



Responsible AI in Practice

Data & AI: Ethics and Regulations

Today's Presenters



Nadja Herger

*Current: Adoption Manager Data & Analytics
Axpó*

*Former: Director, Model Stewardship
Thomson Reuters*



Nina Koteva

*Sr. Technical Product Manager
Legal Technology & Innovation, Thomson Reuters*



Agenda

1. The Need for Responsible AI
2. Responsible AI in Practice: Guardrails for an AI-Powered Product
3. Key Takeaways

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Presenter: Nadja Herger

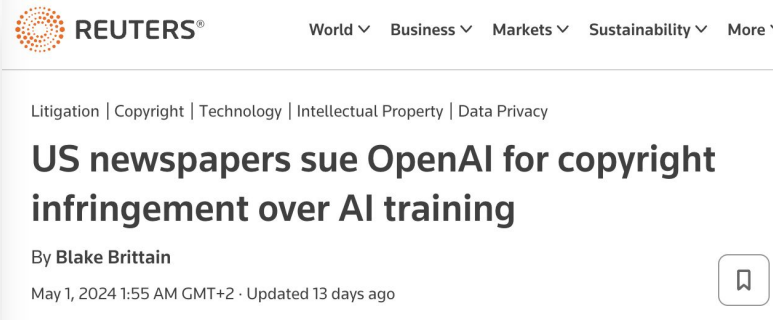
THE NEED FOR RESPONSIBLE AI

Motivation

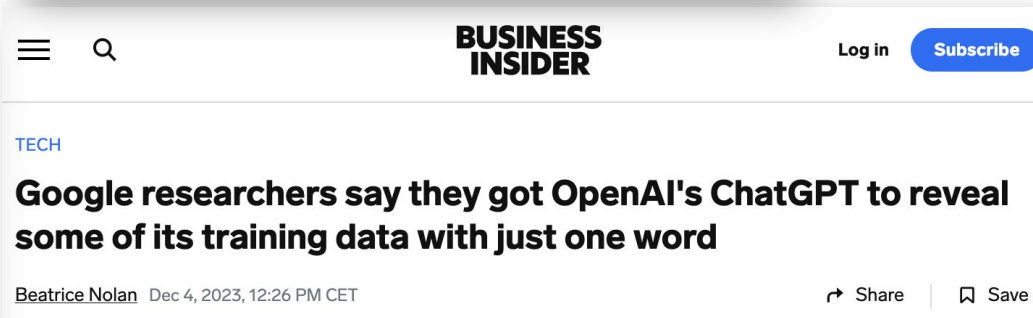
Hallucination



Transparency

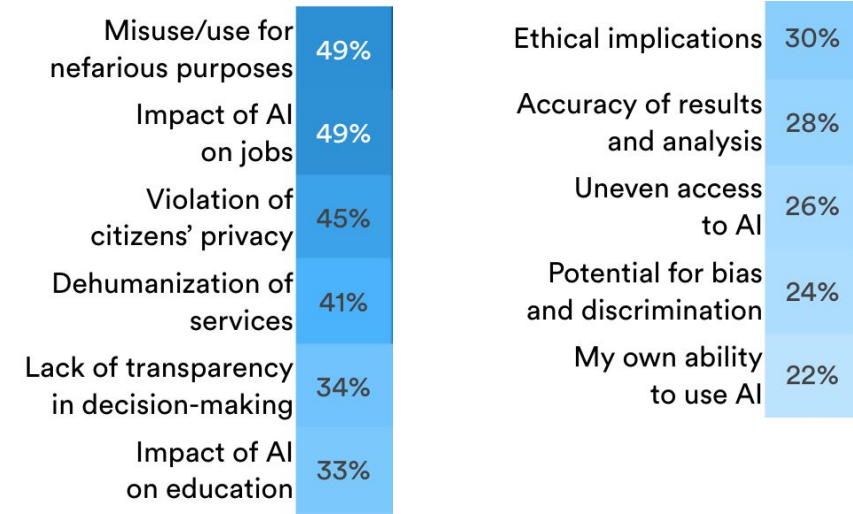


Privacy / Security

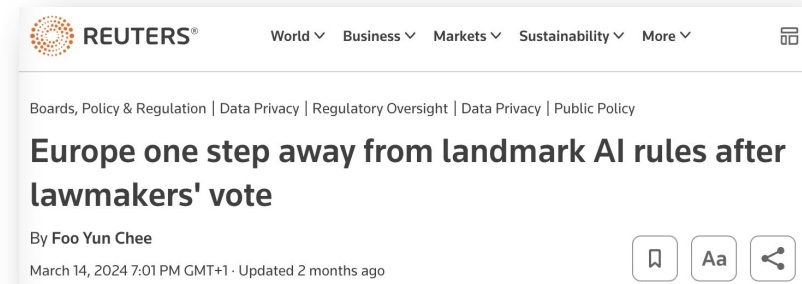


AI Index 2024 Annual Report by Stanford University (April 2024): Global concerns on the impacts of AI

