

afiniti<sup>®</sup>

# Responsible AI Program

[www.afiniti.com](http://www.afiniti.com)



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## How we build responsible AI

Afiniti is a leading provider of artificial intelligence that helps enterprises develop better relationships with their clients. We design technology responsibly to deliver value for our clients, and developed a responsible AI program accordingly to guide and shape the way we design, build, deploy, and use AI solutions.

We use AI to make moments of human connection more valuable. We design and deploy our technology responsibly to deliver value to the people it brings together.

We do this because we believe that using AI responsibly is good for everyone. That includes the brands who use our AI, contact center agents, and consumers who expect fair treatment and responsible use of their data.

### Our responsible AI principles at a glance

We apply these responsible AI principles in everything we do:

**Accountability | Explainability |  
Transparency | Fairness | Data  
Protection | Compliance**

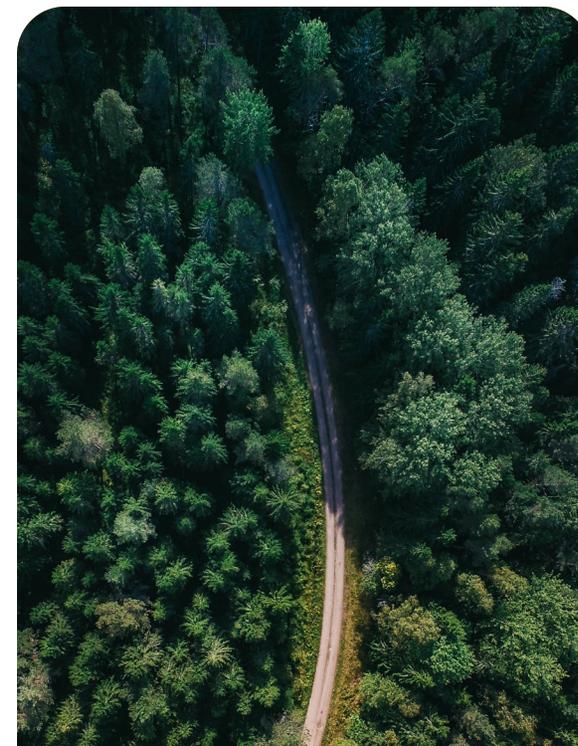
### Responsible AI program overview

Afiniti's responsible AI program is executed across key stakeholder groups within Afiniti, including product, engineering, data science, customer relations, legal, compliance & risk, information security, and data governance.

These teams partner to ensure Afiniti's technology is built responsibly from the ground up.

Afiniti activates continuous monitoring and measurement capabilities within each customer's contact center environment to support bias detection and other risk mitigation protocols. This features a set of policies and procedures based on our core principles and a focus on responsible AI by design.

The aim of our program is to identify and mitigate risks specific to our technology and its impact on customers, employees, and consumers.



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## Our responsible AI principles



## Accountability

**The foundation: Responsible AI by design**

Accountability sits at the foundation of our responsible AI program, which is focused on responsible AI by design.

This includes the implementation, execution, and reinforcement of Afiniti's responsible AI principles.

Our customers can trust that we have appropriate oversight mechanisms in place to monitor the development and use of AI systems. They can also trust that our approach to responsible AI is an ongoing commitment shared by everyone at Afiniti.



## Explainability

**Making sure we explain our AI and the value it delivers**

Decisions made by AI should be understandable by stakeholders and backed up by repeatable evidence. So we make sure we explain our AI and the value it delivers.

Afiniti seeks to provide our customers with the ability to understand how our AI works, especially when it comes to identifying and mitigating any potential bias in the decisions the AI makes.



## Transparency

**Being open through our patented benchmarking system**

We value transparency and demonstrate this principle through our patented benchmarking system. Throughout the day, our AI cycles on and off in short periods of time.

Measuring the results of Afiniti's system against the "OFF" cycle means customers can see the precise improvements we deliver on metrics such as revenue.



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# Our responsible AI principles



## Fairness

### Mitigate bias through controls and constant monitoring

We mitigate bias through the implementation of bias deterrence controls and constant monitoring of our AI systems.

