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AI Risk Assessment

NIST AI RMF Mapping	EU AI Act Mapping	Question ID	Template or Section Name Template or Section Description Prologue or Epilogue Title & Description Question Text		Responses, Labels, and Risk Level	Guidance/Question Description
			AI Risk Assessment The AI Risk Assessment Template is a structured framework designed to systematically identify, evaluate, and mitigate potential risks associated with the development, acquisition or procurement, deployment, and operation of artificial intelligence systems. This template serves as a comprehensive guide for organizations and researchers to proactively address ethical, safety, security, and societal concerns related to AI technologies. This template is a form of self-assessment intended to provide an initial approach to the evaluation of a trustworthy AI. This template provides no guarantee and is intended for customers to gain insight into whether sufficient safeguards are in place to ensure Trustworthy AI Development.			
			I. AI System Information			
			This section aims to collect fundamental information about the AI system to provide essential context on the AI system and its operational environment.			
		1.0	**Please provide the complete name of the AI system.** (AI_System_Name)			
NIST AI RMF MAP 1.1	**Article 3** Scope of the Act	*2.0*	**What is your organization's role in terms of AI Management?** AI distributors and importers that perform the following actions may be considered as an AI Provider • Modifies the intended purpose of the AI system • Performs significant modifications to the AI system		☐ **AI Provider / Provider** ☐ **AI Deployer / Deployer** ☐ **AI Distributor / Distributor** ☐ **AI Importer / Importer** ☐ **Other / Other**	
	Article 3 Scope of the Act	*3.0*	**Are any of the following done to the AI System?** • Put the system on the market under your organization's trademark or name • Change the system's intended purpose from that determined by the provider • Make substaantial modifications to the system ***Tip:*** *The organization may be considered as a provider under the EU AI Act.*		◉ Yes ◉ No	
		4.0	**Please describe your organization's role.**			
NIST AI RMF MAP 1.1 **NIST AI RMF MAP 1.3** **NIST AI RMF MAP 1.4**	**Article 11** Technical Documentation	*5.0*	**What is the intended purpose of the AI system?** (AI_System_Description) ***Tip:*** *Briefly describe how the AI system will address a need that aligns with an objective of the organization.*			

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		6.0	**Is your AI system considered as a general purpose AI Model (GenAI)?** ***Tip:*** *A GenAI is an AI model, including when trained with a large amount of data using self-supervision at scale, that displays significant generality and is capable to competently perform a wide range of distinct tasks regardless of the way the model is placed on the market and that can be integrated into a variety of downstream systems or applications.*		○ **Yes** ○ **No**	
			II. Human and Stakeholder Involvement			
		8.0	**Has a comprehensive review been conducted to identify all existing regulations and guidelines that could potentially impact the development, deployment, or operation of the AI system?** ***Tip:*** *Please include a description of the process of identifying relevant regulations and guidelines.*		○ **Yes** / Control Effectiveness = 4 / Valid and Reliable ○ **No** / Control Effectiveness = 0 / Valid and Reliable ○ **N/A** / Control Effectiveness = Not Applicable / Valid and Reliable	
			This section examines the roles and responsibilities of personnel and groups involved in the AI system's lifecycle. It assesses if sufficient training, skills, and resources are provided to AI personnel to perform their duties.			
