

Building Trust in AI Communications

A Starter Guide for Regulated Enterprises

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Across financial services, healthcare, and the public sector, leaders are asking the same question: how can we harness the potential of AI without compromising trust?

Over the past year, conversations with compliance and risk executives have revealed both optimism and caution. This guide was created to provide a pragmatic foundation for building an AI communications policy. One that aligns innovation with governance from the very beginning.

Executive Summary

Artificial intelligence is changing how regulated organizations create, share, and supervise information. Emails, reports, marketing copy, and even investment insights are now touched by AI in some way. Yet, these innovations bring new questions about accountability, recordkeeping, and regulatory compliance.

This guide provides a practical foundation for governing AI-assisted communications and ensuring compliance readiness. It helps regulated organizations move from policy intent to operational execution, embedding trust, transparency, and control into every AI-enabled interaction.

Defining AI Communications

AI communications include any situation where a generative AI system contributes to the creation, modification, or delivery of business information.

This could mean drafting client updates, summarizing compliance meetings, or generating analytical recommendations.

In financial services, these interactions constitute business communications that must be supervised, retained, and auditable, just like traditional records. In healthcare and government, similar obligations apply to ensure confidentiality, accountability, and transparency.

Core Principles for Responsible AI Communications

An effective AI communications policy is grounded in a few enduring principles. Together, they establish a culture of “trust by design,” where governance is built in, not bolted on.

- **Human Oversight** – AI enhances human creativity and judgment but never replaces them. All AI-assisted content must be reviewed and approved by a qualified individual before publication.
- **Accuracy and Accountability** – AI-generated outputs must be verified for factual accuracy and alignment with organizational standards. Generated content is susceptible to “hallucinations,” or outputs that are plausible, but not factually correct. The policy should hold employees accountable for verifying the accuracy of any AI-generated material. Employees remain accountable for any published content.
- **Transparency and Traceability** – Organizations should disclose AI involvement when appropriate and maintain audit trails that link prompts to outputs. Prompts, context, and output must be captured and auditable.
- **Data Privacy and Security** – Confidential or regulated information must never be entered into public AI tools. Every interaction should comply with applicable data protection laws such as GDPR, CCPA, or HIPAA.
- **Fairness and Bias Mitigation** – Teams must review AI outputs for potential bias or misrepresentation, ensuring inclusive and equitable outcomes.
- **Copyright and Intellectual Property** – Users must ensure AI-generated content does not infringe on existing copyrights and follows intellectual property law.
- **Explainability and Governance by Design** – AI-driven communications should be reproducible and explainable, with governance controls embedded at the source.
- **Bias Mitigation** – AI models are trained upon vast datasets that can reflect and amplify existing bias. The policy should require communicators to review AI outputs for potential bias and misrepresentations.

“Governance isn’t about slowing innovation—it’s how organizations scale it responsibly. When AI becomes part of communication, it must also become part of compliance.”

– Irfan Shittari, Director, Product Management, Arctera

Building the Policy Framework

A comprehensive AI Communications Policy provides structure and accountability. It defines how AI can be used safely and where human oversight must intervene. The following components can serve as a foundation for most regulated enterprises:

- **Permitted and Prohibited Uses** – Define clear boundaries. For example, AI can be used to draft outlines or summarize meetings, but not to publish unreviewed statements or generate deepfakes.
- **Training and Approval Protocols** – Clarify workflows for content creation and review. Specify when managerial or compliance approval is required.
- **Tool Governance** – Maintain an inventory of approved AI platforms and a vetting process for new ones. Technology decisions should involve compliance and IT jointly.
- **Compliance and Enforcement** – Outline expectations for employees, describe disciplinary processes for violations, and establish a confidential reporting channel.
- **Ongoing Updates** – Treat the policy as a living document that evolves with regulatory and technological change.

Regulatory Landscape Snapshot

Around the world, regulators are reinforcing that AI-assisted content is still subject to existing supervision and recordkeeping requirements. Understanding these frameworks helps organizations stay ahead of enforcement trends.

- **FINRA Rules 2210 & 3110** – Mandate supervision of all business communications, including those created or influenced by AI.
- **SEC Rule 17a-4** – Requires preservation of electronic business records, including AI-generated communications.
- **EU AI Act (Articles 9-13)** – Calls for transparency, documentation, and traceability across AI systems and outputs.
- **NIST AI Risk Management Framework** – Promotes explainability, accountability, and measurable oversight.
- **DFSA and MAS Guidance** – Highlight the need for responsible AI adoption and supervisory readiness in financial institutions.



Source: IAPP

Operationalizing AI Governance

Policies achieve impact only when they are operationalized. Once governance frameworks are defined, organizations must ensure that AI-assisted communications are captured, supervised, and archived with the same rigor as traditional channels.

Integrating these capabilities into existing compliance systems transforms policy from documentation into day-to-day assurance. The following control areas illustrate how regulated enterprises can build a sustainable AI communications framework:

- **Capture** – Log prompts, inputs, and outputs through secure APIs or system integrations.
- **Retention** – Apply recordkeeping policies consistently – financial institutions may retain AI-related records for 7-10 years.
- **Supervision and Monitoring** – Extend existing sampling and surveillance programs to detect potential misuse or anomalies.
- **Audit and Discovery** – Preserve metadata lineage linking prompts to final outputs for legal and compliance review.
- **Security and Sovereignty** – Comply with jurisdictional data laws and maintain secure, localized storage where required.



Quick Start Policy Template

Organizations can adapt this structure to create their own AI Communications Policy. Each section should reflect organizational values, regulatory requirements, and risk appetite:

- Policy Statement
- Scope and Applicability
- Approved Use Cases
- Review and Approval Workflow
- Data Handling and Security
- Enforcement and Reporting
- Review Cycle and Continuous Improvement

From Policy to Practice

- Capture and log AI-assisted communications through approved, monitored channels
- Apply consistent retention and supervision rules
- Extend audit trails to AI-generated content
- Integrate with compliance archives for discoverability and assurance

Responsible AI Leadership

Trust in AI communications begins with intentional governance. The most successful organizations recognize that compliance and innovation go hand-in-hand.

By embedding oversight into every stage of the AI lifecycle, enterprises can strengthen their regulatory posture while accelerating transformation. Governance, when designed thoughtfully, becomes an advantage, not an obstacle.

Extend your AI governance from policy to practice.

Arctera helps regulated organizations capture, supervise, and archive AI-assisted communications with the same rigor as any other business record.

Our digital communications governance platform enables compliance teams to maintain oversight, meet retention mandates, and build trust across every communication.

Learn more about how Arctera supports responsible AI communications at arctera.io.

About Arctera

Arctera helps organizations around the world thrive by ensuring they can trust, access, and illuminate their data from creation to retirement. Created in 2024 from Veritas Technologies, an industry leader in secure multi-cloud data resiliency, Arctera comprises three business units: Data Compliance, Data Protection, and Data Resilience. Arctera provides tens of thousands of customers worldwide, including 70% of the Fortune 100 with market-leading solutions that help them to manage one of their most valuable assets: data. Learn more at www.arctera.io. Follow us on X [@arcteraio](https://twitter.com/arcteraio).



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