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Exploring the role of dignity in
government AI ethics instruments

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"Dignity is as essential to human life as water, food, and oxygen."

— Laura Hillenbrand

"Because the future doesn't just happen. We create it."

— Hannah Fry, Hello World: Being Human in the Age of Algorithms

Executive Summary

Dignity is a core value underpinning democracy[1] and is central to being human. It is therefore vital for governments to create conditions which enable people to live dignified lives. Governments do this by both protecting and promoting peoples' dignity – we call this cultivating a Dignity Ecosystem.

Cultivating a Dignity Ecosystem is relevant for all parts of government but, in this report, we focus on understanding how dignity is being maintained in the context of governments grappling with Artificial Intelligence (AI). We focus on AI because we know that as we shape our technologies, we are shaping our own futures; and we want to see dignity at the centre of future versions of what it means to be human.

The question we seek to answer in this report is: to what extent do government AI ethics principles, frameworks or directives (collectively known as "AI ethics instruments") work to both protect and proactively promote peoples' dignity?[2]

To understand this, we created a Dignity Lens – a diagnostic tool to help us understand the health of the Dignity Ecosystem. We applied this Dignity Lens to AI ethics instruments of the governments of Australia, Canada and the United Kingdom.

Two core findings emerged. Firstly, there is a lack of overt reference to dignity in the core AI ethics instruments analysed. We found that dignity is not explicitly referenced in either the core Australian or the Canadian instrument, and is only referenced once by the UK AI Ethics instrument. Secondly, the Dignity Ecosystem is off-balance; there is a focus on protective roles and limited proactive roles.

Three future directions are suggested. Firstly, governments can heighten their own awareness of the roles they play in relation to dignity through applying the Dignity Lens. Secondly, governments can consider ways of promoting dignity in their existing mechanisms. Finally, governments can work to create new ways to cultivate dignity through AI ethics instruments.

Overall, our research reveals that it's not dignity (as defined on page 5) per se that's missing from AI ethics instruments; governments do have a variety of mechanisms and actions in place that, whilst not overtly labelled dignity, nevertheless do protect against dignity violations. What's missing, or at the very least lacks prominence, are **proactive** government roles, which are needed to support a healthy Dignity Ecosystem.

We want to be a part of a conversation which explores how to more effectively put dignity at the centre of government AI ethics instruments so that the technologies we are shaping in turn shape a positive collective future. We'd love you to join us.

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1   Ober, "Democracy's Dignity."

2   For the purposes of this report, government AI Ethics instruments are any device or tool (could be set of values, principles, techniques etc) that governments have publicly released to "guide moral conduct in the development and use of AI systems."[i]

    i   UK Government, "Guidance: Understanding artificial intelligence ethics and safety"

CONTENTS

We believe that realising dignity should be at the centre of governments' role in society. Dignity is a core value underpinning democracy.[3] Dignity is central to human flourishing. Dignity is at the heart of what it means to be human.

Cultivating dignity can be achieved through many acts of government – from how it shapes policy and how it crafts services, to how it designs, builds and delivers new technologies (and many others). Whilst all of these aspects are critical to enabling dignity, this report focuses on how governments can realise dignity through new technologies – specifically, Artificial Intelligence (AI).[4]

What do we mean by dignity?

A comprehensive review and reflection on the genesis of dignity across disciplines is beyond the scope of this paper. Our goal, with regards to exploring a small part of the dignity literature, is to find a model that takes a pragmatic approach to understanding what dignity looks like in day-to-day life. Drawing on definitions from Hicks,[5] the Universal Declaration of Human Rights[6] and The Ethics Centre,[7] we have landed on the following working definition of dignity to guide us forward:

Dignity refers to the inherent value and inherent vulnerability of individuals. This worth is not connected to usefulness; it is equal amongst all humans from birth regardless of identity, ethnicity, religion, ability or any other factor. **Dignity is a desire to be seen, heard, listened to and treated fairly; to be recognised, understood and to feel safe in the world.** *Dignity is influenced in positive and negative ways by others' behaviours and/or by technologies and other factors and at the same time, people have inviolable dignity.*

We have also adopted Hicks' 10 Essential Elements of Dignity[8] which attempt to operationalise what dignity looks and feels like.

Hicks' 10 Essential Elements of Dignity[9] are:

1. Acceptance of Identity: having our identity accepted, no matter who we are

2. Recognition: recognition of our unique qualities and ways of life

3. Acknowledgement: to be seen, heard, validated and responded to

4. Inclusion: a sense of belonging and feeling included at all levels of relationship (family, community, organisation and nation)

5. Safety: being physically and psychologically safe and secure

6. Fairness: being treated in a fair and even handed way

7. Independence: feeling in control of life and experiencing a sense of hope and possibility

8. Understanding: actively listening, being given the chance to share perspectives

9. Benefit of the doubt: treat people as if they are trustworthy and operate with integrity

10. Accountability: taking responsibility for actions, apologising when harm has been done and committing to change hurtful behaviour

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3   Ober, "Democracy's Dignity," American Political Science Review 106, no. 4 (2012): 827–46, https://doi.org/10.1017/S000305541200038X.
4   For the purposes of this report we define Artificial Intelligence as "a broad term used to describe a collection of technologies able to solve problems and perform tasks without explicit human guidance. Some of these include; machine learning, computer vision, natural language processing, robotics and deep learning". CSIRO, "Artificial Intelligence."
5   Hicks, *Dignity: Its Essential Role in Resolving Conflict.*
6   United National General Assembly, "Universal Declaration of Human Rights."
7   The Ethics Centre, "What Is Dignity? – Ethics Explainer."
8   Hicks, *Dignity: Its Essential Role in Resolving Conflict.*
9   Hicks, *Dignity: Its Essential Role in Resolving Conflict.*

We see focusing on AI as particularly important; as humans shape the future of technologies, technologies will continue to shape the future of humanity, and dignity is a central part of what it means to be human:

"...does technology shape the very definition of human dignity? The answer is clearly – yes. The physical anthropologists and archaeologists have now concluded that the very shape of our body and our brain have been influenced by the use of rudimentary tools by our remote ancestors... while it is true that man creates technology, it is also profoundly true that technology was instrumental in creating the human species."[10]

We are also focused on AI because it remains a relatively nascent practice within government. This makes it an exciting place to focus our energy. If we can influence how governments think about their role and responsibilities in relation to AI, and connect this back to the concept of dignity, we feel that this will contribute to building legitimacy for AI.[11]

Currently, conversations about AI in government place too little emphasis on human dignity. Instead, common narratives around AI focus on how these new tools are generating efficiencies, optimising performance, or streamlining services.[12] This is not enough.

We believe that a healthy Dignity Ecosystem needs to be cultivated through every act of government, including government AI ethics instruments.

Governments can achieve this by ensuring that AI ethics instruments have dignity at their core. It was our hypothesis that this is not the case. And it was this hypothesis which we set out to test through this research project.

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10   Peterson, "Technology: Master, Servant, or Model for Human Dignity?"
11   The Centre for Public Impact, "How Governments Can Secure Legitimacy for Their AI Systems ."
12   See for example, Eggers, Schatsky, and Viechnicki, "AI-Augmented Government. Using Cognitive Technologies to Redesign Public Sector Work."

AI ethics & AI ethics instruments

What do we mean by 'government AI ethics instruments'?

For the purposes of this report, 'government AI ethics instruments' are considered to be any device or tool created and published publicly by the federal (or equivalent) governments of Australia, Canada and the United Kingdom to ensure the ethical use of AI systems. This could manifest in AI ethics principles, guidelines, policies, discussion papers, directives, assessment tools (and many others).

