### **Designing Ethical Interfaces** pangaro.com/ethics2019/

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Ethics for Technologists Series Carnegie Mellon University November 2019



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### **Organizing Principle**

### *"I shall act always...*



### **Organizing Principle**

### "I shall act always so as to increase...



### **Organizing Principle**

"I shall act always so as to increase the total number of choices."



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Click for PDF of "Ethics and Second-Order Cybernetics", 1991

### - Heinz von Foerster



### **Organizing Principle**

### "I shall act always so as to increase the total number of choices."

Click for PDF of "Ethics and Second-Order Cybernetics", 1991

- Ethical Imperative, Heinz von Foerster



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### Ethical Interfaces — Axiom #1

### "As a designer, I shall act always so as to increase the total number of choices for a user."

### What the hell does this mean? How do we do this?

- Ethical Imperative, Interaction Designers



### a. Recommendation Engines

### **Recommendations are based on who the user was** - recommendations are based on the past.

### At worst, the interface presumes a non-evolving, non-living user.





### **b.** Search Engines

### Search results are based on who the user was - search results are grounded in the past.

### Search results are "of the past" – they are "dead on arrival."



### **Recommendations & Search Results = Looking Backward**

# treating us as we used to be, as if we are dead.

### Questions are alive — questions are "of the now". How would a user manifest as *alive* in these interactions?

These engines deliver outcomes based on the past –



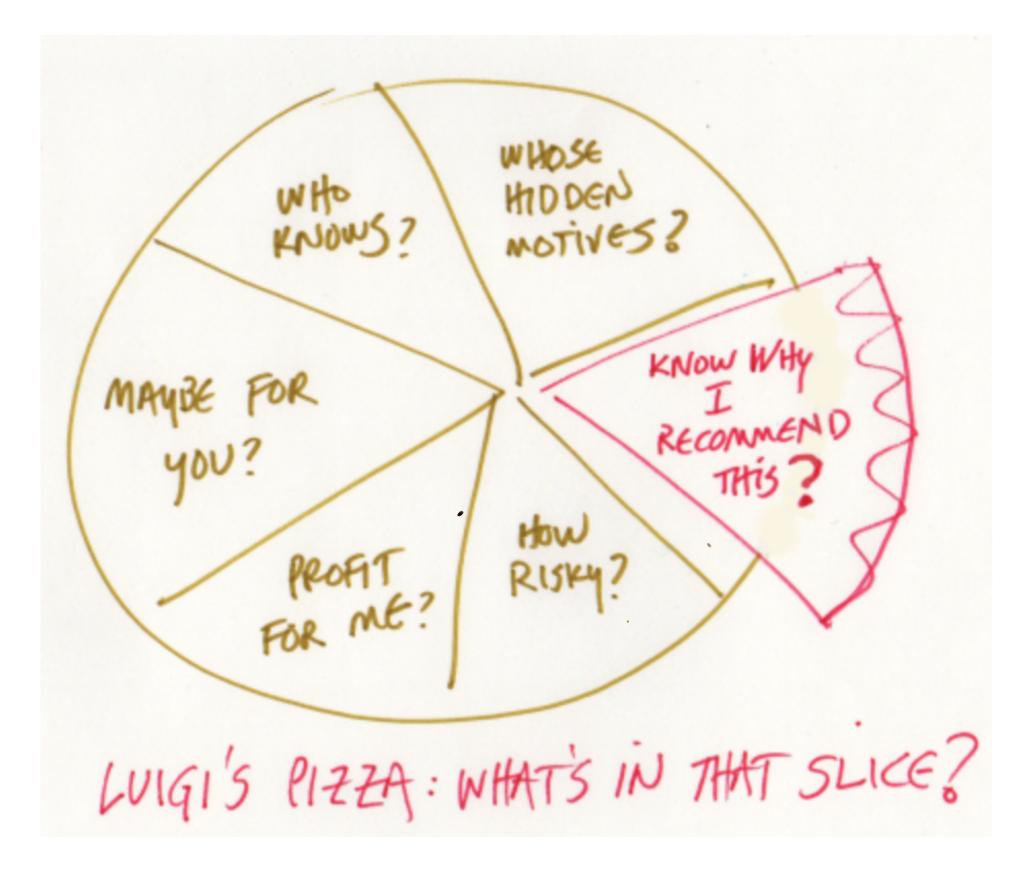
## I. Treat Users as Alive & Evolving

**Design Prototype #1: Build Question Engines** 

Compute relevant questions that invite a generative conversation such that novel, forward-seeing choices may be explored.



### Luigi's Pizza – A Parable



Click for more about Luigi's Pizza



**Designing Ethical Interfaces** II. Give Users Agency Equal to the Algorithm Design Prototype #2 — Universal Dialog UI Always incorporate a dialogical interface so that a user can question the computed offering of any recommendation or result.

"Why did you recommend that? Where did that result come from?" "Did you consider this (objective) factor or this (subjective) concern?"



**Designing Ethical Interfaces** III. Guide Users to Valuable Conversations

Design Prototype #3 — "Intelligent Conversation" Metric

Implement a heuristic to evaluate a conversation in terms of its intelligence and value, in order to draw human attention to generative interactions.

In contrast to the "Turing Test, let's build a "Turning Test."

Click for more





**Design & Prototyping – Research Questions** 

## **#1. Question Engine – Do users evolve better understanding? #2.** Universal Dialog UI – Do users increase their agency? **#3.** Turning Test – Do users improve their focus of attention?



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How do we do better at Interaction Design? I propose we:

- apply models of human conversation
- push for new forms of conversational interfaces.

These are the offers in my presentation today.

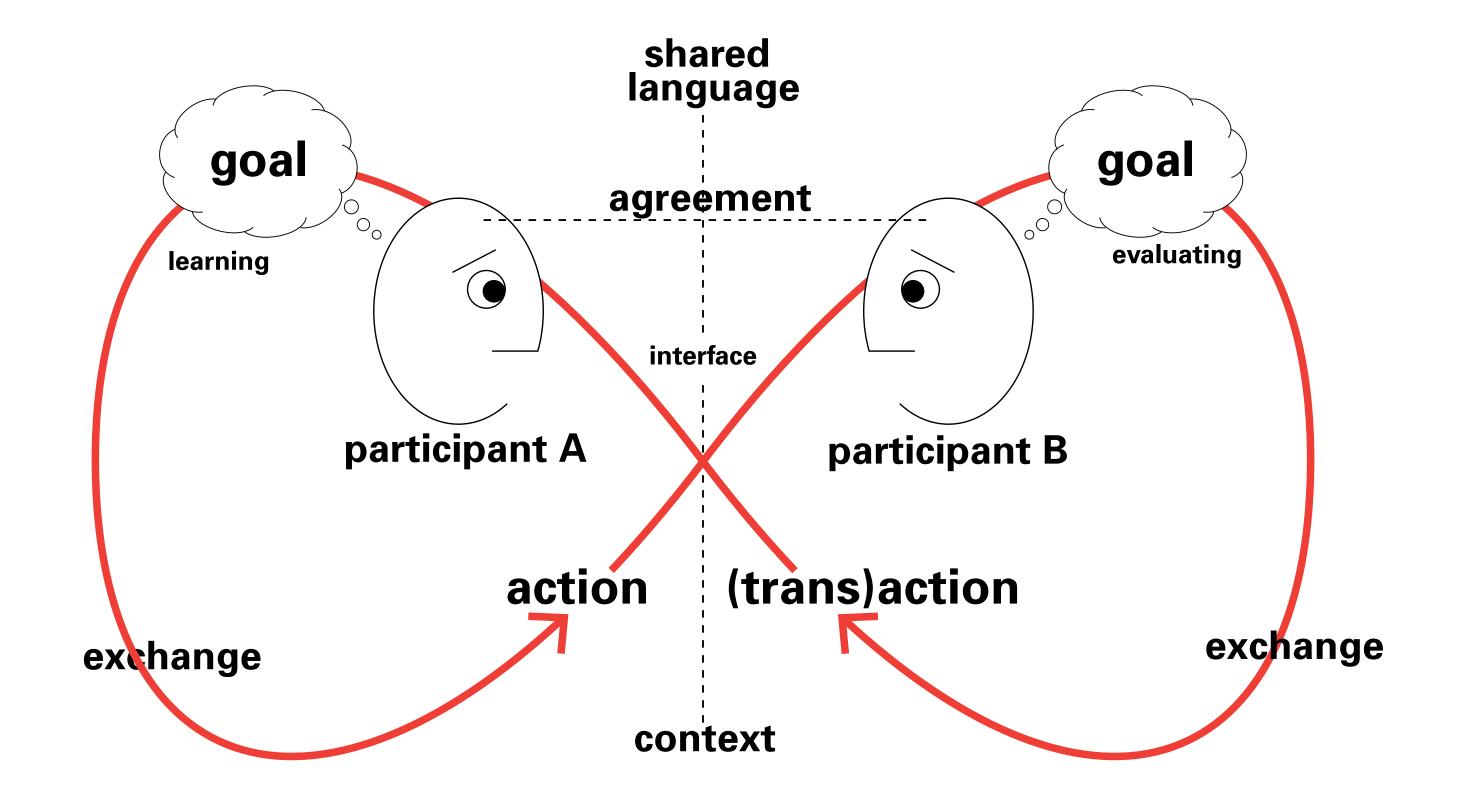
# • strive for interfaces that are cooperative, ethical, humane



Alexa, can you please acquire the skill of conversation? Alexa, what is "conversation"?



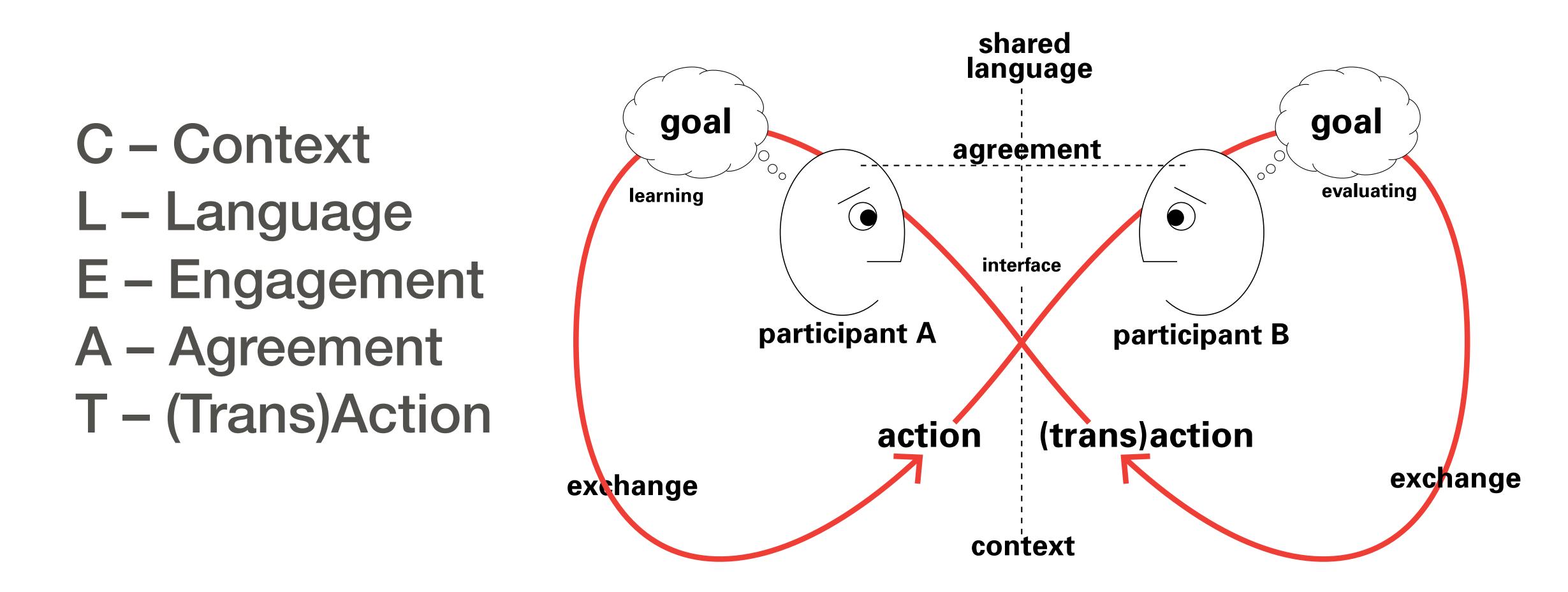
### **Conversation Model**



### See also Pangaro: Economy of Insight

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## Conversation Model—C-L-E-A-T





