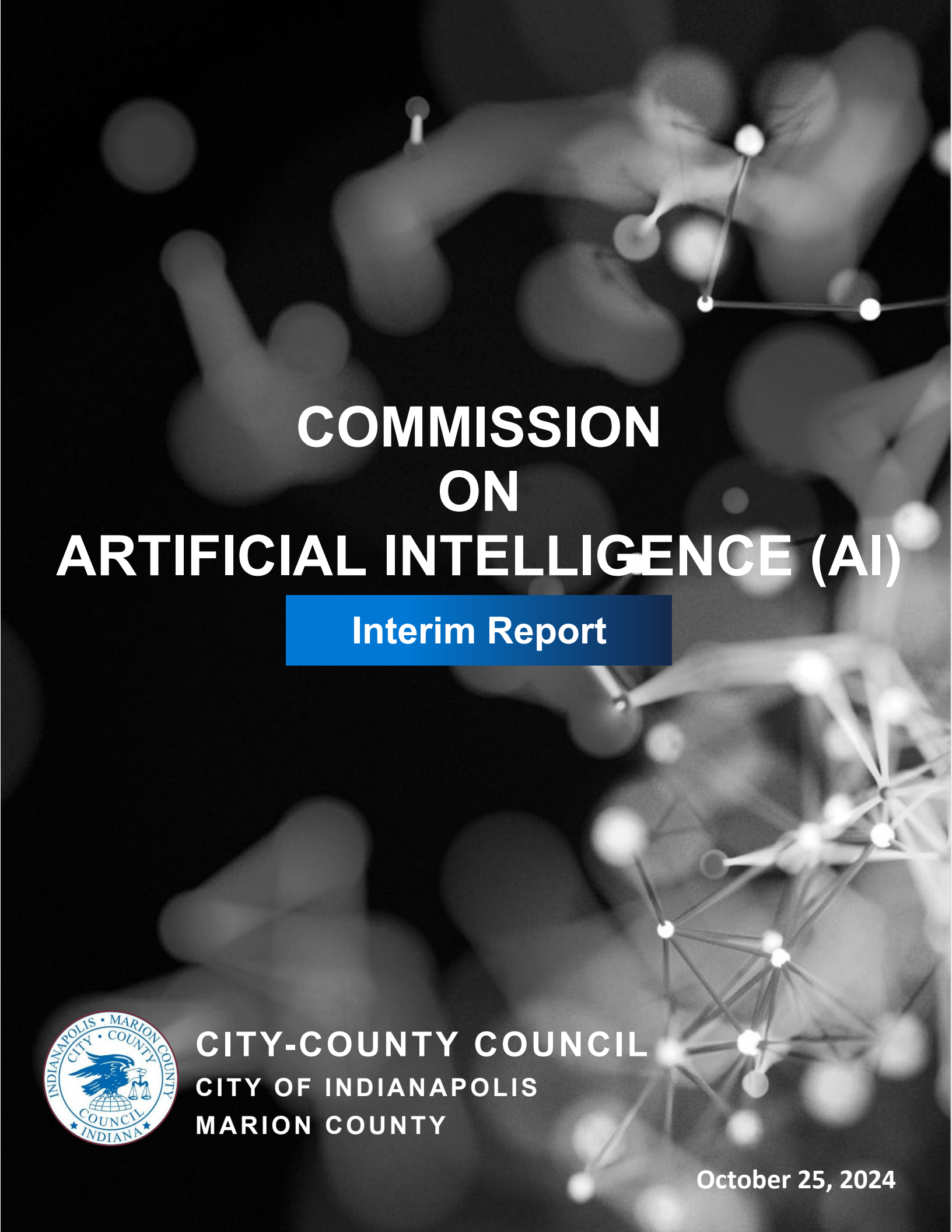

COMMISSION ON ARTIFICIAL INTELLIGENCE (AI)

Interim Report

CITY-COUNTY COUNCIL
CITY OF INDIANAPOLIS
MARION COUNTY

October 25, 2024

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COMMISSION MEMBERS

- Councilor Dan Boots, Chair
City-County Council District 3

- Councilor Michael-Paul Hart, Vice-Chair
City-County Council District 20

- Councilor Jessica McCormick
City-County Council District 16

- Councilor Carlos Perkins
City-County Council District 6

- Collin Hill
CIO, Information Services Agency

- Frank Emmert
Director, Center for Int'l and Comparative Law, IU

- Abbe Hohmann
President & Owner, Site Strategies Advisory LLC

- Elliott Patrick
COO, Bell Techlogix

- Tasha Phelps
Founder and CEO, Phelco Technologies, Inc

I. EXECUTIVE SUMMARY

The AI Commission, established by City-County Council Proposal No. 362, passed on December 4, 2023, has made significant progress in understanding the landscape of the usage and understanding of Artificial Intelligence (AI) within Indianapolis and Marion County. This interim report outlines the Commission's activities, findings, and recommendations to date.

Key accomplishments include:

- Conducted an initial AI Usage and Awareness Survey.
- Engaged with experts from government, industry, and academia.
- Reviewed existing data classification standards and AI policies created by the Information Services Agency (ISA) and Information Technology (IT) Board.

There is a strong interest in AI usage and adoption within the City-County enterprise. However, we feel it is imperative to highlight significant challenges such as limited awareness of existing policies, the need for enhanced training, and concerns about data security. While we have identified several opportunities for AI implementation that could significantly improve government operations and public services, we have not yet compared those opportunities to each department/agency's existing priorities.

Based on these preliminary observations, we recommend a multi-faceted approach to AI adoption, including comprehensive training programs, enhanced security measures, pilot projects, departmental priority analysis, and increased staffing in key AI-related positions along with the creation of cross-departmental team AI workshops. We also suggest an extension of the Commission's work to fully explore and implement these recommendations to ensure that we have a workable process and solution for the enterprise that is compliant with current and future state and federal requirements.

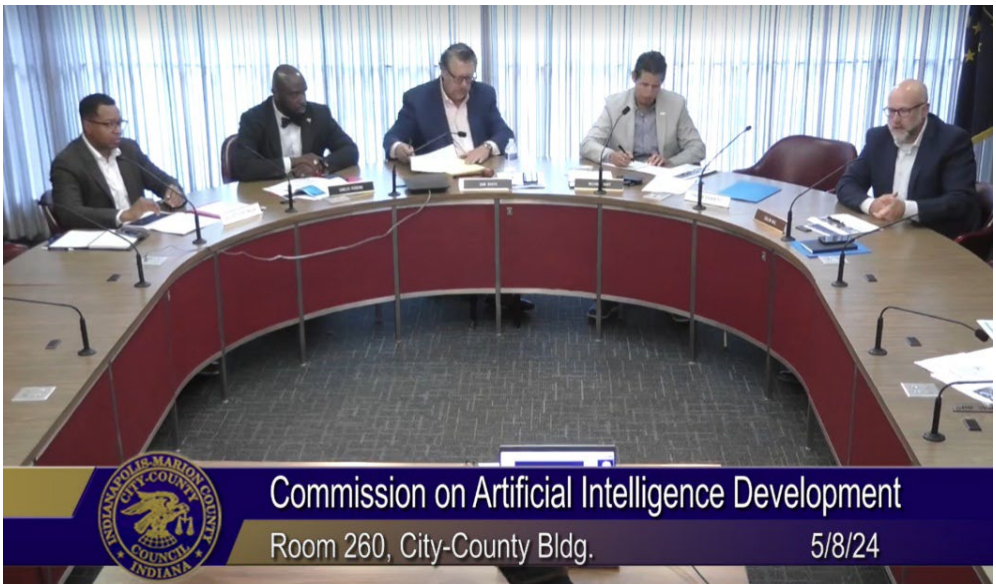
This Interim Report provides a foundation for responsible and effective AI integration in Indianapolis and Marion County, positioning our community as a leader in government AI adoption.