Public Opinion

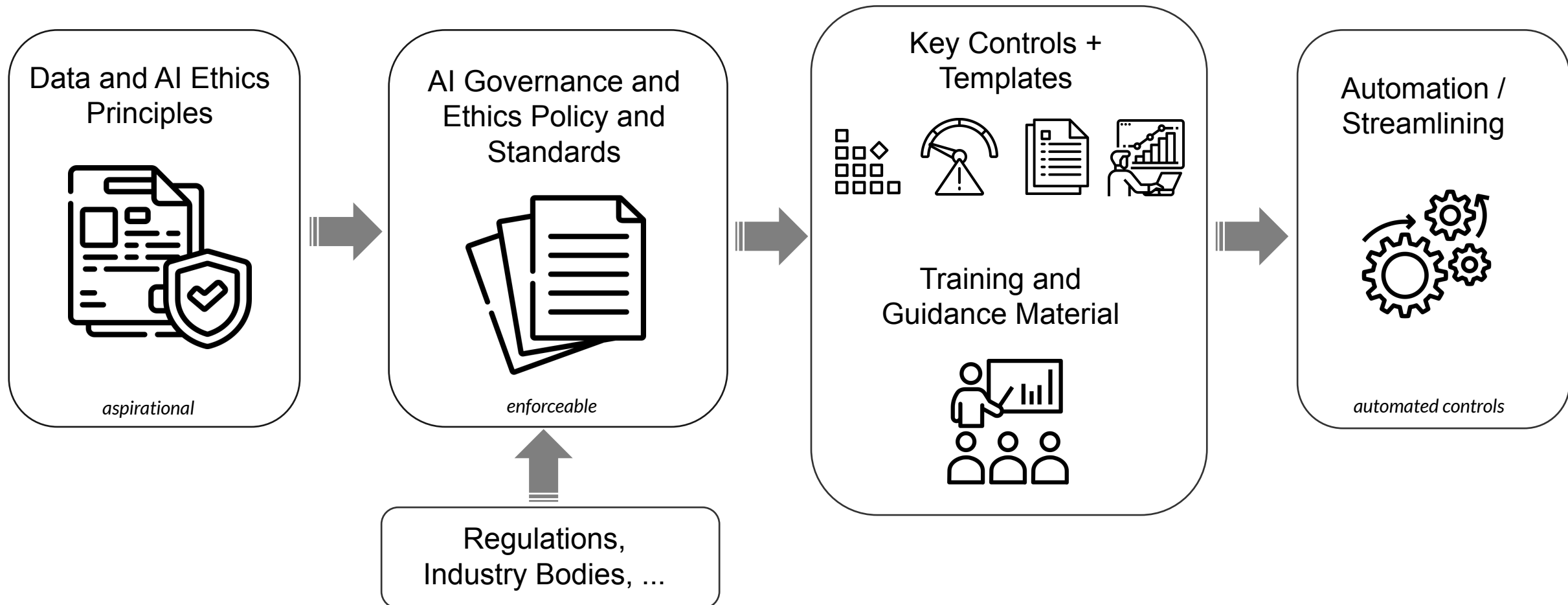


Regulations

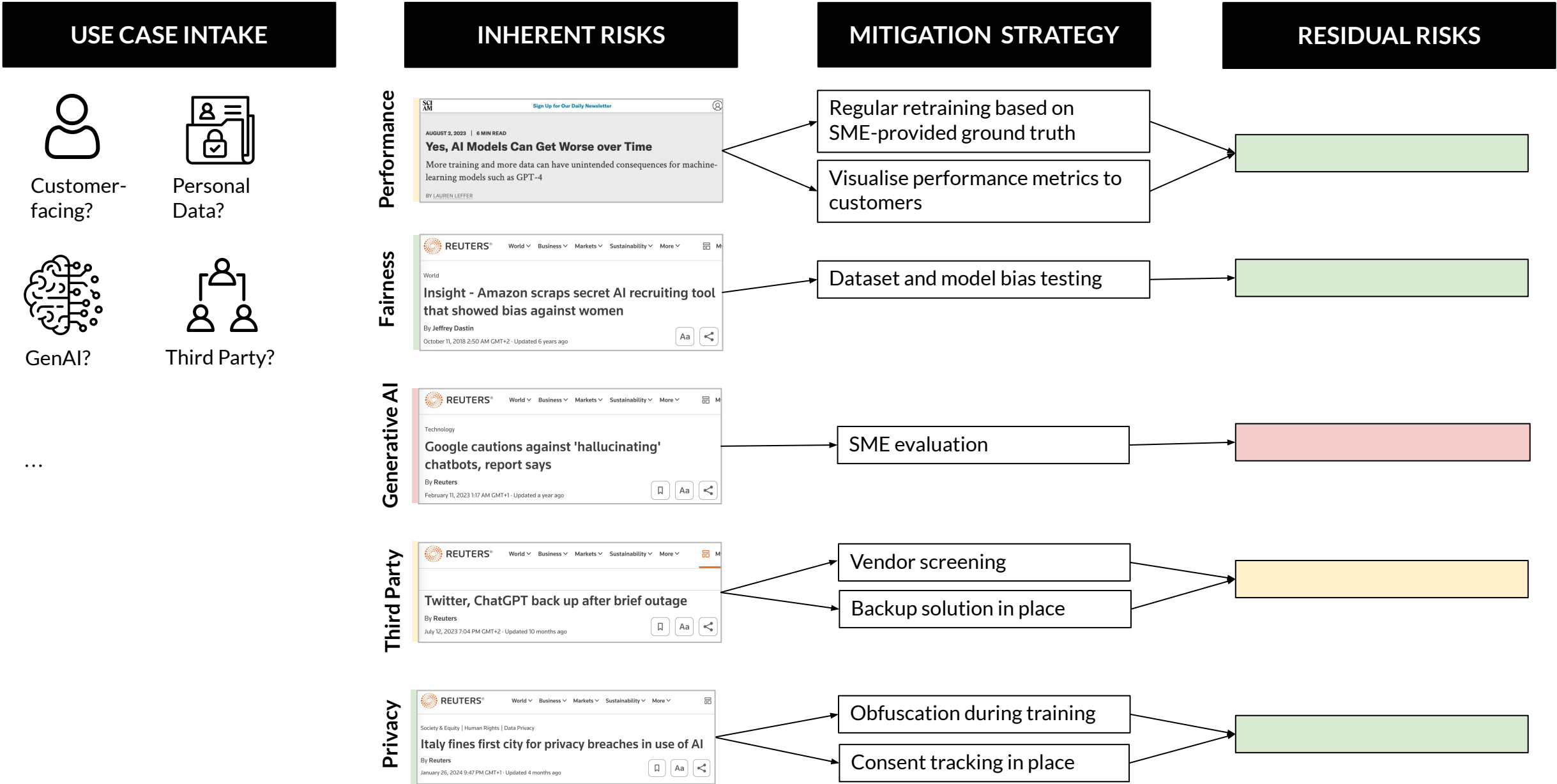


The Journey Towards Responsible AI

Change Management, Stakeholder Management, Risk Management



AI Risk Analysis



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Presenter: Nina Koteva

RESPONSIBLE AI IN PRACTICE

Thomson Reuters

Clarity to act when it matters most

Trusted expertise, powerful technology, advanced AI, and industry-leading insights help professionals know today and navigate tomorrow

Explore our offerings

Reduce inefficiencies, add greater value to your stakeholders, and anticipate future challenges with our premier solutions.