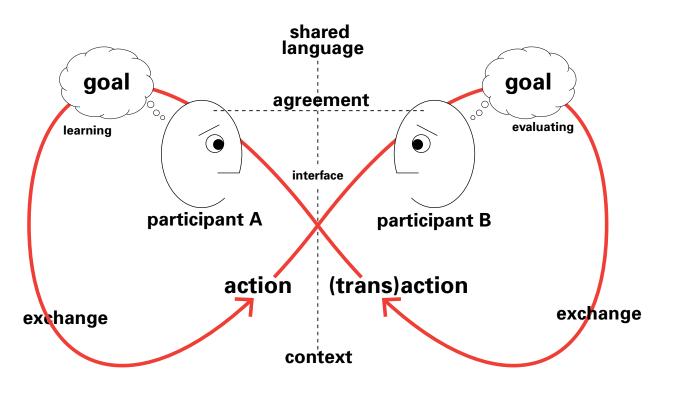
### Types of Conversation

### What is an effective conversation?

### A conversation in which something changes<sup>\*</sup> and brings (lasting) value to one or more participants.

\*changes may be informational, transactional, rational, emotional...

Click for "What is conversation? Can we design for effective conversation?" – Dubberly and Pangaro, 2009



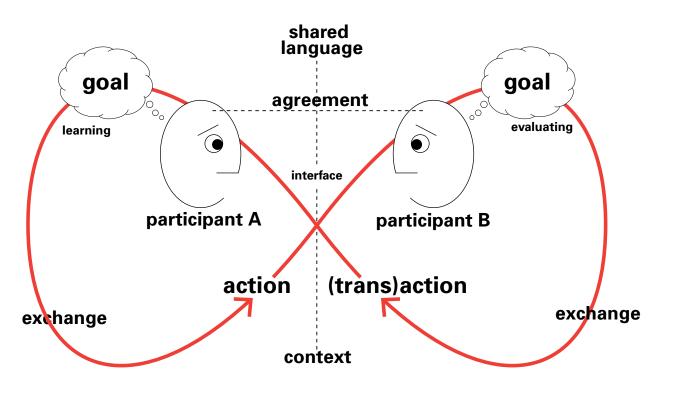


### Matters of Conversation

### Why does conversation matter?

- to act together, we must reach agreement
- to reach agreement, we must have an exchange
- to hold an exchange, we must have shared language.

To cooperate and collaborate requires conversation.



### each agreement ust have an exchange nust have shared language.

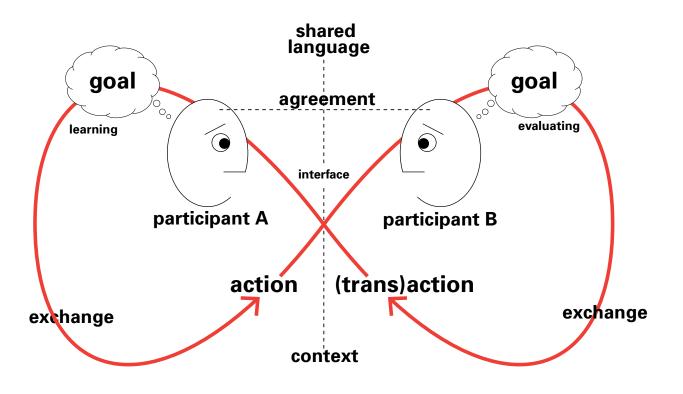


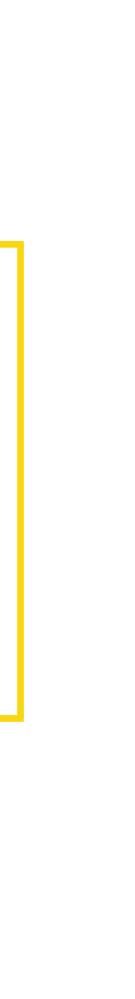
## **Benefits of Conversation**

### What may follow from conversation?

- shared history
- relationship
- trust
- respect
- unity.

### All these require conversation.



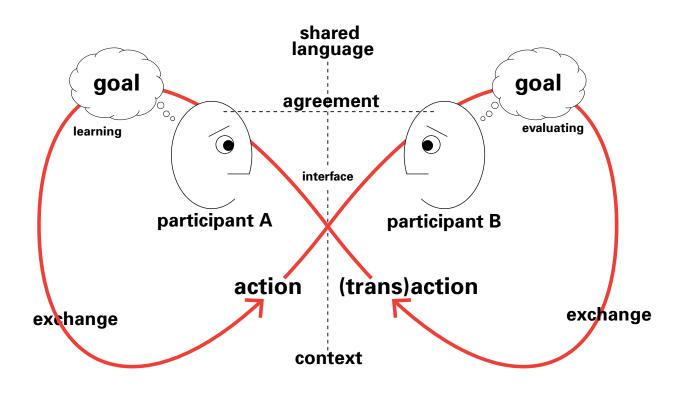


## **Benefits of Conversation**

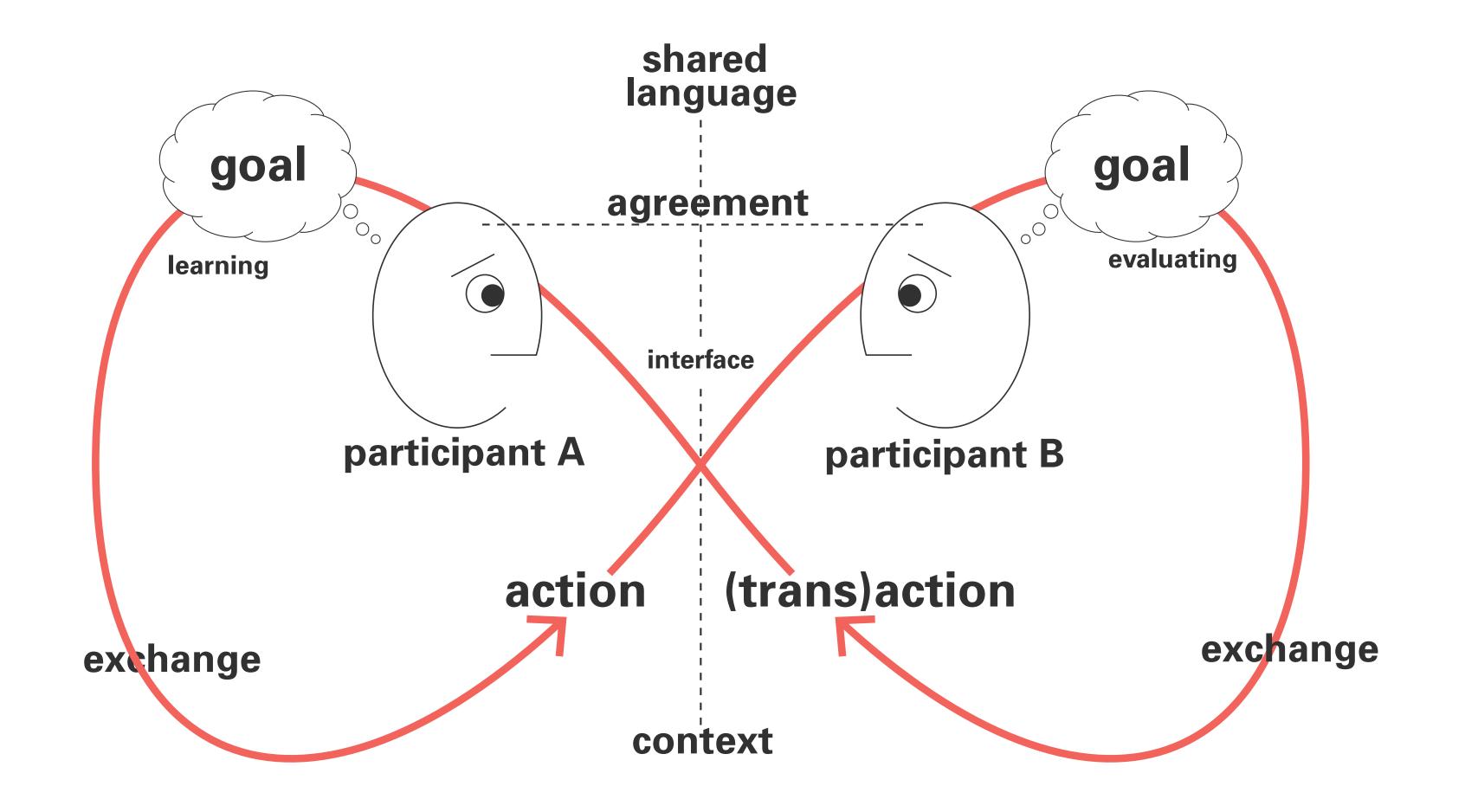
### What does conversation enable?

- community
- commerce
- culture
- government
- society.

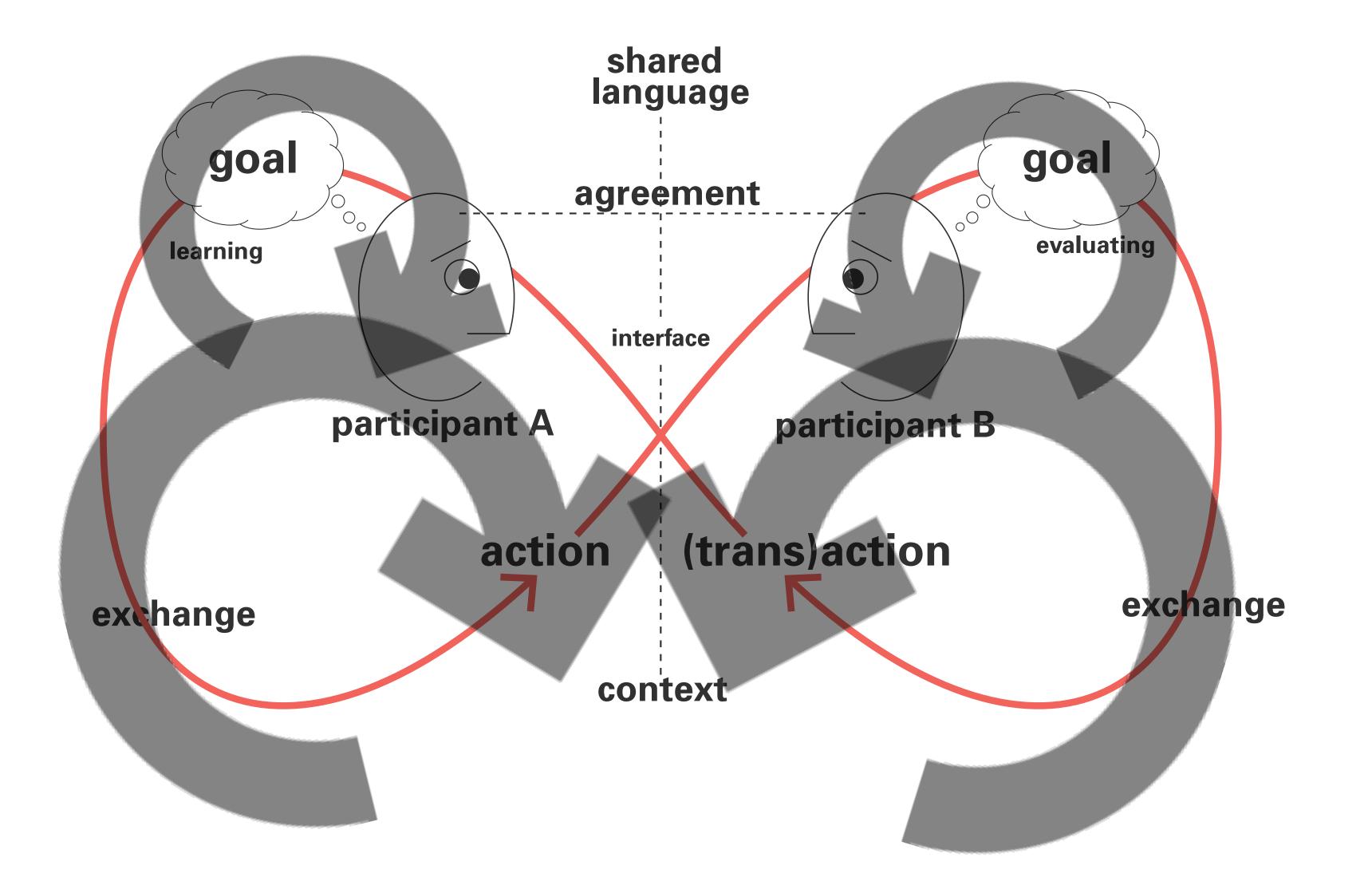
### All these demand conversation.