AI ethics is not a fixed concept, and it extends well beyond the field of government. It has gone through multiple waves of development: the first focuses on principles and has been defined by philosophers; the second focuses on technical fixes and has been led by computer scientists and the third focuses on sociotechnical systems and is defined by notions of justice (See Figure 1).[13]

Underpinning each of these AI Ethics waves is a set of values which can be invisible and difficult to discern.

In an attempt to unearth the extent to which dignity is an underlying value in AI ethics instruments, we developed a Dignity Lens (see page 10), which helped us analyse government AI ethics instruments from Australia, Canada and the United Kingdom (UK).[14] Using the Lens as an anchor, we asked:

- To what extent is dignity addressed in government AI ethics instruments?
- What types of roles are governments playing with respect to a Dignity Ecosystem?

We hope that this report will be the beginning of a much deeper exploration in collaboration with governments. It is intended for public servants, people contributing to shaping an AI agenda within governments and broader audiences grappling with the ultimate purpose of AI Ethics.

A new wave of ethical AI?

1 Principles (Philosophy)

2 Technical fixes (Computer Science)

3 Sociotechnical systems (Justice)

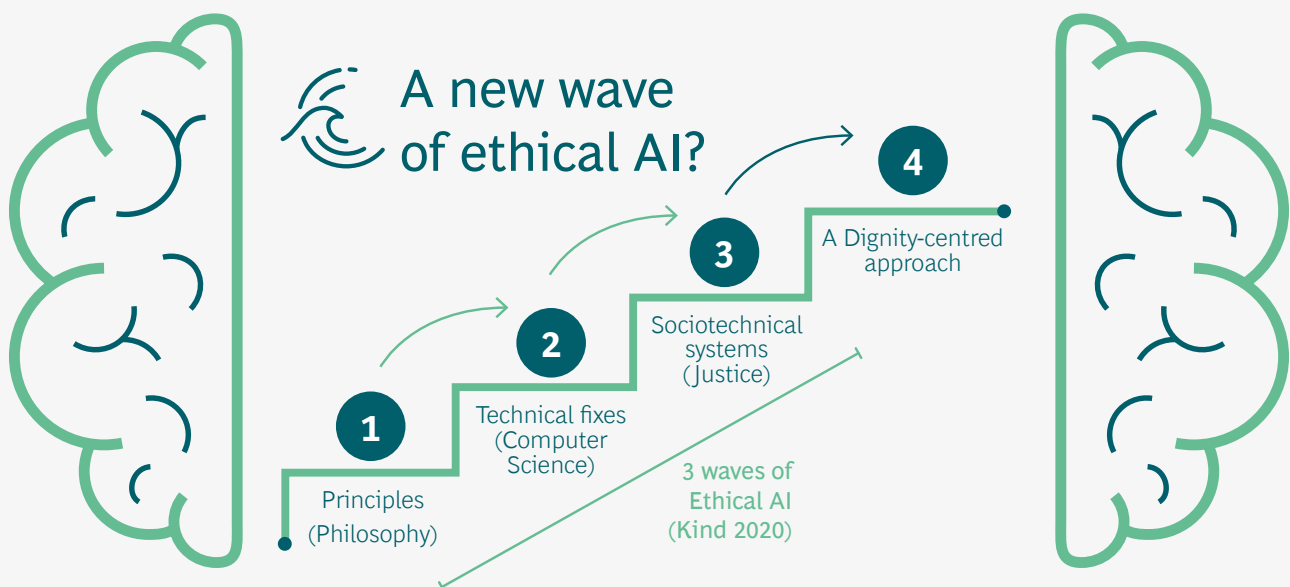4 A Dignity-centred approach

3 waves of Ethical AI (Kind 2020)

Figure 1: Waves of Ethical AI[15]

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13   Kind, "The Term 'Ethical AI' Is Finally Starting to Mean Something."
14   See 'Boundaries of our Research' and Table 2 for further details.
15   Kind

What we did

We chose to focus on dignity because it is crucial to human flourishing and an important aspect of modern democracies:

*"the modern concept of human dignity as a human right and a constitutional value has a strong communitarian aspect and **requires active involvement by the state to create the appropriate conditions for the realization of dignity**".[16]*

*An authentic democracy is not merely the result of a formal observation of a set of rules but is the fruit of a convinced **acceptance of the values that inspire democratic procedures: the dignity of every human person,** the respect of human rights, commitment to the common good as the purpose and guiding criterion for political life. If there is no general consensus on these values, the deepest meaning of democracy is lost and its stability is compromised."[17]*

In addition to this, dignity also features in a number of multilateral agreements of which the particular governments of interest (Australia, Canada and the UK (and many others)) are already party to.[18]

Through discourse analysis of the use of the word dignity in Hicks' book *Dignity: Its essential role in resolving conflict[19]*, we developed a view on what a Dignity Ecosystem means to us. We then translated that into an analytic tool which we have called a Dignity Lens. We applied the Dignity Lens to the AI ethics instruments of our focus governments to help us understand the extent to which the value of dignity appeared to have shaped the various instruments.

We selected government AI ethics instruments that are publicly available from the government websites of Australia[20], Canada[21] and the UK.[22] Using thematic and discourse analysis techniques, we examined the contexts of these instruments, their audiences and what they may explicitly or implicitly say about dignity and the roles governments play in relation to it.

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16 https://open.spotify.com/track/3WsthIWNVAwiQ34gmrOaRE

17 Pontifical Council for Justice and Peace, in ten Napel, *Constitutionalism, Democracy and Religious Freedom: To Be Fully Human*

18 For example, the underpinning nature of dignity in the Universal Declaration of Human Rights[i] and its subsequent reference in other mechanisms such as the OECD Principles on Artificial Intelligence – intended to "promote artificial intelligence (AI) that is innovative and trustworthy and that respects human rights and democratic values".[ii] More specifically, in June 2019, the G20 (of which Australia, Canada and the UK are a part) adopted AI principles for "responsible stewardship of Trustworthy AI". Human-centred values and fairness feature in these principles, and it makes explicit reference to the rule of law, human rights and democratic values including "freedom, dignity and autonomy, privacy and data protection, non-discrimination and equality, diversity, fairness, social justice, and internationally recognized labor rights".[iii]

19 Hicks, *Dignity: Its Essential Role in Resolving Conflict*.

20 Australian Government Department of Industry Science Energy and Resources, "AI Ethics Framework."

21 Government of Canada, "Responsible Use of Artificial Intelligence (AI)."

22 UK Government Digital Services, "Data Ethics Framework."

i   United National General Assembly, "Universal Declaration of Human Rights."
ii   Organisation for Economic Co-operation and Development, "OECD Principles on Artificial Intelligence."
iii G20, "G20 Ministerial Statement on Trade and Digital Economy."

Framing dignity

What do we mean by a Dignity Ecosystem?

A Dignity Ecosystem takes a dynamic view of dignity – ever-present, but not immune to the system in which it sits. Both protective and proactive roles are important to keep the Dignity Ecosystem in balance (see Figure 2).

Developing our view of what a Dignity Ecosystem is

Drawing on Hicks'[23] work we identified two ways in which government can enable dignity:

1. Through **Protective** roles – this includes mechanisms and actions associated with *preventing* dignity violations and/or *remedying* dignity violations; and

2. Through **Proactive** roles – this includes mechanisms and actions associated with *promoting* dignity.

Both Protective and Proactive roles are underpinned by *acknowledging* dignity.

We believe governments need to play both Protective and Proactive roles in order to realise dignity. We call this enabling a balanced Dignity Ecosystem.

