

Artificial Intelligence and Regulatory Guidance

Practical Approaches to Responsible Integration in University Business Operations



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Session Objectives

1

**Understand
Artificial
Intelligence (AI)
Regulations and
Guidance**

2

**Assess and
Monitor
AI Risks**

3

**Discuss
Responsible Use of
AI in Business
Operations**

4

**Explore
Responsible Use of
AI in Compliance
Programs**

Note: Some of the content in this presentation was developed with the assistance of generative AI tools, including Microsoft Copilot and ChatGPT-4. These tools were used to synthesize publicly available information and generate draft language for review, as part of our ongoing efforts to explore their capabilities and limitations within the context of compliance, risk, and ethics programs. Microsoft. (2025). Copilot (GPT-4) [AI assistant]. <https://copilot.microsoft.com>. OpenAI. (2025). ChatGPT (GPT-4) [AI assistant]. <https://chat.openai.com>

Does your institution currently have an enterprise-wide license for any generative AI tools (e.g., ChatGPT, Copilot, etc.)?

- a) Not yet
- b) It's in the works
- c) Yes, we've done this

1

Understanding AI Regulations and Guidance



Current Regulatory Landscape and Additional Guidance

Executive Orders

- Advancing AI Education for American Youth *(May 2025)*
- Removing Barriers to American Leadership in AI *(Jan. 2025)*

Agency Guidance

- Evaluation of Corporate Compliance Programs, U.S. Department of Justice *(updated Sept. 2024)*

International Law

- **European Union (EU) AI Act**
European Commission; EU Council and European Parliament *(enacted 2024 with multiple effective dates: Feb. 2025, Aug. 2026, Aug. 2027)*

Additional Guidance

- NIST AI-related Frameworks *(updated 2024)*
- EDUCASE AI Resource Hub *(updated 2025)*

**For links and more information, refer to the accompanying Additional Resources document in the conference materials.*

Executive Orders

Executive Order

**Advancing AI Education for
American Youth**

May 2025

Executive Order

**Removing Barriers to
American Leadership in AI**

January 2025

Agency Guidance: DOJ Evaluation of Corporate Compliance Program



Risk Identification and Assessment



Integration with Enterprise Risk Management



Governance and Oversight



Controls and Safeguards



Training and Culture

International Law: EU AI Act

Overview

- uniform regulatory framework (applicable across all EU countries)
- based on a **risk-based compliance framework**
- focused on **protection of fundamental rights** and preservation of values
- requires **transparency** and sets clear obligations regarding specific uses of AI

Scope

- covers any AI system that tracks **decision-making patterns**
- applies to **AI deployment in the EU** includes where the output is used **in the EU** (e.g., EU job or student applicants, marketing, etc.)

Aim

- foster **responsible AI** innovation and deployment
- set a global benchmark for responsible AI regulation
- balance technological advancement with protection of rights
- **prevent bias** - ensure AI is not used for unlawful profiling, discrimination

Additional Guidance

2025

- Executive Order 14179
Removing Barriers to American
Leadership in AI
- Executive Order 14277
Advancing AI Education for
American Youth
- DoD AI Strategy
- EDUCAUSE
Higher Education Generative AI
Readiness Assessment

2024

- NSC - Framework to Advance AI
Governance and Risk Management in
National Security
- NIST AI Risk Management Framework:
Generative AI Profile (NIST AI-600-1)
- OMB – Memorandum M-24-10
- EU AI Act
- DOJ – Evaluation of Corporate
Compliance Programs
- DOL – AI and Worker Well-being
- ED OCR – Avoiding Discriminatory Use
of AI in Education

2023

- ED – AI and the Future of
Teaching and Learning
- Joint Statement on
Enforcement Efforts Against
Discrimination and Unlawful
Practices in Automated
Systems
- NIST AI Risk Management
Framework 1.0

Trends: Regulatory and other Guidance on Responsible AI

- ☐ **Regulatory pressures are mounting**, with a rise in compliance requirements over the past year.
- ☐ **AI is rapidly transforming business operations**, creating both efficiencies and new oversight challenges.
- ☐ **Ethical risks are evolving**, demanding more agile and transparent governance.
- ☐ **Proactive ethics and compliance engagement is essential**, as institutions navigate the accelerating demand for AI-driven solutions.
- ☐ **Failure to act may expose firms to reputational, legal, and operational risks**, while those who lead in responsible AI will gain a strategic advantage.

2

Assess and Monitor AI Risks



AI Adoption and Use in Higher Education



Teaching and Learning



Assessment and Grading



Academic Integrity



Administration and Operations



Research and Innovation



Faculty Support

Has your institution conducted a comprehensive baseline assessment to understand the current scope and patterns of AI usage across departments or functions?

