Fresenius
COMMITTED TO LIFE

Fresenius AI-Guidelines

Responsible Use of Artificial Intelligence

Artificial intelligence (**AI**) is a technology that enables a machine to imitate and, in some cases, outperform human learning and understanding, human problem-solving, decision-making, creativity and autonomy. Responsible use means making the best possible use of this technology to enhance the quality of our products and services while fully respecting the dignity of our patients, customers, employees and business partners and ensuring a secure environment for the data processed. The capabilities of artificial intelligence make it possible to improve the quality of decisions and increase productivity. However, the incorrect use of the technology carries risks that can even have a direct impact on the lives of the people affected. Through binding principles for the responsible, ethical and safe use of artificial intelligence, we help to ensure that human dignity is our priority and that false, unfair, discriminatory or exclusionary outcomes are avoided.

This document substantiates for our employees the expectations expressed in the Fresenius Code of Conduct by providing a set of principles for responsible, ethical and secure use of artificial intelligence. By following these AI Guidelines, we will contribute to build an environment where AI benefits the company and the society in a positive and sustainable way.

These AI Guidelines complement the Fresenius Code of Conduct as well as all other policies, SOPs, guidelines and working instructions, which remain applicable and have to be complied with when using, developing or interacting with AI.

"**Artificial intelligence system**" or "**AI system**" as referred to in this document means a machine-based system that is designed to operate with varying levels of autonomy and that may exhibit adaptiveness after deployment, and that, for explicit or implicit objectives, infers, from the input it receives, how to generate outputs such as predictions, content, recommendations, or decisions that can influence physical or virtual environments.

HUMAN-CENTRIC APPROACH

GUIDELINE

Humans shall always be placed at the centre of our actions and strategies when using AI. The protection of human dignity is our first priority. We consider AI as a relevant tool for improving or enhancing the outcomes of human decisions, but not a substitute for them.

WHEN **USING AI**...

AI is a powerful technology not only capable of improving productivity and decision making but also of negatively affecting human's lives if deployed or applied incorrectly. We ensure that the overall process in which the AI system is used provides for sufficient safeguards and human oversight to avoid or correct wrong, unfair, discriminatory or exclusionary results.

WHEN **DEVELOPING** OR **PROCURING AI**...

When developing or procuring an AI system we ensure that the AI system respects, serves and protects human dignity. People should never be treated as a mere object.

We preserve human autonomy in the interaction with the AI system, enable the users and any other persons affected to keep full and effective self-determination.

We ensure that the overall process in which the AI system is deployed provides for sufficient safeguards and human oversight to avoid or correct wrong, unfair, discriminatory or exclusionary results.

FAIRNESS, NON-DISCRIMINATION AND DIVERSITY

GUIDELINE

AI systems should treat everyone fairly and avoid discrimination and exclusion.

WHEN **USING AI**...

We diligently scrutinize any work results created by an AI system. We are aware that incorrect, biased or incomplete training data or algorithms may lead to incorrect, unfair, discriminatory or exclusionary results and that hallucinations or flaws might arise from time to time. Double-checking is sensible, in particular when a relevant decision is to be made.

WHEN **DEVELOPING** OR **PROCURING AI**...

We ensure fair and non-discriminatory results of the AI system by deploying suitable governance models throughout the life cycle of the system avoiding identifiable and discriminatory bias.
We strive to achieve equal access and diversity through inclusive design processes involving relevant stakeholders who may be directly or indirectly affected by the AI system.

TRANSPARENCY AND EXPLAINABILITY

GUIDELINE

The data sets and processes of an AI system need to be transparent, its capabilities and purpose openly communicated and AI based decisions – to the extent possible – explainable to those directly and indirectly affected.

WHEN **USING AI**...

We strive to understand the nature, purpose, capabilities and limitations of the AI system we are interacting with. We seek clear, transparent and understandable information on the behavior of the AI system and its components enabling ourselves to identify potential performance or fairness issues, exclusionary practices, or unintended outcomes.

