# **Scores for AI21 Labs on the 2023 Foundation Model Transparency Index**

# **Background**

- Please see the paper describing the Foundation Model Transparency Index in order to understand what this document includes. The paper provides necessary background on (i) what these indicators are and why they were chosen, (ii) our standardized process for scoring the transparency of foundation model developers, and (iii) what these scores mean in context.
- This document contains only information that was publicly available before September 15, 2023. It has not been updated and should be interpreted as a snapshot of transparency as of September 15, 2023.
- In order to assess the transparency of foundation model developers, we used a rigorous, standardized <u>search protocol</u> to find publicly available information related to these indicators. You can find more information about this search protocol in the paper describing the Foundation Model Transparency Index.
- We evaluate every company in this same way—you can find scoring documents for the other companies <a href="here">here</a>.
- We evaluate each company on 100 indicators of transparency. You can find the definition of each indicator and additional information about how each indicator was scored here.
- Scores for each indicator are either 0 or 1. If the score is a 0, we do not provide a source for the score because our standardized search protocol (which includes many relevant sources) did not yield enough information to award a point. If the score is a 1, we provide a source that includes the information we cite in the justification for the score.
- We evaluate each company on the basis of its flagship foundation model; in the case of AI21 Labs, we evaluate Jurassic-2.
- In advance of releasing the Foundation Model Transparency Index, we reached out to AI21 Labs for comment (along with the 9 other companies we evaluated) and offered an opportunity to provide feedback on the index and the organization's scores.

#### **Scores for Each Indicator**

## 1. Upstream $\rightarrow$ Data $\rightarrow$ Data Size

- o Score: 0
- Justification: No information found related to the size of the data.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

## 2. Upstream $\rightarrow$ Data $\rightarrow$ Data Sources

- o Score: 0
- Justification: No information found related to the content sources of the data.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

## 3. Upstream $\rightarrow$ Data $\rightarrow$ Data Creators

- o Score: 0
- Justification: No information found related to a characterization of the people who created the data.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

## 4. Upstream $\rightarrow$ Data $\rightarrow$ Data Source Selection

- o Score: 0
- Justification: No information found related to selection protocols for including and excluding data sources disclosed.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

## 5. Upstream $\rightarrow$ Data $\rightarrow$ Data Curation

- o Score: 0
- Justification: No information found related to curation protocols for data sources.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

## 6. Upstream $\rightarrow$ Data $\rightarrow$ Data Augmentation

- o Score: 0
- Justification: No information found related to steps AI21 Labs takes to augment its data sources.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

## 7. Upstream $\rightarrow$ Data $\rightarrow$ Harmful Data Filtration

- o Score: 0
- Justification: No information found regarding filters used to remove harmful content.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

#### 8. Upstream $\rightarrow$ Data $\rightarrow$ Copyrighted data

- o Score: 0
- Justification: No information found regarding the copyright status of the data used to build Jurassic-2.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

#### 9. Upstream $\rightarrow$ Data $\rightarrow$ Data License

- o Score: 0
- Justification: No information found regarding the license status of the data used to build Jurassic-2.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

# 10. Upstream → Data → <u>Personal Information in Data</u>

- o Score: 0
- Justification: No information found related to the inclusion or exclusion of personal information in specific parts of the data.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

# 11. Upstream $\rightarrow$ Data Labor $\rightarrow$ <u>Use of Human Labor</u>

- o Score: 0
- Justification: No information found about the phases of the data pipeline where human labor is involved.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

## 12. Upstream → Data Labor → Employment of Data Laborers

- o Score: 0
- Justification: No information found about the organization that directly employs the people involved in data labor.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

## 13. Upstream → Data Labor → Geographic Distribution of Data Laborers

- o Score: 0
- Justification: No information found about geographic distribution of data laborers.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

## 14. Upstream → Data Labor → Wages

- o Score: 0
- Justification: No information found about the wages for people who perform data labor.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

