

CITY OF SPOKANE ADMINISTRATIVE POLICY AND PROCEDURE	ADMIN 5300-24-09 LGL 2024-0039
TITLE: USE OF ARTIFICIAL INTELLIGENCE TECHNOLOGIES (AI) EFFECTIVE DATE: December 29, 2024 REVISION EFFECTIVE DATE: N/A	

1.0 GENERAL

1.1 This policy outlines the guidelines and regulations for the use of AI technologies by the City of Spokane, including direct AI offerings, such as Text to Video AI, and Text to Images/Pictures AI, and AI embedded within other products and services. The objective is to promote responsible, ethical, and secure utilization of AI to enhance efficiency, public service, and transparency while safeguarding privacy and avoiding misuse.

1.1.1 The policy requires that departments and City employees acquire AI technology through the City's approved procurement channels, which will include a review step by the Information Technology (IT) Department to determine if the AI technology is consistent with the City's standards. Police and Fire will review via their internal IT staff.

1.1.2 The policy also directs City employees to ensure the integrity and reliability of outputs generated by AI technologies. It is mandatory for human oversight to be involved in the review process, and that the review process is documented.

1.1.3 The policy also requires employees to attribute any content created by AI and published on behalf of the City to the AI system that produced it.

1.1.4 Finally, the policy directs employees to ensure that any data or content submitted to AI systems or generated by AI systems be free of harmful bias, control for potential data privacy concerns, and comply with the State of Washington Public Records Act and all relevant City policies concerning records retention and disclosure.

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2.0 DEPARTMENTS/DIVISIONS AFFECTED

This policy shall apply to all City employees, Fire, Municipal Court, and Community Justice Services.

3.0 REFERENCES

Chapter 42.56 - Public Records Act
Chapter 40.14 RCW – Preservation and Destruction of Public Records
Chapter 434-662 WAC Preservation of Electronic Records

4.0 DEFINITIONS

- 4.1 **Artificial Intelligence (AI)** refers to the simulation of human intelligence processes by computer systems. These processes include learning (the acquisition of information and rules for using the information), reasoning (using rules to reach approximate or definite conclusions), and self-correction. AI involves the creation of algorithms and models that enable computers to perform tasks that typically require human intelligence, such as visual perception, speech recognition, decision-making, and language translation. AI systems can be designed to operate autonomously, adapt to new data, and improve their performance over time without human intervention.
- 4.2 **Narrow AI:** This type of AI performs specific tasks and doesn't learn beyond that. Image recognition, natural language processors, and image generators are forms of narrow artificial intelligence. Siri, Google Assistant, and Alexa are forms of narrow AI. They can understand and respond to voice commands, but they can't give you accurate medical diagnoses.
- 4.3 **Reactive Machines:** As the name suggests, these machines can only react to stimuli, like the movement of a chess piece on virtual chessboard. They don't build memories that they can retrieve in the future like limited memory AI machines, but they're useful parts of digital life. Spam filters and recommender systems that note your behavior and suggest what you should watch next or what you might like to buy are reactive machines.
- 4.4 **Limited Memory AI:** The next step in AI development after reactive machines, limited memory AI can store knowledge, learn from it, and perform new tasks based on that learning. This type of AI is useful for

making predictions, and it's used to forecast future trends in everything from finance to the weather. This is the most common type of AI in use today, appearing in chatbots and self-driving cars.

4.5 **Generative AI:** There are four types of Generative AI.

4.5.1 **Text generation:** Text generation is perhaps the most talked about form of AI, and chatbot AI models have become popular and appear in the news regularly. People use these text generators for everything from proofreading to writing surveys to creating code.

4.5.2 **Image generation:** AI generators like Adobe Firefly can turn a text prompt into an image. They have a wide range of uses for artists, content creators, and marketers. Trained on hundreds of millions of images and captions, AI image generators give anyone the power to describe what they want and quickly generate a new image based on a text description.

Artists and designers can use this technology to brainstorm new ideas and try new ways of imagining their work without devoting hours to each iteration. Marketers and independent content creators can produce beautiful images quickly even if they aren't experienced artists.

4.5.3 **Sound generation:** Just as image generators are trained on huge datasets of images, AI music generators are trained on music and metadata. They can identify patterns in music genres and the work of specific artists and create new music based on those characteristics.

4.5.4 **Video generation:** This form of generative AI combines all three forms of video, sound, and image generation. Trained on data that includes audio, video, and text, these models can help video producers save time editing, adding captions, resizing for different outputs, and even generating new video content based on text prompts.