Dignity Ecosystem

Acknowledging

10 essential elements of **Dignity**

Acknowledging

Protective

Mechanisms/actions that <u>Prevent</u> and <u>Remedy</u> dignity violations

Proactive

Mechanisms/actions that <u>Promote</u> dignity

Government's role is to **enable** a balanced Dignity Ecosystem
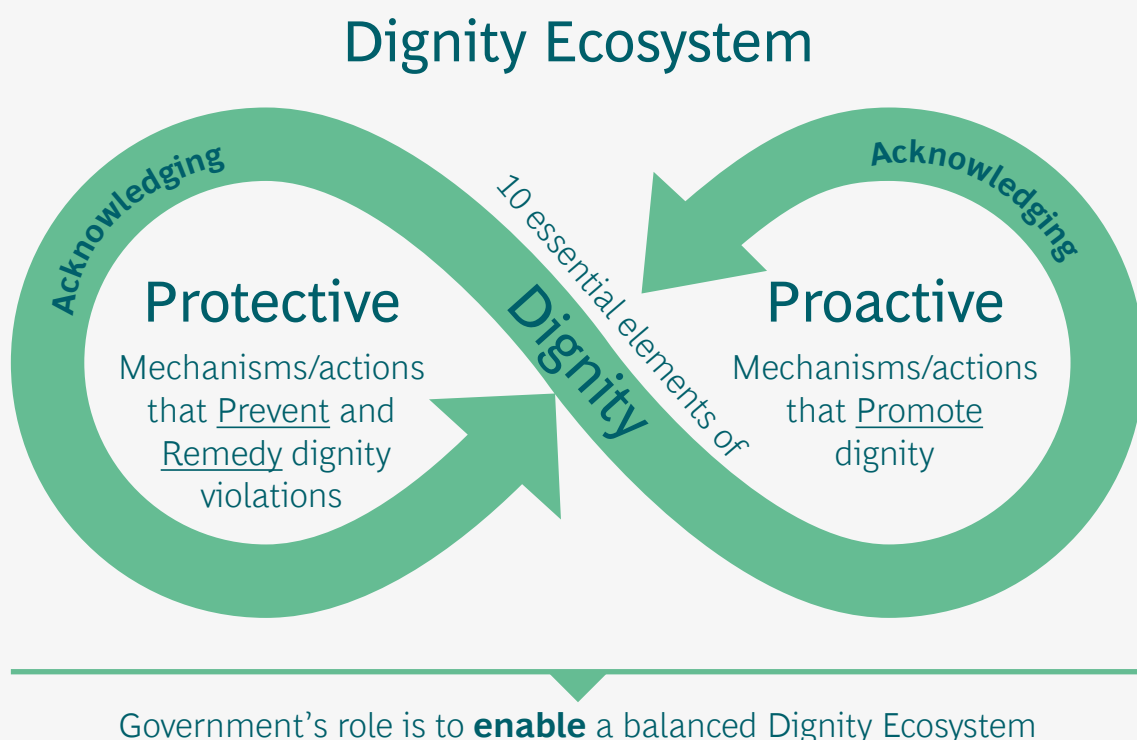
Figure 2: The Dignity Ecosystem

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23   Hicks, Dignity: *Its Essential Role in Resolving Conflict.*

What is the Dignity Lens?

The Dignity Lens provides a way to think about government's protective and proactive roles through the eyes of Hicks' 10 Essential Elements of Dignity.[24]

The Dignity Lens has been applied to government AI ethics instruments, through a consideration of the following questions:

- To what extent are Hicks' 10 Essential Elements of Dignity[25] reflected in government AI ethics instruments?

- What types of roles (Protective and/or Proactive) are being played by governments in relation to these dignity elements?

See Figure 3 for an overview of the Dignity Lens and Appendix 1 for Template Dignity Lens tool and user guidance.

The Dignity Lens

Hicks' 10 Essential Elements of Dignity

1. Acceptance of identity
2. Inclusion
3. Safety
4. Acknowledgement
5. Recognition
6. Fairness
7. Benefit of the doubt
8. Understanding
9. Independence
10. Accountability

Protective Roles

Prevention

How is **prevention of dignity violation(s)** addressed in government AI ethics instruments?

Remedy

How is **remedy for dignity violation(s)** addressed in government AI Ethics instruments?

Proactive Roles

Promotion

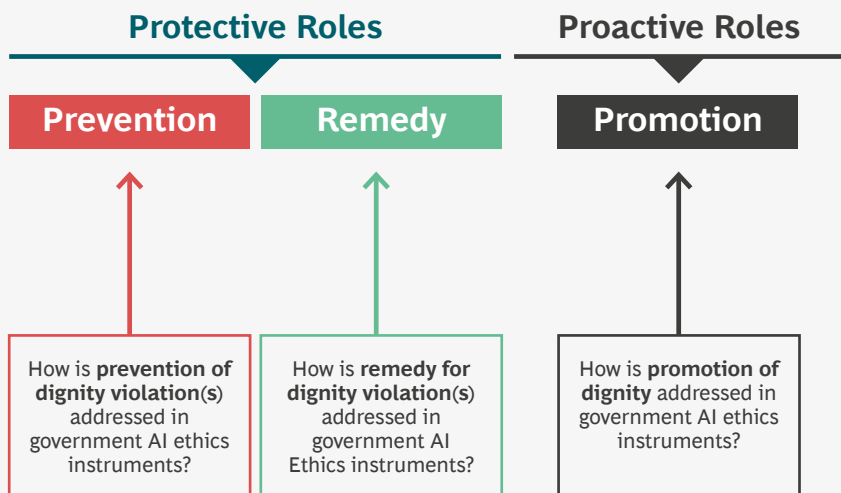How is **promotion of dignity** addressed in government AI ethics instruments?

Figure 3: The Dignity Lens

Applying the Dignity Lens – a working example

Hicks[26] identifies 'Acceptance of Identity' as an element of dignity. This element of dignity is focused on giving people the freedom to express their authentic selves without fear of being negatively judged [and able to] interact without prejudice or bias…[27]

Using the Dignity Lens, we explore how this dignity element can be pursued through government playing:

- **Protective roles:**

  o *Preventing Dignity Violations* via compliance with anti-discrimination laws, undertaking impact and risk assessments that look at anti-discrimination (amongst other things) and testing for unintended (data) biases that could lead to fears of being negatively judged or prejudiced against

  o *Remedying Dignity Violations* via mitigation actions in response to impact and risk assessments.

- **Proactive roles:**

  o *Promoting Dignity* via consultation with affected populations, involvement of diverse expertise and embedding user-centricity.

All of these mechanisms create the conditions for people to freely express their authentic selves (see Table 1).

Table 1: *Example of applying the Dignity Lens in practice.*

Hicks' 10 Essential Elements of Dignity[28]	**Mechanisms / actions**		
	Protective		**Proactive**
	Prevention	**Remedy**	**Promotion**
1. Acceptance of Identity *"Approach people as being neither inferior nor superior to you; give others the freedom to express their authentic selves without fear of being negatively judged; interact without prejudice or bias, accepting that characteristics such as race, religion, gender, class, sexual orientation, age, and disability are at the core of their identities."[29]*	• Compliance with anti-discrimination laws • Impact assessments (e.g. unintended consequences assessment, privacy impact assessments, Equality Impact Assessment etc) • Risk assessments • Testing for unintended (data) biases	• Bias mitigation • Other mitigation	• Consultation with affected populations • Involvement of diverse expertise (e.g. external stakeholders) • User-centricity

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26   Hicks
27   Hicks. p.25
28   Hicks.
29   Hicks. p.25

Boundaries of our research

Why focus on Australia, Canada and UK government AI ethics instruments?