# 15. Upstream → Data Labor → <u>Instructions For Creating Data</u>

- o Score: 0
- Justification: No information found about the instructions given to people who create the data used to build Jurassic-2.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

#### 16. Upstream $\rightarrow$ Data Labor $\rightarrow$ Labor Protections

- o Score: 0
- Justification: No information found about labor protections for data laborers.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

#### 17. Upstream $\rightarrow$ Data Labor $\rightarrow$ Third Party Partners

- o Score: 0
- Justification: No information found about any third parties who were or are involved in the development of Jurassic-2
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

#### 18. Upstream → Data Access → Queryable External Data Access

- o Score: 0
- Justification: No information found about whether external entities are provided with queryable access to the data used to build Jurassic-2.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

#### 19. Upstream → Data Access → <u>Direct External Data Access</u>

- o Score: 0
- Justification: No information found about whether external entities are provided with direct access to the data used to build Jurassic-2.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

# 20. Upstream → Compute → Compute Usage

- o Score: 0
- Justification: No information found about the compute required for building the model.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

# 21. Upstream → Compute → <u>Development Duration</u>

- o Score: 0
- Justification: No information found about the time required to build Jurassic-2
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

#### 22. Upstream $\rightarrow$ Compute $\rightarrow$ Compute Hardware

- o Score: 0
- Justification: No information found about the number and type of hardware units used to build the model.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

## 23. Upstream → Compute → <u>Hardware Owner</u>

- o Score: 0
- Justification: No information found about the owner of the primary hardware used in building the model.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

## 24. Upstream → Compute → Energy Usage

- o Score: 0
- Justification: No information found about the amount of energy expended in building the model.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

#### 25. Upstream $\rightarrow$ Compute $\rightarrow$ Carbon Emissions

- o Score: 0
- Justification: No information found about the amount of carbon emitted in building the model
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

#### 26. Upstream → Compute → <u>Broader Environmental Impact</u>

- o Score: 0
- Justification: No information found any broader environmental impacts from building the model.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

# 27. Upstream $\rightarrow$ Methods $\rightarrow$ Model Stages

- o Score: 0
- Justification: No information found about the stages involved in the model development process.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

# 28. Upstream $\rightarrow$ Methods $\rightarrow$ Model Objectives

- o Score: 0
- Justification: No information found about the learning objectives for each stage in the model development process.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

## 29. Upstream $\rightarrow$ Methods $\rightarrow$ Core Frameworks

- o Score: 0
- Justification: No information found about the core frameworks used for model development and data.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

## 30. Upstream $\rightarrow$ Methods $\rightarrow$ <u>Additional Dependencies</u>

- o Score: 0
- Justification: No information found about additional dependencies required to build the model
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

#### 31. Upstream $\rightarrow$ Data Mitigations $\rightarrow$ <u>Mitigations for Personally Identifiable Information</u>

- o Score: 0
- Justification: No information found about steps AI21 Labs takes to mitigate the presence of PII in the data.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

# 32. Upstream → Data Mitigations → <u>Mitigations for Copyright</u>

- o Score: 0
- Justification: No information found about steps AI21 Labs takes to mitigate the presence of copyrighted information in the data.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

#### 33. Model → Model Basics → <u>Input Modality</u>

- o Score: 1
- Justification: The input modality for Jurassic-2 is text per the API documentation e.g. the Jurassic-2 Complete API documentation states a "request should include the input text prompt".
- Source: https://docs.ai21.com/reference/j2-complete-api-ref

## 34. Model $\rightarrow$ Model Basics $\rightarrow$ Output Modality

- o Score: 1
- Justification: The output modality for Jurassic-2 is text per the API documentation.
- Source: <a href="http://web.archive.org/web/20230914110014/https://docs.ai21.com/docs/jurassic-2-models">http://web.archive.org/web/20230914110014/https://docs.ai21.com/docs/jurassic-2-models</a>

