

Section	Control Question	Asset Type	Desired Response
Transparency	Are the context specific laws, norms and expectations, and prospective settings in which the AI system will be deployed understood and documented?	App, Model	YES
Transparency	Has the business value proposition or use case of the AI asset been defined?	App, Model	YES
Transparency	Is the target application scope specified based on the system's capability, established context, and categorization?	App, Model	YES
Transparency	Does the documentation provide the knowledge limits of the AI system?	App, Model	YES
Transparency	Does the documentation provide sufficient information to assist relevant AI actors when making decisions and taking subsequent actions.	App, Model	YES
Fairness	Are/were risks related potential individual and societal impacts collected, considered and intergrated from individuals external to the development and deployment teams, during design and implementation?	App, Model, Data	YES
Fairness	Do interdisciplinary AI actors, competencies, skills, and capacities for establishing context reflect demographic diversity and broad domain and user experience expertise, and is their participation documented?	Organization	YES
Fairness	Are system requirements elicited from and understood by relevant AI actors (or stakeholders)?	App, Model	YES
Fairness	Do design decisions take socio-technical implications into account to address AI risks?	App, Model	YES
Accountability & Governance	Are the personnel involved in the assessment and updates of the AI metrics independent and external to the development team?	App, Model	YES
Transparency	Have scientific integrity and Test Evaluation Validation and Verification considerations been identified and documented, including those related to experimental design, data collection and selection (e.g., availability, representativeness, suitability), system trustworthiness, and construct validation.	App, Model	YES

Section	Control Question	Asset Type	Desired Response
Robustness & Reliability	Are the Training, Evaluation, Validation and Verification metrics effective?	App, Model	YES
Privacy	Do evaluations involving human subjects meet applicable requirements and are representative of the relevant population?	App, Model, Data	YES
Fairness	Have the AI system performance criteria demonstrated conditions similar to deployment settings?	App, Model	YES
Robustness & Reliability	The AI system to be deployed is demonstrated to be valid and reliable?	App, Model	YES
Transparency	Are limitations of the generalizability beyond the conditions under which the technology was developed documented?	App, Model	YES
Robustness & Reliability	Has a determination been made whether the AI system achieves its intended purposes and stated objectives and whether its development or deployment should proceed?	App, Model	YES
Safety	Are measurement approaches for identifying AI risks connected to deployment context(s) and informed through consultation with domain experts and other end users.	App, Model	YES
Accountability & Governance	Are risk associated with security, robustness, transparency, privacy, fairness & bias, environmental impact & sustainability, and accountability from the AI system evaluated and documented?	App, Model, Data	YES
Accountability & Governance	Are approaches for mapping AI technology and legal risks of its components in place, followed, and documented?	App, Model, Data	YES
Transparency	Are the risks that cannot or will not be measured documented?	App, Model	YES
Transparency	Are negative residual risks (i.e. all unmitigated risks) to downstream acquirers and end users of AI systems documented?	App, Model	YES
Accountability & Governance	Are AI risks and benefits from third-party resources are regularly monitored, and risk controls are applied and documented?	App, Model	YES

Section	Control Question	Asset Type	Desired Response
Robustness & Reliability	Are pre-trained models which are used for development monitored as part of AI system regular monitoring and maintenance?	App, Model	YES
Accountability & Governance	Are there processes for operator and practitioner proficiency with AI system performance, trust worthiness and relevant standards and certifications?	App, Model	YES
Accountability & Governance	Are practices documented and personnel in place for supporting regular engagement with relevant AI actors and integrating feedback about positive, negative, and unanticipated impacts?	App, Model	YES
Accountability & Governance	Are approaches, personnel, and documentation in place to regularly identify and track existing, unanticipated, and emergent AI risks based on factors such as intended and actual performance in deployed contexts?	App, Model	YES
Accountability & Governance	Are risk tracking approaches considered for settings where AI risks are difficult to assess using currently available measurement techniques or where metrics are not yet available?	App, Model	YES
Accountability & Governance	Are resources required to manage AI risks identified to reduce the magnitude or likelihood of potential impacts?	App, Model	YES
Human Oversight	Are processes for human oversight defined assessed and documented in line with the organizations policies?	App, Model	YES
Human Oversight	Are responsibilities are assigned and understood, to supersede, disengage, or deactivate AI systems that demonstrate performance or outcomes inconsistent with intended use?	App, Model	YES
Fairness	Are the AI risks prioritized based on impact, likelihood, and available resources or methods?	App, Model	YES
Accountability & Governance	Have high priority risk responses been developed, planned and documented?	App, Model,Data	YES
Safety	Do safety metrics reflect system reliability and robustness, real-time monitoring, and response times for AI system failures?	App, Model	YES

Section	Control Question	Asset Type	Desired Response
Robustness & Reliability	Does the AI system have fail-safe procedures if made to operate beyond its knowledge limits?	App, Model	YES
Accountability & Governance	Are AI metrics and effectiveness of existing controls regularly assessed and updated?	App, Model	YES
Robustness & Reliability	Are measurement results evaluated by domain experts and relevant AI actors to assess whether the system is performing consistently as intended?	App, Model	YES
Transparency	Are the measurement results documented ?	App, Model	YES
Safety	Is the AI system regularly evaluated for safety risks?	App, Model	YES
Safety	Are procedures followed to respond to and recover from a previously unknown risk when it is identified?	App, Model	YES
Accountability & Governance	Are post-deployment AI system monitoring plans implemented?	App, Model	YES
Fairness	Are Feedback processes for end users and impacted communities to report problems and appeal system outcomes established and integrated into AI system evaluation metrics?	App, Model	YES
Human Oversight	Do the post monitoring AI system monitoring plans include mechanisms for capturing and evaluating input from users and other relevant AI actors, appeal and override, decommissioning, incident response, recovery, and change management?	App, Model,Data	YES
Accountability & Governance	Are performance improvements or declines (based on consultations with relevant AI actors, including affected communities, and field data about context relevant risks and trustworthiness characteristics) identified and documented?	App, Model	YES
Robustness & Reliability	Are measurable activities for continual improvements integrated into AI system updates and include regular engagement with interested parties?	App, Model	YES

Section	Control Question	Asset Type	Desired Response
Transparency	Are incidents and errors communicated to relevant AI actors, including affected communities?	App, Model	YES
Accountability & Governance	Are processes for tracking, responding to, and recovering from incidents and errors followed and documented?	App, Model, Data	YES