**Section A — System information**

Identification of the AI system that is subject to this AI system impact assessment.

|  |  |
| --- | --- |
| **AI system name or identification** |  |
| **Other AI system identifiers** |  |
| **AI system life cycle stage** |  |

NOTE The last field in this section on identifying the AI system life cycle stage indicates at which stage in the AI system life cycle this AI system impact assessment is being conducted. It also indicates at which stage of the product life cycle this AI system impact assessment is being conducted if the AI system is being developed by the organization.

Track the revision history of this AI system impact assessment.

|  |  |
| --- | --- |
| **Author** |  |
| **Date last modified** |  |

Identify the reviewers and approvers of this AI system impact assessment.

|  |  |
| --- | --- |
| **Reviewed by** |  |
| **Date of review** |  |
| **Approved by** |  |
| **Date of approval** |  |

**AI system description**

Include a based description of the AI system, what the AI system does and at a high-level, how it works. Include any attachments as deemed useful to help the reviewers better understand the AI system and the environment in which it operates. Refer to 5.3.1.

|  |
| --- |
|  |

**AI system features**

Include a detailed description of the AI system features and capabilities and whether these are planned or current. Include any dependencies on other systems. Refer to 5.3.2.

|  |  |  |  |
| --- | --- | --- | --- |
|  | **AI system feature** | **In current version?** | **In a planned version? Estimated version and date.** |
| **1** |  |  |  |
| **2** |  |  |  |
| **3** |  |  |  |

Details of dependencies on other systems.

|  |
| --- |
|  |

**AI system purpose**

Include a description of the purpose of the AI system, why it is being developed or used, the value

proposition if the AI system and what outcomes are expected to be achieved through the use of the AI

system. Refer to 5.3.3.

|  |
| --- |
|  |

**Intended uses**

Include all the expected intended uses of the AI system for which it has been designed to be used for.

Refer to 5.3.4.

|  |  |  |
| --- | --- | --- |
|  | **Intended use name** | **Intended use description. Include information about the intended end user of the AI system, where and when the AI system can be used.** |
| **1** |  |  |
| **2** |  |  |
| **3** |  |  |

**Unintended uses**

Include descriptions of possible reasonably foreseeable misuses and intentional abuses. Refer to 5.3.5.

|  |  |  |
| --- | --- | --- |
|  | **Unintended use name** | **Unintended use description. Include whether this unintended use is a misuse of the AI system or an abuse of the AI system** |
| **1** |  |  |
| **2** |  |  |
| **3** |  |  |

**Section B — Data information and quality**

**Data information**

Include information about the datasets used with the AI system. Refer to 5.4.2.

For each dataset, complete the following table.

|  |  |
| --- | --- |
| **Dataset name, version, size** |  |
| **Dataset owner** |  |
| **Dataset access rights** |  |
| **Description of the contents of the dataset** |  |
| **Intended and unintended purposes of this dataset, including if it is approved to be used for AI systems** |  |
| **Details about data collection, where from, by whom, etc.** |  |
| **Known risks of unwanted bias in the dataset and geographies covered.** |  |
| **Processes applied to the dataset for quality purposes** |  |
| **Is a data protection impact assessment necessary?** |  |

**Data quality documentation**

Include information on the data quality characteristics that have been considered for each dataset used for the AI system. Refer to 5.4.3.

Data quality characteristics that are met

|  |  |  |
| --- | --- | --- |
|  | **Data quality characteristic** | **Significance to the AI system, date fulfilled, relevant approvals** |
| **1** |  |  |
| **2** |  |  |
| **3** |  |  |

Data quality characteristics that are planned but not yet met. Date by which the data quality characteristic is planned to be fulfilled.

|  |  |  |
| --- | --- | --- |
|  | **Data quality characteristic** | **Significance to system, planned date to be fulfilled** |
| **1** |  |  |
| **2** |  |  |
| **3** |  |  |

**Section C — Algorithms and models information**

**Information on algorithms**

Include information about each algorithm that is developed for or used in the AI system. Refer to 5.5.2 and 5.5.3.

|  |  |
| --- | --- |
| **Suitability of the algorithm to the purposes of the AI system and its intended uses** |  |
| **Origin of the algorithm** |  |
| **Scientific validity of the algorithm** |  |
| **Real-world use and performance** |  |
| **Data requirements** |  |
| **Susceptibility to undesirable outcomes** |  |