#### 35. Model $\rightarrow$ Model Basics $\rightarrow$ Model Components

- o Score: 0
- Justification: No information found about the components of the model.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

### 36. Model → Model Basics → Model Size

- o Score: 0
- Justification: No information found about the size of each component of the model.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

#### 37. Model $\rightarrow$ Model Basics $\rightarrow$ Model Architecture

- o Score: 0
- Justification: No information found about the overall structure and organization of Jurassic-2.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

#### 38. Model → Model Basics → Centralized Model Documentation

- o Score: 0
- Justification: There is no model card for Jurassic-2 or other form of centralized documentation artifact.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

#### 39. Model $\rightarrow$ Model Access $\rightarrow$ External Model Access Protocol

- o Score: 0
- Justification: No explicit model access protocol, but external entities can sign up via the Playground to make an account and receive API access, which immediately grants access, but it is unclear if there are any criteria (or that there are none).
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

#### 40. Model → Model Access → Black Box External Model Access

- o Score: 1
- Justification: Jurassic-2 is available via an API, meaning that black box external access is possible.
- Source: https://studio.ai21.com/playground/complete/single-input-1-output?modelId=j2-ultra

#### 41. Model $\rightarrow$ Model Access $\rightarrow$ Full External Model Access

- o Score: 0
- Justification: Full access to the model is not provided to external entities via model weights.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

#### 42. Model → Capabilities → <u>Capabilities Description</u>

- o Score: 1
- Justification: Jurassic-2's capabilities are described in AI21 Studio's documentation: "All J2 models were trained on a massive corpus of text, making them highly versatile general purpose text-generators, capable of composing human-like text and solving complex tasks such as question answering, text classification and many others. J2 models can be applied to virtually any language task by crafting a suitable prompt, containing a description of the task and/or a few examples, a process commonly known as prompt engineering. Popular use-cases include generating marketing copy, powering chatbots and assisting creative writing."
- Source: <a href="https://docs.ai21.com/docs/jurassic-2-models">https://docs.ai21.com/docs/jurassic-2-models</a>

#### 43. Model → Capabilities → <u>Capabilities Demonstration</u>

- o Score: 1
- Justification: Some demonstration of text-generation capabilities in the API documentation related to title generation.
- Source: https://docs.ai21.com/docs/quickstart

#### 44. Model $\rightarrow$ Capabilities $\rightarrow$ Evaluation of Capabilities

- o Score: 0
- o Justification: AI21 reports evaluations of Task-Specific APIs but not Jurassic-2; no information found related to rigorous evaluations of the Jurassic-2's capabilities.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

#### 45. Model → Capabilities → External Reproducibility of Capabilities Evaluation

- o Score: 0
- Justification: No information found indicating third parties have evaluated the capabilities of Jurassic-2.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

### 46. Model → Capabilities → Third Party Capabilities Evaluation

- o Score: 1
- o Justification: AI21 Labs points to evaluations of Jurassic-2 on the HELM benchmark, an external evaluation conducted by Stanford's Center for Research on Foundation Models.
- Source: <a href="https://www.ai21.com/blog/introducing-j2">https://www.ai21.com/blog/introducing-j2</a>

## 47. Model → Limitations → <u>Limitations Description</u>

- o Score: 0
- Justification: No information found related to the specific and distinctive functions that the model cannot perform.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

#### 48. Model → Limitations → <u>Limitations Demonstration</u>

- o Score: 0
- Justification: No information found related to illustrative examples of limitations.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

#### 49. Model $\rightarrow$ Limitations $\rightarrow$ Third Party Evaluation of Limitations

- o Score: 1
- Justification: Given that there is API access, limitations of Jurassic-2 can be assessed. To the extent the HELM benchmark addresses limitations, there are some such external evaluations.
- Source: https://studio.ai21.com/playground/complete/single-input-1-output?modelId=j2-ultra

