

# Policies and Governance Working Group

**Objective:** Recommend policies and procedures related to the use of GenAI in state executive-branch agencies. Develop a governance framework that outlines the policies, procedures, and processes for developing, deploying, and using GenAI.

**Deliverables:**

- Policies and governance tied to GenAI.
- Procurement and development guidelines.
- Authorization to operate (ATO) process for GenAI systems.
- Guidelines for sandbox environments.

**Focus Areas:**

- Defining Terms – define “generative AI” and other key concepts in the regulatory space for Alabama.
- Data Usage – setting out how data is used and managed in GenAI systems.
  - Articulate who is responsible for data ownership, management, and privacy.
  - Define permissible data usage for developing and training GenAI systems and models.
- Risk Management – defining risks associated with government use of GenAI and monitoring needed to ensure responsible use by government entities.
  - Authorization to Operate (ATO) - setting out minimum requirements that must be met prior to procuring or deploying GenAI in state systems.
  - Defining terms of acceptable use.
- Alignment with existing governance – examining terms of existing GenAI governance systems and frameworks used by state and federal government entities.
  - Establish parameters for Alabama policies using frameworks that have succeeded in other areas.
  - Determine state agencies’ current requirements under existing frameworks and develop requirements for indicating compliance.

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## Executive Order 738 Objectives

- Encourage the responsible and effective use of GenAI in state executive-branch agencies.
- Recommend policies and procedures related to the use of GenAI in state executive-branch agencies.
- Study, evaluate, and develop policy and administrative recommendations related to the responsible deployment of GenAI in state government.
- Develop a set of principles and values that will guide the development and use of GenAI within state government.
- Develop a governance framework that outlines the policies, procedures, and processes for the development, deployment, and use of GenAI in the areas of:
  - Data Management
  - Model Development
  - Model Monitoring
  - Human Oversight
- Advise the Office of Information Technology as the agency establishes the cloud infrastructure to allow states agencies to safely and responsibly conduct GenAI pilot projects.
- Additional recommendations for further executive action or legislation.