Legal →



Tax and
accounting →



International trade
and supply chain
→



Risk, fraud, and
investigations →



News and media
→

Data and AI ethics principles



Thomson Reuters will adopt the following Data and AI Ethics Principles to promote trustworthiness in our continuous design, development, and deployment of artificial intelligence ("AI") and our use of data:

1. That Thomson Reuters use of data and AI are informed by our [Trust Principles](#).
2. That Thomson Reuters will strive to partner with individuals and organizations who share similar ethical approaches to our own regarding the use of data, content, and AI.
3. That Thomson Reuters will prioritize **security and privacy** in our use of data and throughout the design, development and deployment of our data and AI products and services.
4. That Thomson Reuters will strive to maintain meaningful human involvement, and design, develop and deploy AI products and services and use data in a manner that **treats people fairly**.
5. That Thomson Reuters aims to use data and to design, develop and deploy AI products and services that are **reliable, consistent and empower socially responsible decisions**.
6. That Thomson Reuters will implement and maintain **appropriate accountability measures** for our use of data and our AI products and services.
7. That Thomson Reuters will **implement practices** intended to **make the use of data and AI** in our products and services **understandable**.
8. Thomson Reuters will use employee data to ensure a **safe and inclusive** work environment and to ensure employee compliance with regulations and company policies.

The screenshot displays the Microsoft Word application window. The main document area contains a legal agreement titled "This Master Agreement ('Agreement')". The document is structured with a preamble, a summary of obligations, and two main sections: "1. Definitions." and "2. Supplier Obligations.".

The right-hand sidebar is titled "Document Intelligence" and contains the following sections:

- Document Intelligence**: A section with a header "THOMSON REUTERS DOCUMENT INTELLIGENCE" and a description: "Review your contract with pre-trained AI and customizable clause Playbooks." It includes two buttons: "Analyze Document" (highlighted with a red box) and "Compare to Standard Template".
- AI-assisted Clause Drafting**: A section labeled "BETA" with the description: "Use the power of Generative AI to find, draft and modify clauses." It includes five buttons: "Find a clause", "Draft a clause", "Modify a clause", "Compare clauses", and "Summarize" (all highlighted with a red box).
- History**: A section showing a date "Dec 14, 2023" and a snippet of text: "6.
Termination. Either Party ma...". It includes a "Find" button.

The main document text is as follows:

This Master Agreement ("Agreement"), effective [enter effective date] ("Effective Date"), between Thomson Reuters Holdings Inc., whose address is 610 Opperman Drive, Eagan, Minnesota, 55123 ("Thomson Reuters"), and SAMPLE SUPPLIER, with an office at SAMPLE STREET, MEXICO, CDMX, 00000, Mexico ("Supplier").

This Agreement establishes the parties' obligations relative to Supplier's provision of Solutions to Thomson Reuters. Supplier and Thomson Reuters agree as follows:

1. Definitions.

- 1.1 "Affiliate" means an entity that, from time to time, directly or indirectly controls, is controlled by, or is under common control with a party, or that is a successor (including, without limitation, by change of name, dissolution, merger, consolidation, reorganization, sale or other disposition) to any such entity or its business and assets. An entity will be deemed to control another entity if it has the power to direct or cause the direction of the management or policies of such entity, whether through the ownership of voting securities, by contract or otherwise.
- 1.2 "Confidential Information" is as defined in the MNDA.
- 1.3 "Order" means the form or process by which Thomson Reuters acquires Solutions, which form could be a purchase order, statement of work ("SOW"), or other ordering document.
- 1.4 "Solution(s)" means hardware, equipment, goods, Software, Services, Support, or Deliverables that Supplier provides to Thomson Reuters, as identified in an Order.
 - 1.4.1 "Deliverable" means any deliverable in any form, created, developed, produced, delivered, performed or provided by or on behalf of Supplier to Thomson Reuters in connection with the Services.
 - 1.4.2 "Services" means the services and Deliverables described in or provided pursuant to an Order.
 - 1.4.3 "Software" means the on-premise or hosted software manufactured, distributed, or provided by Supplier, and described in any Order, including all Updates, Enhancements, Comparable Solutions, and Documentation (each as defined in the Technology Addendum, if applicable).
 - 1.4.4 "Support" means the maintenance and technical support provided by Supplier for the Software, hardware, or equipment.
- 1.5 "Thomson Reuters Data" is defined in the Thomson Reuters Supply Chain Data Protection Agreement ("DPA").