Afiniti takes steps to prevent bias in our AI by working with our customers to screen the data being used, and by monitoring the decisions our AI makes. By using a randomized control group, Afiniti's benchmarking capability helps ensure that bias does not feature in the Afiniti system.



## Data Protection

### Committing to privacy by design and rigorous security

We're committed to privacy by design and rigorous security. Afiniti has robust procedures in place to ensure we collect, store, and process data responsibly and securely, including incorporation of privacy by design best practices.

Our customers entrust us with their consumers' data, in the knowledge that strong privacy and security infrastructure are foundational and critical elements of our responsible AI program.



## Compliance

### Adhering to all applicable requirements

We adhere to all applicable requirements, including laws, regulations, policies, and contractual obligations with our customers.

Afiniti closely monitors legal and regulatory developments globally regarding responsible AI, and our customers can trust that we maintain compliance as well as alignment with the latest best practices and guidance.



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# How it works

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# How it works | Afiniti as a fully managed service

Historical data is used to build interaction algorithms, which predict the outcome of all possible caller/agent pairings based on previous similar interactions. Data is refreshed nightly, so the algorithms continue to learn as caller and agent behavior evolves.

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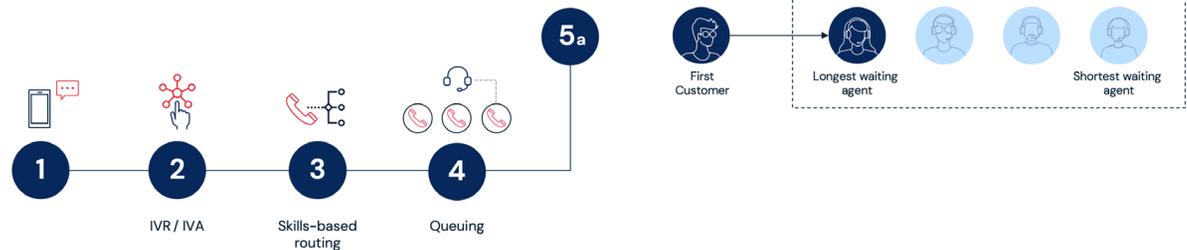
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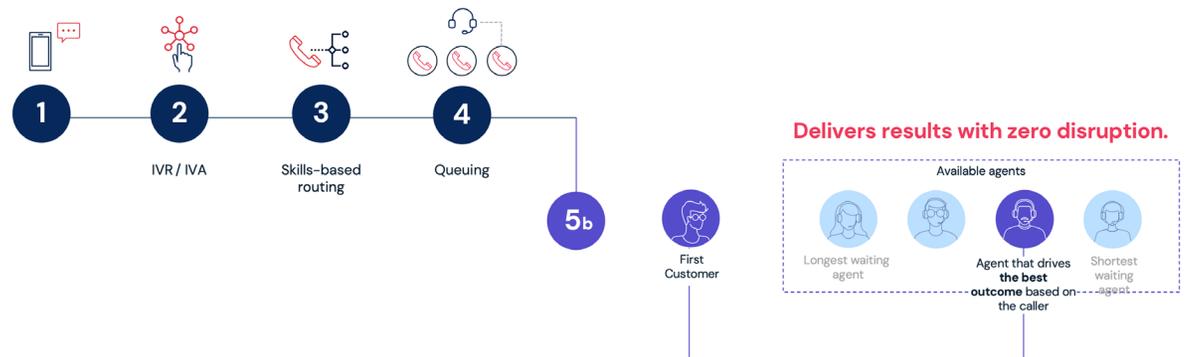
### Standard Contact Center Queue-based Routing



### This Results In ...

- ❌ Longer handle times
- ❌ Frustrated customers
- ❌ Revenue leakage

### Afiniti AI Pairing



Delivers results with zero disruption.

- ✔ Predict.
- ✔ Match.
- ✔ Learn.