- a) Not yet
- b) It's in the works
- c) Yes, we've done this

Potential Risk and Compliance Concerns with AI for IHE

Academic Integrity

Cybersecurity

**Mandatory
Reporting**

Accommodations

Data Protection

FERPA Violations

**Discrimination and
Bias**

Data Privacy

**Intellectual
Property**

EU AI Framework: Assessing AI Risks

Minimal and Limited Risk

- AI used in narrow procedural tasks or decision-enhancing systems (such as, finance or marketing)
- Spam filters
- AI-enabled video games
- Chatbots

High Risk

- recruitment and selection (e.g. education and employment setting)
- Evaluating learning outcomes or workplace performance
- Credit scoring

Unacceptable Risk

- AI that manipulates users (e.g., voice-assisted toys encouraging unsafe actions)
- Systems enabling organizational social scoring
- Predictive policing tools
- Real-time biometric surveillance in public areas
- Emotion recognition used in workplaces

Using the EU AI Framework to Assess AI Risk

Risk considerations:

- Protection of fundamental rights
- Discrimination or bias potential
- Level of transparency
- Extent of human oversight
- Ability to contest AI-driven decisions

Job Placement
and Career
Services

Visa Support or
Immigration
Services

Workplace
Performance

Behavior
Monitoring

Financial Aid
Decisions

Predictive
Analytics for
Academic
Success

Automated
Admissions
Decisions

Automated
Grading and
Assessment
Systems

Biometric
Surveillance

Learning
Outcomes

Content
Moderation on
Online
Platforms

In the News

The Chronicle of Higher Education. "Artificial Intelligence." *The Chronicle of Higher Education*. Accessed May 21, 2025.

Conger, Kate. "College Professors Are Using ChatGPT. Some Students Aren't Happy." *The New York Times*, May 14, 2025.

Flaherty, Colleen. "Experts Weigh In on 'Everyone' Cheating in College." *Inside Higher Ed*, May 20, 2025.

Shirky, Clay. "Is AI Enhancing Education or Replacing It?" *The Chronicle of Higher Education*, April 29, 2025.

Krishna, Priya. "A New Headache for Honest Students: Proving They Didn't Use A.I." *The New York Times*, May 17, 2025.

Swaak, Taylor. "Students Found Out AI Will Help Read Their Names at Commencement. Protest Ensued." *The Chronicle of Higher Education*, April 10, 2025.

3

Discuss Responsible Use of AI in Business Operations

Does your institution have guidance in place for the responsible use of AI in business operations?

- a) Not yet
- b) It's in the works
- c) Yes, we've done this

AI Guidance and Resources



- [NYU Generative AI \(GenAI\)](#) – general resources
- [Artificial Intelligence at NYU](#) - overview of AI tools available to the University community, including applications like Gemini, NotebookLM, ChatGPT, Meta AI, Microsoft Copilot, and open-source tools, such as Vicuna and Llama.
- [Emerging AI Tools for Teaching and Learning – Machines and Society](#) - guidance on AI tools and approaches for educational purposes.
- [Evaluating Generative AI Tools for Academic Research](#) – general guidance for researchers navigating potential use of generative AI tools for scholarly work.
- [Student Learning with Generative AI](#) - general guidance, support and access to generative AI tools for students, including usage guidelines.

AI Guidance and Resources



- AI Advisory Committee, includes member of National Artificial Intelligence Advisory Committee
- AI Usage Guidelines
- Rice Honor Council General AI Statement
- Guidance for Levels of AI Adoption in Coursework
- AI Syllabus Statements Recommendations
- New Bachelor of Science in AI Major launching in Fall 2025 includes Ethics courses
- Annual Compliance and Ethics Symposium 2025 Theme: Building a Responsible AI Future
- AI in Teaching Reading Group



RICE UNIVERSITY
Office of Ethics, Compliance
and Enterprise Risk

Annual Ethics & Compliance Symposium:

BUILDING A RESPONSIBLE AI FUTURE

Tuesday, 29th April 2025
9:00 AM - 12:30 PM
Farnsworth Pavilion in the Rice Memorial Center

Please join the Office of Ethics, Compliance, and Enterprise Risk for our annual Ethics and Compliance Symposium. Breakfast and boxed lunch will be provided. A panel discussion featuring our speakers, beginning at approximately 11:30 AM, will follow the speakers' presentations.

