximum

Effective monitoring mechanisms are integral to the credibility and practicality of the Principles. A combination of self and external assessment would be most appropriate. In some high-risk and 'frontier' risk cases, self-assessment will need to be complemented by independent verification/assessments, performed by appropriate (potentially accredited) expert, competent organisations. National authorities are most likely to have the capability and capacity to monitor adherence to the principles, although an international body could take on a coordinating role.

4. The Draft Guiding Principles include a non-exhaustive list of 11 guiding principles addressed to the AI organisations. It will be discussed and elaborated as a living document that might be completed after Leaders' endorsement, do you have any specific suggestions to add new principles to the list or modify the existing ones?

3000 character(s) maximum

EY teams appreciates the opportunity to comment on the draft AI principles proposed by the G7 Hiroshima Process. The EY organization is supportive of the G7 initiative to establish principles guiding the development and use of advanced AI systems. As far as possible, these principles should align and converge at a high-level with other forthcoming national or supra-national guidance, regulation, standards, and obligations.

* Value chain: The Principles need to be applied across the value chain but with the recognition that not every actor can apply every Principle. The Principles should make clear which are to be implemented by developers, distributors, deployers, funders etc.

* Definitions: While recognising that the Principles are high-level, to maximise consistency of understanding and application across jurisdictions, businesses and other organisations, several terms require more precise definitions (e.g., advanced AI system; risk-based approach; incident; audit etc.). Clarifying guidance in annexes to the Principles would help facilitate alignment across jurisdictions.

* Risk-based approach (#5): More specifically, in lieu of national or supra-national regulation, guidance should be provided on the criteria and categorisation used to assess an advanced AI system's risk level.

* Information sharing (#4): Experience suggest that businesses and other organisations can be reluctant to widely share system vulnerabilities or other deficiencies. Instead, information sharing among peer groups (in terms of business sector) or through confidential mechanisms to a trusted expert body is more likely to produce co-operative learnings.

* Prioritisation (#9): Many businesses are increasingly looking to develop their ESG contribution, where possible as part of their commercial performance. This trend can be encouraged, also within the AI innovation ecosystem, through preferential allocation of government and public sector funding to advanced AI systems that address the UN SDGs and encouragement mechanisms for private sector investments in these use cases.

* Assessment and certification: Effective and ongoing assessment and monitoring of adherence to the Principles is necessary for their credibility and thus needs to be an intrinsic part of the principles. In certain 'higher-risk' or 'frontier' use cases of advanced AI systems, independent certification of adherence to the Principles by competent expert bodies should be expected. If set-up properly, this could also provide a broader user trust benefit, and accelerate adoption of beneficial, advanced AI.

On specific wording:

#9: add "...social inclusion, sustainability, and transparency in the supply chain." (Ensuring that social inclusion measures are required in development will be critical to the broader societal acceptance of greater AI usage)

#11: additional nuance is required through specifying that certain types of data and the use of certain copyright law exemptions be monitored and traceable.

Thank you for your contribution to this questionnaire.

Please don't forget to click on submit.

Contact

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