Table 2 outlines the AI ethics instruments that have been selected from three federal (or equivalent) government jurisdictions: Australia, Canada and the UK. The focus on government AI ethics instruments (instead of instruments in industry, for example) was deliberate and in alignment with the Centre for Public Impact's mission to reimagine the role of government.[30] These three jurisdictions in particular were chosen[31] based on their perceived similarities:

- All are democracies operating in the Westminster system[32]

- All have existing commitments to human rights through UN Declaration on Human Rights[33] and to AI Ethics through OECD Principles on Artificial Intelligence[34] and G20 Human-Centred AI Principles[35]

- All have publicly available AI ethics instruments (see Table 2).

As Table 2 demonstrates, there are some similarities around principles incorporated in the AI ethics instruments – for example around transparency, fairness and explainability. However, digging more deeply into the instruments revealed many differences, for example in intended audience and enforceability, as illustrated in Table 2.

Overall, we can see that there is no one-size-fits-all approach to the development of AI ethics instruments, despite perceived similarities in governmental systems; their principles, audiences and enforceability are all context-dependent choices made by respective governments. This is an important context to be aware of as we further unpack the realisation of dignity in AI Ethics instruments.

In addition to our own analysis of the instruments, we also conducted high-level stakeholder interviews with members of governments' AI policy or equivalent groups. These conversations explored the extent to which the value of dignity had, or had not, shaped the instrument in question.

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30   Brown, "The Mindset Shift Emerging from Local Government | Centre For Public Impact (CPI)."; Snow, "Reimagining Government: Moving to an Enablement Paradigm | Centre For Public Impact (CPI)."

31   In terms of the instruments chosen, our approach took several steps. Firstly, we attempted to identify the 'core' AI Ethics instrument(s) for each jurisdiction. This was done through a search on each government's website for "Artificial Intelligence", "AI" and "ethics". For the 'core instrument(s)', we were looking for artefacts that represented the output of AI ethics (consultation) processes such as principles and frameworks. We cross-checked our findings against the OECD AI Policy Observatory[i] – a repository of AI policies provided to the OECD between September 2019 and February 2020. We also reviewed discussion or whitepaper documents that were publicly released as part of the process that led to the 'core' AI Ethics instrument in order to understand further the genesis of the AI Ethics instrument. Other documents such as strategies, roadmaps etc, whilst important contextual information, were consulted and then considered to be supplementary material. Our selection of texts was also sense-checked through high-level stakeholder interviews. See Table 2 for specification of each jurisdiction's 'core' AI Ethics instrument – the focus of analysis.

32   Wikipedia, "Westminster System."

33   United National General Assembly, "Universal Declaration of Human Rights."

34   Organisation for Economic Co-operation and Development, "OECD Principles on Artificial Intelligence ."

35   G20, "G20 Ministerial Statement on Trade and Digital Economy."

i   Organisation for Economic Co-operation and Development, "OECD.AI Policy Observatory: National AI Policies and Strategies."

Table 2: Principles, intended audiences, document ownership and enforceability of AI ethics instruments by jurisdiction.

	Australian Government	Canadian Government	UK Government
'Core' AI Ethics instrument(s)	AI Ethics Framework (November 2019)[36] comprising: • AI Guiding Principles • Applying the AI Ethics Principles • Developing the AI Framework and principles • Understanding AI ethics in context	Responsible use of artificial intelligence (AI) (March 2019)[37] comprising: • Guiding Principles • Directive on Automated Decision-Making • Algorithmic Impact Assessment	Data Ethics Framework (June 2018, last updated 2020)[38]
Principles Covered	• Human, social and environmental wellbeing • Human-centred values • Fairness • Privacy protection and security • Reliability and safety • Transparency and explainability • Contestability	• Understand and measure • Be transparent • Provide meaningful explanations • Be as open as we can • Provide sufficient training	• Transparency • Accountability • Fairness
Intended Audience	"Businesses and government looking to design, develop and implement AI in Australia"	Public servants using AI in government programs and services. "The Directive applies to any Automated Decision System developed or procured after April 1, 2020"	"...anyone working directly or indirectly with data in the public sector, including data practitioners (statisticians, analysts and data scientists), policymakers, operational staff and those helping produce data-informed insight."
Document 'owner'	Department of Industry, Science Energy and Resources	Treasury	Government Digital Service
Enforceability	Voluntary – "The principles are voluntary. They are aspirational and intended to complement- not substitute- existing AI Related regulations"	Enforceable – "compliance required" Consequences for non-compliance vary in severity including imposing conditions on funding or freezing funding allotments all together[39]	A guide

36   Australian Government Department of Industry Science Energy and Resources, "AI Ethics Framework."
37   Government of Canada, "Responsible Use of Artificial Intelligence (AI)."
38   UK Government Digital Services, "Data Ethics Framework."
39   Government of Canada, "Framework for the Management of Compliance," 2009.

Limitations of our approach

There are many limitations of our approach including:

- The focus on particular governments means that there may be limited applicability of this research to other sectors or potentially other governments.

- The assumption that these AI ethics instruments are reflective of the types of roles that governments play in relation to AI; other roles may also be played that are not reflected in these documents.

- This report is based largely on a desktop analysis with few stakeholder interviews in varying degrees of specificity. Moving forward, the work would benefit from more detailed stakeholder engagement, particularly with the current 'owners' of the core AI ethics instruments in every jurisdiction, ideally moving towards co-creation with governments.

- Our focus on Hicks' Dignity Model[40] narrows the scope considerably. There are many other definitions of dignity in the literature to consider,[41] including those that reduce dignity to 'respect for autonomy'.[42]

- Our positionality as researchers, sitting in an Australian context, has ultimately shaped our decisions to focus on Australia and other Commonwealth jurisdictions. We consider our positionality as an invitation for exchange; by attempting to make our researcher stance explicit (see Appendix 2 for more details), we hope to open a conversation about our approach and commit to being receptive to feedback to inform future directions.

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40   Hicks, Dignity: *Its Essential Role in Resolving Conflict*.

41   See for example, Donnelly, "Human Rights and Human Dignity: An Analytic Critique of Non-Western Conceptions of Human Rights."; Griffin-Heslin, "An Analysis of the Concept Dignity."; Lindwall and Lohne, "Human Dignity Research in Clinical Practice – a Systematic Literature Review."; Schroeder and Bani-Sadr, *Dignity in the 21st Century Middle East and West SpringerBriefs in Philosophy*.

42   Macklin, "Dignity Is a Useless Concept."

What we found

Finding 1: Lack of overt reference to dignity in government AI ethics instruments

Given the importance of dignity to democracy[43] and its identification in a range of multilateral agreements,[44] we anticipated that there would be overt reference to dignity in the AI ethics instruments of Australia, Canada and the UK. However, through our research, we've found that dignity is not explicitly referenced in either the Australian or the Canadian instruments, and is only referenced once by the UK AI Ethics instrument, in the descriptor text under the principle of Fairness.

To understand this further, we employed a discourse analysis technique called intertextuality to look at the references within each instrument to understand whether dignity is found in the documents referenced. See Table 3 for a summary view of our findings.