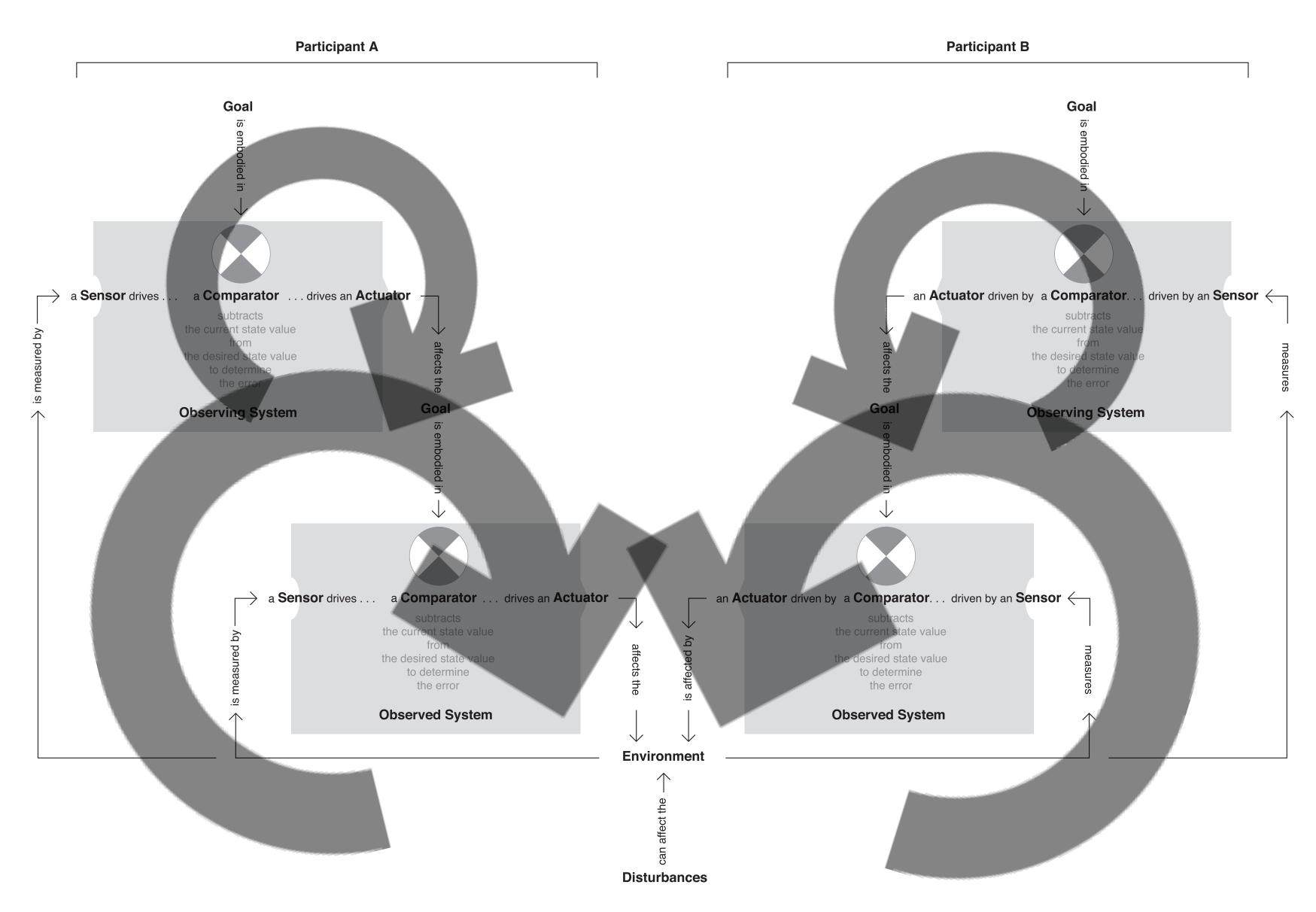


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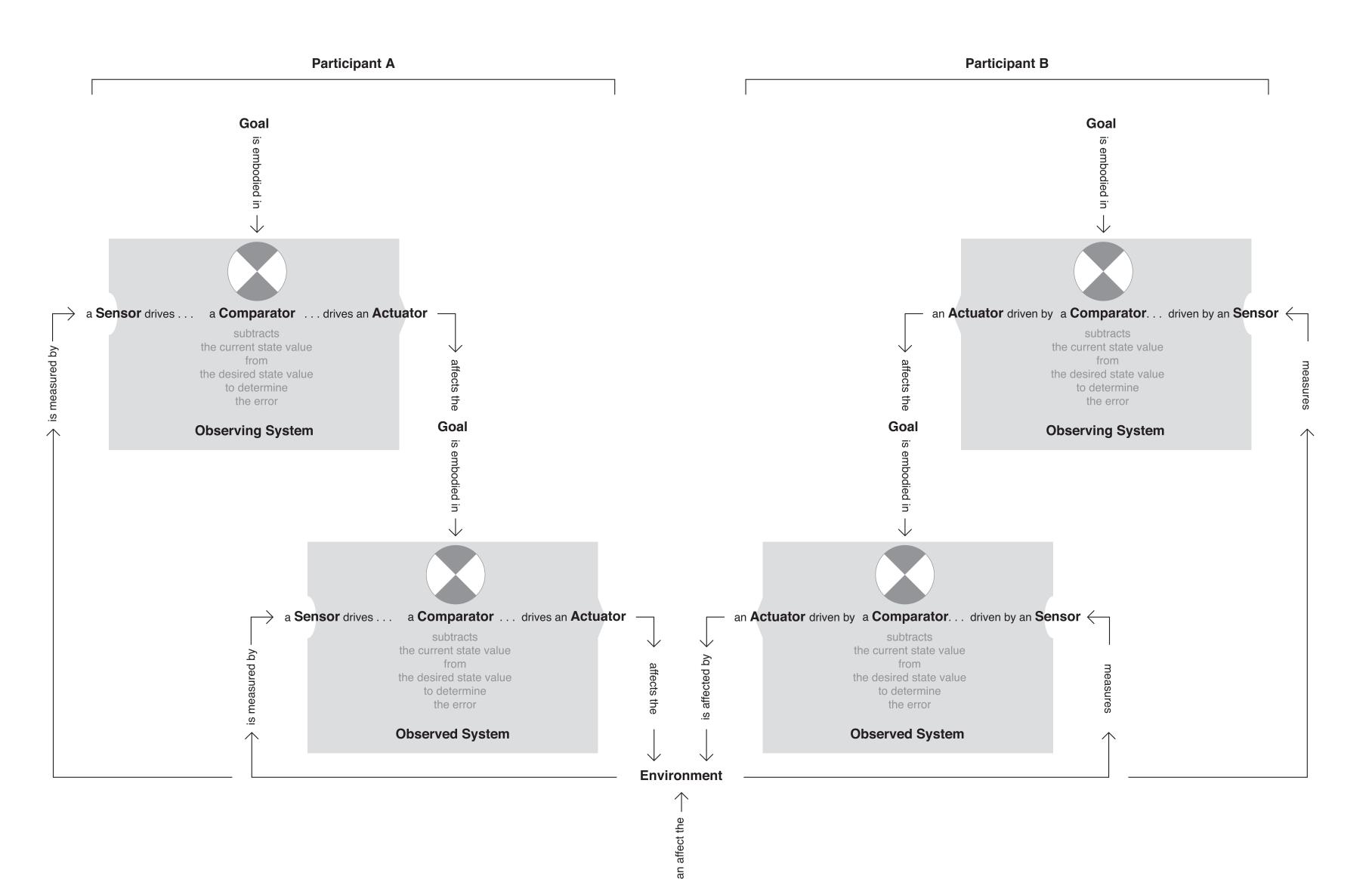