# Precise attribution through unbiased benchmarking

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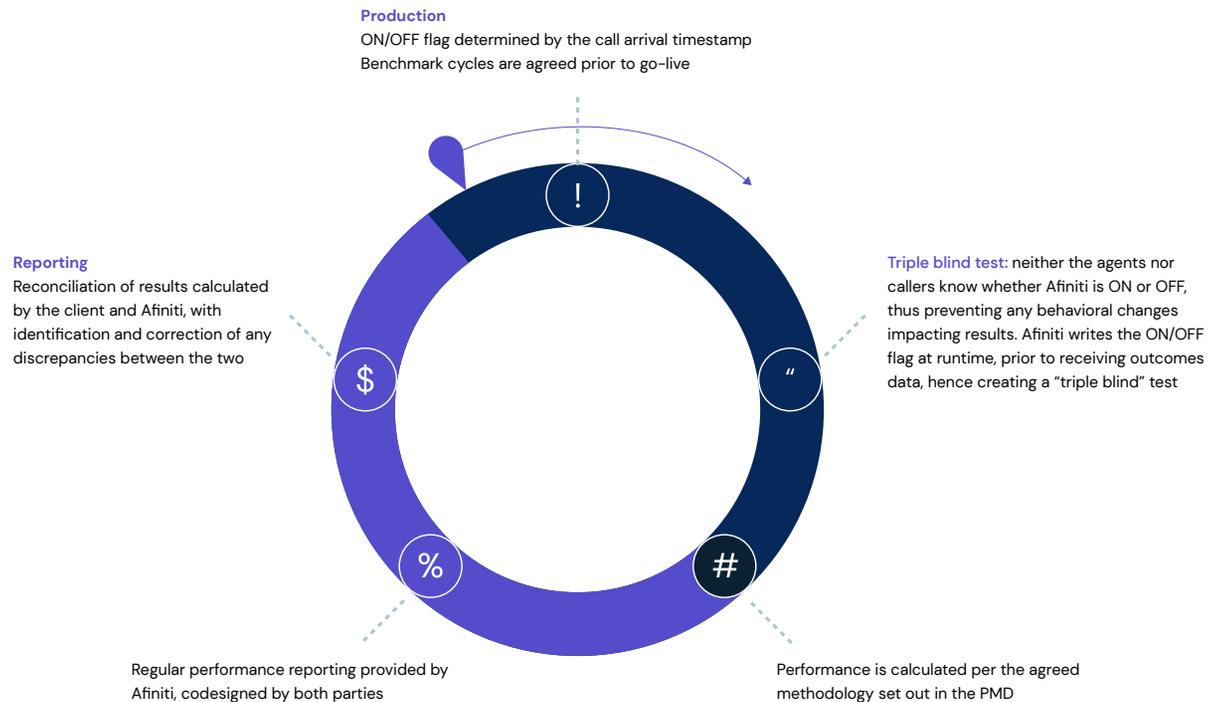
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# Factors that affect performance

## Data

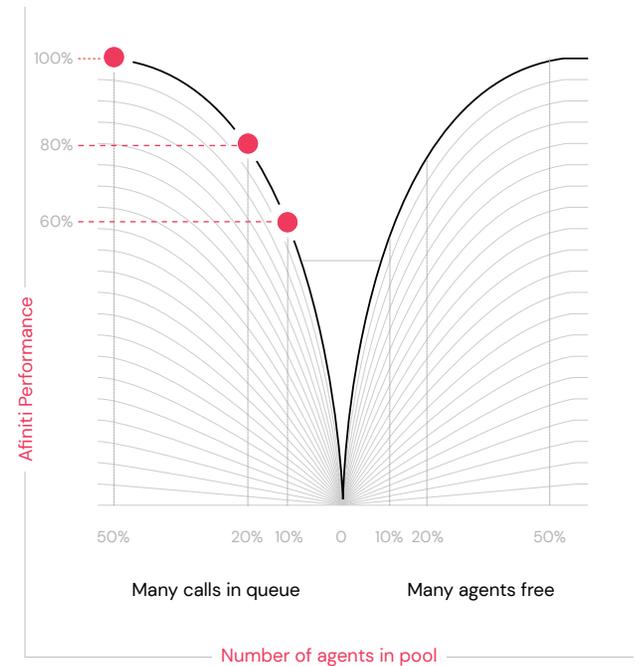
Model performance is directly correlated with the amount of data available for each caller and agent

- Telephony
- Outcomes
- Contextual
- Operational
- Third-party vendor sourced data

## Variability

Variation in possible matches is the basis for optimization

- Caller tenure
- Caller history
- Caller profile
- Caller intent
- Agent experience
- Agent work shift
- Offers available
- Product mix
- Competitor information