In the case of the UK, where the instrument itself refers to dignity once, dignity is also overtly referred to in Alan Turing Institute guidance[45] (a local jurisdiction document) as part of the "SUM Values" (see Figure 4). According to the Institute, this is a framework of ethical values which support, underwrite and motivate the responsible design and use of AI. Dignity is also referenced in multilateral OECD[46] and G20 documents.[47]

Table 3: Understanding references to dignity in 'core' government AI ethics instruments and documents that are referenced in these instruments

Jurisdiction	Textual Analysis	Intertextual analysis	
	Dignity referenced in 'core' AI Ethics instrument?	Number (%) of referenced documents where dignity is overtly considered	
		Multilateral or international document	Local jurisdiction document
Australia	No	3/3 (100%)	3/7 (43%)
Canada	No	0/0 (0%)	0/16 (0%)
United Kingdom	Yes	2/5 (40%)	3/27 (11%)

43   Ober, "Democracy's Dignity."
44   Organisation for Economic Co-operation and Development, "OECD Principles on Artificial Intelligence"; G20, "G20 Ministerial Statement on Trade and Digital Economy."; United National General Assembly, "Universal Declaration of Human Rights."
45   Leslie, "Understanding Artificial Intelligence Ethics and Safety Systems in the Public Sector."
46   Organisation for Economic Co-operation and Development, "OECD Principles on Artificial Intelligence ."
47   G20, "G20 Ministerial Statement on Trade and Digital Economy."

SUM Values

Respect
the dignity of
individual persons

Connect
with each other
sincerely, openly,
and inclusively

Protect
the priorities of
social values, justice,
and the public interest

Care
for the wellbeing
of each and all

Figure 4: Dignity is one of the SUM Values featured in a guidance paper[48] considered complementary to the UK AI Ethics instrument

In the case of Canada, not only is there no mention of dignity in the core document, there is no mention of the word dignity in any of the 16 other documents that are referenced within the instrument either.

For Australia, while the instrument itself doesn't explicitly mention dignity, it does refer to multilateral and international documents where dignity does feature, such as the IEEE Ethically Aligned Design Report,[49] the UN Sustainable Development Goals[50] and the OECD Principles on AI.[51]

This absence of any explicit references to dignity is perhaps surprising for both Canadian and Australian governments, given that dignity is a part of other foundational codes of conduct documents such as the Public Safety Canada Code of Conduct which states that, "treating people with respect, dignity and fairness is fundamental to our relationship with the Canadian public".[52] Similarly, the Australian Government's Customer Service Charter outlines what the public can expect from the government's customer service – treatment "with dignity and respect".[53] Further, in the case of Australia, the Department of Home Affairs states that "Australian values include respect for the freedom and dignity of the individual".[54]

All in all, dignity is either absent or marginal in the AI ethics instruments we analysed, despite a commitment to it through multilateral agreements and often reference to it in foundational values-based documents of these governments.

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48   Leslie, "Understanding Artificial Intelligence Ethics and Safety Systems in the Public Sector."
49   Chatila and Havens, "The IEEE Global Initiative on Ethics of Autonomous and Intelligent Systems."
50   United Nations, "Transforming Our World: The 2030 Agenda for Sustainable Development."
51   Summary – Organisation for Economic Co-operation and Development, "OECD Principles on Artificial Intelligence ." Stems from recommendations including defining human rights and democratic values to include dignity in Organisation for Economic Co-operation and Development (OECD), "Recommendation of the Council on Artificial Intelligence."
52   Government of Canada, "Public Safety Canada Code of Conduct."
53   Australian Government Department of Industry Science Energy and Resources, "Customer Service Charter."
54   Australian Government Department of Home Affairs, "Australian Values."

Finding 2: Governments are focused on protecting citizens from dignity violations, and there are opportunities to proactively promote dignity

From looking at each AI Ethics instrument through the Dignity Lens, we found that, overall, there is an emphasis on governments playing protective roles; that is, **there are more examples of governments preventing and remedying dignity violations in their AI ethics instruments than there are of governments promoting dignity** (see Figure 5).

Each mechanism or action found in government AI ethics instruments was classified by asking the following questions:

- Does it address one or more of Hicks' 10 Essential Elements of Dignity?[55] If so, which one(s)?
- Does it assist in preventing dignity violations?
- Does it assist in remedying dignity violations?
- Does it assist in promoting embodiment of dignity?

Figure 5 shows a summary of the different types of mechanisms and actions found in government AI ethics instruments. 16 mechanisms associated with protective roles have been identified compared with only 5 mechanisms associated with proactive roles.

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55   Hicks, *Dignity: Its Essential Role in Resolving Conflict.*

🛡 Protective Roles

💡 Proactive Roles

Preventing
dignity violation

*What does government taking a **preventing role** look like in current AI ethics instruments?*

- Compliance with anti-discrimination laws [#1, #4, #5, #6]
- Compliance with data protection and privacy rights [#5]
- Compliance with other requirements [#5]
- Impact assessments [#1, #4, #5, #6, #8]
- Risk assessments [#1, #4, #5, #6, #8]
- Testing for unintended (data) biases [#1, #6, #9]
- (Data) control mechanisms [#5]
- Anonymisation [#5, #6]
- **Hiring diverse teams [#4]
- Governance and accountability mechanisms [#5, #8, #10]
- Responsible disclosure [#6, #7, #8]

Remedying
dignity violation

*What does government taking a **remedying role** look like in current AI ethics instruments?*

- Bias mitigation [#1, #6, #9]
- Other mitigation [#1, #4, #5, #6, #8]
- Mechanisms that allow you to review and challenge decisions [#3, #6, #10]
- Recourse options [#3, #6, #10]
- Human oversight / intervention [#6, #7, #10]

Promoting
embodiment of dignity

*What does government taking an **promoting role** look like in current AI ethics instruments?*

- Consultation with affected populations [#1, #2, #3, #4, #7, #8]
- Involvement of diverse expertise [#1, #2, #3, #4, #7, #8]
- User-centricity [#1, #4, #6, #8]
- **Hiring diverse team members [#4]
- Transparency with public e.g. publicly available information [#2, #6, #7, #8]

16 mechanisms / actions associated with a protective role

5 mechanisms / actions associated with a promoting role

**Hiring diverse teams is employed in both a preventing sense (to minimise risk and prevent biases) and in a promotion sense (to encourage creativity and diversity of thought)
[Numbers refers to Hicks 10 Essential Elements of Dignity]: #1 Acceptance of Identity; #2 Recognition; #3 Acknoledgement; #4 Inclusion; #5 Safety: #6 fairness:, #7 Independence; #8 Understanding; #9 Benefit of the Doubt; #10 Accountability

Figure 5: Overview of mechanisms present in the AI ethics instruments of Australia, Canada and the UK, mapped role and to Hicks' 10 elements of dignity

Why is there an emphasis on protective roles?

Three potential reasons for an emphasis on protective roles came to light through reflections on our research and conversations.

Firstly, we observed from our intertextual analysis that concepts of dignity are more likely to be present in multilateral documents compared to those developed within the countries examined. Since dignity became prominent through the creation of the Universal Declaration of Human Rights[56] – a multilateral document – could there be an unwritten understanding that dignity promotion is a responsibility of multilateral organisations and agreements, not of governments?[57]

Secondly, we observed that, at face value, proactive roles can seem less 'concrete' than protective ones. Protective roles seem to be more aligned with a measure and report mindset where checklists and tools can be created to cover off these responsibilities, fuelling a compliance-based culture.

Proactive roles require a different mindset, one that isn't about meeting a minimum standard or complying with a pre-defined basic limit, but about actively trying to optimise a limitless upside. Considering "cost, speed and convenience"[58] have been driving principles of many government transformations, including technological ones, proactive roles may seem superfluous, 'not our role' and difficult to define and action.