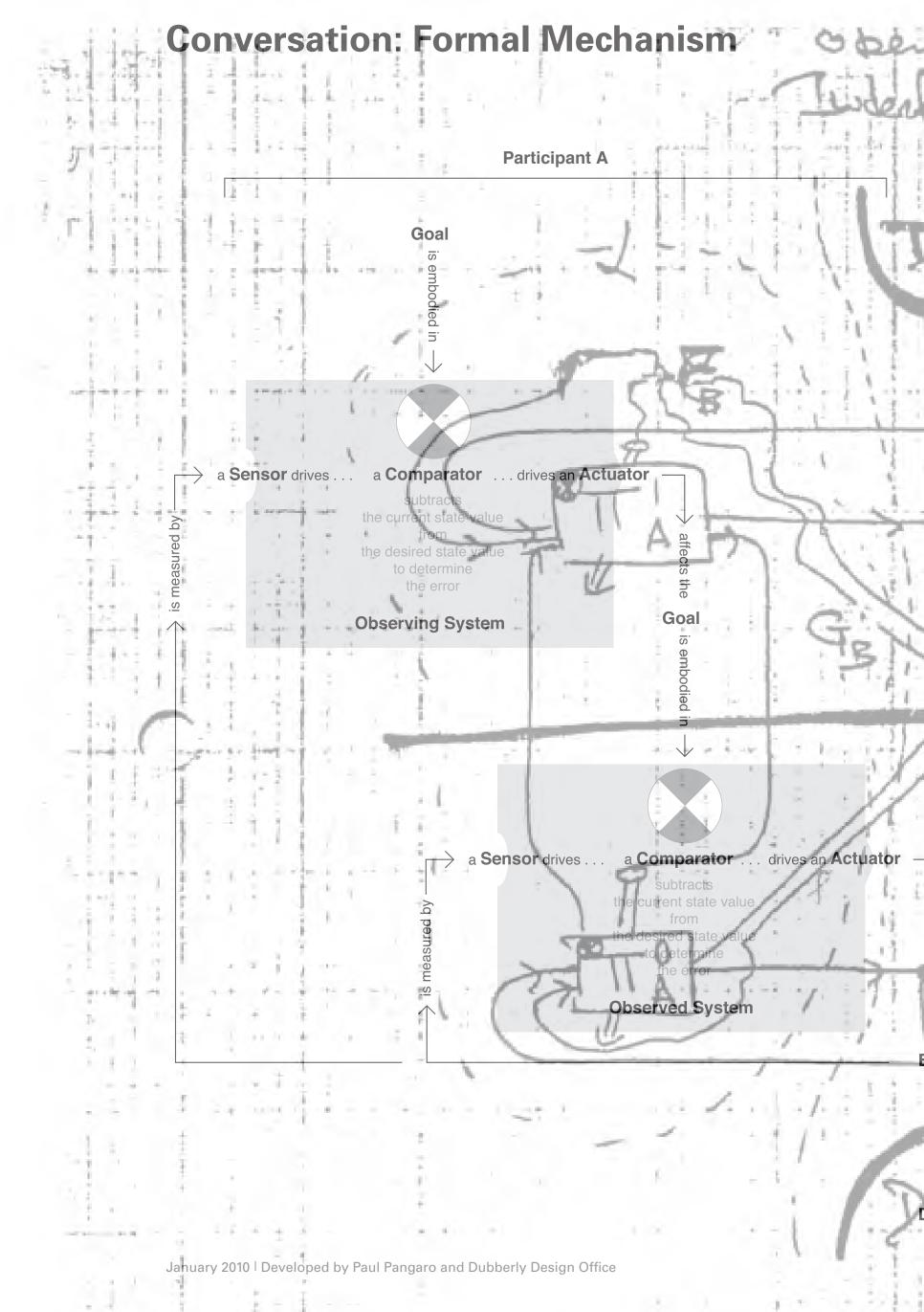
### **Conversation: Formal Mechanism**



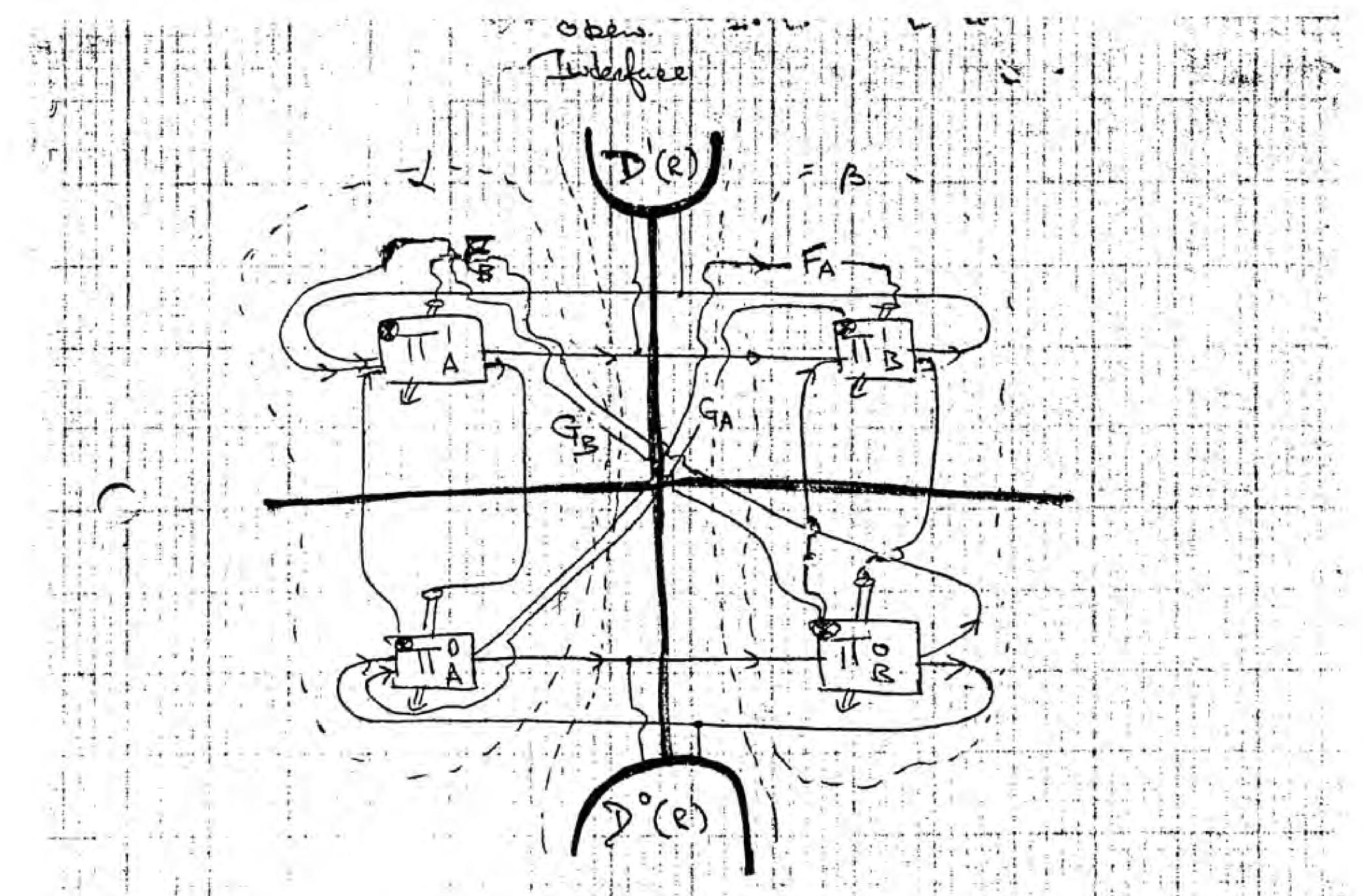
### **Conversation: Formal Mechanism**







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<pre></pre>	ven by a Comparator driven b subtracts the current state value from the desired state value to determine the error Observed System	by an Sensor			
Disturbances					