#### 50. Model $\rightarrow$ Risks $\rightarrow$ Risks Description

- o Score: 1
- Justification: Some mention of malicious use, accidental misuse, broader societal harms, and bias in automated decision-making distributed across AI21 Labs' documentation.
- Source: http://web.archive.org/web/20230914110021/https://docs.ai21.com/docs/safety-research

#### 51. Model → Risks → Risks Demonstration

- o Score: 0
- Justification: No demonstration of risks for Jurassic-2, though AI21 arguably demonstrates the risk of prompt injection for Custom models.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

## 52. Model → Risks → <u>Unintentional Harm Evaluation</u>

- o Score: 0
- Justification: No information found related to rigorous evaluations of the potential for the model to facilitate unintentional harm.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

#### 53. Model → Risks → External Reproducibility of Unintentional Harm Evaluation

- o Score: 0
- Justification: No information found related to the reproducibility of unintentional harm evaluations as there is no information found about the evaluations themselves.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

# 54. Model → Risks → <u>Intentional Harm Evaluation</u>

- o Score: 0
- Justification: No information found related to rigorous evaluations of the potential for the model to facilitate intentional harm.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

#### 55. Model → Risks → External Reproducibility of Intentional Harm Evaluation

- o Score: 0
- Justification: No information found related to the reproducibility of intentional harm evaluations as there is no information found about the evaluations themselves.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

## 56. Model → Risks → Third Party Risk Evaluation

- o Score: 1
- Justification: AI21 Labs points to evaluations of Jurassic-2 on the HELM benchmark, an
  external evaluation conducted by Stanford's Center for Research on Foundation Models
  that includes evaluations of bias and disinformation.
- Source: http://web.archive.org/web/20230914105330/https://www.ai21.com/blog/introducing-j2

## 57. Model → Mitigations → <u>Mitigations Description</u>

- o Score: 0
- Justification: No information found related to interventions taken by AI21 Labs to reduce the likelihood or severity of the risks posed by Jurassic-2.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

#### 58. Model → Model Mitigations → <u>Mitigations Demonstration</u>

- Score: 0
- Justification: No information found related to illustrative examples of mitigations.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

# 59. Model → Model Mitigations → <u>Mitigations Evaluation</u>

- o Score: 0
- Justification: No information found related to rigorous evaluations of model mitigations.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

## 60. Model → Model Mitigations → External Reproducibility of Mitigations Evaluation

- o Score: 0
- Justification: No information found to indicate mitigations evaluations are externally reproducible.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

# 61. Model → Model Mitigations → Third Party Mitigations Evaluation

- o Score: 0
- Justification: No information found to indicate mitigations can be evaluated by third parties.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

#### 62. Model → Trustworthiness → Trustworthiness Evaluation

- o Score: 1
- Justification: AI21 Labs points to evaluations of Jurassic-2 on the HELM benchmark, an
  external evaluation conducted by Stanford's Center for Research on Foundation Models
  that includes evaluations of calibration and robustness.
- Source: https://web.archive.org/web/20230914105330/https://www.ai21.com/blog/introducing-j2

## 63. Model → Trustworthiness → External Reproducibility of Trustworthiness Evaluation

- o Score: 1
- Justification: AI21 Labs points to evaluations of Jurassic-2 on the HELM benchmark, an
  external evaluation conducted by Stanford's Center for Research on Foundation Models
  that includes standard benchmarks of calibration and robustness and gives detailed
  protocols for how to reproduce evaluations.
- Source: https://web.archive.org/web/20230914105330/https://www.ai21.com/blog/introducing-j2

#### 64. Model → Inference → <u>Inference Duration Evaluation</u>

- o Score: 0
- Justification: No information found related to the time required for model inference.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

#### 65. Model → Inference → Inference Compute Evaluation

- o Score: 0
- Justification: No information found related to compute usage for model inference.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

#### 66. Downstream → Distribution → Release Decision-Making

- o Score: 0
- Justification: No information found about AI21 Labs' protocol for deciding to release Jurassic-2.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

#### 67. Downstream $\rightarrow$ Distribution $\rightarrow$ Release Process

- o Score: 1
- Justification: Jurassic-2 is immediately made available for free (May 1, 2023) and then access continues under reduced (but non-free) pricing thereafter.
- Source: http://web.archive.org/web/20230914105330/https://www.ai21.com/blog/introducing-j2.