## Scale and Choice

As free agents or calls in queue accumulate, our opportunity to pair increases



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# Afiniti AI Management Framework

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## Input data → Modeling & testing → Outputs & analysis

Input data, vetted and approved by the client, goes through rigorous selection process to ensure merit and deter bias

### Data used

- Telephony
- Outcomes
- Contextual
- Operational
- Third-party vendor sourced data (if client approves)

### Data not used

- Agent surveys
- Protected class data
- Web scraped data

AI modeling and testing, subject to robust AI governance process and controls, ensures operational stability and successful outcomes

### Runtime algorithms

Controls ensure run time algorithms don't affect operational performance outside of approved SLAs. Should the Afiniti service be impacted, the routing will revert to the client's legacy routing.

### Interaction models

Interaction models and associated variables dynamically evolve and are refreshed nightly to ensure best possible pairings.

### Validation

Multipronged model validation and testing of comparative advantage and pairing strategies to confirm operational performance.

Client specific dashboards ensure transparent outputs across performance and operational metrics

### Sample dashboards

- Telephony data
- Outcomes data
- Contextual data
- Operational data

### Periodic bias testing

Periodic testing conducted to ensure models and data used don't introduce bias (in conjunction with our clients, since Afiniti does not access/process customer protected data).

### Client compliance analysis

Afiniti provides which caller was paired with which agent and outcomes data allowing the client to conduct independent analysis to ensure risk and compliance adherence.

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# Input Data

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# Input data

Afiniti builds its pairing algorithms and models using multiple data sources that enable identification of patterns of success. Each data element is vetted and approved by the client and is fully documented. Additionally, Afiniti conducts account level reviews to ensure all data are collected and consumed ethically.

## Data used



**Telephony data**  
Outbound and inbound call details sourced from the dialer/ACD and/or CTI engine i.e. dialer data, IVR attached data, DNIS, ANI, call start & end times, Agent ID information.



**Outcomes data**  
Outcomes of interactions between callers and agents i.e. new customers, customers retained, cross-sell offers accepted, promises to pay kept.



**Operational data**  
Environment information, used to understand agent behavior and events affecting call center (as necessary) i.e. agent compensation, skilling and training.



**Contextual data**  
Data about callers and their recent interactions i.e. CRM data, recent journey analytics and any internal customer analysis / segmentation.



**Third-party data (if client approves)**  
Commercially procured data on consumers to aid in matching and identification.

## Data not used



Agent surveys



Protected class data



Web scrapped data

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# How Afiniti uses data



## Data transfer

Two-phased process:

- Secure read-only access to enable discovery of relevant data for Afiniti's AI solution
- Transfer only the minimal data for consumption, respecting data ownership and privacy



## Data design

The client provides business logic to extract certain events and cases from raw records; Afiniti provides data and queries to support reconciliation of measurement