### GORDON/PASK

### CONVERSATION, COGNITION AND LEARNING

### A CYBERNETIC THEORY-AND METHODOLOGY



1975

### **GORDON PASK**

## CONVERSATION THEORY

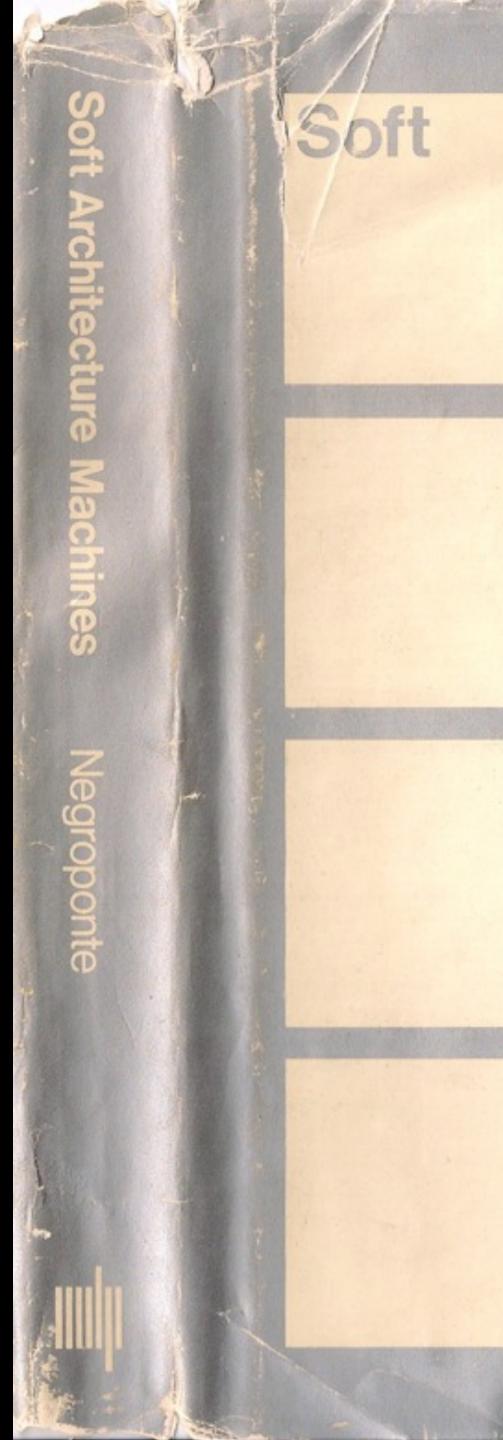
### APPLICATIONS IN EDUCATION AND EPISTEMOLOGY

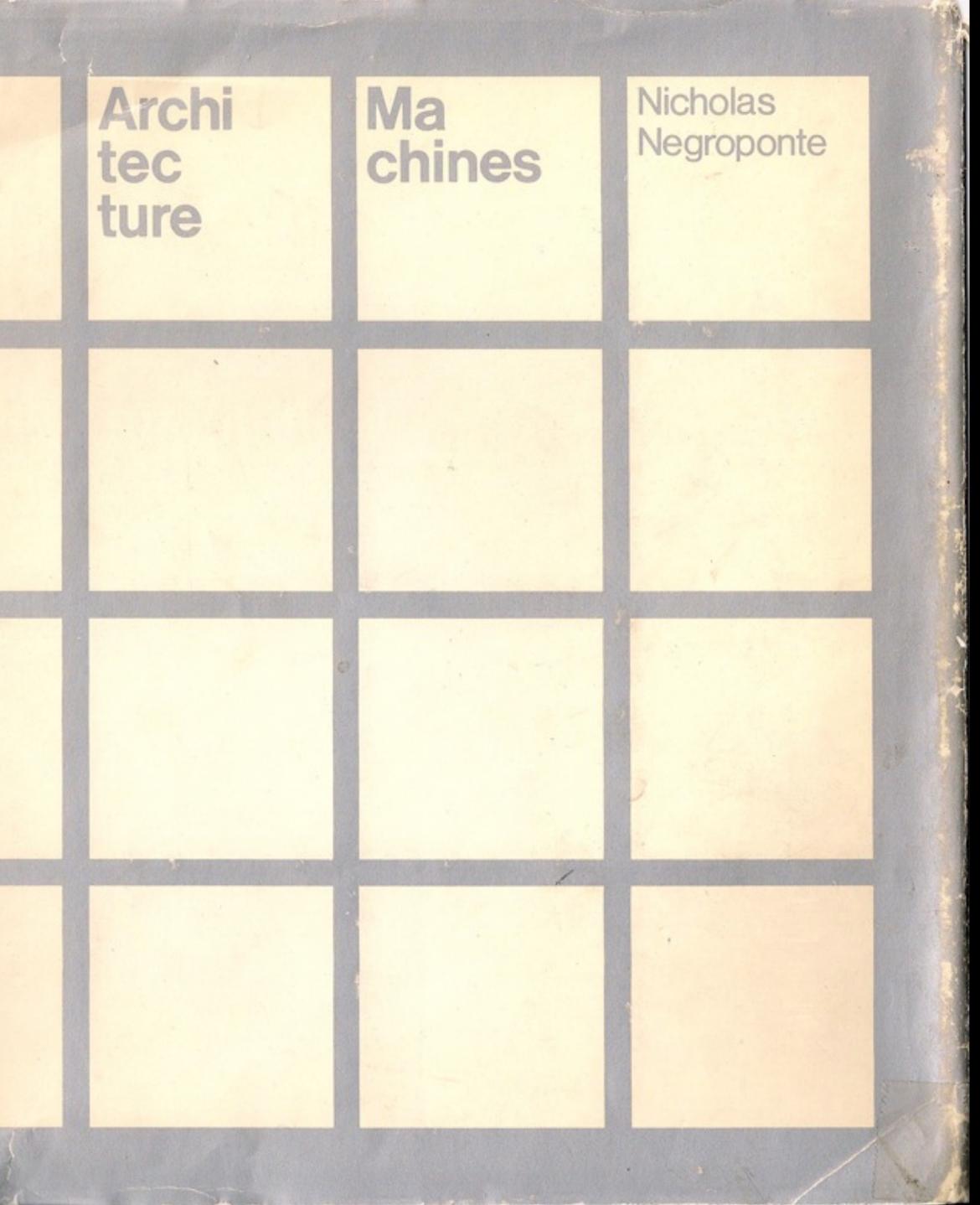
### ELSEVIER



Soft Architecture Machines Nicholas Negroponte, ed., MIT Press, 1976

Book Design: Muriel Cooper







### Aspects of Machine Intelligence

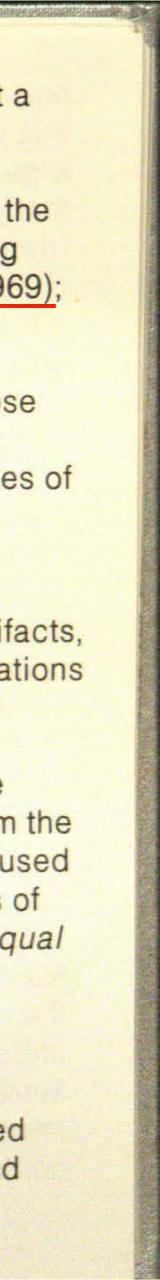
Introduction by Gordon Pask

The current status of mindlike computer programs is summarized, at a philosophical rather than technical level, in the following short but authoritative papers: Minsky (1968), Simon (1966), Turing (1969). Whoever wishes to delve into this subject in greater depth may read the books where these papers are published in their entirety, augmenting them, to obtain comprehensive background, by Ernst and Newell (1969); Ashby (1960); Cohen (1966); Fogel, Owens, and Walsh (1966); Von Foerster and Zopf (1962); Uttley (1959); Von Foerster et al. (1968); McCulloch (1965); Oestreicher and Moore (1968); Amarel (1969); Rose (1970); Minsky and Papert (1969); Feigenbaum and Feldman (1963); Banerji (1969); and Garvin (1970). It is also worth perusing all volumes of the journal Artificial Intelligence.

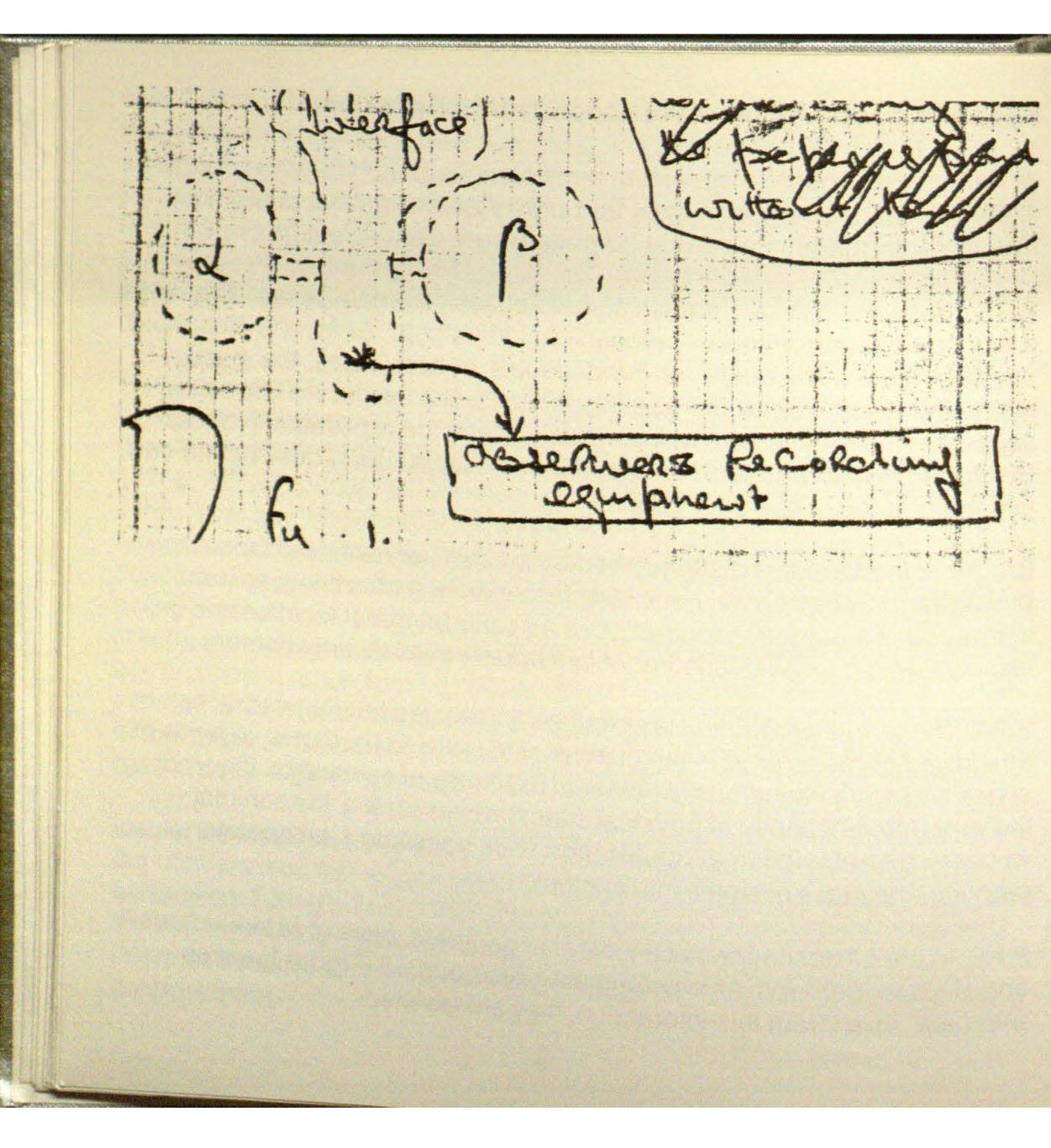
Henceforward, it is assumed either that the reader knows the *kind* of symbolic operations performed by computer programs and other artifacts, that he will study the matter at leisure, or that he will take these operations for granted. With this supposition in mind I shall give a personal and possibly idiosyncratic view of the conditions under which *artificially intelligent* is a properly used term and offer an interpretation of these conditions with respect to *use* of the *architecture machine*. Apart from the pictograms or ikons developed in the text, the only special symbols used are the special brackets < and > which enclose *ordered* collections of objects; the equality sign =; and  $\triangleq$ , which is read as " *defined as equal to*."

### Overview

The contention is as follows: Intelligence is a property that is ascribed by an external observer to a conversation between participants if, and







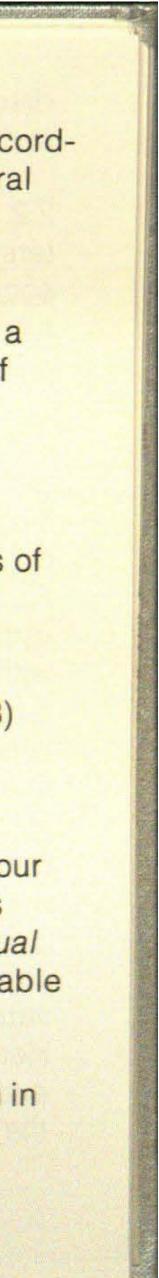
2.1.3. It is crucial to the argument that *all* observations occur at such a spatio-temporally localized interface; the observer's measuring and recording equipment is, in the last resort, bound to it. But the interface is neutral regarding the type of interaction, if any, that takes place across it.

In Figure 1, which introduces the notation for distinguishing *M Individuals*,  $\alpha$  may be a user of the architecture machine regarded as a biological unit and  $\beta$  the architecture machine regarded as a chunk of metal and semiconductor material. But  $\alpha$  may also be a rat and  $\beta$  its experimental environment.

2.2. A *P* Individual is distinguished as a self-replicating and (usually) evolving organization. It is respectably and precisely defined in terms of an object language *L* and a relational domain *R* described in *L* by a description D(R) with respect to which it *is* self-replicating. Here, self-replication is intended in the abstract sense of the theory of reproductive automata, as originally conceived by von Neumann (1968) and as recently developed by Loefgren (1972).

2.2.1. Though, in general, the domain may be allowed to grow systematically under the control of the given *P* Individual, we confine our attention to cases in which *R* is fixed. Under these circumstances, it is possible to specify domains with the property that if a given *P* Individual is viable (that is, is able to reproduce) on occasion *n*, then it is also viable at any later occasion n + r (*r* finite) for  $R_i$  in  $R_i^2$ 

2.2.2. It is assumed that a *P* Individual is active or that any conversation in which it is a participant does in fect proceed, that is, for each occasion, some topic relation *R* (a part of *R* or all of it) is actually ostended for





d. That A will converse in L with a further entity B, that is, on each occasion 5. The distinction between levels of discourse in the object language L', L°, n, A will aim for some goal; hence, some L expressions are used in an is symbolized by a horizontal cleft -. imperative or interrogative mode to pose and solve problems.

e. That the observer, for his part, will choose an L that is rich enough to accommodate the required questionings, commandings, answerings, etc.

f. That the observer will furnish a participant B (for example, the heuristic in the architecture machine) so devised that it will be possible for the other participant to realize the agreed-upon intention of playing the role of A.

4. In order to satisfy clause (6) of Section 3.2, an external observer must have an unambiguous representation of A. Because of that conditionbecause he wants to distinguish between a concept A goal-directed or problem-solving procedure  $\triangleq$  the reproduction of a relation, such as R. and a memory a the reproduction of a concept, because he wants to judge the conversation "intelligent" or "not intelligent"-an observer finds it convenient to avoid dilemmas of self-reference: for example, the notion of a program that "writes itself" or a procedure that "questions itself" or even the operational evocation of a self-reproducing system (so that the sprout of a conversation, which is a P Individual, can be represented as a productive pair,  $S_A$ ,  $S_B$ ). One expedient adopted for this purpose is to stratify L, that is, to specify L = L', L° where expressions in L° refer to the bringing about of relations R. (the solution of problems, the achievement of goals), and expressions in L' refer to the construction or learning to formulate and achieve goals or learning to solve problems.

5.1. Moreover, once imposed, the stratification engenders two descriptions of R, namely,  $D(R) = \langle D'(R), D^{\circ}(R) \rangle$ .

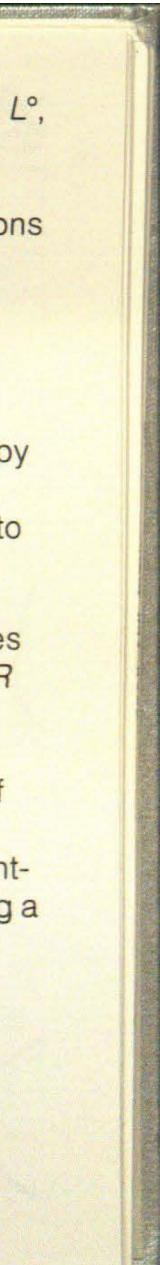
5.2. D'(R) is a grammarlike structure indicating what may be known or learned.

5.3. D°(R) is grammarlike structure indicating what may be done (either by physical operations, to make a tangible model for some R, in R), or by intellectual operations, to model R, as an explanation-literally, of how to solve problems under R.