II. INTRODUCTION

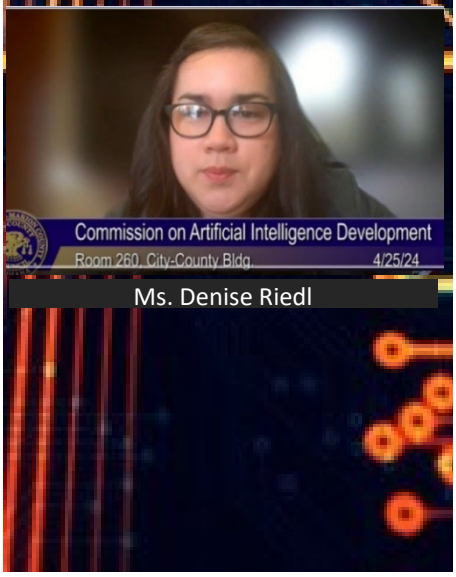
The AI Commission was established on December 4, 2023, by City-County Council Proposal No. 362, with a clear mandate: to review current AI use, gather expert information, and recommend policies for trustworthy and transparent AI usage in Indianapolis and Marion County. This Interim Report represents the culmination of our work to date and sets the stage for our future efforts.

As artificial intelligence continues to evolve rapidly, its potential to transform government operations and public services becomes increasingly apparent. However, with this potential comes significant challenges related to ethics, privacy, security, and equitable implementation. Our Commission's work is crucial in navigating these complexities and ensuring that AI adoption in our City-County government is responsible, effective, and aligned with the needs and values of our community.

This Interim Report will detail our activities, present our key findings, outline the current state of AI readiness in our government, and provide recommendations for moving forward. Our goal is to provide a comprehensive overview of AI Commission activities and establish the initial framework for AI adoption and governance in the City of Indianapolis and Marion County.



AI Commission Meeting in progress



III. COMMISSION ACTIVITIES TO DATE

A. MEETINGS AND PRESENTATIONS

The Commission has organized and participated in several key meetings, bringing together experts from various fields to provide insights into AI implementation, challenges, and best practices. These meetings have been instrumental in shaping our understanding of AI's potential in government and informing our recommendations. The Commission meetings to date include:

April 10, 2024:

Kevin Moore, Chief Operations Officer, Information Services Agency (ISA)

- Overview of ISA's role and structure
- Presentation of ISA's Strategic Plan
- Discussion of alignment between ISA's Strategic Plan and AI initiatives

Key Takeaways:

- ISA has a clear vision for AI integration within the City-County government
- Existing IT infrastructure provides a foundation for AI implementation
- Need for enhanced collaboration between ISA and other departments

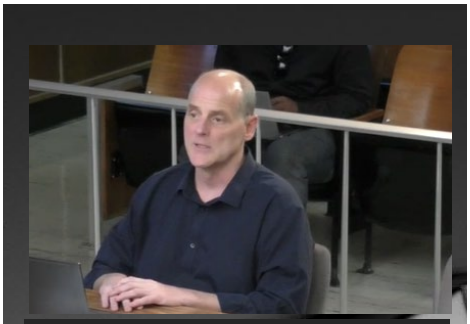
April 25, 2024:

A. Denise Riedl, Chief Innovation Officer, South Bend, Indiana

- South Bend's approach to AI integration and governance
- Importance of centralized IT services
- Strategies for policy development and workforce training

Key Takeaways:

- Centralized IT services are crucial for effective AI governance
- Importance of comprehensive workforce training in AI
- Need for clear policies to guide AI implementation



Dr. Rob Reviere

Mr. Daniel Saroff

Dr. Ankur Gupta

Mr. Wesley Jones and Ms. Vivian Agnew

B. Dr. Rob Reviere, AI Enterprise Architect, Lenovo

- Solutions for deep learning, GenAI LLMs, Computer Vision, and Robotics
- Importance of responsible AI frameworks and governance structures

Key Takeaways:

- Wide range of potential AI applications for government services
- Critical need for robust governance structures in AI implementation
- Importance of staying current with rapidly evolving AI technologies

May 8, 2024:

A. Daniel Saroff, Group Vice President Consulting & Research, IDC

- Industry perspectives on AI adoption in government
- Best practices for AI implementation and governance

Key Takeaways:

- AI adoption in government is accelerating globally
- Importance of data readiness and quality for successful AI implementation
- Need for clear ROI metrics in AI projects
- Focus on risk matrix implementation strategy

B. Dr. Ankur Gupta, Department Chair and Professor, Computer Science and Software Engineering, Butler University

- Academic perspective on AI development and ethics
- Potential collaborations between government and academia in AI research

Key Takeaways:

- Importance of ethical considerations in AI development and deployment
- Potential for partnerships with local universities in AI initiatives
- Need for ongoing education and research to keep pace with AI advancements

June 26, 2024:

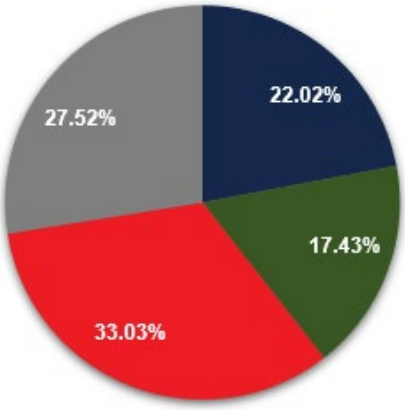
Wesley Jones, Director, and Vivian Agnew, Deputy Director, Office of Audit and Performance (OAP)

- Presentation of City-County AI Usage and Awareness Survey results

83.4%
Familiar with the concept of AI

92%
Strong desire for clear governance and direction

42%
positive outlook on AI's potential



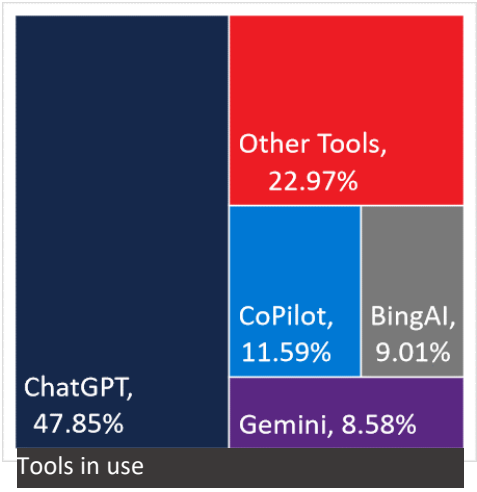
Use of AI-driven tools

22%
Data Analysis

17%
Resident Correspondence

33%
Research

28%
Other



Key Takeaways:

- General awareness of AI is high, but understanding of specific applications is limited
- Strong interest in AI adoption among employees
- Need for increased awareness of existing AI policies and guidelines

These presentations and discussions provided a wealth of information and diverse perspectives, helping to shape the Commission's understanding of AI's potential in government and the challenges that must be addressed.

B. CITY-COUNTY AI USAGE AND AWARENESS SURVEY

A survey[1] was conducted to assess the current state of AI awareness and usage within the City-County government enterprise. This survey has been instrumental in understanding our baseline and identifying key areas for improvement. The survey was conducted in May and June 2024 (See Appendix A).

