

## AVEPOINT, INC.

### RESPONSIBLE AI CHARTER

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**Last Updated and Approved: December 11, 2024**

The Board of Directors (the “**Board**”) of AvePoint, Inc., a Delaware corporation, (the “**AvePoint**”) has implemented the following Responsible AI Charter (this “**Charter**”) for the legal, responsible, and ethical use of artificial intelligence (“**AI**”). This Charter is designed to give AvePoint’s directors, management, and all employees a framework and guidelines for effectively implementing best practices pertaining to AI, for the benefit of AvePoint, its customers, partners, and suppliers. This Charter should be interpreted in the context of all applicable laws and AvePoint’s policies and procedures.

#### **A. Introduction, Purpose and Scope**

AI is a powerful technology, which can be utilized as a tool to enhance human capabilities, improve efficiency, and create new opportunities for innovation. However, AI also poses significant challenges and risks, such as potential bias, discrimination, privacy breaches, and social impacts. Therefore, it is essential to ensure that AI is developed and deployed in a way that respects human values, rights, and dignity. AvePoint, as a leader in cloud data management and governance, recognizes its responsibility to use AI in an ethical and responsible manner. This Charter outlines AvePoint's vision, principles, and practices for responsible AI, as well as the governance mechanisms and resources to support them.

AvePoint has implemented this Charter to establish a set of guidelines and principles for the responsible and ethical use, development and deployment of AI within its organization, and to ensure consistency with similar company AI policies and practices, particularly with regard to ensuring the protection of data privacy and confidentiality. All employees and contractors who utilize generative AI must adhere to this Charter to ensure the legal, responsible, and ethical use of this developing technology. This Charter applies to all employees and contractors who utilize AI within AvePoint’s organization.

This Charter is for AvePoint internal reference and use only and it may not be shared with external partners, or other third parties, except that this Charter may be shared with external auditors and advisers upon prior written approval from AvePoint’s Legal Department.

#### **B. Principles of Responsible AI**

AvePoint adheres to the following principles of responsible AI, which are informed by – and largely aligned with – the OECD AI Principles on and the Microsoft AI Principles:

- **Accountability:** Ensure that all AI systems are developed and operated with clear accountability mechanisms. This includes assigning responsibility for the behavior of AI systems and their outcomes, as well as providing mechanisms for feedback, review, and redress.
- **Transparency:** Maintain transparency in AI operations, including data collection, use, retention, and sharing practices. AvePoint also provides clear and understandable explanations of how AI systems work and how they affect users and stakeholders.
- **Fairness:** Design AI systems, such as AvePoint Opus, to treat all data equally and apply policies consistently to reduce bias. AvePoint also strives to ensure that AI systems do not discriminate or harm any groups or individuals, and that they promote diversity and inclusion.
- **Reliability & Safety:** Prioritize the reliability and safety of AI systems, ensuring they operate consistently and protect private information. AvePoint also monitors and tests AI systems for potential errors, failures, and vulnerabilities, and implements mitigation strategies to address them.
- **Privacy & Security:** Remain committed to protecting the privacy and security of data across all AI applications. AvePoint shall adhere to high standards of data protection and compliance, and apply encryption, anonymization, and other available techniques to safeguard data. AvePoint shall respect the rights and preferences of data subjects and provide them with control and choice over their data.
- **Inclusiveness:** AvePoint's AI development shall include inclusive design practices to ensure that AI technologies are accessible and beneficial to all, including people with disabilities. AvePoint shall engage with diverse stakeholders and communities to understand their needs and expectations, and to ensure that AI systems reflect and respect their values and cultures.

### C. Implementing AI Responsibly

AvePoint has established an AI governance structure and taken steps toward the implementation of the below tools and strategies to operationalize the principles of responsible AI. AvePoint will leverage various tools and frameworks to measure and improve the fairness and inclusiveness of AI models, such as the Microsoft AI Fairness Checklist. These tools help AvePoint identify and mitigate potential bias and discrimination in AI systems and ensure that AI systems are inclusive, and accessible and usable by diverse groups of people.

AvePoint fosters a culture of responsible AI practices across the organization by implementing the following strategies:

- Creating and communicating a clear vision and mission for responsible AI and aligning it with AvePoint's core values and goals.

- Establishing and enforcing policies and guidelines for responsible AI and ensuring compliance with relevant laws and regulations.
- Providing training and education on responsible AI for all employees, especially those involved in AI development and deployment.
- Encouraging and rewarding innovation and excellence in responsible AI and recognizing the achievements and contributions of employees and teams.
- Creating and maintaining a feedback loop and a learning culture for responsible AI, and continuously improving and updating the responsible AI practices and outcomes.

