**The Code of Ethics for the Next Generation of Artificial Intelligence[[1]](#footnote-1)**

National Professional Committee for the Governance of New Generation Artificial Intelligence

September 25, 2021

On September 25, the National Committee for the Governance of New Generation Artificial Intelligence issued the Code of Ethics for the New Generation of Artificial Intelligence (hereinafter referred to as the "Code of Ethics"), which aims to integrate ethics into the entire life cycle of artificial intelligence and provide ethical guidance for natural persons, legal persons and other relevant institutions engaged in AI-related activities.

The Code of Ethics fully considers the current ethical concerns of all sectors of society regarding privacy, prejudice, discrimination, fairness, etc., including general provisions, ethical norms for specific activities, and organization and implementation. The Code of Ethics puts forward six basic ethical requirements, including improving human well-being, promoting fairness and justice, protecting privacy and security, ensuring controllability and trustworthiness, strengthening responsibility, and improving ethical literacy. At the same time, 18 specific ethical requirements for specific activities such as AI management, research and development, supply, and use are proposed. The full text of the Code of Ethics is as follows:

These norms are formulated to thoroughly implement the "Development Plan for the Development of the New Generation of Artificial Intelligence", refine the implementation of the "Principles for the Governance of the New Generation of Artificial Intelligence", enhance the ethical awareness and behavioral consciousness of the whole society, actively guide responsible AI R&D and application activities, and promote the healthy development of AI.

**Chapter I: General Provisions**

**Article 1:** The purpose of these Norms is to integrate ethics and morality into the entire life cycle of artificial intelligence, to promote fairness, justice, harmony, and security, and to avoid issues such as prejudice, discrimination, privacy, and information leakage.

**Article 2:** These Specifications apply to natural persons, legal persons, and other relevant institutions engaged in activities related to the management, research and development, supply, and use of artificial intelligence. (1) Management activities mainly refer to the formulation and implementation of strategic planning, policies, regulations, and technical standards related to artificial intelligence, resource allocation, and oversight and review. (2) R&D activities mainly refer to scientific research, technology development, and product development related to artificial intelligence. (3) Supply activities mainly refer to the production, operation, and sales of AI products and services. (4) Use activities mainly refer to the procurement, consumption, and operation of AI products and services.

**Article 3:** All types of AI activities should follow the following basic ethical norms. (1) Improving human well-being. Adhere to the people-oriented, follow the common values of mankind, respect human rights and the fundamental interests of mankind, and abide by national or regional ethics and morality. Adhere to the priority of public interests, promote harmony and friendship between man and machine, improve people's livelihood, enhance the sense of well-being, promote sustainable economic, social and ecological development, and jointly build a community with a shared future for mankind. (2) Promote fairness and justice. Adhere to inclusiveness and inclusiveness, effectively protect the lawful rights and interests of all relevant entities, promote the fair sharing of the benefits brought by AI by the whole society, and promote social fairness, justice and equal opportunities. When providing AI products and services, we should fully respect and help vulnerable groups and special groups, and provide corresponding alternatives as needed. (3) Protect privacy and security. Fully respect the rights to know and consent to personal information, handle personal information in accordance with the principles of legality, legitimacy, necessity, and good faith, ensure personal privacy and data security, must not harm individuals' lawful rights and interests in data, must not illegally collect or use personal information by means such as stealing, tampering, or leaking, and must not infringe on personal privacy. (4) Ensure controllability and credibility. Ensure that human beings have full autonomy in decision-making, have the right to choose whether to accept the services provided by AI, have the right to withdraw from interaction with AI at any time, and have the right to suspend the operation of AI systems at any time, so as to ensure that AI is always under human control. (5) Strengthen responsibility. Adhere to the principle that human beings are the ultimate responsible body, clarify the responsibilities of stakeholders, comprehensively enhance the sense of responsibility, introspect and self-discipline in all aspects of the entire life cycle of artificial intelligence, establish an accountability mechanism for artificial intelligence, and do not evade responsibility review or responsibility. (6) Improve ethical literacy. Actively study and popularize the knowledge of AI ethics, objectively understand ethical issues, and do not underestimate or exaggerate ethical risks. Actively carry out or participate in discussions on AI ethics issues, further promote the practice of AI ethics governance, and improve response capabilities.

**Article 4:** The ethical norms that should be observed in specific AI activities include management norms, R&D norms, supply norms, and usage norms.

**Chapter II: Management Norms**

**Article 5:** Promote agile governance. Respect the laws of AI development, fully understand the potential and limitations of AI, continue to optimize governance mechanisms and methods, and promote the healthy and sustainable development of AI in an orderly manner in the process of strategic decision-making, system construction, and resource allocation.

**Article 6:** Actively practice demonstrations. Comply with relevant regulations, policies, and standards on artificial intelligence, actively integrate artificial intelligence ethics into the entire process of management, take the lead in becoming a practitioner and promoter of ethical governance of artificial intelligence, promptly summarize and promote the experience of artificial intelligence governance, and actively respond to society's ethical concerns about artificial intelligence.

**Article 7: Correct** exercise and use of rights. Clarify the responsibilities and power boundaries of AI-related management activities, and standardize the conditions and procedures for the operation of power. Fully respect and protect the privacy, freedom, dignity, security, and other rights and interests of relevant entities, as well as other lawful rights and interests, and prohibit the improper exercise of power that infringes upon the lawful rights and interests of natural persons, legal persons, and other organizations.

