

Ethical and Responsible AI Adoption, Statewide Guardrails, and Department Use Cases



Kate Ricker, CDT

Paul Starkey and Jeff Keil, CalHR

Housekeeping

Please Silence Cell Phones

Resources Available After the Conference

Water/Refreshments

Responsible GenAI in HR: From Statewide Guardrails to Your Desk

Before we start: where is your department today?

A

Not using AI yet

B

Experimenting informally

C

Using an approved tool

D

Honestly, not sure what's allowed

What AI guardrails are in place for California today?

DIRECTION	EO N-12-23 (2023), EO N-5-26 (2026), EO N-6-26 (2026)*	Adopt GenAI safely; give employees access to vetted tools
LAW	Gov. Code §§ 11549.63–.66 Multiple AI laws passed*	Accountability, risk analysis, disclosure when the state uses GenAI with the public
POLICY	SAM 4986 series: 14 GenAI sections and SIMM policies*	Inventory, procurement, privacy, security, acceptable use, risk assessment, and training
TOOLS	Available Gen AI tools and procured tools for approved use cases	Risk assessment and available tools (e.g., Poppy) on enterprise terms

Statewide sets the floor. Every department builds on it.

not a full list

What does acceptable use mean for every employee?

DEPARTMENTS MUST

- Have an AU Policy covering GenAI risks and safe use
- Educate users and ensure they comply
- Add human verification to any output used for decisions
- Review inputs and outputs for bias, misuse and misinformation

USERS DO

- Use state-approved accounts and equipment
- Verify output before using it
- Opt out of training on your data
- Report data exposure to the ISO

USERS DON'T

- Enter confidential or personal information into unapproved tools
- Register tools with a state email
- Present AI output as their own work
- Create deepfakes, impersonation or misinformation

What training does the state expect, and for whom?

MUST

Ensure staff complete the GenAI training their duties require, plus any mandatory GenAI training

SHOULD CONSIDER

Training by role, with foundational training before staff use GenAI tools

Audience	SAM 4986.13 recommends	Where to get it
All employees	Foundational, before using GenAI	Responsible AI for Public Professionals (2.5 hrs, CalLearns) Foundations of GenAI certificate (CalHR / ODI) AI Fluency Training (CalHR with Anthropic, in development)
Managers and supervisors	Foundational plus specialized roles	Business leader training: Scaling AI in your organization Comprehensive GenAI Training Guide (June 2026)
Purchasing officials	GenAI procurement	DGS Procurement Training
Project managers	PDL for GenAI IT projects	CDT: AI Project Management
Technology and security staff	Advanced technical	CDT GenAI Bootcamp (hands-on) CDT technical training in five domains PACe eLearning

How should departments build their own guardrails?

Operations

The services you provide, who you serve, and which decisions affect people

Network

Your systems, connections and which AI features are switched on

Data

PII, PHI, FTI and workforce data, including personnel and applicant records



Department AUP, procedures and SIMM 5305-F risk assessments

CIO and ISO

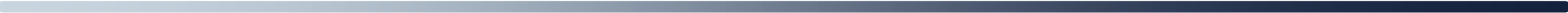
Privacy Officer

HR and Labor Relations

Legal

Program owners

Which AI can you see, and which can't you?

More visible  Less visible

LAYER 1

Approved enterprise tools

Examples: Microsoft Copilot, Poppy

Manage: approved accounts, SSO, contract terms

LAYER 2

AI built into tools you already use

Examples: office suites, HR and case systems, browsers

Manage: watch vendor releases and admin settings; assess when features turn on

LAYER 3

AI inside vendor services

Examples: recruiting platforms, chatbots, contracted services

Manage: procurement terms (SAM 4986.9), vendor disclosure

LAYER 4 · HIDDEN

Shadow AI

Examples: personal accounts, browser extensions, phone apps

Manage: network monitoring, a clear AUP, a better approved option

If you can't see it, inventory it: SAM 4986.3 requires GenAI use identification and a high-risk inventory.

What does this mean for each person?

New employees

- Point them to the AUP at onboarding
- Acknowledge it alongside other IT use policies
- Foundational training before using GenAI
- Set up approved accounts only

Users

- Approved tools and accounts only
- Keep personal and confidential data out of unapproved tools
- Verify every output
- Report data exposure to the CISO

Managers

- Foundational plus role training
- A human verifies any decision about a person
- Be clear about how roles will change
- Model use and protect learning time

HR's levers: onboarding packets, policy acknowledgments, IDPs and duty statements.

Balancing Innovation And Risk

Start where risk is low

Drafting, summarizing public policy, internal content. Build wins and confidence first.

Make the safe path the easy path

An approved tool people like is the best defense against shadow AI.

Keep a human accountable

AI can inform a decision about a person. It never makes one.

Learn in the open

Share prompts, use cases and lessons so every department doesn't start from zero.

1. Inventory where AI is already used in HR

2. Assess any use that touches a personnel decision

3. Build AI fluency into onboarding and IDPs

GenAI training you can register for now

Upcoming instructor-led courses

Course	Date
GenAI for Creative Professionals	Nov 4, 2026
AI in the Workplace, Part 2	Nov 16–17, 2026
Introduction to Agentic AI for Business Users	Dec 9, 2026
AI Project Management	Dec 10, 2026
AI in the Workplace, Part 1	Coming soon

Seats are limited (24–40 per course). Register through CDT's course schedule.

OTHER RESOURCES

- SAM 4986.13: GenAI workforce training policy
- CalLearns Training
 - Foundations of GenAI Series
 - Responsible AI Series
- TL 25-01: GenAI IT policies
- Comprehensive GenAI Training Guide
- "Defending at the Speed of AI" guide
- Vendor learning paths: Microsoft, Salesforce, Cisco, Google
- AI Community and Community of Practice
- Training request and feedback form

RESOURCES · CDT OFFICE OF PROFESSIONAL DEVELOPMENT; CALLEARNS

SAM GenAI policies at a glance

SAM	Section
4986	Artificial Intelligence Introduction
4986.1	GenAI Policy Introduction
4986.2	Definitions for GenAI
4986.3	GenAI Use Identification and High-Risk Inventory
4986.4	GenAI Training Data and Transparency
4986.5	GenAI Hosting
4986.6	GenAI Proof of Concept and Minimum Viable Product

SAM	Section
4986.7	IT Projects Utilizing GenAI: Planning and Approval
4986.8	IT Projects Utilizing GenAI: Project
4986.9	GenAI Procurement
4986.10	Privacy for GenAI
4986.11	Security for GenAI
4986.12	Acceptable Use of GenAI (discussed today)
4986.13	GenAI Workforce Training (discussed today)

Reference: State Administration Manual <https://www.dgs.ca.gov/resources/SAM>

Reference: CDT SIMM Policies and Guidelines <https://www.cdt.ca.gov/policy/simm/>

Employee Impact

- GenAI may change employee job roles if/when implemented.
- May require new skills and lead to more training and upskilling programs.
- Misuse of technology prevention is key, which may improve worker protections related to privacy and rights.
- GenAI may affect working conditions, including safety protocols and how workloads are managed, as organizations use GenAI responsibly.

GenAI and Labor Relations

- As GenAI is adopted, job roles may be altered.
- Collaboration between the state and the unions through transparency for better policies is key.
- GenAI recommendations might change MOUs and safety rules, prompting unions to engage in discussions.
- Overall, need to address labor relations is crucial as technology evolves.

Questions?