We disagree. We believe that promotion mechanisms are an integral part of creating, implementing and managing a balanced Dignity Ecosystem in the context of AI-enabled systems. We also believe that they can be actionable and clear. Below, we outline three specific examples of the kinds of real-world impacts that could result from including dignity promotion mechanisms in AI ethics instruments:

Table 4: Overview of promotion mechanisms in three contexts and the outcomes they enable

Dignity Promotion Mechanism(s)	Context	Outcome(s) that dignity promotion mechanism(s) enables (reference to Hicks' dignity elements is in **bold**)
Consulting affected populations Co-creation approaches to design and implementation Employment of affected populations in design and implementation	Scaling an AI-enabled health coaching chatbot from a non-Indigenous to an Indigenous population.	By consulting with affected populations, people are given the freedom to express their authentic selves (**Acceptance of Identity**). Through engaging with members of the affected population in the process (either in a consultation or paid employment capacity), these mechanisms promote **recognition** of the unique talents of the affected population, **includes** them in the process and provides a way by which they can take control of the potential impact of the technology on their lives (**Independence**). Creating the conditions for conversation and co-creation enables **acknowledgement** and **understanding** of their perspective and concerns.
Public engagement channels	Transforming a regional town into an AI-enabled smart city.	Public engagement channels would enable people to have a say over the future of their community and their own lives (**Independence**). It also enables pathways for listening to citizens and validating their concerns (**Acknowledgement**). In doing so, it demonstrates that what citizens think matters to the future community and matters to the government (**Understanding**).
Diversity of implementation of AI-enabled tools	Assisting social workers to make decisions with an AI tool.	Allowing social workers to implement an AI-enabled decision-making tool in the way they see fit **includes** them in the process, **recognises** their knowledge and experiences as professionals in the process and gives them the opportunity to control how a new tool will affect their job (**Independence**).[59] The establishment of feedback and review channels allows for continued **understanding** of social workers and what matters to them and provides a way to hold technologists and other stakeholders to account for what they have designed (**Accountability**).

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56   United National General Assembly, "Universal Declaration of Human Rights."
57   It is worth noting here that dignity is overtly referenced in most of the worlds' constitutions (84% of the world's sovereign countries as at 2012),ⁱ though interestingly, not in the Australian Constitutionⁱⁱ or Canadian Charter of Rights and Freedoms.ⁱⁱⁱ The UK does not have a Constitution per se, but dignity does not feature in its UK Human Rights Act.ⁱᵛ
58   Stewart-Weeks and Cooper, *Are We There yet? The Dignity Transformation of Government and the Public Sector in Australia.*
59   Snow, "From Satisficing to Artificing: The Evolution of Administrative Decision-Making in the Age of the Algorithm."

      i Shulztiner and Carmi, "Human Dignity in National Constitutions: Functions, Promises and Dangers."
      ii Parliament of Australia, "The Australian Constitution."
      iii Government of Canada, "Constitution Acts, 1867 to 1982."
      iv UK Government, "Human Rights Act 1998."

What ethics **is not**

1. **Legal / Corporate 'compliance'**
2. **A fixed set of rules to follow**
3. **A purely negative frame** ('don't do that')
4. **Subjective sense of right and wrong** ('you have ethics, I have mine.')
5. **Religious belief**
6. **Non-moral Customs of Etiquette** ('that's just not done here.')
7. **Uncritical obedience to Authority.**

What ethics **is**

1. **Promoting objective** (but context & culture-dependent) **conditions of human flourishing**
2. **Respecting the dignity of others and the duties created in our relationships to them**
3. **Living as a person of integrity and principle**
4. **Promoting beneficial and just outcomes, avoiding and minimising harm to others**
5. **Cultivating one's own character to become increasingly more noble and excellent**
6. **A skilful practice or moral perception, sensitivity, and flexible, discerning judgement**
7. **Learning to more expertly see and navigate the moral world and its features**

Finally, our research revealed that governments are oversimplifying both what AI Ethics is, as well as what dignity is. This undermines governments' ability to enable dignity.

Traditionally, Ethics is not about legal compliance or a fixed set of rules, nor is it about a purely negative frame of what not to do; rather Ethics is about promoting objective (but context & culture-dependent) conditions of human flourishing, respecting the dignity of others, promoting beneficial and just outcomes and avoiding and minimising harm to others (amongst many other things) (see Figure 6).[61]

However, our analysis revealed that this framing appears to have been lost in the process of translating broad Ethical principles to AI ethics instruments. The AI ethics instruments which we analysed were characterised by:

- A reductionist focus on avoiding, minimising and remedying harms to others through protection roles

- A misplaced focus on mechanisms that are not ethics at all, such as compliance-based mechanisms and rules-based assessment tools

- A minimisation of proactive mechanisms such as promoting dignity of others

- With the exception of Canada's commitment to training as a guiding principle, little regard to personal dignity dimensions as living as a person of integrity, cultivating skills in moral judgement and perception etc.

Somewhere, in the application of ethics to the field of AI, the full meaning of ethics is lost in translation; proactive roles have been dampened and protective ones have been amplified, arguably at the cost of realising a healthy Dignity Ecosystem.

60   Vallor, Green, and Raicu.

61   Vallor, Green, and Raicu, "Overview of Ethics in Tech Practice – Markkula Center for Applied Ethics."

Future directions

There are three steps that we believe governments could take to improve their Dignity Ecosystems:

1. Apply the Dignity Lens to heighten awareness of the roles governments are pursuing through AI ethics instruments

Governments could consider applying the Dignity Lens to their own context. This could assist governments in two ways: firstly to understand how their AI ethics instrument is aligned to Hicks' 10 Essential Elements of Dignity[62] and secondly, to understand the types of roles they are currently playing in respect to a Dignity Ecosystem.

It is not anticipated that governments need to be playing all roles across all elements of dignity; that may not be helpful or appropriate. However, we think a balance of protective and proactive roles is needed. Building awareness of how government AI ethics instruments are contributing to the Dignity Ecosystem is a first step. See Appendix 1 for a template Dignity Lens analytic tool that could be used as a starting point.

2. Incorporate dignity promotion into already-existing mechanisms

Mechanisms (as identified in Figure 5) can be applied in protective and proactive ways, but governments are generally implementing impact assessments and human oversight mechanisms in only a protective way. Proactive applications of these mechanisms are also possible.

For example, human oversight mechanisms, which exist in all of the instruments we analysed, are currently framed protectively – for instance, being able to use human judgement to remedy an AI error. However, human oversight could also be framed proactively. For example, in the case of an AI-enabled robot that is washing an elderly, immobile nursing home resident, full automation may be technologically possible, but human oversight could be introduced proactively as a way of realising human dignity of the individual.

Similarly, impact assessments in current instruments are also framed in a protective way, focusing on identifying and mitigating negative impacts. For example, in Canada's Algorithmic Impact Assessment tool,[63] 'impacts' are assumed to be negative impacts. However, impact assessments could also promote dignity if their scope was expanded to include an assessment of positive impacts, benefits and the enablement of these.

Governments could re-frame existing mechanisms like human oversight mechanisms and impact assessments to encompass both protective and proactive roles. These are only two examples and we look forward to uncovering others.

3. Work with us to co-create more ways to enable healthy Dignity Ecosystems

This report is intended to open a conversation. We hope that it will actively encourage debate and, in the process, unlock new avenues of exploration, ideally leading to co-creation processes with governments.

If the arguments of this report resonate, if you have challenges that you'd like to discuss or if you're interested in finding out more, we want to hear from you. We welcome opportunities to work with governments to co-create more ways to enable healthy Dignity Ecosystems through AI ethics instruments.

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62   Hicks, Dignity: Its Essential Role in Resolving Conflict.
63   Government of Canada, "Algorithmic Impact Assessment (AIA) ."