2. Supplier Obligations.

- 2.1 Data Protection Exhibit. If Supplier collects, records, organizes, uses, processes, adapts, retrieves, consults, transmits, combines, blocks, erases, destroys, transfers or stores any Thomson Reuters Data, Supplier will comply with the Data Protection Exhibit between the parties (or their Affiliates) prior to and while performing any such data processing services.
- 2.2 Business Continuation Plan. During the term of this Agreement, Supplier will maintain and annually test a comprehensive business continuation plan ("BCP") for restoring any of its critical business functions that could reasonably have an impact on Supplier's ability to provide Solutions to Thomson Reuters. If Thomson Reuters

Analyze Document

AutoSave

TRMA with SAMPLE SUPPLIER

No Label

Home

Insert

Draw

Design

Layout

References

Mailings

Review

View

Zotero

Document Intelligence

TR Drafting - QED

Tell me

Paste

Arial

9

A⁺

A⁻

Aa

B

I

U

x₂

x²

AaBbCcDdEe

No Spacing

AaBbCcDdEe

Normal

No Spacing

Heading 1

Styles Pane

Dictate

Sensitivity

Add-ins

Editor

Document Intelligence

Document Intelligence

Services Agreement

Contents

Issues

Playbook

Search

28 Unidentified Sections

2 Assignment

2 Provision

1 Consent Required

1 Soft Consent

1 Audit Rights and Recordkeeping

1 Provision

1 Course of Business Limitations

1 Change of Control (Definition)

1 Provision

7 Compliance With Laws

1 Confidential Information (Definition)

1 Provision

1 Confidentiality

1 Provision

16.1

Export Classification. At Thomson Reuters' request, Supplier will notify Thomson Reuters in writing of the Solution's Export Administration Act classification, commonly known as its Export Control Classification Number or ECCN; the U.S. Schedule B number or harmonized tariff schedule number; and its country of origin as marked on the Solutions.

16.2

Export Compliance. The parties will comply with all laws and regulations related to export control, including but not limited to the U.S. Export Administration Regulations and Office of Foreign Assets Control Regulations, and the Federal Acquisition Regulation ("FAR") Rules implementing regulations such as Section 889 of the National Defense Authorization Act. Supplier will provide Thomson Reuters all reasonably requested assistance in complying with applicable export control laws and regulations.

17. Assignment.

17.1

Assignment. Except as permitted under this Agreement, neither party may assign its rights or obligations under this Agreement without the other's prior written consent, which consent may not be unreasonably withheld. Prior written consent is not required if Thomson Reuters assigns this Agreement, or portion thereof, to one of its Affiliates or to a third-party successor-in-interest (subject to the Section titled "Divestiture of Affiliate"). This Agreement is binding upon the parties' respective successors and permitted assigns.

V11-2021

CONFIDENTIAL

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THOMSON REUTERS

THOMSON REUTERS MASTER AGREEMENT

17.2

Divestiture of Affiliate. If any Affiliate, division, department or line of business is divested from Thomson Reuters (a "Divested Entity"), for a period not to exceed 24 months from the date of its divestiture from Thomson Reuters the Divested Entity will have the rights and obligations under this Agreement as if the Divested Entity were an Affiliate. Notwithstanding any provision to the contrary, Thomson Reuters may assign, in whole or in part, its Solutions and the Agreement terms governing such to a Divested Entity. If Thomson Reuters exercises this right, then upon the request of Thomson Reuters, Supplier will pro-rate all Orders including, but not limited to, discount structures, renewals, and term subscriptions for the Solutions and Support renewals (as applicable) to reflect the resulting allocation between Thomson Reuters and the Divested Entity; together, such prices will not exceed the price otherwise due from Thomson Reuters had the Solutions been wholly retained by Thomson Reuters.