Key findings include:

- **Awareness:** 83.4% of respondents are familiar with the concept of AI, indicating a generally high level of basic awareness.
- **Current Usage:** 43% have used an AI-driven tool, suggesting that AI has already begun to penetrate City-County operations, albeit in a limited capacity.
- **Perceived Utility:** 42% believe AI could be useful in managing work responsibilities, indicating a positive outlook on AI's potential among employees.
- **Need for Guidelines:** 92% agree on the importance of establishing guidelines for AI usage, highlighting a strong desire for clear governance and direction.
- **Policy Awareness:** Only 18.5% are aware of the existing City-County AI Policy, pointing to a critical gap in communication and policy dissemination.

These results underscore the need for comprehensive training programs, improved communication of existing policies, and clear guidelines for AI implementation across departments.

[1] It should be noted that while only 609 employees (out of approximately 7500) responded to this survey, it provided the Commission with valuable insight, nonetheless.

IV. CURRENT STATE AND NEEDS ASSESSMENT

A. Current AI Utilization

The Commission's assessment of current AI utilization across City-County departments revealed:

1. Limited AI Applications: There are minimal AI applications currently in use, with most departments still in the exploratory phase of AI adoption.
2. Data Classification Understanding: There is a limited understanding of Data Classification Standards and their appropriate usage in the context of AI, which could pose challenges for responsible AI implementation.
3. Potential for Expansion: Despite current limited use, there is significant potential for expanding AI across multiple areas of City-County operations and externally-facing public services.

B. Training and Skills Development

The Commission's needs assessment identified significant gaps in AI-related skills and knowledge across the City-County workforce. Addressing these gaps will be crucial for successful AI adoption.

Identified training needs include:

1. Basic AI Literacy: Foundational knowledge of AI concepts, applications, and implications for all employees.
2. Advanced AI Techniques: Specialized training for IT staff and those with roles similar to data scientists on machine learning, natural language processing, and other AI technologies.
3. AI Ethics and Compliance: Training on ethical considerations, legal compliance, and responsible AI use for decision-makers and AI implementers.
4. Data Management and Classification: Training on understanding and applying City-County Data Classification Standards in the context of AI.
5. Customized Departmental Training: Tailored programs to address specific applications and use cases for individual departments.

To address these needs, the Commission proposes a comprehensive training program to equip the enterprise workforce with the necessary skills, and its successful implementation will depend on securing the appropriate resources and support.

C. Governance and Security

The Commission's assessment identified several key areas for enhancement in governance and security related to AI implementation:

1. Enhanced Data Management and Classification: Current practices need to be updated to account for AI-specific data handling requirements.
2. Data Loss Prevention (DLP): Robust DLP measures are needed to protect sensitive data used in AI systems.

3. Secure AI Governance: A comprehensive governance framework is required to oversee AI development, deployment, and use across the City-County.
4. Continuous Monitoring: Systems need to be put in place for ongoing monitoring of AI applications to ensure they continue to operate as intended and in compliance with policies.

Establishing an internal AI committee to oversee these governance and security measures will be crucial, and doing so effectively will require careful consideration of the resources needed to maintain these standards.

D. Staffing and Collaboration

The Commission's assessment revealed a current lack of AI specialists and data scientists within the City-County government. To address this, the following staffing needs have been identified:

1. Chief Data and Privacy Officer (budgeted for 2025)
2. Chief Digital Officer (budgeted for 2025)
3. Chief AI Officer (proposed as an additional responsibility to an existing position)
4. AI experts, legal experts, data scientists, and AI ethics specialists employed as contracted outside resources

The Commission also recommends fostering collaborations with local universities, tech companies, and other government entities to leverage external expertise and stay current with AI advancements.

Fostering these roles and partnerships will be instrumental in achieving success, and we must ensure that appropriate staffing and collaboration frameworks are supported to meet our strategic goals.

E. Pilot Projects and Feedback

To test and demonstrate the potential of AI in our government operations, the Commission proposes the following pilot projects:

1. Co-Pilot (250 people): Implementing an AI assistant to support employees in their daily tasks.
2. Department Use-Cases Pilots: Identifying and implementing specific AI use cases in various departments that corresponds with the department's priorities.

The Commission recommends establishing robust feedback mechanisms, including regular reviews, user surveys, and performance metrics, to assess the success of these pilots and inform future AI initiatives.

These pilot projects will provide valuable insights and require thoughtful planning and resource allocation to ensure they effectively demonstrate the benefits of AI technologies, while not creating an adverse impact on internal or external customers.

F. Existing Data Classification Standards

The City-County has established Data Classification Standards that provide a crucial foundation for AI implementation and governance. Key aspects of these Standards include:

1. Four-tier Classification System:
    - Critical: Highest sensitivity level, includes Personally Identifiable Information (PII)
    - Restricted: Requires specific authorization for access
    - City-County Internal: Default classification for unclassified data
    - Public: Generally releasable to the public

2. Comprehensive Guidelines: The Standards outline storage locations, security monitoring protocols, and procedures for third-party access for each classification level.
3. Governance: The Information Technology Board has the authority to establish and revise these Standards, ensuring adaptability to emerging technologies like AI.
4. Alignment with Enterprise Security Program (ESP): The Standards support the ESP, aiming to ensure confidentiality, integrity, and availability of City-County information systems.
5. Risk Awareness: The Standards acknowledge increasing cyber risks and emphasize the need for all stakeholders to take necessary measures to mitigate these risks.

While these Standards provide a solid foundation, the Commission recommends reviewing the Standards to ensure they adequately address AI-specific data handling and security concerns. Additionally, the Commission recommends a communications campaign to educate City-County enterprise staff on the Standards.

G. Existing AI Policy

The City-County has an existing AI Policy, which our survey revealed is known to only 18.5% of employees. Key aspects of this Policy include:

1. Comprehensive Scope: The Policy covers all embedded and standalone AI technologies/tools, including machine learning, natural language processing, expert systems, and generative AI.
2. Guiding Principles:
   - Transparency and Accountability: Emphasizes the need for transparent AI systems and employee accountability.
   - Privacy and Data Protection: Mandates protection of individual privacy rights and compliance with data protection regulations.
   - Fair and Ethical Use: Requires ethical AI use without discrimination, in compliance with all applicable laws and regulations.
3. Key Requirements:
   - Accuracy: Mandates review and editing of all AI-generated information before use.
   - Disclosure: Requires labeling or footnoting of AI-generated content.
   - Confidentiality: Prohibits entering confidential information into AI tools where it may enter the public domain.
   - Copyright: Emphasizes adherence to copyright laws in AI utilization.
4. Risk Awareness: Outlines potential risks associated with AI use, including confidentiality breaches, inaccuracies, bias, and security vulnerabilities.
5. Compliance: Stipulates that failure to comply with the Policy may result in disciplinary action.

While comprehensive, the low awareness of the AI Policy among employees is a significant concern. The Commission recommends developing strategies to increase awareness and understanding of this Policy, particularly in instances where Generative AI usage is requested. The Commission believes the Policy should be changed to incorporate a training requirement for any employee prior to GenAI use. Further, there should be regular reviews and updates to ensure the Policy remains relevant and effective as AI technologies evolve.

V. PROGRESS ON COMMISSION OBJECTIVES

A. Review of Current AI Use

The Commission has made substantial progress in reviewing current AI use within the City-County enterprise. Through the survey and needs assessment, a baseline understanding of AI utilization, awareness, and readiness across departments has been established.

1. **Key findings:**
   - AI usage is currently limited, but there is significant interest and potential for expansion.
   - There is a need for more structured approaches to AI implementation and governance.
   - Employees generally recognize the potential of AI but require, and desire, more training and guidance.
2. **Next steps:**
   - Conduct more in-depth assessments of AI readiness within specific departments.
   - Identify and prioritize high-potential, low-risk AI use cases across the City-County enterprise.

B. Gathering Expert Information

The Commission has successfully engaged with a diverse range of experts, providing valuable insights into AI implementation strategies, challenges, and best practices.