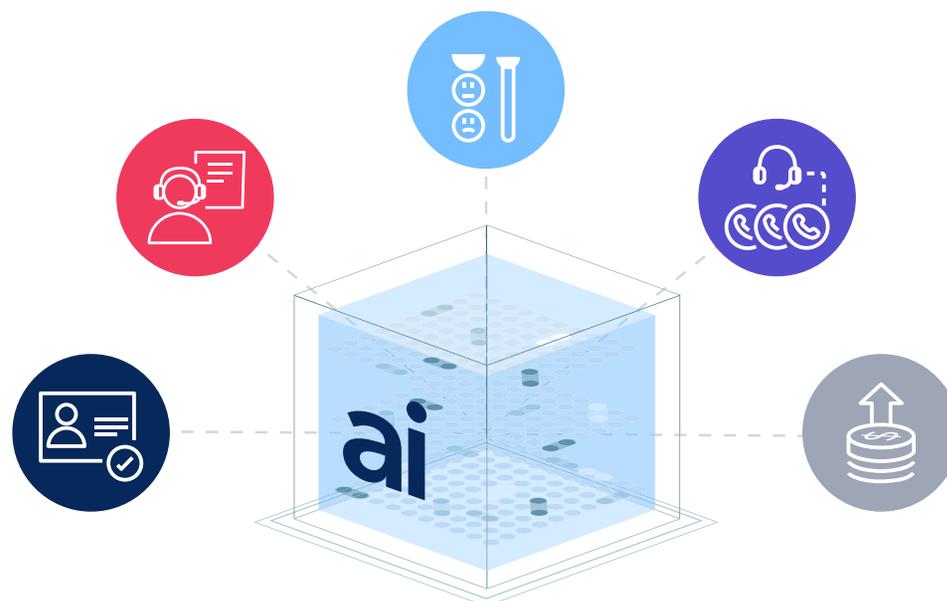
## Data processing and matching

Afiniti performs data processing (i.e. matching of calls and outcomes) on the Afiniti appliance



## Data security

Data remains behind the client's firewalls, data sources are mutually agreed and fields can be encrypted/ hashed as necessary



A photograph of a Monstera plant with large, perforated green leaves in a white ceramic pot. The plant is on a wooden desk next to a laptop. The background is a light-colored wall with shadows from the plant and the laptop.

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# Modelling and testing

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# Modeling and testing

AI modeling and testing is subject to robust AI governance processes and controls. Runtime algorithms are subject to strict SLAs and interaction models are refreshed nightly to ensure the best possible caller/agent pairings.

<p><b>Runtime algorithms</b></p> <p>Runtime algorithms subject to strict SLAs and failsafe controls</p> <ul style="list-style-type: none"> <li>• Pairing decisions made in &lt; 50ms</li> <li>• Preexisting client call center operational constraints are strictly adhered to</li> </ul> <p>Callers are being paired with the existing set of agents</p>	<p><b>Interaction model</b></p> <p>Historical data is used to determine the expected payoff of different caller and agent pairings</p> <p>Interaction models and associated variables dynamically evolve to ensure best possible pairings</p> <ul style="list-style-type: none"> <li>• Our models are retrained and refreshed nightly</li> </ul> <p>OFF sample allows for analysis and improvements to the pairing models</p>	<p><b>Validation</b></p> <p>Gated process to validate across all stages</p> <ul style="list-style-type: none"> <li>• Pre-deployment, deployment, and post-deployment</li> </ul> <p>In the deployment phase Afiniti performs a cutover to Monitor Mode and validates every operational aspect before switching ON the solution</p> <p>Periodic testing conducted to ensure models and data used don't introduce bias (in conjunction with our clients, since Afiniti does not access/process customer protected data).</p>
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<p><b>Sample algorithms</b></p> <ul style="list-style-type: none"> <li>• Utilization control</li> <li>• Wait time thresholds</li> <li>• Complex incumbent routing</li> <li>• Call flow adaptively estimated</li> <li>• Agent availability adaptively estimated</li> </ul>	<p><b>Sample models</b></p> <ul style="list-style-type: none"> <li>• Expectation maximization (EM) clustering</li> <li>• Maximum likelihood</li> <li>• Bayesian models (including hierarchical)</li> <li>• Generalized models (linear and non-linear)</li> </ul>	<p><b>Validation techniques</b></p> <ul style="list-style-type: none"> <li>• Control for over-fitting</li> <li>• Matching strategy validation</li> <li>• Comparative advantage validation</li> <li>• Continuous ON/OFF benchmarking</li> </ul>
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## Afiniti risk mitigation by deployment stage

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### Pre-deployment → Deployment → Post-deployment

- |  |  |  |
|--|--|--|
| <ul style="list-style-type: none"> <li>• <b>Global data risk categorization</b> (low, medium, and high) to deter bias and discrimination (including known proxies)</li> <li>• Process controls to remediate medium and high risk data elements in the collection and organization stages of Afiniti's data supply chain</li> <li>• <b>Data elements documented</b> to include purpose, risk level, location, etc.</li> <li>• <b>Dual data architecture</b> supporting Afiniti's purpose: Discovery and Consumption</li> <li>• <b>Organizational controls</b> to implement in each stage of the data supply chain when processing, labeling and preparing data for consumption</li> </ul> | <ul style="list-style-type: none"> <li>• <b>Phased approach</b> Monitor Mode &gt; FIFO &gt; Cutover to validate before switching ON the solution</li> <li>• <b>Priority signals</b> (more than 50) are part of our deployments i.e., signals for client assurance including agent utilization and caller waiting times</li> <li>• <b>Continuous benchmarking</b> ON and OFF benchmarking to review impact of Afiniti across customer segments available from structured data</li> <li>• <b>Configurable</b> to constrain potential bias based on metrics</li> <li>• <b>Model re-training</b> system for mitigating any potential bias</li> </ul> | <ul style="list-style-type: none"> <li>• <b>Access to variables</b> (and learning ability for model performance monitoring and logging over time)</li> <li>• <b>Signals and controls</b> in place to raise alarms</li> <li>• <b>Model historical views</b> (production uptime, revenue impact, operational impact)</li> <li>• <b>Afiniti can</b> temporarily switch back to Monitor mode as needed for risk mitigation purposes</li> </ul> |
|--|--|--|