4.6 **Large Language Models.** A large language model (LLM) is a type of artificial intelligence model designed to understand and generate human-like text based on the data it has been trained on. These models are called "large" because they are built using vast amounts of data and contain billions or even trillions of parameters, which are the aspects of the model that are learned from training data. LLMs use techniques from deep learning, particularly neural networks, to process and produce text in a way that can mimic human language patterns. They can perform a variety of language-based tasks such as translation, summarization, question answering, and conversation generation.

- 4.7 **Neural Network.** A neural network is a computational model inspired by the way biological neural networks in the human brain process information. It consists of interconnected layers of nodes (neurons), where each connection has an associated weight. Neural networks are used in machine learning to recognize patterns, classify data, and make predictions by adjusting these weights based on input data through a process called training. They are particularly effective in tasks such as image and speech recognition, natural language processing, and predictive analytics.
- 4.8 **Machine Learning.** Machine Learning is a branch of artificial intelligence that focuses on the development of algorithms and statistical models which enable computer systems to perform specific tasks autonomously. These systems learn and improve their performance over time by identifying patterns and making data-driven decisions based on the data they are exposed to, without being explicitly programmed for each task.
- 4.9 **Business Need.** This is the primary reason or requirement that a software, or a feature within a software product, aims to address. It's a clear statement of what the software should achieve to benefit the business.
- 4.10 **Use Case.** A use case describes a specific scenario (or flow of actions) that a user (or actor) follows to achieve a particular outcome using the software feature. When well-documented, a use case typically includes the user, the objective or result the user wants to achieve, conditions that must be true before the use case starts, the sequence of actions the user takes to accomplish the goal, and the state the system should be in after the use case is completed successfully.

A software system typically consists of many individual use cases, each representing a specific interaction or scenario that users can undertake to achieve their goals within the software. When you combine all these use cases together, they collectively define the behavior and functionality of the software from the perspective of its users and stakeholders.

Each use case addresses a specific need or requirement, and together they form a comprehensive set of functionalities that the software provides to its users. Therefore, understanding and documenting these use cases is crucial for designing, developing, and testing software to ensure it meets the intended business or user requirements effectively.

5.0 POLICY

- 5.1 **Authorized Access:** City personnel may utilize Narrow AI, Reactive Machines, and/or Limited Memory AI during City business.

Only designated City personnel with proper training shall utilize Generative AI to develop business products. Access should be granted based on job requirements and clearly defined roles.

In addition to complying with relevant data privacy regulations, employees must ensure that AI interactions (of any type) do not involve sensitive personal information, including financial details, health records, and personal identification numbers.

- 5.2 **Data Privacy and Security:** City of Spokane must ensure that AI interactions comply with relevant data privacy regulations. Sensitive information should be handled securely and not stored longer than necessary.

- 5.3 **Public Records:** Any AI product which creates a public record (i.e. a writing related to the conduct of government business) may create additional workload for records professionals. AI-based records must be retrievable by the City Clerk's Office, Police Records Unit, and by all other public disclosure personnel from any department that assists in the processing of public records requests.

- 5.4 **Accuracy and Fairness:** The information provided by AI systems must be regularly monitored to ensure accuracy and fairness. Biases should be identified and rectified promptly.

- 5.5 **Prohibition of Harmful Use:** AI systems shall not be used to disseminate misinformation, propagate hate speech, or engage in any malicious activities. However, when AI is utilized to translate/transcribe the initial output coming from the neural network, it may include quotes that do not align with this policy.

Unauthorized or prohibited uses of AI include generating malicious, inappropriate, or illegal material; and any applications that might circumvent data privacy and security measures. Requests for new AI capabilities or tools not previously approved should be directed to IT for review and authorization.

- 5.6 **Compliance with Legal and Ethical Standards:** City of Spokane must comply with all applicable laws, regulations, and ethical standards while using AI technologies.