1. **These engagements have included:**
   - Government innovation leaders (e.g., South Bend's Chief Innovation Officer)
   - Industry experts (e.g., AI architects from major tech companies)
   - Academic researchers (e.g., computer science professors)
   - Internal experts (e.g., ISA leadership, Office of Audit and Performance)
2. **Next Steps:**
   - Continue to engage with experts, particularly in areas identified as critical for our AI strategy.
   - Establish ongoing relationships with local universities and industry partners for sustained AI knowledge exchange.

C. Policy Recommendations

While the Commission has just begun formulating specific policy recommendations, significant progress has been made in understanding the policy landscape and identifying areas that require attention.

1. **Key areas for policy development:**
   - AI governance and oversight
   - Data management and security in AI contexts

- Ethical AI use and bias mitigation
- AI procurement and vendor management
- Workforce development and AI skills training

2. Next steps:

- Recommend revision of the existing AI Policy to the Information Technology Board.
- Recommend new policies to address gaps in current governance frameworks (e.g., AI Incident Response Policy).
- Create guidelines for AI project evaluation and prioritization.

D. Extension Request

Given the complexity of the AI landscape and the need for continued learning and assessment, the Commission has requested an extension for additional time.

This extension will allow for:

- Further exploration of use cases that directly benefit the enterprise as well as the constituents of Indianapolis.
- Understanding public concerns on potential AI uses.
- Collaboration with the Office of Audit and Performance (OAP) to understand departmental needs.

This extension will ensure that the Commission's recommendations are thorough, well-informed, and aligned with the needs of our community.

E. Alignment With ISA Strategic Plan

The Commission's work aligns closely with the ISA's 2024-2027 Strategic Plan, particularly in the following areas:

- Workforce Development: Both the Commission and ISA emphasize the need for comprehensive AI training programs.
- Data Governance: The Commission's focus on data classification and security aligns with ISA's data management priorities.
- Innovation: Proposed pilot projects will align with ISA's goals for testing and implementing new technologies while also aligning with departmental priorities and budgets.
- Strategic Staffing: The Commission's staffing recommendations support ISA's plans for enhancing AI capabilities.

This alignment ensures that our recommendations will integrate smoothly with existing strategic initiatives.

VI. CHALLENGES AND OPPORTUNITIES

A. Challenges

1. **Low Policy Awareness:** Only 18.5% of employees are aware of the existing AI Policy, posing risks for non-compliance and inconsistent AI use.
2. **Workforce Concerns:** There are potential concerns about job displacement due to AI, which need to be addressed through clear communication and re-skilling initiatives.
3. **Data Governance:** Enhanced data governance and security measures are needed to support responsible AI implementation.
4. **Equity in AI Services:** Ensuring equitable access to AI-driven services across all communities in Indianapolis and Marion County.
5. **Limited AI Expertise:** There is currently a lack of AI specialists and data scientists within City-County government.
6. **Investment Needs:** Significant investment in training, security measures, and AI infrastructure is required.
7. **Regulatory Compliance:** Ensuring compliance with state and federal regulations in AI implementation is complex and requires continuous, ongoing attention.

B. Opportunities

1. **Operational Efficiency:** AI has the potential to significantly improve efficiency in government operations, streamlining processes and reducing costs.
2. **Enhanced Public Services:** AI-driven innovations can lead to more responsive, personalized, and effective public services.
3. **Data-Driven Decision Making:** AI can enhance the government's ability to make data-driven decisions, improving policy outcomes.
4. **Workforce Development:** Investing in AI skills can create a more technologically adept government workforce.
5. **Leadership in Government AI:** The City of Indianapolis and Marion County has the opportunity to position itself as a leader in responsible AI adoption in local government.
6. **Cost Savings:** Successful AI implementation can lead to long-term cost savings through increased efficiency and automation of routine tasks.
7. **Improved Citizen Engagement:** AI-powered tools can enhance communication and engagement between the government and its citizens.
8. **Environmental Benefits:** AI can support sustainability efforts through optimized resource management and predictive maintenance of infrastructure.

VII. RECOMMENDATIONS

Based on our assessment and findings, the Commission recommends the following actions be taken:

1. Comprehensive AI Training Program:

- Implement a multi-tiered training program covering basic AI literacy for all employees, advanced techniques for IT staff, and specialized training for decision-makers.
- To deliver this program effectively, careful planning and resource commitment are essential.

2. Enhanced AI Security Framework:

- Develop a robust security framework specifically for AI systems, including enhanced data management, DLP, and continuous monitoring.
- Ensuring the security of our AI systems will require ongoing support and investment.

3. Establish Internal AI Committee:

- Form a cross-departmental committee to oversee AI governance, project prioritization, and ethical considerations. ISA recommends using the existing models for subcommittees underneath the Information Technology (IT) Board. The members of the committee could be existing chairs of the functional group and several IT Board nominated members with adequate experience.

4. Increase AI-Related Staffing:

- Proceed with hiring for the Chief Data and Privacy Officer and Chief Digital Officer positions within the ISA.
- Consider creating a Chief AI Officer role or assigning these responsibilities to an existing position.
- Recruit AI experts, data scientists, and AI ethics specialists as needed.
- Securing the necessary talent will be a strategic priority, which must be supported by well-planned resource allocation.

5. Launch Pilot Projects:

- Implement the Co-Pilot program for 250 employees.
- Identify and execute department-specific AI use case pilots.
- These projects will require thoughtful planning and the necessary backing to ensure they deliver meaningful results.

6. Establish Feedback Mechanisms:

- Develop systems for regular review, user surveys, and performance metrics for monitoring the progress of AI initiatives.

7. Policy Review and Update:

- Review and update the existing AI Policy to ensure it addresses current AI technologies and use cases.
- Develop strategies to increase awareness and understanding of the AI Policy among City-County employees.

8. Data Classification Review:

- Review and update the Data Classification Standards to ensure they adequately address AI-specific data handling and security concerns.

9. Legal Preparedness:

- Allocate a legal reserve to protect the City and its affiliates in AI-related matters.
- Address potential conflicts in contractual language that may prohibit future AI use of certain data.

10. AI Use Case Prioritization:

- Develop a strategy, based on available data, solution complexity, and associated risks, costs, and potential benefits, for prioritizing AI use cases aligned with departmental priorities.

11. Partnerships and Collaboration:

- Foster partnerships with local universities, tech companies, and other governmental entities to leverage external expertise and resources.