NIST AI RMF MAP 3.5		*9.0*	**Have the roles and responsibilities of personnel involved in the design, development, deployment, assessment, and monitoring of the AI system been defined and documented?** ***Tip:*** *Please include a brief description of each stakeholder's role in the AI lifecycle or link to relevant documentation.*		○ **Yes** / Control Effectiveness = 4 / Safe ○ **No** / Control Effectiveness = 0 / Safe ○ **N/A** / Control Effectiveness = Not Applicable / Safe	
NIST AI RMF MAP 3.5 **GOVERN 2.2**		*10.0*	**Are personnel provided with the necessary skills, training, and resources needed in order to fulfill their assigned roles and responsibilities?** ***Tip:*** *Please include a description of the skills, training, and resources provided to personnel.*		○ **Yes** / Control Effectiveness = 4 / Safe ○ **No** / Control Effectiveness = 0 / Safe ○ **N/A** / Control Effectiveness = Not Applicable / Safe	
	Article 14: Human Oversight	*11.0*	**Are measures in place to enable humans to oversee the AI system, including its outputs, to a level appropriate to the risks imposed by the AI system?** ***Tip:*** *Please include a description of the measures in place to enable human oversight (e.g., interrupt or review and modify outputs) based on the risks of the AI System. For example, an AI system used for medical diagnoses may require more stringent oversight than one used for customer service.*		○ **Yes** / Control Effectiveness = 4 / Safe ○ **No** / Control Effectiveness = 0 / Safe ○ **N/A** / Control Effectiveness = Not Applicable / Safe	
NIST AI RMF MAP 3.5 **GOVERN 3.1**		*12.0*	**What is the level of human involvement and control in relation to the AI system?**		☐ **Self-Learning or Autonomous System** / Control Effectiveness = 1 / Safe ☐ **Overseen by a Human-in-the-Loop** / Control Effectiveness = 2 / Safe ☐ **Overseen by a Human-on-the-Loop** / Control Effectiveness = 3 / Safe ☐ **Overseen by a Human-in-Command** / Control Effectiveness = 4 / Safe	
NIST AI RMF MAP 3.5 **GOVERN 3.1**		*13.0*	**Are the relevant personnel dealing with AI systems properly trained to interpret AI model output and decisions as well as to detect and manage bias in data?** ***Tip:*** *Please include a description of the trainings and resources provided.*		○ **Yes** / Control Effectiveness = 4 / Safe ○ **No** / Control Effectiveness = 0 / Safe ○ **N/A** / Control Effectiveness = Not Applicable / Safe	

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		14.0	**Are processes defined and documented where human intervention is required by the AI system?** ***Tip:*** *There are a number of cases and scenarios where human intervention is needed to ensure the safe, ethical, and secure use of AI. Some examples may include:* *1. Where AI is used to make decisions with significant consequences to individuals (e.g., medical diagnosis, financial decisions, legal judgments, or emergency response)* *2. To identify and mitigate any bias throughout the AI lifecycle* *3. Handling edge cases or rare use cases that may not have been well-represented in the AI testing.*		○ **Yes** / Control Effectiveness = 4 / Safe ○ **No** / Control Effectiveness = 0 / Safe ○ **N/A** / Control Effectiveness = Not Applicable / Safe	
		15.0	**Do human reviewers have the expertise and authority to override decisions made by the AI and modify them to the appropriate outcome?**		○ **Yes** / Control Effectiveness = 4 / Safe ○ **No** / Control Effectiveness = 0 / Safe ○ **N/A** / Control Effectiveness = Not Applicable / Safe	
		16.0	**Does the human review process for the AI system actively seek and incorporate feedback or opinions from the data subjects?**		○ **Yes** / Control Effectiveness = 4 / Safe ○ **No** / Control Effectiveness = 0 / Safe ○ **N/A** / Control Effectiveness = Not Applicable / Safe	
			III. Valid and Reliable AI			
			This section is intended to determine the measures in place to ensure that the AI system is developed for the good of society, the environment, and the community.			
NIST AI RMF MAP 1.1 **NIST AI RMF MAP 1.6** **NIST AI RMF MAP 3.2** **NIST AI RMF MAP 5.1** **GOVERN 1.3** **GOVERN 1.5** **MEASURE 2.12**	**Article 27** Fundamental rights impact assessment for high-risk AI systems	*17.0*	**Are mechanisms in place to identify and assess the impacts of the AI system on natural persons, the environment, communities, and society?** ***Tip:*** *This is an iterative process, but recommended to be done at the beginning of the AI development. Details of the assessment may include:* • *Who could be harmed?* • *What could be harmed?* • *When could harm arise?* • *How could harm arise?*		○ **Yes** / Control Effectiveness = 4 / Valid and Reliable ○ **No** / Control Effectiveness = 0 / Valid and Reliable ○ **N/A** / Control Effectiveness = Not Applicable / Valid and Reliable	Sample Harm Scenarios for each enumerated category of harm: **Individuals** • Bias in AI results in harm to individuals, and potential fines for noncompliance. • Lack of transparency and explainability for AI system outputs. **Environment** • Increased e-waste from increased energy consumption of systems used to train and operate the AI. **Society** • Increased risk of social manipulation to pursue harmful and conflicted societal agendas.