Conclusions

Over time, we've watched the notion of government as an enabler of human flourishing dwindle in terms of how governments design and deliver policies and services. When it comes to Artificial Intelligence, we don't want to see the role of governments follow the same path. A focus on dignity could provide a way forward.

What we've realised through this work is that it's not dignity per se that's missing from AI ethics instruments; governments have a variety of mechanisms and actions in place that, whilst not necessarily labelled dignity, nevertheless do protect against dignity violations. What's missing, or at the very least is less prominent, are proactive government roles when it comes to dignity. Prevention and remedy for dignity violations needs to sit hand in hand with dignity promotion for stronger Dignity Ecosystems. We want to be a part of that and hope you'll join us in co-creating a new wave of government AI Ethics in service of dignity.

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Appendix 1 – Template Dignity Lens tool

This Appendix consists of four parts.

1. A high level step-by-step guide on how to use the Dignity Lens analytic tool;

2. A template of the dignity lens analytic tool;

3. A worked example of the template completed; and

4. An example visualisation of the findings.

The worked example uses the combined findings of this paper across three jurisdictions' AI ethics instruments.

Using the Dignity Lens tool – a step-by-step guide

Below we summarise some steps that may be helpful to consider as you apply the Dignity Lens to your own context.

1. **Define your purpose.** Before starting, think about why you've decided to use this tool. What are you hoping to find out? What might you do with the findings?

2. **Consider who is best placed to contribute to this process:** This may be a solo endeavour or may involve a team of people. In light of your purpose, consider who is best placed to be involved.

3. **Select your (AI Ethics) instrument(s).** Select the focus of your analysis – is it a particular document? Or a suite of documents? Or a way to capture what is currently unwritten? In our case we selected a 'core' document or document suite by looking at what was publicly available and how it was presented on a government website. Although this has been designed for the context of AI Ethics instruments, there may be relevance to applying the Dignity Lens to other documents.

4. **Identify the mechanisms and actions within the (AI Ethics) instrument(s).** By "mechanisms and actions" we mean tangible processes, systems or activities that are reflected in the instrument. For example, a mechanism could look like an impact or risk assessment process (prevention), an action could be to provide recourse (remedy) or consult affected populations (promotion). Statements of intent e.g. 'respect autonomy' or 'advance human capabilities' are more difficult to categorise and were not included.

5. **Map mechanisms to Hicks' 10 Essential Elements of Dignity[64] (rows in the template).** Consider which mechanisms address which elements of dignity. It is likely that a mechanism is connected to more than one dignity element, if this is the case include it against each relevant dignity element. Exclude mechanisms that are not connected to dignity by Hicks'[65] definition.

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64   Hicks, *Dignity: Its Essential Role in Resolving Conflict.*
65   Hicks

6. **Map mechanisms to the role they play – prevention of dignity violations, remedy of dignity violations and/or promotion of dignity (columns in the template).** In conjunction with considering where the mechanism maps to the 10 elements of dignity (Step 5), consider what role the mechanism plays. It is likely it will play one role, however there are instances where the same mechanism can play different roles. For example, human oversight can be employed to comply with a safety regulation (protective) but it could also be employed proactively as a way of humanising an otherwise automated process to promote dignity of the humans involved in the system.

7. **Complete the boxes of the table.** It might be that not every box has a mechanism. It might be that the same mechanism is repeated in multiple boxes. See example below.

8. **Consider creating a visualisation of the mechanisms and their mapping to dignity elements and roles.** See example below

9. **Consider the balance of the Dignity Ecosystem.** Look at the balance of protective (prevention and remedy mechanisms and actions) and proactive (promotion mechanisms and actions) roles. What does this tell you about the Dignity Ecosystem pursued through this instrument? Look at the mapping of mechanisms to the different dignity elements. Which elements are accounted for? Which elements are missing? Is there an emphasis on particular dignity elements?

10. **Consider what could be done with the insights from Step 9.**
    After understanding the balance of protective and proactive roles played through this instrument, what could be done to improve the balance? After understanding the focus of the instrument(s) on particular dignity elements, what could be done to more comprehensively address dignity elements? Consider how existing mechanisms / actions could be adapted to include other roles and other dignity elements and what new mechanisms / actions could be introduced.

Dignity Lens analytic tool template

Donna Hicks 10 Essential Elements of Dignity[66]	Mechanisms / actions		
	Protective roles		**Proactive roles**
	Prevention	**Remedy**	**Promotion**
1. Acceptance of Identity *Approach people as being neither inferior nor superior to you; give others the freedom to express their authentic selves without fear of being negatively judged; interact without prejudice or bias, accepting that characteristics such as race, religion, gender, class, sexual orientation, age, and disability are at the core of their identities.*			
2. Recognition *Validate others for their talents, hard work, thoughtfulness, and help; be generous with praise; give credit to others for their contributions, ideas, and experiences.*			
3. Acknowledgment *Give people your full attention by listening, hearing, validating, and responding to their concerns and what they have been through.*			
4. Inclusion *Make others feel that they belong, at all levels of relationship (family, community, organization, and nation).*			
5. Safety *Put people at ease at two levels: physically, so they feel free from the possibility of bodily harm, and psychologically, so they feel free from concern about being shamed or humiliated and free to speak without fear of retribution.*			

66   Hicks, *Dignity: Its Essential Role in Resolving Conflict.*

Donna Hicks 10 Essential Elements of Dignity	Mechanisms / actions		
	Protective roles		Proactive roles
	Prevention	Remedy	Promotion
6. Fairness *Treat people justly, with equality, and in an evenhanded way according to agreed-on laws and rules.*			
7. Independence *Encourage people to act on their own behalf so that they feel in control of their lives and experience a sense of hope and possibility.*			
8. Understanding *Believe that what others think matters; give them the chance to explain their perspectives and express their points of view; actively listen in order to understand them.*			
9. Benefit of the Doubt *Treat people as if they are trustworthy; start with the premise that others have good motives and are acting with integrity.*			
10. Accountability *Take responsibility for your actions; apologize if you have violated another person's dignity; make a commitment to change hurtful behaviours.*			

Dignity Lens analytic tool – worked example

Donna Hicks 10 Essential Elements of Dignity[67]	Mechanisms / actions		
	Protective roles		**Proactive roles**
	Prevention	**Remedy**	**Promotion**
1. Acceptance of Identity *Approach people as being neither inferior nor superior to you; give others the freedom to express their authentic selves without fear of being negatively judged; interact without prejudice or bias, accepting that characteristics such as race, religion, gender, class, sexual orientation, age, and disability are at the core of their identities.*	• Compliance with anti-discrimination laws • Impact assessments (e.g. unintended consequences assessment, privacy impact assessments, Equality Impact Assessment etc) • Risk assessments • Testing for unintended (data) biases	• Bias mitigation • Other mitigation	• Consultation with affected populations • Involvement of diverse expertise (e.g. external stakeholders) • User-centricity
2. Recognition *Validate others for their talents, hard work, thoughtfulness, and help; be generous with praise; give credit to others for their contributions, ideas, and experiences.*			• Consultation with affected populations • Involvement of diverse expertise • Transparency with public e.g. publicly available information
3. Acknowledgment *Give people your full attention by listening, hearing, validating, and responding to their concerns and what they have been through.*		• Mechanisms that allow you to review and challenge decisions • Recourse options	• Consultation with affected populations • Involvement of diverse expertise
4. Inclusion *Make others feel that they belong, at all levels of relationship (family, community, organization, and nation).*	• Compliance with anti-discrimination laws • Impact assessments (e.g. unintended consequences assessment, privacy impact assessments, Equality Impact Assessment etc) • Risk assessments • Hiring diverse teams	• Other mitigation	• Consultation with affected populations • Involvement of diverse expertise (e.g. external stakeholders) • User-centricity • Hiring diverse team members