#### 68. Downstream $\rightarrow$ Distribution $\rightarrow$ Distribution Channels

- o Score: 1
- Justification: AI21 Labs' "Model Availability Across Platforms" page describes models availability across AI21 Studio, Amazon Bedrock, and Google Cloud Marketplace.
- Source: <a href="https://web.archive.org/web/20230914105837/https://docs.ai21.com/docs/model-availab">https://web.archive.org/web/20230914105837/https://docs.ai21.com/docs/model-availab</a> ility-across-platforms

#### 69. Downstream $\rightarrow$ Distribution $\rightarrow$ Products and Services

- o Score: 0
- Justification: No information found related to any products and services dependent on Jurassic-2.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

# 70. Downstream → Distribution → Detection of <u>Machine-Generated Content</u>

- o Score: 0
- Justification: No information found related to a mechanism for the detection of content generated by Jurassic-2.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

#### 71. Downstream $\rightarrow$ Distribution $\rightarrow$ Model License

- o Score: 0
- Justification: No information found about the license for Jurassic-2.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

## 72. Downstream $\rightarrow$ Distribution $\rightarrow$ <u>Terms of Service</u>

- o Score: 1
- o Justification: AI21 Labs' has terms of service that apply to AI21 Studio, the in-house distribution channel for Jurassic-2.
- Source: https://studio.ai21.com/terms-of-use

#### 73. Downstream → Usage Policy → <u>Permitted</u>, <u>Restricted</u>, and <u>Prohibited Users</u>

- o Score: 0
- Justification: No information found that specifies who can and cannot use Jurassic-2.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

## 74. Downstream → Usage Policy → <u>Permitted</u>, <u>Restricted</u>, and <u>Prohibited Uses</u>

- o Score: 1
- Justification: Usage guidelines for AI21 Studio go into significant detail about prohibited and restricted uses for Jurassic-2 and other models offered via AI21 Labs' API, such as fraud, hate speech, spam, gambling, CSAM, harassment, and misinformation. AI21 Studio documentation also says what Jurassic-2 is "good for."
- Source:
   <a href="https://web.archive.org/web/20230914110028/https://docs.ai21.com/docs/responsible-use">https://web.archive.org/web/20230914110028/https://docs.ai21.com/docs/responsible-usee</a>
   e and <a href="https://docs.ai21.com/docs/jurassic-2-models">https://docs.ai21.com/docs/responsible-usee</a>

## 75. Downstream $\rightarrow$ Usage Policy $\rightarrow$ <u>Usage Policy Enforcement</u>

- o Score: 0
- Justification: No information found related to an enforcement protocol for the usage policy.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

#### 76. Downstream $\rightarrow$ Usage Policy $\rightarrow$ <u>Justification for Enforcement Action</u>

- o Score: 0
- Justification: No information found related to whether users receive a justification when they are subject to an enforcement action for violating the usage policy.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

## 77. Downstream → Usage Policy → <u>Usage Policy Violation Appeals Mechanism</u>

- o Score: 0
- Justification: No information found related to a mechanism for appealing the developer's decision that the usage policy has been violated.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

# 78. Downstream → Model Behavior Policy → <u>Permitted, Restricted, and Prohibited Model</u> Behaviors

- o Score: 0
- Justification: No information found related to model behaviors that are permitted, restricted, and prohibited.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

# 79. Downstream → Model Behavior Policy → <u>Model Behavior Policy Enforcement</u>

- o Score: 0
- Justification: No information found related to the enforcement protocol for the model behavior policy.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