- 5.7 Testing and Certification by Subject Matter Experts: Products delivered by Generative AI, such as SQL statements or generated videos, must be tested and certified by subject matter experts before they are used in production. For example, a SQL statement created by Chat GPT should be tested by an IT professional in development and certified to work as per business requirements before it is rolled out to production for use in the Human Resources Management System (HRMS). Similarly, a video generated by a text prompt should be reviewed by a communications professional before it is used as a filler and released to the media as part of a larger video.
- 5.8 Protection of Intellectual Property: City staff shall not utilize intellectual property, including photos, videos, text, or source codes owned by vendors, etc. without proper authorization and legal agreements.
- 5.9 Handling of Personally Identifiable Information (PII): Employees drafting documents for any AI-based processing must ensure that personally identifiable information (PII) of individuals, such as bank account numbers, addresses, and Social Security Numbers (SSN), or any data point combinations that is defined as PII, is not uploaded or included in AI inputs. For example, an employee drafting a procedure document for Utility Billing Software cannot upload the bank account number, address, and SSN of the customer.
- 5.10 Use of Criminal Justice Information (CJI) data within any AI-based tool must comply with current FBI Criminal Justice Information Services (CJIS) security policies.
- 5.11 City financial data is prohibited to be used with AI resources unless reviewed and approved by the City of Spokane Chief Financial Officer.
- 5.12 TRAINING AND MONITORING
 - 5.12.1 Training Data. The data used to train AI systems should be diverse, representative, and free from biased content.
 - 5.12.2 Regular Review. City of Spokane business users and business subject matter experts for each of the AI use cases shall conduct periodic reviews of AI interactions to evaluate performance and make necessary improvements.
 - 5.12.3 Feedback Loop. Feedback about AI interactions should be encouraged and used to refine the systems continually. This has to do with the content used to anchor the response from large language models. Keeping the content utilized by the large language models up to date increases accuracy of responses.

5.12.4 The City will make self-training for employees available via the HR Learning Management System (LMS) training platform, on the responsible and effective use of AI technologies, emphasizing the importance of ethical considerations, data privacy, and security.

5.12.5 Regular monitoring of AI systems by the user for performance, accuracy, fairness, and compliance with policy guidelines is required to ensure continuous improvement and adherence to City standards.

5.13 ATTRIBUTION, ACCOUNTABILITY, AND TRANSPARENCY OF AUTHORSHIP

5.13.1 AI-generated content consisting of substantive work product or decisions impacting official City business should be clearly labeled as having been produced with the assistance of AI, and details of its review and editing process (how the material was reviewed, edited, and by whom) should be provided. This allows for transparent authorship and responsible content evaluation. Additionally, City employees shall do their due diligence to ensure that no copyrighted material is published without appropriate attribution and the acquisition of necessary rights. This includes content generated by AI systems, which could inadvertently infringe upon existing copyrights.

Sample disclosure line: This memo was summarized by Google Bard using the following prompt: "Summarize the following memo: (memo content)". The summary was reviewed and edited by [insert name(s)].

Sample disclosure line: (In the file header comments section) This code was written with the assistance of ChatGPT3.5. The initial code was created using the following prompt: "Write HTML code for an Index. HTML page that says, 'Hello World'". The code was then modified, reviewed, and tested by the web development team at the city.

5.13.2 Exceptions to the requirement of attribution, accountability and transparency of authorship include AI-generated content that serves as a preliminary guide, such as templates, routine web search results, or non-substantive outputs that are substantially edited or supplemented by human work.

5.13.3 Additionally, city personnel should conduct due diligence to ensure no copyrighted material is published without appropriate attribution or the acquisition of necessary rights. This includes content

generated by AI systems, which could inadvertently infringe upon existing copyrights.

5.14 PUBLIC RECORDS & CITY RECORDS MANAGEMENT

5.14.1 City employees are cautioned that the work they produce using, or enhanced by, AI, along with all its accompanying data and metadata, is subject to a framework of existing laws with stringent requirements regarding the retention and disclosure of public records.

5.14.2 As a public agency, the City of Spokane is subject to the Public Records Act and its penalties for improperly withheld records.

5.14.3 All non-transitory data/reports (including drafts that become final documents) generated or enhanced through AI fall under the legal definition of a record, so it must be carefully managed, including by identifying the record, making sure your supervisor knows of its existence, and by ensuring that your department has appropriately indexed all such records related to your work so that it is searchable and retrievable by designated departmental records coordinators.

5.14.4 Employees are instructed to save and store all non-transitory content produced in connection with their use of AI.

5.14.5 Employees must manage all non-transitory data/reports, including AI-generated content, in compliance with the State of Washington Public Records Act, ensuring accurate indexing, storage, and retrievability. This includes a clear process for identifying, disclosing, and managing public records to fulfill the City's obligations under existing laws.

5.15 UNDERSTANDING AI CAPABILITIES AND ETHICAL USE

5.15.1 City employees should be aware of the inherent limitations of AI technologies, such as their reliance on data up to a certain knowledge cutoff date. It's crucial to use AI tools ethically and responsibly, ensuring they support the City's commitment to accurate, unbiased, and respectful communication with the public. This includes acknowledging the potential for AI to generate plausible but incorrect or nonsensical answers and using human oversight to mitigate this risk.