AvePoint has established a clear governance structure and process for AI development and deployment, which involves the following roles and functions:

- **AI Product Owners:** These are the business leaders who own and manage the AI products and services, such as AvePoint Opus. They are responsible for defining the objectives, scope, and requirements of the AI systems and ensuring their alignment with the responsible AI principles.
- **AI Developers:** These are the technical experts who design, build, and maintain the AI systems, such as architects, engineers, and analysts. They are responsible for applying the best practices and standards of AI development, such as data quality, model validation, and documentation.
- **AI Reviewers:** These are the independent experts who review and evaluate the AI systems, such as the legal, compliance, and ethics teams. They are responsible for assessing the potential risks and impacts of the AI systems, such as bias, privacy, and compliance, and providing recommendations and guidance to mitigate them.
- **AI Users:** These are the internal or external customers who use the AI products and services, such as AvePoint customers, partners, and employees. They are responsible for providing feedback and input on the AI systems, as well as reporting any issues or concerns they encounter.

#### D. AI Oversight Committee

AvePoint has established an AI Oversight Committee (the “*Committee*”) to oversee the adherence to responsible AI principles. This Committee consists of senior leaders and experts from various functions and domains, such as business, technology, legal, privacy, and compliance. The roles and responsibilities of the Committee include the following:

- Setting the vision, strategy, and direction for responsible AI at AvePoint, and ensuring alignment with AvePoint’s mission and values.

- Defining and updating the responsible AI principles, policies, and guidelines, and ensuring their implementation and compliance across the organization.
- Reviewing and approving the AI products and services and ensuring their alignment with the responsible AI principles.
- Monitoring and evaluating the performance and impact of AI systems, and ensuring their reliability, safety, privacy, and security.
- Identifying and addressing the ethical and social issues and challenges arising from AI development and deployment and ensuring their resolution and mitigation.
- Engaging and collaborating with internal and external stakeholders and communities, such as customers, partners, regulators, and civil society, and ensuring their involvement and feedback in responsible AI initiatives.

#### **E. Compliance and Monitoring**

AvePoint will conduct regular assessments to ensure compliance with the responsible AI principles set forth herein. The assessments involve the following steps:

- Defining the scope and criteria of the assessment, based on the responsible AI principles and the specific characteristics and context of the AI system.
- Gathering and analyzing the relevant data and information, such as the data sources, models, algorithms, outputs, and outcomes of the AI system.
- Conducting the assessment, using various methods and tools, such as audits, tests, surveys, and interviews.
- Generating and communicating the assessment results, such as the findings, recommendations, and action plans.
- Implementing and following up on the assessment results, such as the corrective and preventive actions, and the improvement and update of the AI system.

AvePoint will also be implementing certain mechanisms to track the performance and internal impact of AI systems. These monitoring mechanisms include the following steps:

- Defining the key performance indicators and metrics of the AI system, based on the responsible AI principles and the specific objectives and outcomes of the AI system.

- Collecting and measuring the data and information, such as the inputs, outputs, and feedback of the AI system.
- Reporting and visualizing the monitoring results, such as the dashboards, charts, and graphs.
- Analyzing and interpreting the monitoring results, such as the trends, patterns, and anomalies.
- Acting and improving on the monitoring results, such as the adjustments, enhancements, and optimization of the AI system.

## F. Training and Awareness

AvePoint provides programs to educate employees on the importance of responsible AI. The programs include the following elements:

- **Awareness:** Raising awareness of the benefits and risks of AI, and the need for ethical and responsible AI practices.
- **Knowledge:** Providing knowledge of the responsible AI principles, policies, and guidelines, and their implications and applications.
- **Skills:** Developing skills for implementing and applying the responsible AI principles, policies, and guidelines, using various tools and methods.
- **Attitude:** Cultivating a positive and proactive attitude towards responsible AI and encourages employees to embrace and uphold the responsible AI values and culture.

AvePoint provides resources and tools for employees to learn about and contribute to responsible AI initiatives. The resources and tools include the following elements:

- **Information:** Providing information on the latest trends, developments, and best practices of responsible AI, such as articles, blogs, podcasts, and webinars.
- **Guidance:** Issuing sound guidance on how to use and access the responsible AI tools and frameworks, such as the Microsoft AI Fairness Checklist.
- **Support:** Supporting all employees that may seek advice, feedback, and assistance on responsible AI issues and challenges, such as the AI Reviewers, and the AI Product Owners.
- **Engagement:** Fostering opportunities for employees to engage and collaborate with internal and external responsible AI communities and networks, such as the Centre for Information Policy Leadership, CyberTech Accord and the International Association of Privacy Professionals.

## **G. Enforcement**

Failure to comply with this policy may result in disciplinary action, up to and including termination of employment. AvePoint reserves the right to modify this policy at any time without notice.

## **H. Related Documents**

Generative AI Acceptable Use Policy  
Generative AI Acceptable Use Guidelines  
AvePoint, Inc. Privacy Notice