# 80. Downstream → Model Behavior Policy → <u>Interoperability of Usage and Model Behavior</u> Policies

- o Score: 0
- Justification: No information found about how the usage policy and the model behavior policy interoperate.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

### 81. Downstream → User Interface → <u>User Interaction with AI System</u>

- o Score: 1
- Justification: Several indications within the playground that the user is interacting with an AI system. The only FM listed is "complete" and in that setting the user can choose the specific variant of the Jurassic-2 model the user interacts with and change parameters.
- Source: <a href="https://studio.ai21.com/playground/complete/single-input-1-output">https://studio.ai21.com/playground/complete/single-input-1-output</a>

## 82. Downstream $\rightarrow$ User Interface $\rightarrow$ <u>Usage Disclaimers</u>

- o Score: 1
- Justification: When signing up for AI21 studio there is a disclaimer that the user agrees to the usage policy by doing so.
- Source: <a href="https://studio.ai21.com/privacy-policy">https://studio.ai21.com/privacy-policy</a>

#### 83. Downstream $\rightarrow$ User Data Protection $\rightarrow$ <u>User Data Protection Policy</u>

- o Score: 1
- Justification: AI21 Studio privacy policy includes protocols for how user data is stored, accessed, and shared.
- Source: <a href="https://studio.ai21.com/privacy-policy">https://studio.ai21.com/privacy-policy</a>

## 84. Downstream → User Data Protection → Permitted and Prohibited Use of User Data

- o Score: 1
- Justification: Some prohibited uses from the API privacy policy include "We do not combine the information collected through the use of Google Analytics with Personal Information we collect" and sharing data with third parties without first signing a contract with the third parties that protects personal data. Permitted uses include "some of the abovementioned Personal Data will be used for detecting, taking steps to prevent, and prosecution of fraud or other illegal activity, to identify and repair errors, to conduct audits, and for security purposes. Personal Data may also be used to comply with applicable laws, with investigations performed by the relevant authorities, law enforcement purposes, and/or to exercise or defend legal claims. In certain cases, we may or will anonymize or de-identify your Personal Data and further use it (for internal and external purposes, including, without limitation, to improve the services and for research purposes)."
- o Source: <a href="https://studio.ai21.com/privacy-policy">https://studio.ai21.com/privacy-policy</a>

#### 85. Downstream → User Data Protection → Usage Data Access Protocol

- o Score: 0
- Justification: No information found related to a protocol for granting external entities access to usage data.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

#### 86. Downstream → Model Updates → Versioning Protocol

- o Score: 1
- Justification: AI21 Labs follows a numerical version numbering that clearly specifies what the different version numbers are. AI21 Labs also specifies how to access older versions on Amazon Sagemaker.
- o Source:

https://web.archive.org/web/20230914110014/https://docs.ai21.com/docs/jurassic-2-models specifies the different models,

https://web.archive.org/web/20230914105940/https://docs.ai21.com/changelog/jurassic-204-release-notes specifies the specific version numbers, and Amazon Sagemaker has instructions for using different versions of the model; this is linked to from Jurassic's website (https://aws.amazon.com/marketplace/pp/prodview-f4y5ksmu5kccy).

## 87. Downstream $\rightarrow$ Model Updates $\rightarrow$ Change Log

- o Score: 1
- Justification: AI21 has a change log for the model associated with changes in version numbers
- Source: https://web.archive.org/web/20230914110031/https://docs.ai21.com/changelog

# 88. Downstream → Model Updates → <u>Deprecation Policy</u>

- o Score: 0
- Justification: AI21 clarifies its deprecation decision for Jurassic-1 ("Jurassic-1 models remained available until June 21st, 2023, after which they will be deprecated in favor of Jurassic-2.") but doesn't provide an official deprecation policy.
- Source: <a href="https://www.ai21.com/studio/pricing">https://www.ai21.com/studio/pricing</a>