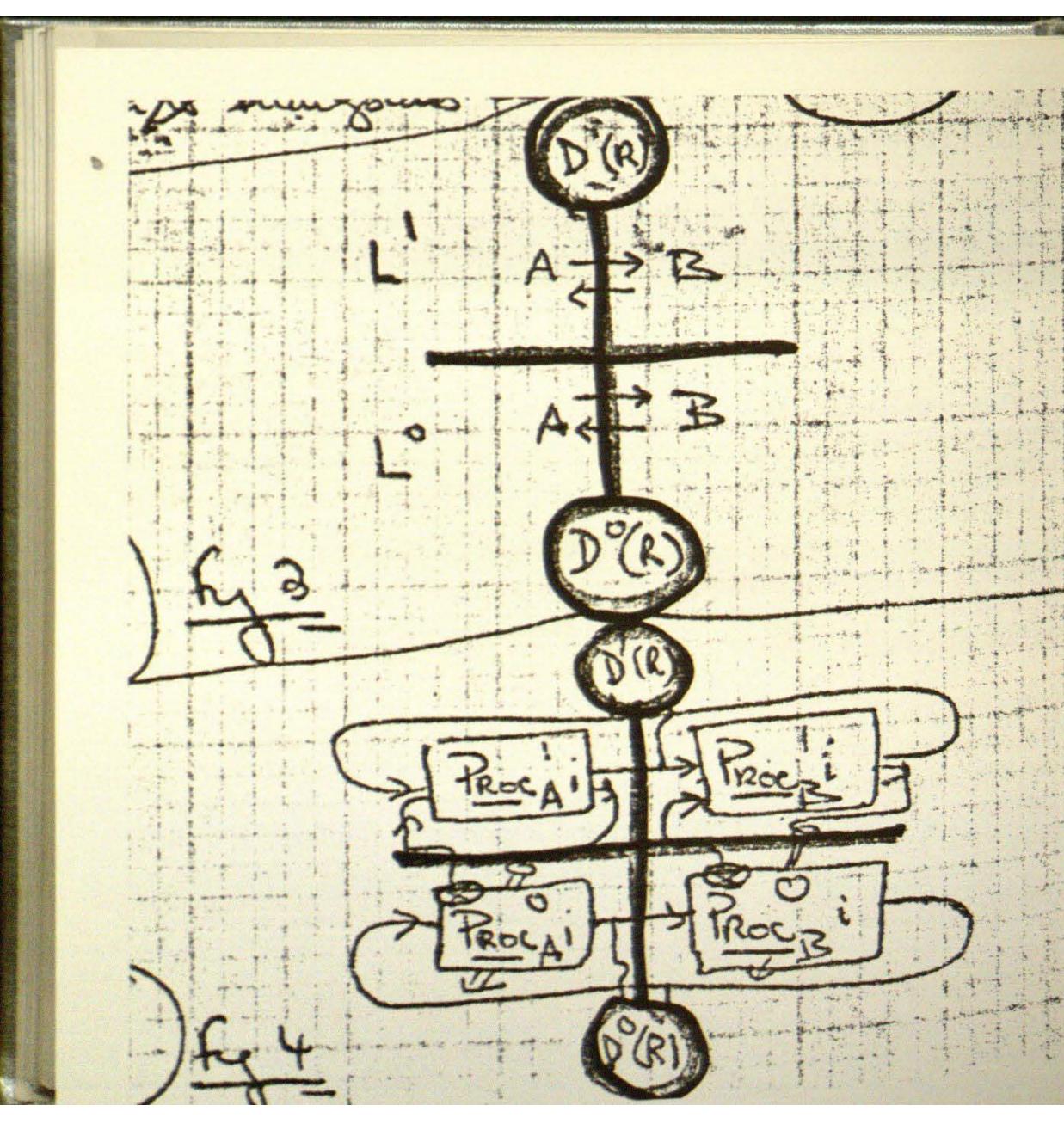
6. On making the distinction I and the distinction -, the observer declares the tableau of Figure 3 the conversational skeleton. This skeleton L and R are all described in L\*.

7. To lay foundations for the representation required to satisfy clause 6 of Section 3.2 and, simultaneously, to exhibit levels L', L°, in L as levels of control, the spaces in the skeleton are filled by boxes (Figure 4) representing classes of goal-directed or problem-solving procedures, Proc i being a procedure that brings about a reproduces a topic relation R.

7.1. The superscripts signify levels.







7.2. ♀ means "operates upon according to a hypothesis," and ⊗ means "gives a description (in the language appropriate to the level where the line terminates), which may or may not confirm the hypothesis."

7.3. Thus a complete circuit on one side of I, starting at  $\otimes$ , passing through — to a *Proc*, and returning by way of — and  $\Im$  on the original *Proc* is a *causal* coupling, or, equivalently, it permits *reproduction* of the original *Proc*.

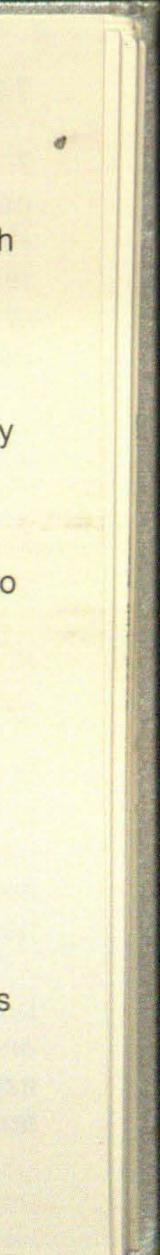
7.4. The unadorned, horizontal connections have a different meaning: they are *inferential* couplings, which, limiting cases apart, entail the notion of choice.

7.5. Hence, any complete circle (such as the line emanating from  $Proc_{A}$  i to  $Proc_{B}$  i and terminating on  $Proc_{A}$  i) may be called a deductive chain.<sup>5</sup>

7.6. Finally, the lines to and from D'(R) and  $D^{\circ}(R)$  indicate whatever is referenced by the inference, that is, whatever R in R is ostended by the participants A and B on occasion n.

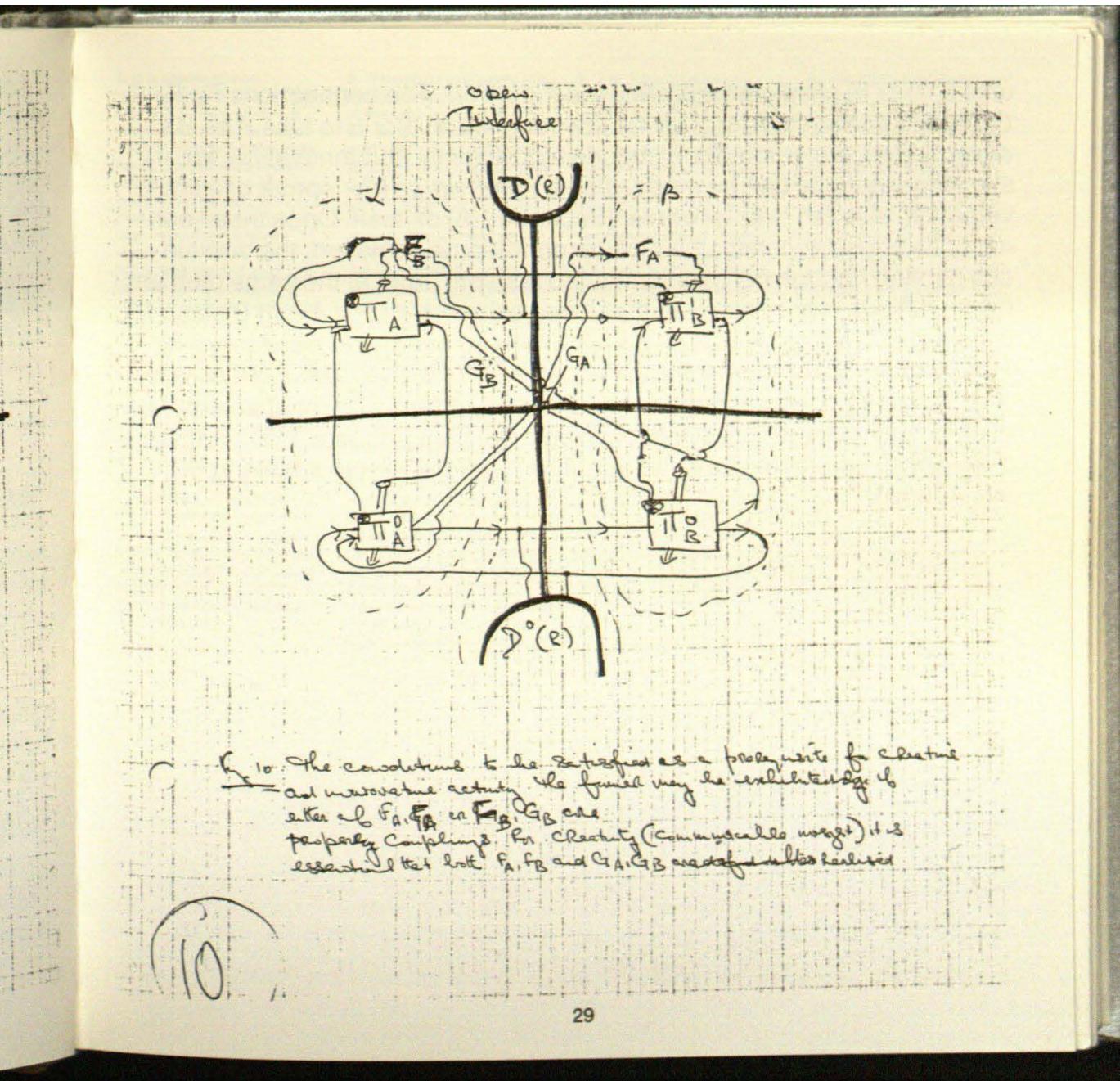
7.7. Call this ikon (Figure 4) the conversational paradigm.

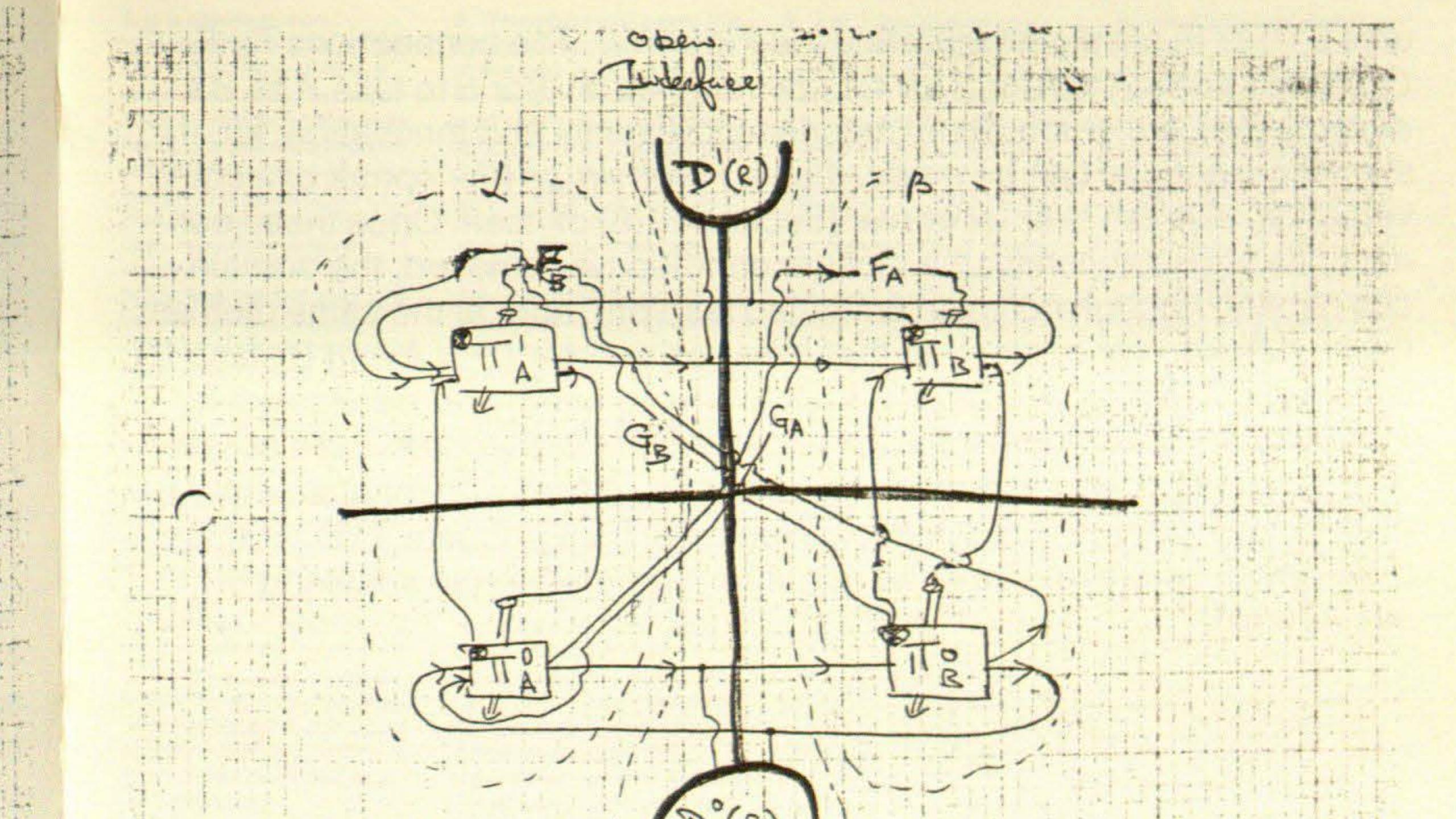
7.8. If one ikon is created by filling the spaces in Figure 3, then (obeying the proper rules) the process can be iterated laterally to yield a further *paradigm*, for example, the ikon in Figure 5. The motivation for doing so is noted in Section 2.1.1  $\triangleq$  to represent as much of mind as desired.