67   Hicks

Donna Hicks 10 Essential Elements of Dignity	Mechanisms / actions		
	Protective roles		**Proactive roles**
	Prevention	**Remedy**	**Promotion**
5. Safety *Put people at ease at two levels: physically, so they feel free from the possibility of bodily harm, and psychologically, so they feel free from concern about being shamed or humiliated and free to speak without fear of retribution.*	• Compliance with anti-discrimination laws • Compliance with data protection and privacy rights e.g. GDPR • Compliance with other requirements • Impact assessments (e.g. unintended consequences assessment, privacy impact assessments, Equality Impact Assessment etc) • Risk assessments • (Data) control mechanisms • Anonymisation • Governance and accountability	• Other mitigation	
6. Fairness *Treat people justly, with equality, and in an evenhanded way according to agreed-on laws and rules.*	• Compliance with anti-discrimination laws • Impact assessments (e.g. unintended consequences assessment, privacy impact assessments, Equality Impact Assessment etc) • Risk assessments • Testing for unintended (data) biases • Anonymisation • Responsible disclosure that you're engaging with or being impacted by an AI and justification for AI system outcomes	• Bias mitigation • Other mitigation • Mechanisms that allow you to review and challenge decision • Recourse options • Human oversight/ intervention	• Consultation with affected populations • Involvement of diverse expertise • Transparency with public e.g. publicly available information
7. Independence *Encourage people to act on their own behalf so that they feel in control of their lives and experience a sense of hope and possibility.*	• Responsible disclosure that you're engaging with or being impacted by an AI and justification for AI system outcomes	• Human oversight/ intervention	• Consultation with affected populations • Involvement of diverse expertise (e.g. external stakeholders) • Transparency with public e.g. publicly available information

Donna Hicks 10 Essential Elements of Dignity	Mechanisms / actions		
	Protective roles		Proactive roles
	Prevention	Remedy	Promotion
8. Understanding *Believe that what others think matters; give them the chance to explain their perspectives and express their points of view; actively listen in order to understand them.*	• Impact assessments (e.g. unintended consequences assessment, privacy impact assessments, Equality Impact Assessment etc) • Risk assessments • Governance and accountability • Responsible disclosure that you're engaging with or being impacted by an AI and justification for AI system outcomes	• Other mitigation	• Consultation with affected populations • Involvement of diverse expertise (e.g. external stakeholders) • User-centricity • Transparency with public e.g. publicly available information
9. Benefit of the Doubt *Treat people as if they are trustworthy; start with the premise that others have good motives and are acting with integrity.*	• Testing for unintended (data) biases	• Bias mitigation	
10. Accountability *Take responsibility for your actions; apologize if you have violated another person's dignity; make a commitment to change hurtful behaviours.*	• Governance and accountability	• Mechanisms that allow you to review and challenge decision • Recourse options • Human oversight/ intervention	

Example visualisation of findings from Dignity Lens

Role	Mechanism / Action		Action	Jurisdiction AU	CA	UK	Element of Dignity (Hicks) 1. Acceptance of Identity	2. Recognition	3. Acknowledgement	4. Inclusion	5. Safety	6. Fairness	7. Independence	8. Understanding	9. Benefit of the Doubt	10. Accountability
Protective	Preventing dignity violations	Compliance-related	Compliance with anti-discrimination laws													
			Compliance with data protection and privacy rights e.g. GDPR													
			Compliance with other requirements e.g. procedural fairness, other legal documents etc and due process													
		Assessment-related	Impact assessment (e.g. unintended consequences assessment, privacy impact assessments, Equality Impact Assessment etc)													
			Risk Assessment													
		Data-related	Testing for unintended (data) biases													
			(Data) control mechanisms													
			Anonymisation													
			**Hiring diverse teams													
			Governance and accountability													
			Responsible disclosure that you're engaging with or being impacted by an AI and justification for AI system outcomes													
	Remedying dignity violations	Mitigation-related	Bias mitigation													
			Other mitigation													
			Mechanisms that allow you to review and challenge decisions													
			Recourse options													
			Human oversight / intervention													
Proactive	Promoting dignity	Consultation-related	Consultation with affected populations													
			Involvement of diverse expertise e.g. external stakeholders													
			User-centricity													
			**Hiring diverse team members													
			Transparency with public e.g. publicly available information													

** Note hiring diverse teams is employed in ways that prevent dignity violations and promote dignity

Appendix 2 – Researcher stance

We have been inspired by the work of *Data Feminism* authors, D'Ignazio and Klein,[68] to include a statement on our researcher stance, as a way of orienting the reader to what has shaped our research.

This work has been influenced by the backgrounds of Lorenn Ruster and Thea Snow. Both are Australian women who have lived in different countries for part of their careers.

Lorenn is a Master of Applied Cybernetics Student at the 3A Institute (3AI) at the Australian National University. Before her studies she spent 10 years in strategy consulting and was a part of establishing a world-first majority Indigenous owned, staffed and managed consulting company in the PricewaterhouseCoopers Network of Firms. Born in Australia, from a middle-class Catholic family with Maltese and German heritage, she experiences significant privilege from her whiteness, ability, education and institutional affiliation and experiences some oppression based on her gender. She has studied in Australia, Denmark, France and the UK and has worked in urban, regional and remote Australia as well as India, USA and Uganda. Her experiences as an Acumen Global Fellow in 2015/2016 cemented her interest in the importance of dignity. For Lorenn, this research forms a 'capstone' project for her Masters degree and an opportunity to further explore the intersection of dignity and technology that has been a common thread throughout her Masters program.

Thea is a Director of the Centre for Public Impact, leading their work in Australia and New Zealand. Before moving to the Centre for Public Impact, she worked as part of Nesta's Government Innovation team (Data & Technology) in London, England. Thea also spent nine years working as a civil servant in Australia, and two years working as a lawyer at King & Wood Mallesons. Born in Melbourne, Australia, to a Jewish family who fled Europe as survivors of the Holocaust, Thea is shaped by the experience of her family's recent trauma, but has nonetheless grown up experiencing significant privilege from her whiteness, education, and institutional affiliation, among other things, and experiences some oppression based on her gender. Whilst in London, Thea began exploring the opportunities and risks associated with government's use of data and technology. She sees this research as an opportunity to introduce a new framing, and new questions, to more deeply explore the role of government when it comes to shaping the technologies of our collective futures.

Both are impact-driven individuals, dedicated to pushing the boundaries of what is possible and applying a systems thinking approach to their work. For both Thea and Lorenn, it is hoped that this work is the first phase of a longer research collaboration.

This research is also influenced by the stance of the organisations within which Lorenn and Thea work /study. Thea is a Director of the Centre for Public Impact (CPI). Funded by the Boston Consulting Group Foundation, CPI is driven by the concept of government reimagined with 'enablement' at its core. An enablement mindset views public systems more like a garden that requires cultivation rather than control.[69]

Lorenn is a Masters student at the 3A Institute (3AI) at the Australian National University. 3AI is on a mission to build a new branch of engineering that enables cyber-physical systems to scale in ways that are safe, sustainable and responsible.[70]

This research is intended to open an exchange. We recognise that this is a contribution to a much much larger conversation. For those reading this work and seeing ideas or research that are absent or inadequately acknowledged, we welcome your feedback and further opening of our perspectives.

68   D'Ignazio and Klein, *Data Feminism*.
69   Centre For Public Impact, "Enablement: How Governments Can Achieve More by Letting Go ."
70   3A Institute, "Research – Asking the Right Questions."

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