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# Transparent Outputs

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# Transparent outputs

Client specific dashboards ensure transparent outputs across performance and operational metrics.

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### Performance metrics

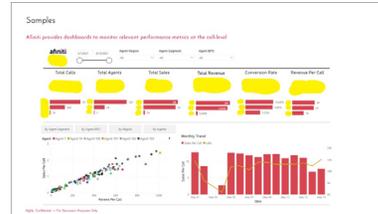
- Calls optimized
- Conversion rate
- Lift delivered
- Incremental saves
- Incremental revenue

### Operational metrics

- Calls handled
- Match rate
- Abandon rate
- Average wait time
- AHT

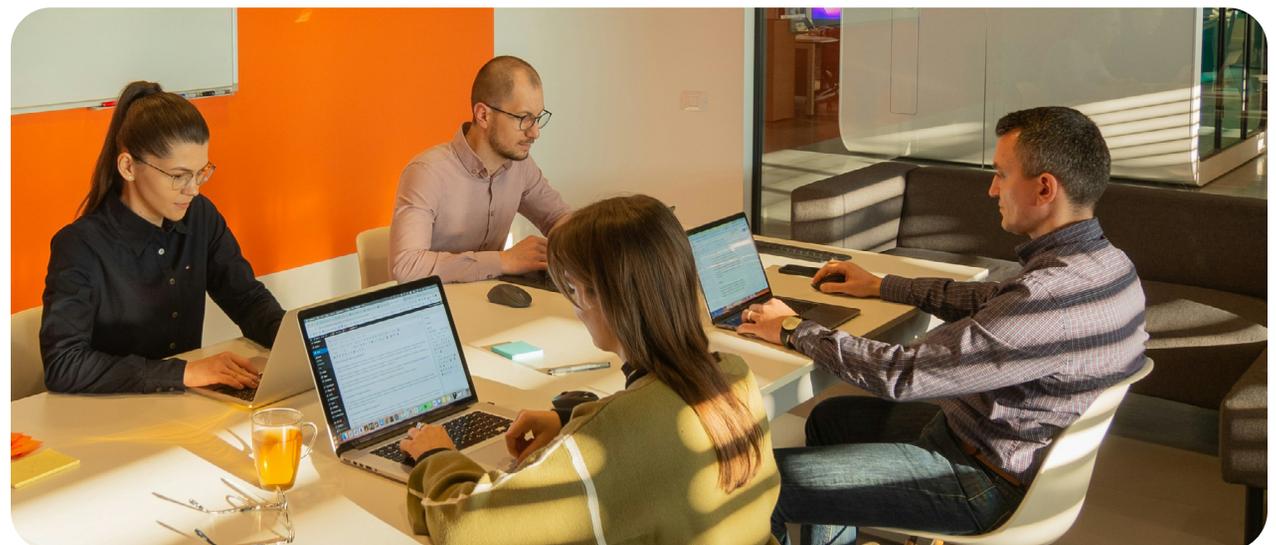
### Aggregated agent dashboards

- Top scorers
- Highest conversion
- Highest revenue per call
- Lowest handling time
- Best performing region



Agent performance dashboard

Agent ID	Total Agents	Total Calls	Total Revenue	Conversion Rate	Revenue Per Call
1	100	1000	10000	10%	100
2	100	1000	10000	10%	100
3	100	1000	10000	10%	100
4	100	1000	10000	10%	100
5	100	1000	10000	10%	100