**Article 8:** Strengthen risk prevention. Enhance bottom-line thinking and risk awareness, strengthen the research and judgment of potential risks in the development of artificial intelligence, carry out systematic risk monitoring and assessment in a timely manner, establish an effective risk early warning mechanism, and improve the ability to control, control, and deal with ethical risks in artificial intelligence.

**Article 9:** Promote inclusiveness and openness. Pay full attention to the rights and interests and demands of all stakeholders in AI, encourage the application of diversified AI technologies to solve practical problems of economic and social development, encourage interdisdisciplinary, cross-field, cross-regional, and cross-border exchanges and cooperation, and promote the formation of AI governance frameworks and standards with broad consensus.

**Chapter III R&D Specifications**

**Article 10:** Strengthen the sense of self-discipline. Strengthen self-restraint in activities related to AI R&D, actively integrate AI ethics into all aspects of technology R&D, consciously carry out self-review, strengthen self-management, and do not engage in AI R&D that violates ethics and morality.

**Article 11:** Improve data quality. In the process of data collection, storage, use, processing, transmission, provision, and disclosure, we strictly abide by data-related laws, standards, and norms, and improve the integrity, timeliness, consistency, standardization, and accuracy of data.

**Article 12:** Enhance security and transparency. In the design, implementation, and application of algorithms, we will improve transparency, explainability, comprehensibility, reliability, and controllability, enhance the resilience, adaptability, and anti-interference capabilities of AI systems, and gradually achieve verifiability, auditability, supervision, traceability, predictability, and trustworthiness.

**Article 13**: Avoid bias and discrimination. In the process of data collection and algorithm development, strengthen ethical review, fully consider differentiated demands, avoid possible biases in data and algorithms, and strive to achieve inclusiveness, fairness, and non-discrimination in AI systems.

**Chapter IV Supply Specifications**

**Article 14 Respect** market rules. Strictly abide by all kinds of rules and regulations for market access, competition, trading, and other activities, actively maintain market order, create a market environment conducive to the development of artificial intelligence, and must not use data monopolies, platform monopolies, and other such methods to undermine orderly market competition, and prohibit the infringement of other entities' intellectual property rights by any means.

**Article 15** Strengthen quality control. Strengthen the quality monitoring and use assessment of AI products and services, avoid infringements on personal safety, property security, user privacy, and other such issues caused by design and product defects, and must not operate, sell, or provide products and services that do not meet quality standards.

**Article 16 Protection** of the rights and interests of users. Users should be clearly informed of the use of AI technology in products and services, and the functions and limitations of AI products and services should be identified, and users' rights to know and consent should be protected. Provide an easy-to-understand solution for users to opt in to or out of AI mode, and must not create barriers to users' equal use of AI.

**Article 17:** Strengthen emergency safeguards. Research and formulate emergency response mechanisms and loss compensation plans or measures, promptly monitor AI systems, promptly respond to and process user feedback, promptly prevent systemic failures, and be ready to assist relevant entities in intervening in AI systems in accordance with laws and regulations, reducing losses and avoiding risks.

**Chapter V: Specifications for Use**

**Article 18: Promote** bona fide use. Strengthen the demonstration and evaluation of AI products and services before use, fully understand the benefits brought by AI products and services, fully consider the legitimate rights and interests of all stakeholders, and better promote economic prosperity, social progress and sustainable development.

**Article 19 Avoid** misuse and abuse. Fully understand the scope of application and negative impact of AI products and services, truly respect the rights of relevant entities not to use AI products or services, avoid improper use and abuse of AI products and services, and avoid unintentionally causing harm to the lawful rights and interests of others.

**Article 20:** Misuse in violation of regulations is prohibited. It is prohibited to use AI products and services that do not comply with laws, regulations, ethics, morals, and standards, to use AI products and services to engage in illegal activities, to endanger national security, public safety, and production safety, and to harm the public interest.

**Article 21**: Timely and proactive feedback. Actively participate in the practice of ethical governance of AI, and should promptly give feedback to relevant entities on issues such as technical security vulnerabilities, policy and regulatory valucies, and regulatory lags discovered in the use of AI products and services, and assist in resolving them.

**Article 22:** Improving the ability to use. Actively learn AI-related knowledge, and actively master the skills required for the operation, maintenance, and emergency response of AI products and services, so as to ensure the safe and efficient use of AI products and services.

**Chapter VI: Organization and Implementation**

**Article 23:** These Specifications are to be issued by the National Professional Committee for the Governance of Next-Generation Artificial Intelligence, and are responsible for interpreting and guiding their implementation.

**Article 24:** Management departments at all levels, enterprises, colleges and universities, scientific research institutes, associations, societies, and other relevant institutions may formulate more specific ethical norms and related measures on the basis of these Norms and in light of actual needs.

**Article 25:** These Specifications are to take effect on the date of promulgation, and are to be revised at appropriate times based on the needs of economic and social development and the development of artificial intelligence.

1. https://www.most.gov.cn/kjbgz/202109/t20210926\_177063.html [↑](#footnote-ref-1)