NIST AI RMF MAP 1.6 **NIST AI RMF MAP 5.1** **GOVERN 1.3**	**Article 27** Fundamental rights impact assessment for high-risk AI systems	*18.0*	**Are the potential negative impacts re-assessed if there are significant changes to the AI system in all stages of the AI lifecycle?** ***Tip****: Examples of changes that might affect the AI system include; algorithm updates, modification in the training data, changes to intended end-users of the AI, expanded safety measures, and regulatory, legal, or ethical updates.*		○ **Yes** / Control Effectiveness = 4 / Valid and Reliable ○ **No** / Control Effectiveness = 0 / Valid and Reliable ○ **N/A** / Control Effectiveness = Not Applicable / Valid and Reliable	

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NIST AI RMF MAP 1.6 **NIST AI RMF MAP 5.1** **GOVERN 1.3**		*19.0*	**Are there effective measures in place to mitigate the identified risks associated with the AI system, ensuring that potential negative impacts are minimized or prevented?** ***Tip:*** *These measures may include but are not limited to the following:* 1. *Ensure high-quality data is used to train and operate the AI system.* 2. *Track the AI system's performance and identify any deviations from expected outcomes.* 3. *Establish mechanisms for users to provide feedback on the AI system's performance and identify potential issues.* 4. *Conduct regular audits to ensure compliance with relevant regulations and ethical standards.*		○ **Yes** / Control Effectiveness = 4 / Valid and Reliable ○ **No** / Control Effectiveness = 0 / Valid and Reliable ○ **N/A** / Control Effectiveness = Not Applicable / Valid and Reliable	
			IV. Safety and Reliability of AI			
			This section is intended to assess the measures in place to ensure that the threats to the AI system and acceptable levels of risks are documented and implemented.			
NIST AI RMF MAP 1.5		*20.0*	**Are tolerable risk levels defined for the AI system based on the business objectives, regulatory compliance, and data sensitivity requirements of the system?** ***Tip:*** *AI risk tolerance level refers to the extent to which individuals, organizations, or societies are willing to accept or tolerate potential risks associated with the AI system.*		○ **Yes** / Control Effectiveness = 4 / Safe ○ **No** / Control Effectiveness = 0 / Safe ○ **N/A** / Control Effectiveness = Not Applicable / Safe	
NIST AI RMF MAP 1.5		*21.0*	**Have the possible threats to the AI system (design faults, technical faults, environmental threats) been identified, and the possible consequences to AI trustworthiness?**		○ **Yes** / Control Effectiveness = 4 / Safe ○ **No** / Control Effectiveness = 0 / Safe ○ **N/A** / Control Effectiveness = Not Applicable / Safe	
NIST AI RMF MAP 1.5		*22.0*	**Are the risks of possible malicious use, misuse, or inappropriate use of the AI system assessed?** ***Tip:*** *Please include a brief description of the assessment process.*		○ **Yes** / Control Effectiveness = 4 / Safe ○ **No** / Control Effectiveness = 0 / Safe ○ **N/A** / Control Effectiveness = Not Applicable / Safe	
			V. Secure and Resilient AI			
			This section is intended to assess the measures in place to ensure the security of the AI system and its capability to respond to incidents and operate continuously.			
MEASURE 2.7	**Article 15** Accuracy, robustness and cybersecurity	*23.0*	**Are mechanisms in place to assess the vulnerabilities in terms of security and resiliency of the AI system across the AI lifecycle?** ***Tip:*** *The AI lifecycle defines the stages and processes involved in the development, deployment, and management of AI systems or applications.* *Please include a description of the mechanisms to assess security and resiliency vulnerabilities.*		○ **Yes** / Control Effectiveness = 4 / Valid and Reliable ○ **No** / Control Effectiveness = 0 / Valid and Reliable ○ **N/A** / Control Effectiveness = Not Applicable / Valid and Reliable	
MEASURE 2.7	**Article 15** Accuracy, robustness and cybersecurity	*24.0*	**Are red-team exercises or similar exercises used to actively test the system under adversarial or stress conditions and includes the following?** • Measures system response; • Assess failure modes; or • Determine if the system can return to normal function after an unexpected adverse event. ***Tip:*** *Red team exercises, also known as red teaming, are a systematic and structured approach used to test the effectiveness of an organization's security measures, policies, procedures, and overall defenses.*		○ **Yes** / Control Effectiveness = 4 / Secure and Resilient ○ **No** / Control Effectiveness = 0 / Secure and Resilient ○ **N/A** / Control Effectiveness = Not Applicable / Secure and Resilient	