# Client risk & compliance adherence analysis

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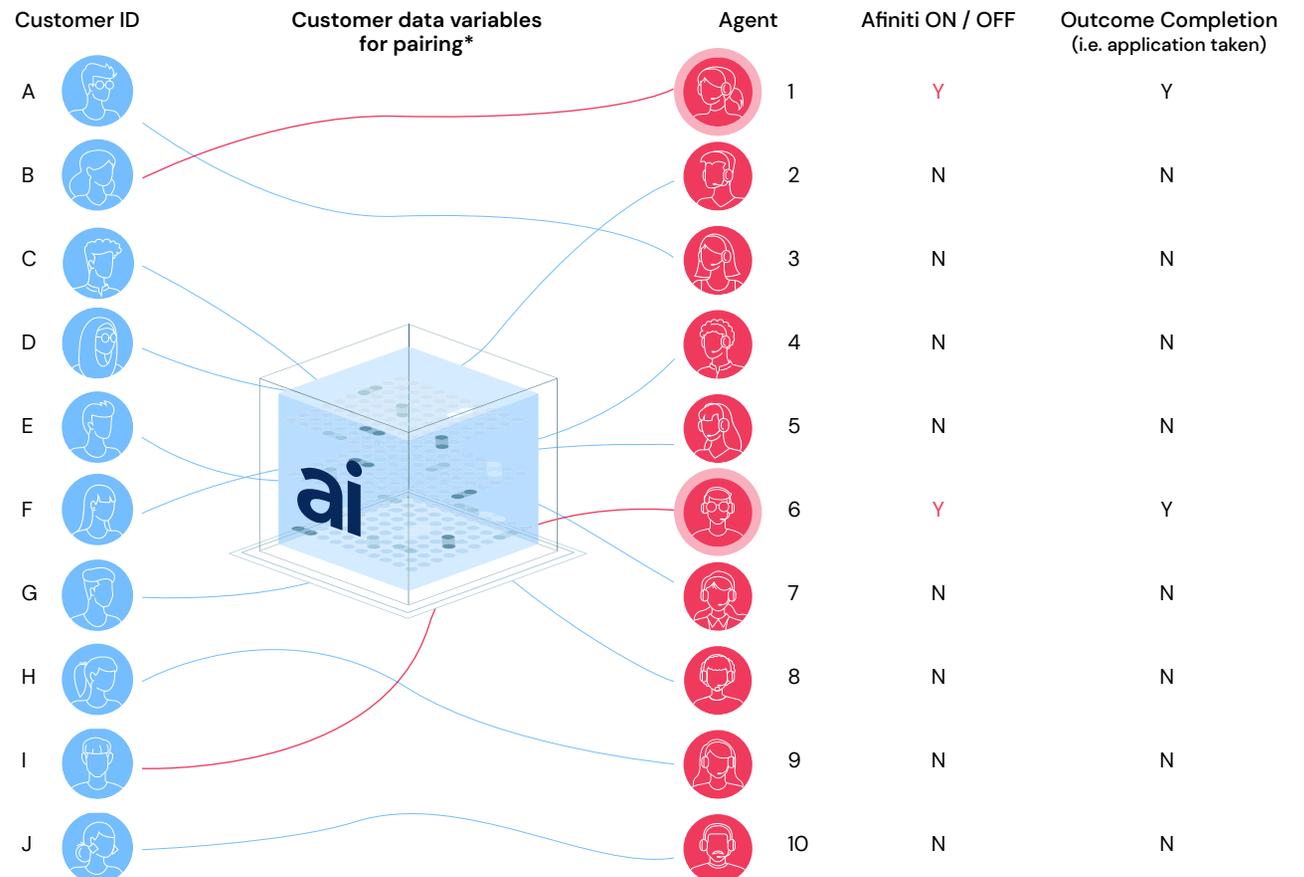
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## Sample measurement outputs

Using ON and OFF attribution, Afiniti will provide the necessary information allowing the client to conduct an independent analysis to ensure compliance. The example below illustrates at a high-level the data outputs that will be continuously provided. The client can append the data with their protected class data and conduct the appropriate analysis for compliance with applicable regulations.

## ON and OFF outcomes analysis



\*Data is agreed upon and provided to Afiniti by the client

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