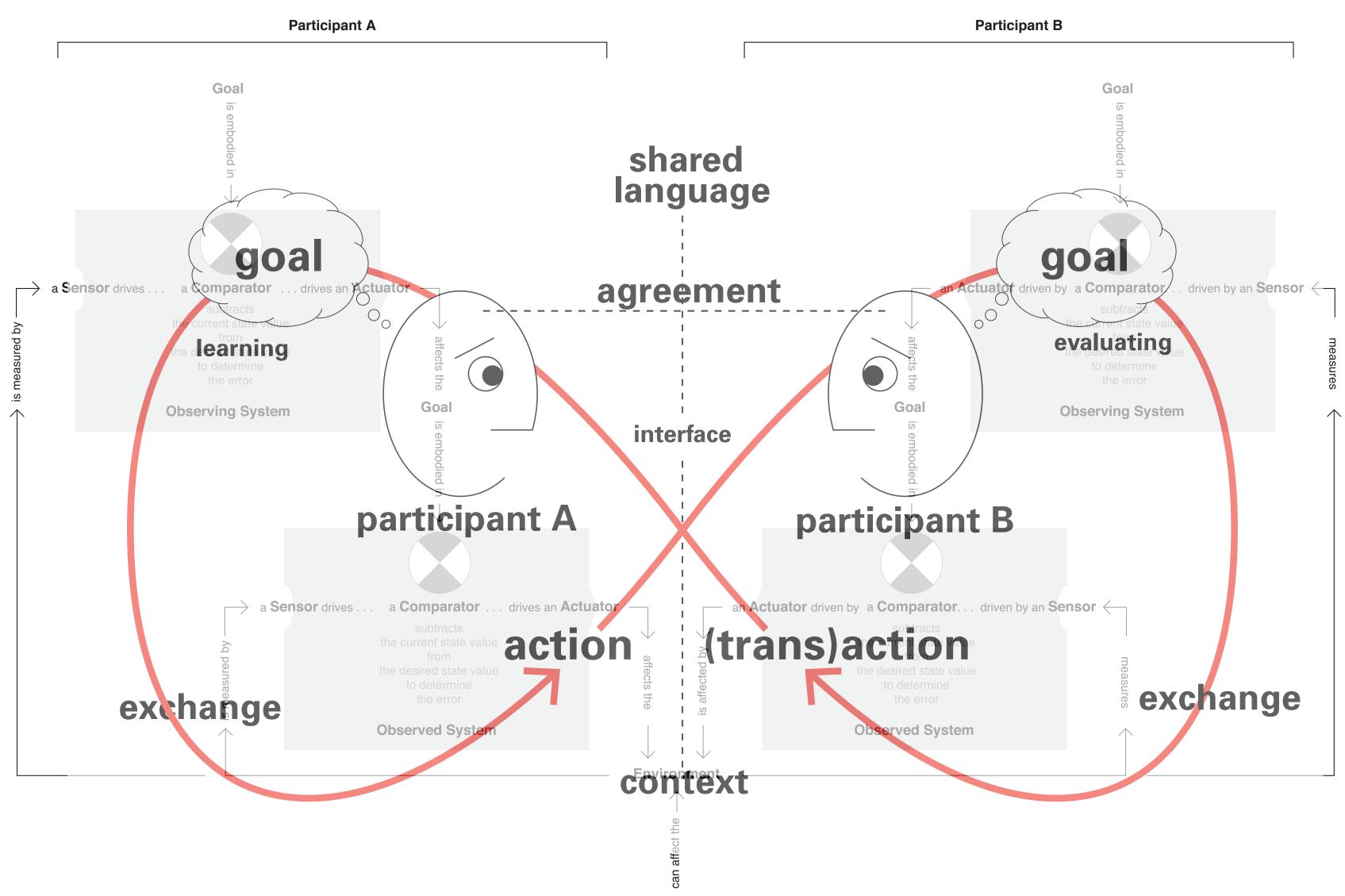


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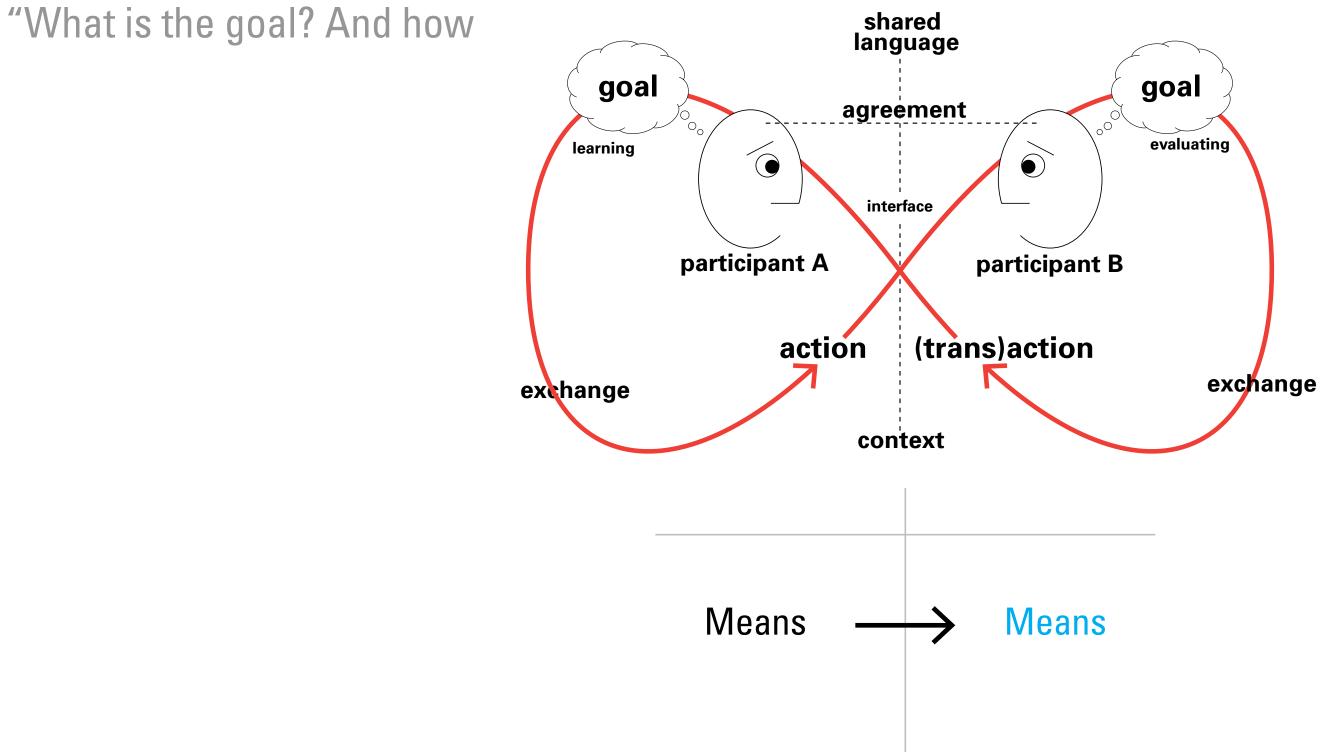
### **Conversation: Formal Mechanism**



Disturbances



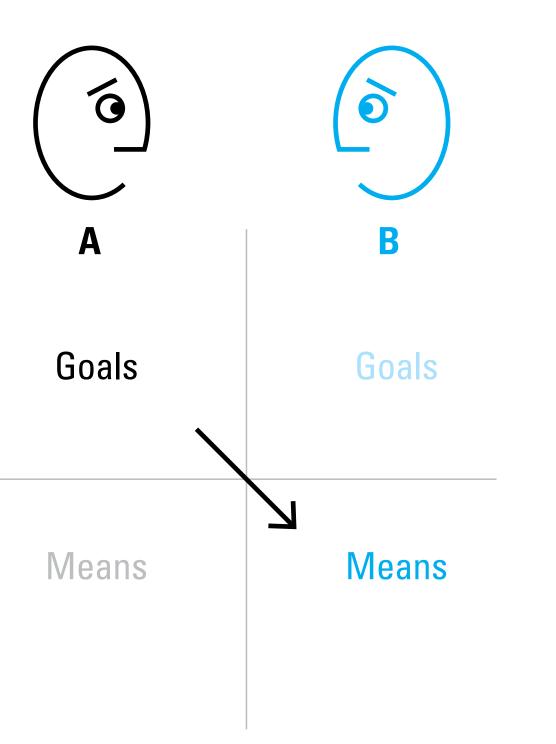
### Architecture of Conversation A and B may talk about goals, means, or both





### **Controlling** A tells B what to do and how to do it

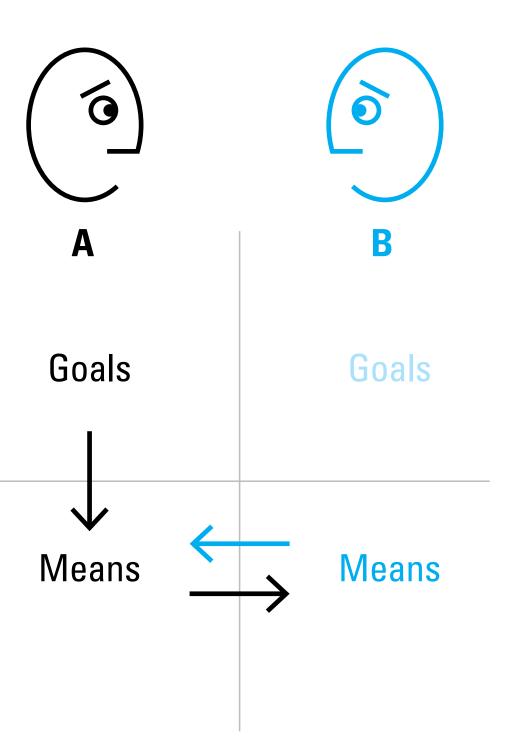
"Alexa, give me some news from NPR."





