AI ACCEPTABLE USE POLICY TEMPLATE

A Compliance Guide for Law & Accounting Firms

Aligned with ISO/IEC 42001, CPPA, and Quebec's Law 25

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Executive Summary

Artificial Intelligence (AI) is transforming the legal and accounting landscape, driving gains in productivity, automation, and decision support. But these benefits come with significant risks—from biased outcomes and regulatory noncompliance to data breaches and reputational harm. This AI Acceptable Use Policy (AUP) is designed to help firms define clear, ethical, and compliant boundaries for AI adoption and use.

What is an AI Acceptable Use Policy?

An AUP defines how employees, contractors, and partners may use artificial intelligence in business operations. It governs acceptable applications, sets ethical boundaries, and ensures usage aligns with client confidentiality, legal requirements, and professional codes of conduct.

Why Your Firm Needs One

- Prevent unauthorized or unethical use of AI tools
- Protect client confidentiality and sensitive data
- Comply with privacy laws and AI-specific regulations
- Avoid reputational and legal liabilities

AI Acceptable Use Policy – Sample Template

1. Purpose
To define how AI can be responsibly and ethically used within the firm's operations, aligned with legal, ethical, and industry standards.

2. Scope
This policy applies to all partners, employees, interns, and third-party vendors accessing firm-owned or approved AI systems.

3. Definitions
Artificial Intelligence (AI) refers to tools or systems capable of performing tasks that normally require human intelligence, such as ChatGPT, CoCounsel, Google Gemini, Claude.ai, Perplexity, Meta AI or Microsoft Copilot.

4. Acceptable Use
- Research and summarization of non-confidential material
- Drafting client communications (with review)
- Automating internal workflows
- Data pattern analysis (on approved datasets)

5. Prohibited Use
- Entering client-identifiable information into public AI systems
- Using AI to make final legal/financial recommendations
- Deploying unapproved or non-vetted tools
- Relying solely on AI output without human review

6. Risk & Bias Management
All AI systems must be evaluated for bias, accuracy, and explainability before being used in decision-making or client service delivery.

7. Oversight & Monitoring
The IT Security Officer and Compliance Lead will monitor AI usage. Logs will be retained and reviewed periodically.

8. Policy Review & Updates
This AUP will be reviewed every 12 months or sooner if laws, risks, or technologies change significantly.

9. Enforcement
Violations may result in access restriction, disciplinary action, or termination, depending on the severity and intent.

Customization Tips
- Insert specific tools and vendors used by your firm (e.g., OpenAI, Harvey, Copilot)
- Tailor roles and enforcement to your internal structure
- Include appendices for high-risk departments or use cases

AI Use: Do's and Don'ts
✅ DO:
- Use only approved tools vetted by IT/Compliance
- Document how and why AI is used in client deliverables
- Stay informed of legal obligations regarding AI output

❌ DON'T:
- Upload any personal, health, or client data into public LLMs
- Let AI generate conclusions or contracts without legal review
- Use AI to impersonate others or mislead clients

Checklist: Is Your Firm AI-AUP Ready?

✓ We've mapped all internal AI usage

✓ We've identified key risks (e.g., bias, disclosure, misuse)

✓ We've vetted and approved specific tools

✓ Staff are trained on ethical AI use

✓ Compliance/IT monitors usage and updates policy yearly

Let Prime Consulting Group Help

We specialize in helping law and accounting firms implement ISO 42001, conduct AI governance audits, and build safe, scalable policies for responsible AI adoption.

📧 info@prime-consulting.ca   🌐 www.prime-consulting.ca

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