12. Ethical AI Framework:

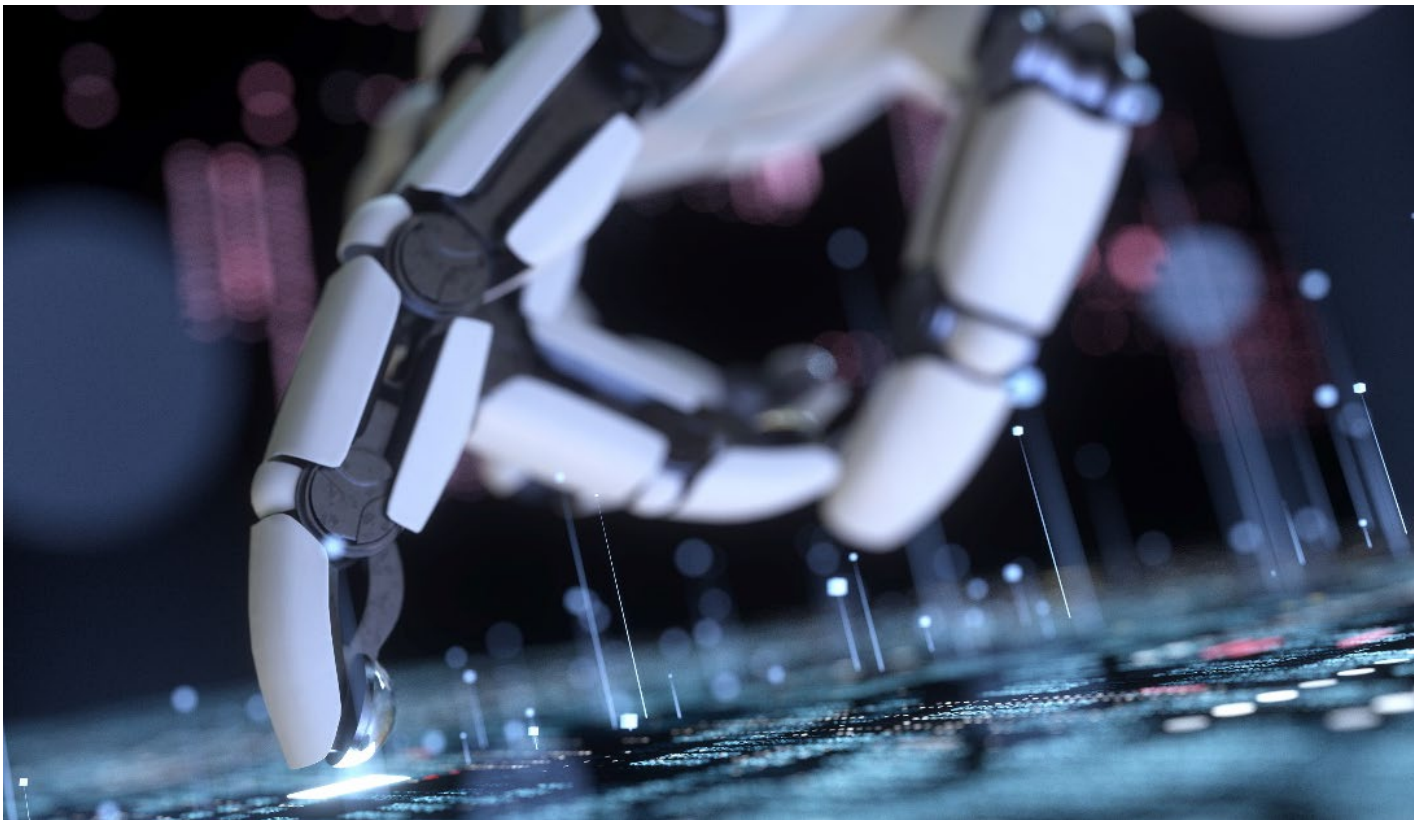
- Develop a comprehensive framework for ensuring ethical AI use, including guidelines for bias detection and mitigation.

13. AI Procurement Guidelines:

- Establish clear guidelines for the procurement of AI technologies and services to ensure alignment with city standards and policies.

14. Continuous Learning and Adaptation:

- Implement a system for staying updated on AI advancements and regularly re-assessing the City-County's AI strategy and compliance with ever-changing federal and state requirements.



VIII. CONCLUSION

The AI Commission has made significant strides in understanding the current state of AI awareness, usage, and needs within the Indianapolis and Marion County enterprise. Its work has revealed both challenges and opportunities in the adoption of AI technologies.

The existing Data Classification Standards and AI Policy provide a foundation for responsible AI implementation, but there is a clear need for increased awareness, training, and possible updates to these policies to fully address the unique challenges posed by AI.

The Commission's proposed initiatives in training, security, staffing, and pilot projects represent a comprehensive approach to AI adoption. By addressing these needs and leveraging existing policies, Indianapolis and Marion County can position themselves at the forefront of AI use in local government, enhancing efficiency, improving services, and fostering innovation.

The rapidly evolving nature of AI technologies necessitates continuous learning, assessment, and adaptation of strategies. The requested extension of the Commission's work will allow for the implementation and evaluation of the Commission's recommended initiatives, ensuring that the benefits of AI can be fully leveraged while addressing potential challenges and concerns.

The Commission remains committed to guiding Indianapolis and Marion County towards becoming a model for responsible and effective AI use in local government.

As we move into the next phase of its work, the Commission will continue to engage with experts and stakeholders to ensure that the AI strategy ultimately recommended by this body reflects the needs and values of our community. This Commission looks forward to the opportunities that lie ahead and to positioning Indianapolis and Marion County as leaders in the responsible and innovative use of AI in local government.

Respectfully submitted,

Councilor Dan Boots, Chair
City-County Council District 3

Councilor Michael-Paul Hart, Vice-Chair
City-County Council District 20

Note: *This report was initially drafted with the assistance of Claude 3.5 Sonnet, an AI language model developed by Anthropic. The content was based on information provided by the user and structured according to their requirements. As with any AI-generated content, human review and validation of the information presented was thoroughly conducted.*

IX. APPENDIX A

City-County AI Usage and Awareness Survey Results

The Office of Audit & Performance

City-County AI Usage and Awareness Survey Results

June 26, 2024

THE CITY OF INDIANAPOLIS
MAYOR JOE HOGSETT
EST. 1821
OFFICE OF AUDIT & PERFORMANCE

Overview

- Introduction to OAP
- Goals of the AI Survey
- Response Demographics
- Current Awareness and Use
- Employee Interests and Perspectives
- Key Takeaways

Office of Audit and Performance June 26, 2024

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The Office of Audit and Performance (OAP)

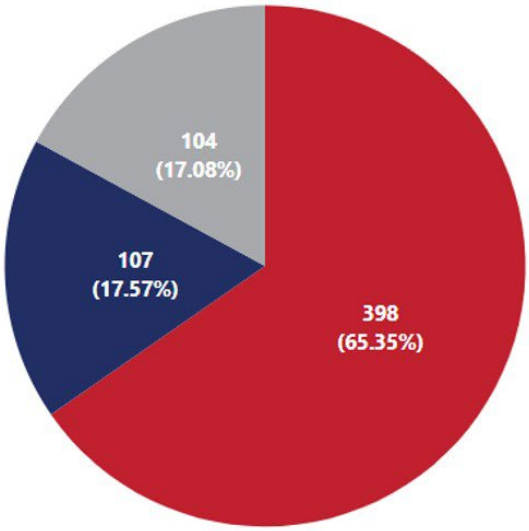
- Mission: *The mission of the Office of Audit and Performance is to evaluate City-County operations to promote accountability and a high-performing government for the citizens of Indianapolis-Marion County*
- Two Units
  - Audit
  - Performance

Goals of the AI Survey

- To understand:
  - Enterprise Awareness
  - Current Usage
  - Employee interests and perspectives

Response Demographics

- Total Responses: **609**
- Respondents by Position
  - **Management: 18%**
  - **Supervisors: 17%**
  - **Staff: 65%**