**Information on models used in the AI system**

Include information on each model developed for or used in the AI system. Refer to 5.5.4 and 5.5.5.

|  |  |
| --- | --- |
| **The data (e.g. training, testing, validation) and the algorithms used to develop the models (see 5.5)** |  |
| **Model training parameters and methods** |  |
| **Steps should be taken to ensure that data samples are not reused between training and validation or test datasets** |  |
| **Steps taken to train, test and validate multiple models** |  |
| **Criteria and steps taken to select appropriate features** |  |
| **Criteria for model selection** |  |
| **Metrics used to evaluate performance of the models (e.g. accuracy, receiver operating characteristic, confusion matrix, root mean squared error or average distance to cluster center)** |  |
| **Evaluation of whether the selected models generalize well on production data** |  |
| **Evaluation of whether the selected models perpetuate or create unwanted bias or other harms** |  |
| **Evaluation of whether output data from the model contains or creates personally identifiable information (PII)** |  |
| **Robustness and resilience of the model** |  |
| **Steps taken to detect and correct data drift (e.g. retraining the model if the production data starts to differ in characteristics from the original training data)** |  |
| **Criteria and process for retraining the model** |  |
| **Impacts of continuous learning (if implemented)** |  |

**Section D — Deployment environment**

**Geographical area and languages**

Include information about geographical, cultural or legal context of the countries or regions where the AI system is deployed. Refer to 5.6.1.

|  |  |
| --- | --- |
| **Where the AI system is currently deployed** |  |
| **Planned deployment locations** |  |
| **Legal requirements specific to the geographic deployment area** |  |
| **Cultural considerations of the geographic deployment area** |  |
| **Languages spoken in the geographic deployment area and particularly for natural language processing systems, which languages that are currently supported** |  |
| **Behavioural, social and physiological human traits that can be concentrated in a geography (e.g. facial expressions, emotional states, gestures or sounds)** |  |

**Deployment environment complexity and constraints**

Include information on the technical deployment environment of the AI system

|  |  |
| --- | --- |
| **How is the AI system deployed or intended to be deployed?** |  |
| **Constraints to deployment** |  |

**Section E — Relevant interested parties**

Determine who are the relevant interested parties that potentially can be affected by the AI system and its use. Refer to 5.7.

|  |  |  |
| --- | --- | --- |
|  | **External relevant interested party name (identify individuals, groups of individuals, vulnerable groups, societies, data subjects, etc.)** | **Role relative to the AI system** |
| **1** |  |  |
| **2** |  |  |
| **3** |  |  |

|  |  |  |
| --- | --- | --- |
|  | **Internal relevant interested party name or team name** | **Role relative to the AI system (e.g. developer, system owner or responsible for oversight)** |
| **1** |  |  |
| **2** |  |  |
| **3** |  |  |

**Section F — Actual and potential benefits and harms**

For each identified interested party in section E, determine the actual and potential benefits and harms to that party using the perspectives described in 5.8.2.

|  |  |  |
| --- | --- | --- |
|  | **Potential benefits** | **Potential harms** |
| **Accountability** |  |  |
| **Transparency** |  |  |
| **Fairness and discrimination** |  |  |
| **Privacy** |  |  |
| **Reliability** |  |  |
| **Safety** |  |  |
| **Explainability** |  |  |
| **Environmental impact** |  |  |

**Section G — AI system failures and misuse or abuse**

**Impact of AI system failure**

For each of the interested parties identified in section E, include information on the impact of AI system failure. Refer to 5.8.3.2.

|  |  |  |
| --- | --- | --- |
|  | **Failure description** | **Impacts resulting from potential failure (include if it is a benefit or impact)** |
| **1** |  |  |
| **2** |  |  |
| **3** |  |  |

**Impact of AI system misuse or abuse**

For each of the interested parties identified in section E, include information on the impact of AI system misuse or abuse. Refer to 5.8.3.3.

|  |  |  |
| --- | --- | --- |
|  | **Misuse or abuse description** | **Impacts resulting from potential misuse or abuse (include if it is a benefit or impact)** |
| **1** |  |  |
| **2** |  |  |
| **3** |  |  |