



Icertis Responsible AI Policy

Icertis was early to recognize that artificial intelligence has the power to drive significant efficiencies, increase accuracy and deliver meaningful insights throughout CLM lifecycles. Our customers benefit from this today, and we will continue to drive increased customer value through innovative application of this technology in the future.

That said, we recognize that how AI will be deployed in the future is not knowable today, and that a deliberate, responsible, and trustworthy approach is necessary to avoid and mitigate risks. More specifically, if models and use cases are not chosen and managed deliberately, there is potential for detrimental impact on the Icertis brand, data governance, reliability and security, and the fundamental rights of individuals.

Icertis has, since its founding, relied on a set of shared values summarized as FORTE (Fairness, Openness, Respect, Teamwork and Execution). Adherence to the Icertis FORTE values requires that we have a set of descriptive principles and processes to operationalize our adherence to them. Icertis FORTE principles and processes ensure the company has a dedicated companywide effort to build trust within our organization , but also with customers, partners, vendors and other stakeholders in our business ecosystem.

The Icertis AI Policy is a set of AI principles coupled with a governance process to ensure we design and deploy AI in a manner consistent with our FORTE values. The principles are derived from our values. To help interpret the principles, we have coupled each principle with a set of primary goals. The goals are what we aspire to achieve in consistency with and in accordance with our values. The principles, coupled with the primary goals, make up our Responsible AI Policy.

To make the policy actionable, we will adhere to a process of Map – Evaluate – Mitigate. Mapping is to apply what we know or have discovered about a given use case to the principles and the goals. We will then evaluate whether we are achieving our goals or whether we need to take steps to mitigate.

The team responsible for administering the policy and the Map – Evaluate – Mitigate process is comprised of the Chief Information Officer and Co-Founder, the Chief Legal Officer, Chief Information Security Officer and leadership from the product team. Governance of the execution of our AI Policy also includes oversight from our Board of Directors, who approved this policy.

Icertis AI Principles & Primary Goals

Fairness. AI will be applied toward and result in a just and fair set of results and outcomes.

- We will apply AI towards appropriate tasks and won't replace human judgment where sensitive or critical decision-making occurs.
- We will actively endeavor to reduce or eliminate any inappropriate bias in a system.

Openness. We will be open and transparent regarding how and when we use AI.

- We will provide reasonable notice if and when the outcomes or information presented to a user via our system is generated by an AI process.
- We will take steps towards ensuring the predictability of results of AI and to understand how results were generated.

Respect. Any AI deployment will respect the privacy, property, legal and human rights of all entities and individuals impacted.

- We will take reasonable steps to ensure any model or AI technology we leverage respects the copyrights and contractual obligations applicable to the data used to train that technology.
- We will apply industry standards regarding individual privacy to any application of AI.
- We will comply with all applicable laws and work to ensure our principles and approach are consistent with any applicable industry standards.
- We will not share customer data with a third party without consent and will not use customer data in a model unless able to prevent material disclosure in prompt responses

Teamwork. As Icertians, we share a commitment to meet our values and therefore our AI principles across all levels and geographies.

- Cross-functional leadership team responsible for maintaining and administering this Responsible AI Policy, including the offices of the CISO, CLO, and CTO.
- The Icertis board of directors will provide regular oversight of this management group.
- The management team will proactively educate appropriate groups within Icertis on AI and the RAI Policy.
- Icertis will work with its vendors, partners and customers to best administer the RAI Policy.

Execution. Success in execution is the adherence to our values in each application of AI.

- Execution requires at all critical stages human oversight, reliability, and security.
- There is human oversight to approve a use case, to review results prior to deployment and periodically while an active use case is up and running.