### Guiding A sets goal but discusses means with B

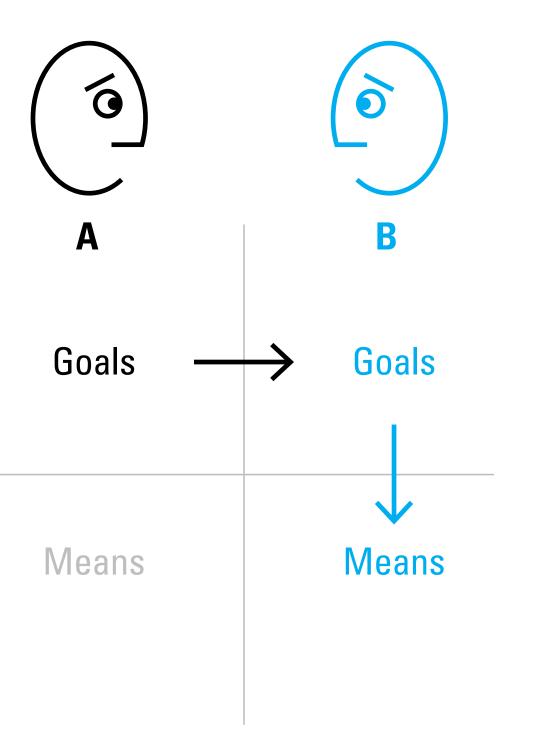
"Alexa, I want to listen to news, what are my options?"





### **Delegating** A sets the goal but lets B decide the means to reach it

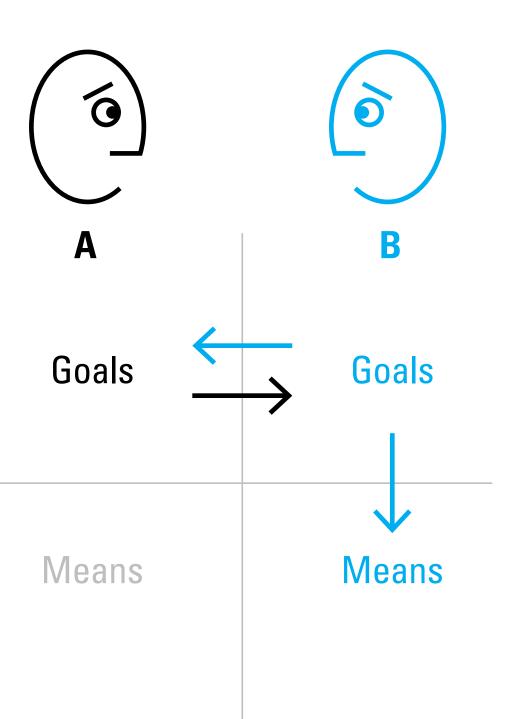
"Alexa, some news please."





### Collaborating A and B decide together on goals

"Alexa, how about I listen to something?"





### **Conversational Interfaces**

### Alexa, define a "good conversation"?

- stays sensitive to your context & language
- engages you keeps continuity in the exchange
- leads to agreements even agreements-to-disagree
- enables coordination acting together with others.

Alexa, how well does AI + today's "Conversation Interfaces" do these things?

text & language tinuity in the exchange en agreements-to-disagree sting together with others.



### **Conversational Interfaces**

### Cortana, define a "great conversation"?

- tells you things you enjoy learning delights you
- is surprising energizes you
- goes places you didn't expect to go is generative
- evolves in ways you couldn't evolve on your own.

### "As a designer, I shall act always so as to increase the total number of choices for a user."

learning – delights you /ou

ect to go — is generative n't evolve on your own.

- Ethical Imperative, Interaction Designers





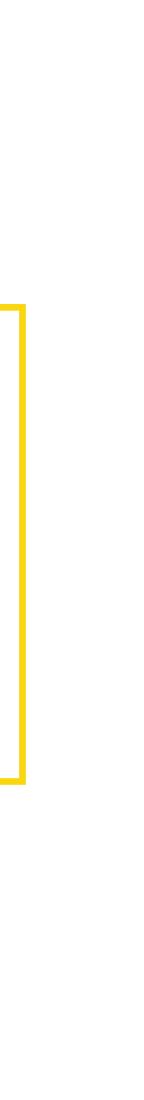


### **Ethical Intentions — Conversational Interfaces**

Intention #1 — Build cooperative interfaces

Conversation is a cooperative interface when sequences of coherent interactions enable participants to evolve points-of-view such that understanding and agreement are ongoing.

Intentions of Interactions for Conversation v4 – November 2019



### Ethical Intentions — Conversational Interfaces

### Intention #2 — Build ethical interfaces

**Conversation is an ethical interface when there is** reliable transparency of action + intent (what + why), such that trust may build and be maintained over time.

Intentions of Interactions for Conversation v4 – November 2019



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that appear in ads.

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outside of Google unless ne of the fo

### With domain administrators

- change your account password.

persons to process it fe based on our instructions and in compliance with out

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We may combine personal information from one service with information, including personal information, from other Google services - for example to make it easier to share things with people you know. Depending on your account settings, your activity on other sites and apps may be associated with your personal information in order to improve Google's services and the ads delivered by Google.

### Compliance and cooperation with regulatory authorities

We regularly review our compliance with our Privacy Policy. We also adhere to several self regulatory frameworks, including the EU-US and Swiss-US Privacy Shield Frameworks. When we receive formal written complaints, we will contact the person who made the complaint to follow up. We work with the appropriate regulatory authorities, including local data protection authorities, to resolve any complaints regarding the transfer of personal data that we cannot resolve with our users directly.

### Changes

### Back to top

Our Privacy Policy may change from time to time. We will not reduce your rights under this Privacy Policy without your explicit consent. We will post any privacy policy changes on this page and, if the changes are significant, we will provide a more prominent notice (including, for certain services, email notification of privacy policy changes). We will also keep prior versions of this Privacy Policy in an archive for your review.

### Specific product practices

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The following notices explain specific privacy practices with respect to certain Google products and services that you may use:

- Chrome and Chrome OS
- Play Books
- Payments
- Fiber
- Project Fi G Suite for Education
- YouTube Kids
- Google Accounts Managed with Family Link

For more information about some of our most popular services, you can visit the Google Product Privacy Guide.

### Other useful privacy and security related materials

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Further useful privacy and security related materials can be found through Google's policies and principles pages, including:

- Information about our technologies and principles, which includes, among other things, more information on
- how Google uses cookies.
- technologies we use for advertising.
- how we recognize patterns like faces.
- A page that explains what data is shared with Google when you visit websites that use our advertising, analytics and social products.
- The Privacy Checkup tool, which makes it easy to review your key privacy settings.
- Google's safety center, which provides information on how to stay safe and secure online.

### For external processing

We provide personal information to our affiliates or other trusted businesses or persons to process it for us, based on our instructions and in compliance with our Privacy Policy and any other appropriate confidentiality and security measures.

### For legal reasons

We will share personal information with companies, organizations or individuals outside of Google if we have a good-faith belief that access, use, preservation or disclosure of the information is reasonably necessary to:

- meet any applicable law, regulation, legal process or enforceable governmental request.
- enforce applicable Terms of Service, including investigation of potential violations.
- detect, prevent, or otherwise address fraud, security or technical issues.
- protect against harm to the rights, property or safety of Google, our users or the public as required or permitted by law.

We may share non-personally identifiable information publicly and with our partners - like publishers, advertisers or connected sites. For example, we may share information publicly to show trends about the general use of our services.

If Google is involved in a merger, acquisition or asset sale, we will continue to ensure the confidentiality of any personal information and give affected users notice before personal information is transferred or becomes subject to a different privacy policy.

### Information security

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We work hard to protect Google and our users from unauthorized access to or unauthorized alteration, disclosure or destruction of information we hold. In particular:

- We encrypt many of our services using SSL.
- We offer you two step verification when you access your Google Account, and a Safe Browsing feature in Google Chrome.
- We review our information collection, storage and processing practices, including physical security measures, to guard against unauthorized access to systems.



### Ethical Intentions — Conversational Interfaces

### Intention #3 — Build humane interfaces

**Conversation is a humane interface when** any participant may influence its focus and flow such that collaboration is ongoing.

Intentions of Interactions for Conversation v4 – November 2019



### **Designing Ethical Interfaces**

### Ethical Intentions = Conversational Interfaces

1. Cooperative → evolving points-of-view → agreement 3. Humane  $\rightarrow$  shared focus and flow  $\rightarrow$  collaboration

# 2. Ethical $\rightarrow$ reliable transparency of what + why $\rightarrow$ trust



## Place Conversation at the Heart of IxD

Designers, can we enable conversation for others? Can we design for interaction that...

- asks great questions
- offers different ways to achieve your goal
- collaborates with you to define new goals
- helps you to be what you want to be... or to become.

### "As a designer, I shall act always so as to increase the total number of choices for a user."

- Ethical Imperative, Interaction Designers



























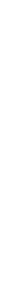








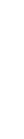






























### **Designing Ethical Interfaces**

### "As a designer, I shall act always so as to increase the total number of choices for a user."

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Ethical Imperative, Interaction Designers



### "As a designer, I shall act always so as to increase the total number of choices for a user."

Thank you.

Paul Pangaro pangaro.com/ethics2019/ ppangaro@cmu.edu



### "I shall act always so as to increase the total number of choices."

Thank you.

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### **Place Conversation at the Heart of IxD**

### Second-order Design = Design for Conversation

The goal of second-order design is to facilitate the emergence of conditions in which others can design to create conditions in which conversations can emerge and thus to increase the number of choices open to all.

— Dubberly & Pangaro, Cybernetics and Design: Conversations for Action, 2019



### Appendices

### **Design and Cybernetics**

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### **Designing Ethical Interfaces**

### "If you desire to see, learn how to act."

Click for PDF of "Ethics and Second-Order Cybernetics", 1991

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### - Aesthetic Imperative, Heinz von Foerster



## We believe cybernetics offers a foundation for 21st-century design practice, with this rationale:

— Dubberly & Pangaro, "Cybernetics and Design: Conversations for Action", 2019



### If design, then systems:

- The prominence of digital technology in daily life cannot be denied (or reversed). Digital technology comprises systems of systems (Internet of Things).
- Design has expanded from giving-form to creating systems that support interactions. Human interactions span thinking and acting, whether mundane or metaphysical. We must model and tame this complex mesh of mechanisms. Therefore: systems literacy is a necessary foundation for design.



### If design, then systems.

### If systems, then cybernetics:

- Digital interactions comprise reliable connections, communication, and feedback. Human interactions comprise purpose, feedback, and learning.
- The science of communication and feedback, interaction and purpose, is cybernetics. We must model communication and intention in a common frame. Therefore: cybernetics is a necessary foundation for design.





## If design, then systems.

### If systems, then cybernetics.

### If cybernetics, then second-order cybernetics:

- Values and viewpoints are subjective.
- Designers must offer a persuasive rationale for our subjective viewpoints.
- Modeling subjectivity is the province of second-order cybernetics. We must embrace values and subjectivity at the heart of designing. Therefore: second-order cybernetics is a necessary foundation for design.



Framing "wicked challenges" requires articulating human values and viewpoints.



## If design, then systems. If systems, then cybernetics.

### If cybernetics, then second-order cybernetics.

### If second-order cybernetics, then conversation:

- Taming "wicked challenges" must be grounded in argumentation.
- Argumentation requires conversation so that participants may understand and agree.
- Agreement is necessary for collaboration and effective action. We must embrace argumentation and collaboration to the heart of 21st-century design. Therefore: conversation is a necessary foundation for design.





## If design, then systems. If systems, then cybernetics. If cybernetics, then second-order cybernetics. If second-order cybernetics, then conversation.

— Dubberly & Pangaro, "Cybernetics and Design: Conversations for Action", 2019





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