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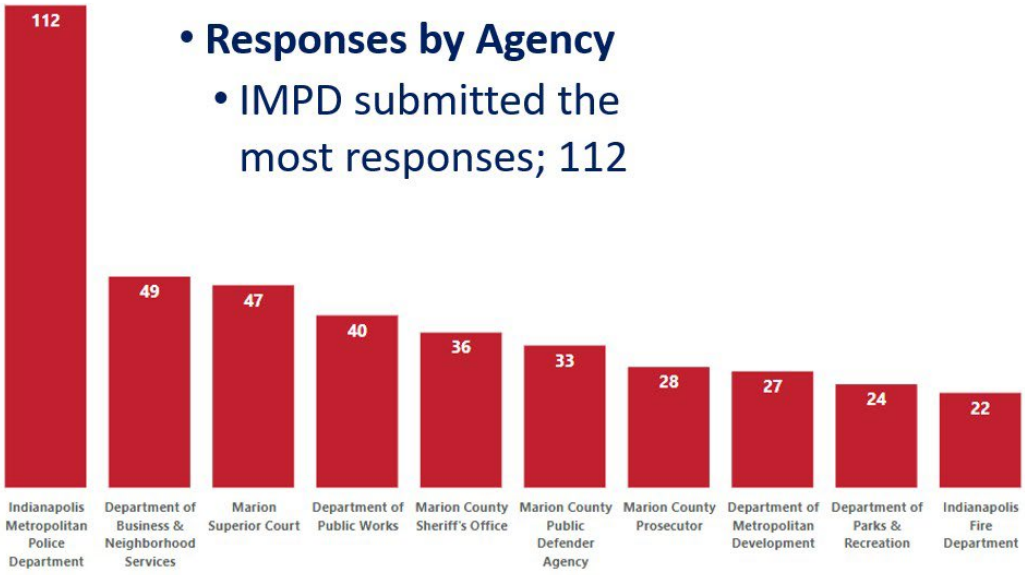
Response Demographics

- **Responses by Agency**
  - IMPD submitted the most responses; 112



Office of Audit and Performance June 26, 2024

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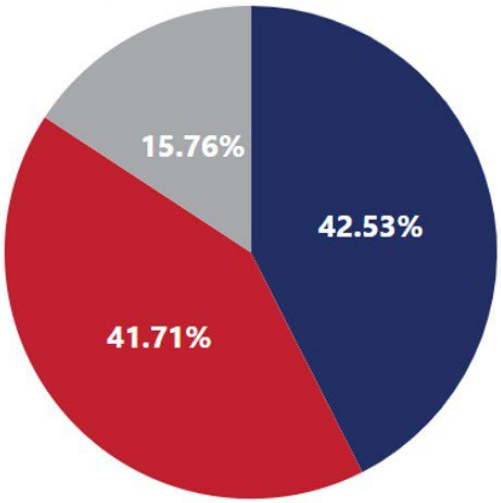
Current Awareness and Use

- **83.4%** are familiar with the concept of AI
- When asked if they've used an AI-driven tool:
  - **43% of respondents said yes**
  - 17% have considered it
  - **And 65% have not used an AI-powered tool**

Have you ever used and AI-driven tool?



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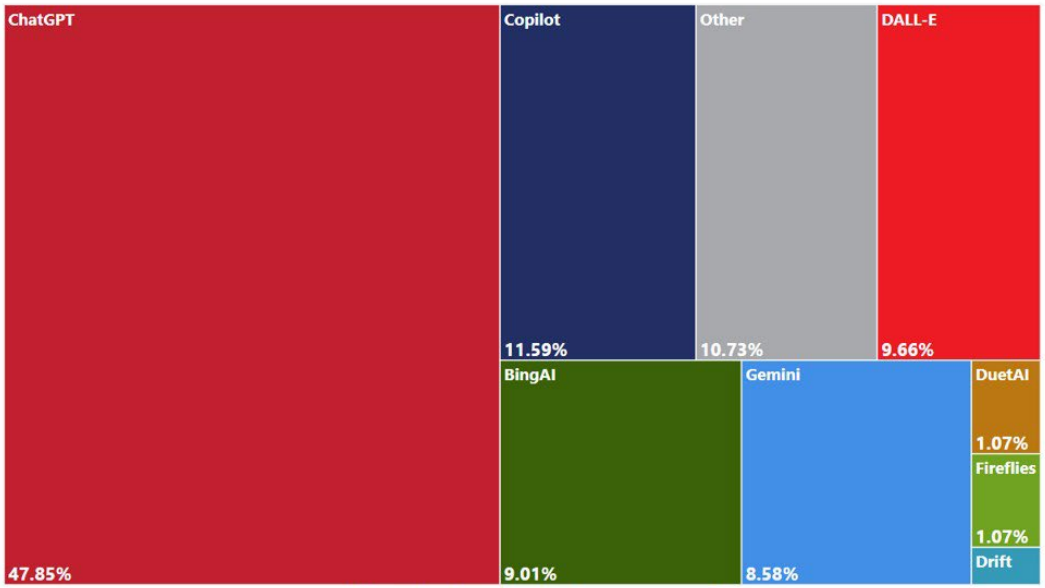
Current Awareness and Use



What AI-driven tools have you used?

Office of Audit and Performance June 26, 2024

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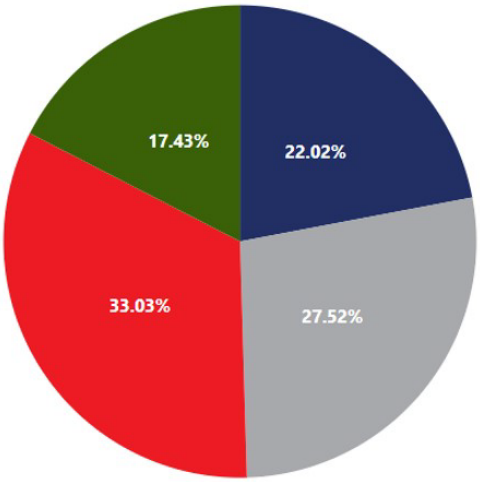
Current Awareness and Use

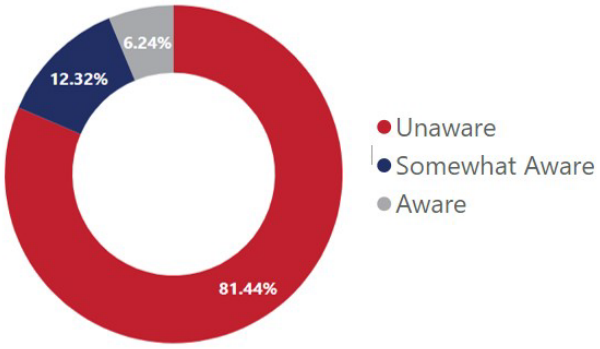
- **42%** think AI could be useful in managing work responsibilities
- Of those who HAVE used an AI-Driven tool **27%** have used the tool at work
- Of those who have used the program at work:
  - **22% have used AI tools for Data Analysis**
  - **17% have used AI tools for Resident Correspondence**
  - **33% have used AI tools for Research**
  - **28% have used AI tools for 'Other'**

In what context have you used and AI-driven tool?



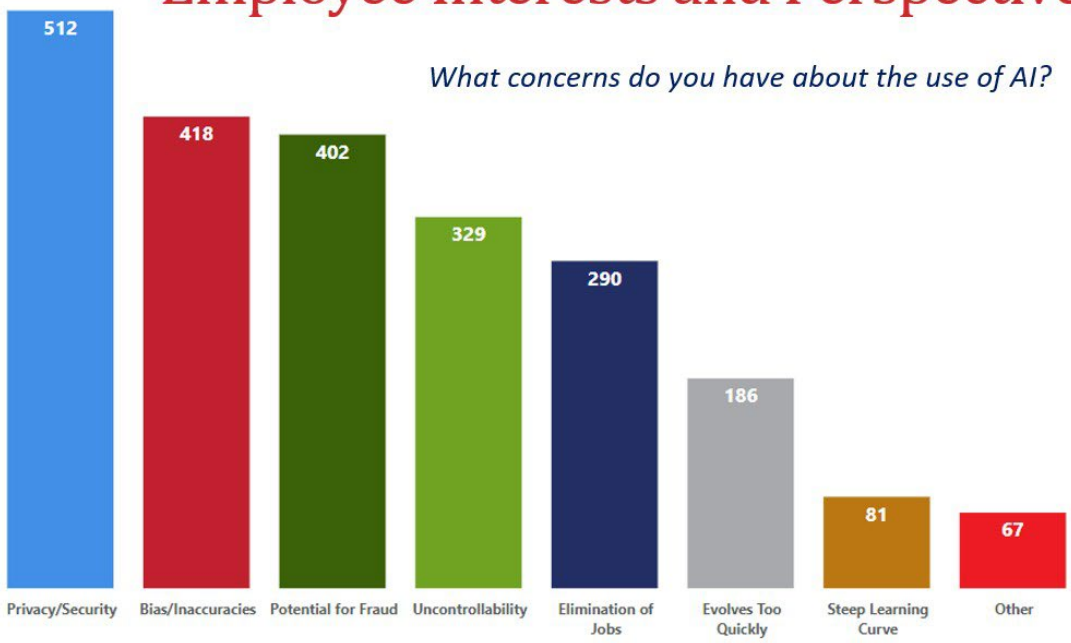
Current Awareness and Use (cont.)