#### 89. Downstream → Feedback → Feedback Mechanism

- o Score: 1
- Justification: There is a thumbs up in the playground (or thumbs down or double thumbs up) that then leads to opportunity for longer form feedback. Users can choose from drop down list of what should improve for thumbs up, such as relevance, coherence, length issue, creativity, style, truthfulness, what was great about the response for double thumbs up such as relevant, creative, style, coherent, truthful, or what should improve for thumbs down such as irrelevant, incoherent, false, length issue, repetitive, offensive. There is also an option to give a longform response and a portal to suggest a feature (or feedback portal).
- Source: <a href="https://studio.ai21.com/playground/complete/single-input-1-output">https://studio.ai21.com/playground/complete/single-input-1-output</a>

## 90. Downstream $\rightarrow$ Feedback $\rightarrow$ <u>Feedback Summary</u>

- o Score: 0
- Justification: No information found related to any summary of user feedback.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

### 91. Downstream → Feedback → Government Inquiries

- o Score: 0
- Justification: No information found in connection with a summary of government inquiries related to the model.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

## 92. Downstream → Impact → Monitoring Mechanism

- o Score: 1
- O Justification: AI21 Studio's Terms of Use state "Monitoring. You agree that we and our Affiliates may monitor (and collect data and information regarding) any AI21 Studio activity from our own systems to ensure quality, improve our products and services, and ensure compliance with this Agreement (for example, we may monitor the number of deployed instances, the number of API Calls, model version information, and length of input and output). You will not interfere with this monitoring and we may use any technical means to overcome such interference." However, we note that the extent to which AI21 Labs makes use of this provision in practice to monitor use is unclear.
- Source: <a href="https://studio.ai21.com/terms-of-use">https://studio.ai21.com/terms-of-use</a>

#### 93. Downstream → Impact → <u>Downstream Applications</u>

- o Score: 0
- Justification: No information found related to the number of applications dependent on the foundation model.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

#### 94. Downstream → Impact → Affected Market Sectors

- o Score: 0
- Justification: No information found related to the fraction of applications corresponding to each market sector.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

#### 95. Downstream $\rightarrow$ Impact $\rightarrow$ Affected Individuals

- o Score: 0
- Justification: No information found related to the number of individuals affected by the model.
- Source: Search protocol produced no source containing sufficient information to award this point

#### 96. Downstream $\rightarrow$ Impact $\rightarrow$ <u>Usage Reports</u>

- o Score: 0
- Justification: No information found related to usage statistics describing the impact of the model on users.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

#### 97. Downstream → Impact → Geographic Statistics

- o Score: 0
- Justification: No information found regarding statistics of model usage across geographies.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

# 98. Downstream $\rightarrow$ Impact $\rightarrow$ Redress Mechanism

- o Score: 0
- Justification: No information found regarding any mechanism to provide redress to users for harm caused by the model.
- Source: No source is provided because the search protocol did not produce a source containing sufficient information to award this point.

# 99. Downstream → Documentation for Deployers → <u>Centralized Documentation for Downstream</u> <u>Use</u>

- o Score: 1
- o Justification: API reference contains substantial documentation for downstream use
- Source: <a href="https://web.archive.org/web/20230910205609/https://docs.ai21.com/reference/j2-comple-te-api-ref">https://web.archive.org/web/20230910205609/https://docs.ai21.com/reference/j2-comple-te-api-ref</a>

- 100. Downstream → Documentation for Deployers → <u>Documentation for Responsible</u> <u>Downstream Use</u>
  - o Score: 1
  - o Justification: AI21 Studio's Responsible Use page constitutes documentation for responsible downstream use.ble downstream use with specific practical guidance.
  - Source: <a href="https://web.archive.org/web/20230914110028/https://docs.ai21.com/docs/responsible-use">https://web.archive.org/web/20230914110028/https://docs.ai21.com/docs/responsible-usee</a>
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