AGENDA

Opening Remarks
VP for IT and Chief Information Officer, Paul Padley

Responsible AI in Education, Work, and the Workforce
Fred Oswald

Avoiding the Vices of AI
Robert Howell

What Do We Mean by Responsible AI?
Rodrigo Ferreira

When Technology Outpaces Ethics
Kathleen Perley

Panel Discussion
Moderated by Shawn Miller

OPENING REMARKS
Paul Padley
Vice President for IT and Chief Information Officer, Professor of Physics and Astronomy, Director of the T.W. Bonner Laboratory, Executive Sponsor Rice AI Advisory Committee
Physics and Astronomy

SPEAKER
Fred Oswald
Professor Herbert S. Autrey Chair in Social Sciences, AI Advisory Committee Chair
Psychological Sciences

SPEAKER
Robert Howell
Yasser El-Sayed Professor of Philosophy, Department Chair, AI Advisory Committee Member
Philosophy

SPEAKER
Rodrigo Ferreira
Assistant Teaching Professor of Computer Science, Faculty Scholar, Baker Institute AI Advisory Committee Member
Computer Science

SPEAKER
Kathleen Perley
Instructor in Management, Advisor on AI Initiatives, AI Advisory Committee Member
Rice Business

MODERATOR
Shawn Miller
Associate Provost for Digital Learning and Strategy, AI Advisory Executive Committee Member
Rice Digital Learning

RSVP HERE:
<https://bit.ly/EthicsSymposium2025>





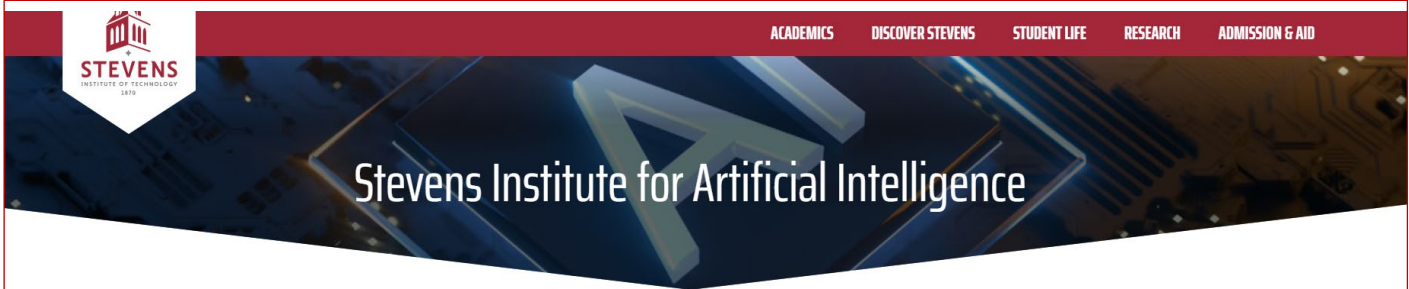
In partnership with the Rice University AI Advisory Committee

rice.compliance@rice.edu <http://www.rucompliance.rice.edu>

AI Guidance and Resources



- Committee on Generative AI and the University Honor Code (2023)
- Stevens Faculty Guide for Using AI in Teaching (2023)
 - Syllabus template outlining use
 - Student communications
 - Honor Board – Exam Reminders
- AI Working Groups
- Appropriate Use of Generative Artificial Intelligence Tools at Stevens (Pending)



ACADEMICS DISCOVER STEVENS STUDENT LIFE RESEARCH ADMISSION & AID

Stevens Institute for Artificial Intelligence

The Stevens Institute for Artificial Intelligence (SIAI) is an interdisciplinary, tech-driven collaboration of engineering, business, systems and design experts working toward solving pressing global problems in industry and the world.

Our group is composed of more than 100 faculty members from all academic units at Stevens (engineering, business, systems and arts & music) researching a variety of applications in AI and machine learning.

- Art and Music
- Cognitive Networking and Computing
- Cybersecurity
- Environment and Energy
- Fintech
- Foundations of AI & Machine Learning
- Healthcare & Biomedical
- Robotics, Perception & Human-Machine Interaction
- Societal Impact

Building a Culture of Responsible AI Use



**Importance of
Stakeholder
Involvement**



**Effective
Communication
Strategies**



**Building Internal
Resources**



**Resources and
Support**

4

Discuss Responsible Use of AI in Compliance Programs

Has your institution integrated generative AI into any aspect of its compliance program, such as risk monitoring, policy enforcement, or reporting?

- a) Not yet
- b) It's in the works
- c) Yes, we've done this

Current Uses of AI in Building an Effective Compliance Program

1

Written
policies and
procedures

2

Designated
Compliance
Officer and
Committees

3

Training
and
Education

4

Effective
Use of
Communica
tion

5

Disciplinary
Guidelines

6

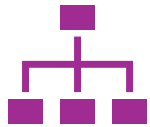
Monitoring
and
Auditing

7

Response
and
Corrective
Action
Plans

Additional Considerations

Governance and Oversight



Does your institution have a governance structure or designated body responsible for overseeing AI strategy, risk, and compliance?

Risk Assessment and Mitigation



Has your institution conducted a risk assessment specific to the use of AI, including legal, ethical, and operational risks?

Data Privacy and Security



Does your institution have policies in place to ensure that AI tools comply with data privacy and security requirements?

Training and Education



Has your institution provided training or awareness programs on the ethical and compliant use of AI for staff or faculty?

Third Parties



Does your institution evaluate third-party AI tools for compliance with institutional policies and regulatory requirements before adoption?

Thank you!

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