- **92%** agree that it's important to establish guidelines around AI usage…but….
- **48.1%** are unaware of the different levels of data classification, and what types of data are appropriate for use in an AI tool
- Only **18.5%** indicate any awareness of the City-County AI Policy



Are you aware of the City-County AI policy?

Employee Interests and Perspectives



Employee Interests and Perspectives

- **50%** currently hesitant to use AI in current work processes
- But **68%** are interested in training to understand how AI might be used in their work

Employee Interests and Perspectives

- We identified several themes within the comment section:
  - Re-stating concerns
  - Curiosity on how AI-driven tools might be incorporated into specific types of work
  - Cautious Optimism
  - Learning and Collaboration
  - Policy Focus
  - Inevitability
  - Skepticism

> AI training would be great, intro, basics, advanced, etc.

> AI is the Devil!

> I use AI regularly, but I am also well versed in AI and aware of its limitations. I don't want to see AI banned, but policies should be in place.

Key Takeaways

- Folks are already utilizing AI within the Enterprise
- Very few people are aware of existing policies related to AI
- There is a real appetite for more conversation and training around AI-driven tools

> I think the AI Commission should watch the 1991 action/sci-fi film, Terminator 2: Judgement Day directed by James Cameron

Office of Audit & Performance

Questions/Comments

X. APPENDIX B

AI Policy

Information Services Agency IT Policy: Artificial Intelligence (AI)

INFORMATION SERVICES AGENCY
City of Indianapolis & Marion County

Artificial Intelligence (AI)

Effective Date: 11/28/2023

INFORMATION SERVICES AGENCY
City of Indianapolis & Marion County

Artificial Intelligence (AI)

Authority

The Information Technology Board (IT Board) has the following powers and duties pursuant to Section 281-212 of the Revised Code of Indianapolis and Marion County:

- To establish and revise information technology guidelines, standards and benchmark processes for subject agencies and other users; and
- To develop and oversee adherence to standards for security and confidentiality of all data, information, and telecommunication systems.

The City of Indianapolis-Marion County depends on the integrity and availability of information systems and is committed to protecting such. Resolution 18-7 was approved by the IT Board on March 27, 2018. The resolution sets forth an executive mandate to formalize the Enterprise Security Program (ESP). This document supports the ESP.

Purpose

The purpose of this policy is to establish principles and guidelines for the proper development, deployment, and usage of artificial intelligence (AI) within the City-County. This policy is designed to ensure that the use of AI is responsible, ethical, transparent, lawful, and in compliance with all applicable laws, regulations, and city policies.

Scope

The scope of this policy covers all City-County agencies and departments that are major consumers of services and resources provided by the Information Services Agency.

This policy covers all embedded and standalone AI technologies/tools, including, but not limited to:

Machine Learning

Training algorithms to learn patterns and relationships in data, and make predictions or decisions based on that learning. The most common types of machine learning are supervised learning (labeled data -> image recognition, speech recognition, natural language processing), unsupervised learning (unstructured data -> clustering and anomaly detection), and reinforcement learning (reward/punishment system -> gaming, autonomous driving, and robotics).

Natural Language Processing (NLP)

Algorithms focused on understanding and processing human language. Applications include language translation, sentiment analysis, and chatbots (including AI Language Models (AILM) such as ChatGPT or Bard, for example).

Expert Systems

Systems that can provide advice and make decisions in a specific domain using a knowledge base and inference engine for rules-based reasoning. Examples include diagnosis systems and financial planning solutions.

Effective Date: 11/28/2023

Generative AI

Models that learn the patterns and structure of their input training data and then generate new data that has similar characteristics. Generative AI can generate text, images, video, and other media based on the models on which it was trained.

This policy applies to all employees, contractors, or any other individuals using City-County systems with access to AI solutions, whether through company-owned or BYOD (bring your own device.)

Policy

Employees are authorized to use AI for work-related purposes within the boundaries and guidelines listed below. In using AI, employees must commit to responsible, transparent, lawful, and ethical uses of AI, focusing on the benefits for residents and to promote public trust, while also mitigating potential risks and avoiding unintended consequences. The use of AI should support the work of our workforce to deliver better, safer, more efficient, and equitable services and products to the public.

Transparency and Accountability

AI systems and their decision-making processes must be transparent, and employees must be accountable for their implementation and outcomes.

Transparency

Algorithms and their parameter usage to make decisions must be fully understood and well-documented.

Accountability

Algorithms must be tested on a regular basis for consistency to ensure outcomes are as expected, accurate, fair and ethical.

Accuracy

All information generated by AI ~~must~~ should be reviewed and edited for accuracy prior to use.

Disclosure

Content produced via AI must be labeled or footnoted as containing AI-generated information.

Privacy and Data Protection

AI systems must protect individual privacy rights and comply with applicable data protection regulations, ensuring the secure and responsible management of personal information.

Confidentiality

Confidential information must not be entered into an AI tool (such as an AILM tool), where information may enter the public domain. Employees must follow all applicable data privacy laws and city policies when using AI.

Copyright

Employees must adhere to copyright laws when utilizing AI. It is prohibited to use AI to generate content that infringes upon the intellectual property rights of others, including but not limited to, copyrighted material. If an employee is unsure whether a particular use of AI constitutes copyright infringement, they should contact the Office of Corporation Counsel for guidance.

INFORMATION SERVICES AGENCY
City of Indianapolis & Marion County

Fair and Ethical Use

Ethical Use
AI must be used ethically and in compliance with all applicable laws, regulations, and City-County policies. Employees must not use AI tools to generate content that is discriminatory, offensive, biased, or inappropriate. If there are any doubts about the appropriateness of using AI in a particular situation, employees should consult with their supervisor and/or the Office of Corporation Counsel.

Fairness
AI systems should be designed to treat all individuals fairly, without discrimination based on age, gender, race, ethnicity, religion, disability, or other protected characteristics.

Malicious Use
AI must not be used for malicious activities, this includes creating or distributing deepfakes, AI-driven phishing attempts, AI-enabled hacking attempts, or other misuse of AI.

Risks
Employees should be aware of the inherent risks of using AI and should perform a risk assessment for potential AI use cases. The results will help determine the level of human involvement needed within decision loops and the frequency with which algorithms must be tested and verified. Risks areas include, but are not limited to:

Confidentiality
Information entered into some AI tools may enter the public domain. This can release non-public information and breach regulatory requirements, customer or vendor contracts, or compromise trade secrets.

Accuracy
AI relies upon algorithms to make decisions and generate content. There is a risk that AI tools may generate inaccurate or unreliable information. Employees should exercise caution when relying on AI-generated content and should always review and edit responses for accuracy before utilizing the content.

Bias
AI may produce biased, discriminatory, or offensive content. Employees should review AI-generated content for bias and use AI tools responsibly and ethically, in compliance with city policies and applicable laws and regulations.