18. Other.

18.1

Independent Contractor Relationship. Supplier is an independent contractor and not an employee, agent, fiduciary or partner of Thomson Reuters. Neither party has the right to bind the other.

18.2

Agreement Compliance and Records Audit. Supplier will maintain complete and accurate records and supporting documentation demonstrating its compliance with the Agreement and all Orders ("Contract Records"). Supplier will, upon Thomson Reuters request, (i) provide Contract Records to Thomson Reuters as part of Thomson Reuters

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77 of 5698 words


English (United States)

Accessibility: Investigate

Focus

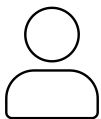
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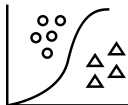


Analyze Document

USE CASE INTAKE



Customer-facing



Supervised machine learning



Built and maintained in-house

INHERENT RISKS

Reputational

Privacy

MITIGATION STRATEGY

Human in the Loop: Regular Retraining


Visualise confidence in the AI responses to the users.


Human-in-The-Loop: Quality Monitoring

PII Obfuscation during training

Consent tracking in place

AI-assisted Clause Drafting

 Can you help me draft a clause?

 I understand you want to draft a clause.

Please confirm the information below

Describe the clause

Drafting a clause including a three-year initial term with automatic one-year renewals.

Agreement type*

Services

Cancel Submit

Use selected text ☒

Draft a clause

May 14, 2024 | 2:27 PM

Here is your drafted clause:

Services

Term of Services. The term of this Agreement shall be three (3) years beginning as of the Effective Time, provided that such term shall renew automatically for successive terms of one (1) year unless the Company provides notice to the other parties hereto that this Agreement shall not be renewed at least [thirty/[OTHER NUMBER]] days prior to the expiration of the initial three-year term or any subsequent one-year term.

 Copy  

Related Content ^

Practical Law

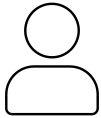
Intercompany Administrative Services Agreement

[Clause](#) | [Drafting Note](#)

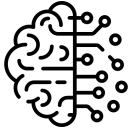
Standard documents | USA (National/Federal)

AI-assisted Clause Drafting

USE CASE INTAKE



Customer-facing



Generative AI



Built and maintained
by a 3rd party
provider

INHERENT RISKS

Hallucinations

Third Party

MITIGATING STRATEGIES

Retrieval Augmented Generation

Custom System Prompting

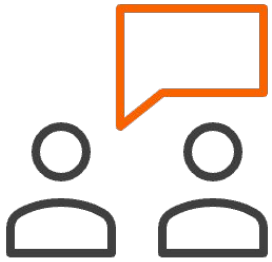
Red Teaming & Human Evaluation

Monitoring & analysis of model
responses that were not used

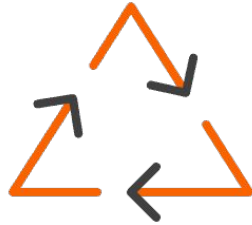
Dedicated throughput

Backup solution in place

Our Product's Journey to Responsible AI



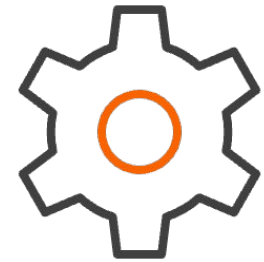
Open conversation,
prioritization and
iteration.



Reusing existing
development
documentation.



Part of the
responsibilities of
an established role.



APIs to auto sync
between a model
deployment and
model registration.

Key Takeaways

- **Product innovation** does not have to come at the expense of developing AI **responsibly**.
- Ensure to assess the risks for new AI-driven use cases **early on**, rather than as an after-thought.
- Awareness of inherent risks can (and should) **influence product decisions** and helps with prioritization. AI Governance can act as an **enabler**.
- **Flexible** governance procedures to adapt to each unique use case and partnership with key stakeholders increases **adoption** “on the ground”.
- Putting the right guardrails in place is a **priority for customers**, well ahead of regulatory pressures.



**Thank
you!**