5.15.2 Human-Centered Design: AI systems shall be developed and deployed with a human-centered approach that evaluates AI powered services for their impact on the public.

5.15.3 Security & Safety: AI systems are required to maintain confidentiality, integrity, and availability through safeguards that prevent unauthorized access and use. Implementation of AI systems is reliable and safe, and minimizes risks to individuals, society, and the environment.

5.15.4 Privacy: Privacy shall be preserved in all AI systems by safeguarding personally identifiable information (PII) and sensitive data from unauthorized access, disclosure, and manipulation.

5.15.5 Transparency: An AI system, its data sources, operational model, and policies that govern its use are understandable and documented.

5.15.6 Equity: AI systems shall support equitable outcomes for everyone. Bias in AI systems shall be effectively managed with the intention of reducing harm for anyone impacted by its use.

5.16 DECISION MAKING

5.16.1 AI shall not autonomously make decisions impacting the public, City employees, or partner agencies. All AI-generated recommendations or analyses intended for decision-making must undergo thorough human review to validate their accuracy and relevance.

5.16.2 Likewise the below listed use cases require experts to verify the output from AI before they are utilized for official City business purposes.

5.16.2.1 Any and all systems that directly impact citizens.

5.16.2.2 Developing software code and test cases.

5.16.2.3 Evaluating software code for security vulnerabilities.

5.16.2.4 Accelerating Tier-1 Analyst duties, e.g., performing review of ingested security event data or completing manual investigation steps to provide a recommended action.

5.16.2.5 Writing first drafts of policies, marketing, etc.

5.16.2.6 Examining security exposures for the purpose of designing penetration testing strategies.

5.16.2.7 Reviewing or updating email copy for tone.

5.16.2.8 Designing non-copyrighted images for marketing use.

6.0 PROCEDURE

6.1 ACQUISITION OF AI TECHNOLOGY

6.1.1 In alignment with the City of Spokane's guidelines for the Acquisition of Technology Resources, City departments are permitted to utilize pre-approved AI tools and Narrow AI, Reactive Machines, and Limited Memory AI. Alternatively, they may submit a request for the acquisition of Generative AI software through Spokane IT's established request process. Police and Fire staff will submit through their department's internal IT.

6.1.2 The IT Department, Fire IT, and Police IT will evaluate exception requests using its existing risk and impact assessment framework, which will include specific evaluation criteria tailored to AI technology. Based on these criteria, IT staff will either approve or deny the request.

6.1.3 The City of Spokane's standards for technology acquisition are applicable to all forms of technology, encompassing both free-to-use software and Software-as-a-Service (SaaS) tools.

6.1.4 Should a technology previously authorized for use within the City be updated to include or integrate AI features, additional review for approval is required to utilize these new capabilities.

6.1.5 The IT Department, Fire IT, and Police IT reserve the right to withdraw authorization for any technology that incorporates AI capabilities, or to limit the use of those AI features, if it is determined that the AI capabilities introduce risks that cannot be adequately mitigated in accordance with this policy or other City policies.

6.1.6 A list of approved and denied Generative AI tools will be posted on the City's intranet for employee access.

6.1.7 Each use case of AI across the city must be properly documented and approved by the manager or supervisor of the system user.

6.2. REPORTING AND TRANSPARENCY

This policy shall be reviewed annually or as needed to ensure its relevance and alignment with evolving technology and best practices.

6.3. REDUCING BIAS AND HARM

6.3.1 AI systems have the potential to produce outputs based on stereotypes or use data that is historically biased against protected classes. City employees must be aware of this potential, especially with use cases that will analyze datasets or be used to inform decisions or policy. The goal is to ensure that the final product used by the City is accurate and free of discrimination and bias.

6.3.2 AI will not be utilized to decide how an individual is treated.

6.3.3 Employees must ensure AI-generated content does not perpetuate bias or discrimination. All content should be reviewed for cultural sensitivity and bias, with necessary adjustments made to promote equity and inclusivity. The City aims to eliminate digital disparities and ensure equitable access to its programs and services for all community members, including those belonging to protected classes or facing accessibility barriers.

7.0 RESPONSIBILITIES

7.1 GOVERNANCE AND ACCOUNTABILITY

7.1.1 Designated Administrators. Any City department utilizing AI technologies must assign dedicated administrators responsible for overseeing their implementation, usage, and compliance with this policy.

7.1.2 Accountability. Administrators should be accountable for ensuring proper use and adherence to the guidelines outlined in this policy.

7.2 The IT Department, in cooperation with all departments, shall administer this policy.

8.0 APPENDICES

None

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