We disclose the use of AI as a source in our work product. We make the fact that a decision is based on the use of an AI system or that a user interacts with an AI system transparent to the person affected.

WHEN **DEVELOPING** OR **PROCURING AI**...

We document data sets and processes that yield the AI system's decision, including those of data gathering and data labelling as well as the algorithms used, to the best possible standard to allow for traceability and an increase in transparency.

When implementing an AI system, we ensure that the decision making process of the AI system can be understood by the people affected by it. We enable this interpretability by providing useful explanation of the behavior of the AI system and its components, i.e. how and why the AI system functions the way it does.

RESPONSIBLE USE, ACCOUNTABILITY AND PREVENTION OF HARM

GUIDELINE

We deploy AI responsibly, implement mechanisms to minimize possible negative effects and ensure accountability for the deployed AI system and its outcomes throughout is life cycle.

WHEN **USING AI**...

We are accountable for the decision to use an AI system and for the use of its results.

Applications based on AI (especially generative AI) help and facilitate certain tasks, but its use might not always be advisable. We are aware and carefully decide when the use of AI is adequate. We consider relevant interests and values when a trade-off decision is required between potential negative impacts and expected positive effects.

WHEN **DEVELOPING** OR **PROCURING AI**...

We are accountable for how an AI system developed or deployed by us operates. We design AI systems and the processes around their deployment to ensure that AI systems aren‘t the final authority on any decision that affects people‘s lives and to also ensure that humans maintain meaningful control over otherwise highly autonomous AI systems.
Adequate safeguards, reporting and redress mechanisms should be available throughout the systems life cycle.

SECURITY, SAFETY AND RELIABILITY

GUIDELINE

AI systems, like all software systems, should be resilient against adversarial attacks and potential abuse of the system.
There should be safeguards in place to minimize and react to unintended or even harmful behaviour.
It is crucial that results of an AI system are reproducible as well as reliable.

WHEN **USING AI**...

Publicly available AI tools, AI webpages or platforms may be used by hackers to steal personal information, in order to commit digital fraud or scam its users. Adversarial attacks on AI systems may corrupt a systems behaviour or output.

We remain suspicious especially when using publicly available tools. We always verify the webpage or platform before using it and consult with IT or cybersecurity team if something is suspicious or does not seem right.

WHEN **DEVELOPING** OR **PROCURING AI**...

We lay specific focus in the development process that AI systems are able to operate as they were originally designed, respond safely to unanticipated conditions, and resist harmful manipulation.

RESPECT FOR PRIVACY AND CONFIDENTIALITY

GUIDELINE

Our strong commitment to confidentiality and data protection is key to the safe and responsible use of AI.

WHEN **USING AI**...

We ensure to achieve transparency about the collection, use, and storage of data by the AI system.

We do not feed Fresenius confidential information or personal data as prompt or input data into AI applications (esp. into publicly available generative AI systems) unless the use of the specific system has been explicitly whitelisted by Fresenius for that purpose.

WHEN **DEVELOPING** OR **PROCURING AI**...

AI systems must comply with applicable privacy laws. The protection of personal and confidential information is a guiding principle in the development process (privacy by design). We provide transparency about the collection, use, and storage of data to users. We mandate that users have appropriate controls to choose how their data is used. We ensure that data access is limited to qualified personnel and that any processing happens on sufficient legal basis.

SOCIAL AWARENESS

GUIDELINE

We understand the societal impact of AI and promote its use for the benefit of our society. We contribute to public awareness of the functioning and ethical principles of AI. We are diligent and keep ourselves informed.

Your gut tells you something is wrong.

Let's do the right thing togther.

IMPRINT

Fresenius SE & Co. KGaA
Corporate Development / Legal
IT-Law@fresenius.com
Else-Kröner-Str. 1
61352 Bad Homburg
Deutschland
www.fresenius.com

Version 1.0