Security
AI solutions within our organization may process and retain sensitive data. As this data is potentially vulnerable to unauthorized access or cyberattacks, we have a duty to ensure its protection. Rigorous cybersecurity measures must be in place and shall not be bypassed, thus minimizing the risk of data breaches, and maintaining the trust and privacy of all involved stakeholders.

External Integration
The integration of AI with third-party solutions must align with the City-County's security standards, ethical guidelines, and privacy norms.

Effective Date: 11/28/2023

INFORMATION SERVICES AGENCY
City of Indianapolis & Marion County

Compliance

Failure to comply with this policy may result in disciplinary action, up to and including termination of employment.

Acknowledgement

This policy is accessible to all employees with the City-County; therefore, by using AI tools, employees acknowledge that they have read and understand this policy and understand the risks associated with the use of AI. Employees also agree to comply with this policy and to report any violations or concerns.

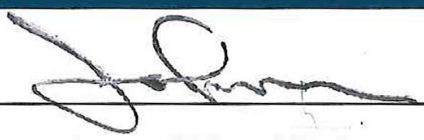
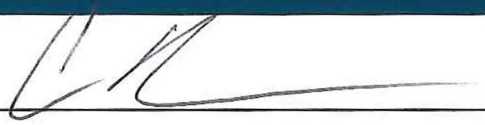
Disclaimer

This policy is subject to change without notice. A current and complete list of ISA policies are maintained on the ISA Intranet site at https://indygov.sharepoint.com/ISA/policies_procedures/Pages/ISAPoliciesProcedures.aspx.

Policy Approval

Per Indianapolis Marion County Municipal Code Sec. 281-212.11, *the City of Indianapolis/Marion County IT Board has the power and authority to promulgate rules and regulations for the efficient administration of its policies and procedures for users.*

This policy has been reviewed and approved by the IT Board and will be enforced as of the effective date by the Chief Information Officer. It is the responsibility of all City/County IT users to always comply with this policy.

Policy Sign-off	
	
Joseph O'Connor, IT Board Chair	Collin Hill, Chief Information Officer
Date 11/29/2023	Date 11/29/2023

XI. APPENDIX C

Data Classification Standards

Information Services Agency
IT Standards:
Data Classification

Data Classification

Authority

The Information Technology Board (IT Board) has the following powers and duties pursuant to Section 281-212 of the Revised Code of Indianapolis and Marion County:

- To establish and revise information technology guidelines, standards and benchmark processes for subject agencies and other users; and
- To develop and oversee adherence to standards for security and confidentiality of all data, information and telecommunication systems.

The City of Indianapolis, Marion County depends on the integrity and availability of information systems and is committed to protecting such. Resolution 18-7 was approved by the IT Board on March 27, 2018. The resolution sets forth an executive mandate to formalize the Enterprise Security Program (ESP). This document supports the ESP.

Purpose

This document sets expectations regarding data classification to support the ESP. Appropriate measures help to ensure confidentiality, integrity and availability of City/County information systems.

Standard

Four levels of data classification are outlined below which are based on the impact to the City/County of unauthorized access, disclosure, modification or destruction of the data in question. In the absence of being formally classified, City/County data should be treated as City/County-Internal by default.

Refer to the appendices of this document for additional information on the controls applied to data in each category.

Legal and contractual mandates increasingly require expeditious reporting of certain breaches to regulatory or governmental authorities, in some cases as soon as 24 hours after discovery, and/or to the individuals affected.

Level	Description	Impact	Examples
Critical	Inappropriate handling of data classified as Critical could result in criminal or civil penalties, identity theft, personal financial loss, invasion of privacy, and/or unauthorized access to this type of information by an individual or many individuals. Personally Identifiable Information (PII) is highly sensitive data. A breach involving PII could trigger notification obligations under Indiana's Security Breach Notification Law (IC 24-4.9-1). It is mandatory PII be treated as Critical data.	Very high	• Social Security numbers • Prescription history • Medical history • Credit Card numbers • Bank Account numbers

Level	Description	Impact	Examples
Restricted	Because of legal, ethical, or other constraints, data classified as Restricted may not be accessed without specific authorization. Only selective access should be granted. This level also includes any data that is not Public or Critical that an agency considers sensitive or privileged.	High	• Audit reports • Vulnerability assessments • Network maps
City/County-Internal	Data classified as City/County-Internal may be accessed by eligible employees and designated outside entities or individuals for conducting City/County business. Access restrictions should be applied accordingly. In the absence of being formally classified, City/County data should be treated as City/County-Internal by default.	Medium	• Emails • Instant-messaging history • Web browser history
Public	Few restrictions are placed on data classified as Public, as it is generally releasable to a member of the public.	Low	• Work phone numbers • Office addresses • Press releases • Public meeting minutes • Public meeting recordings

Additional examples of each data classification can be found in the Data Classification Questionnaire. Agencies are encouraged to reach out to ISA if necessary, for assistance with classifying new or existing data.

Threats & Cyber Risk

Like other government entities, the City/County faces cyber risks from an increasingly connected world. Cyber security incidents and documented threats demonstrate a growing technical sophistication and acceleration that have substantially raised the risk profile of essential City/County information systems.

All City/County stakeholders are to take necessary and reasonable measures to mitigate cyber risk, see Cyber Risk Mitigation Responsibilities policy. City/County information systems are subject to threats including but not limited to:

- Unauthorized disclosure of data
- Unauthorized access to data

References and Standards

Data Ownership Policy
Enterprise Security Program
CIS Controls, Secure Configuration

Disclaimer

The Chief Information Officer has authority to change this policy without notice. This is an internal standard, used to govern internal procedures conducted by ISA, managed services vendor(s), or third-party vendors. It is made available to other agencies and applies only if an agency-specific standard does not exist and intended to support the Data Ownership Policy and Enterprise Security Program.

Standard Approval

This is an internal ISA standard that has been reviewed and approved by the Chief Information Officer and any necessary ISA leadership.	
Policy Sign-off	
Signature	
Name (Print)	
Title	
Organization	
Date	

Appendix A – Storage Locations

ISA-Managed storage locations and the classification levels that are approved for each.

Location	Backups	Encrypted-At-Rest	Classifications	Exclusions
Databases	Automatic	Yes[1]	All	N/A
Network Shares	Automatic	No	Public, C/C Internal, Restricted[3]	Critical
SharePoint	Yes[4]	Yes	All[2]	Agency-determined
OneDrive	Yes[4]	Yes	All[2]	Agency-determined
Teams	Yes[4]	Yes	All[2]	Agency-determined
C/C Desktops & Laptops	Manual	No	Public, C/C Internal, Restricted[3]	Critical

[1]When required by law

[2]Critical information subject to additional oversight and approval from agency approver

[3]Storing restricted data here may violate agency-specific policy

[4]30-days only.

Appendix B - Security Monitoring

Security monitoring for each storage location.

Locations	Monitoring Types
Databases	Monitored for performance and security events
Network Shares	Monitored for performance and security events
SharePoint	Monitored for policy violations, unnecessarily broad sharing, and malicious files*
OneDrive	Monitored for policy violations, unnecessarily broad sharing, and malicious files*
Teams	Monitored for policy violations, unnecessarily broad sharing, and malicious files*
C/C Desktops & Laptops	Antivirus

*users are notified when these events are detected and asked to investigate.

Appendix C - 3rd-Party Access

ISA file sharing tools and their respective methods for securely sharing data with 3rd parties.

Sharing Tool	Sharing Method
SharePoint Online	Via templated lists
Teams	Via Guests
OneDrive	Via templated lists
MoveIt	SFTP
VPN + Database Access	Contact your BSC
VPN + Application Access	Contact your BSC