MEASURE 2.7	**Article 15** Accuracy, robustness and cybersecurity	*25.0*	**Are processes in place to modify system security and countermeasures to increase robustness and resilience to attacks in response to testing and events experienced throughout the AI lifecycle?**		○ **Yes** / Control Effectiveness = 4 / Secure and Resilient ○ **No** / Control Effectiveness = 0 / Secure and Resilient ○ **N/A** / Control Effectiveness = Not Applicable / Secure and Resilient	

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GOVERN 1.5	**Article 15** Accuracy, robustness and cybersecurity	*26.0*	**Are processes in place to respond to incidents involving AI systems?** ***Tip:*** *Organizations can also leverage existing policies and procedures for incident response or modify them to align with the AI system's specific requirements.*		○ **Yes** / Control Effectiveness = 4 / Secure and Resilient ○ **No** / Control Effectiveness = 0 / Secure and Resilient ○ **N/A** / Control Effectiveness = Not Applicable / Secure and Resilient	
GOVERN 1.4	**Article 26** Obligations of deployers of high-risk AI systems	*27.0*	**Are procedures and relevant performance metrics in place and are used to ensure the AI system's accuracy?**		○ **Yes** / Control Effectiveness = 4 / Secure and Resilient ○ **No** / Control Effectiveness = 0 / Secure and Resilient ○ **N/A** / Control Effectiveness = Not Applicable / Secure and Resilient	
MEASURE 2.7		*28.0*	**Are processes in place to establish and track security tests and metrics?**		○ **Yes** / Control Effectiveness = 4 / Secure and Resilient ○ **No** / Control Effectiveness = 0 / Secure and Resilient ○ **N/A** / Control Effectiveness = Not Applicable / Secure and Resilient	
			VI. Explainable and Interpretable AI			
			This section is intended to assess the measures in place to ensure that information requirements for explainable AI are maintained, and AI decisions are interpreted as expected.			
MEASURE 2.9	**Article 12** Record-keeping **Article 26** Obligations of deployers of high-risk AI systems	*29.0*	**Are measures in place to ensure traceability of the AI system that is appropriate to intended purpose througout its entire lifecycle?** ***Tip:*** *AI Traceability is the capability to track and document the complete AI lifecycle to ensure accountability, transparency, and troubleshooting. This may include documenting the following:* 1. *Data sources* 2. *Testing process, performance logs and metrics, and results* 3. *Decisions and outcomes made by the AI* 4. *Patch updates and version control.*		○ **Yes** / Control Effectiveness = 4 / Explainable and Interapertable ○ **No** / Control Effectiveness = 0 / Explainable and Interapertable ○ **N/A** / Control Effectiveness = Not Applicable / Explainable and Interapertable	
MEASURE 2.9		*30.0*	**Is the data used by the AI system traceable to make a certain decision (s) or recommendation(s)?**		○ **Yes** / Control Effectiveness = 4 / Explainable and Interapertable ○ **No** / Control Effectiveness = 0 / Explainable and Interapertable ○ **N/A** / Control Effectiveness = Not Applicable / Explainable and Interapertable	
MEASURE 2.9		*31.0*	**Is the data used by the AI system to make a certain decision(s) or recommendation(s) traceable?**		○ **Yes** / Control Effectiveness = 4 / Explainable and Interapertable ○ **No** / Control Effectiveness = 0 / Explainable and Interapertable ○ **N/A** / Control Effectiveness = Not Applicable / Explainable and Interapertable	
MEASURE 2.9		*32.0*	**Are measures in place to continuously assess the quality of the input data to the AI system?**		○ **Yes** / Control Effectiveness = 4 / Explainable and Interapertable ○ **No** / Control Effectiveness = 0 / Explainable and Interapertable ○ **N/A** / Control Effectiveness = Not Applicable / Explainable and Interapertable	
MEASURE 2.9		*33.0*	**Are adequate logging practices in place to record the decision(s) or recommendation(s) of the AI system?**		○ **Yes** / Control Effectiveness = 4 / Explainable and Interapertable ○ **No** / Control Effectiveness = 0 / Explainable and Interapertable ○ **N/A** / Control Effectiveness = Not Applicable / Explainable and Interapertable	

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MEASURE 2.9		*34.0*	**Are explanations on the decision of the AI system provided to the relevant users and stakeholders?**		○ **Yes** / Control Effectiveness = 4 / Explainable and Interapertable ○ **No** / Control Effectiveness = 0 / Explainable and Interapertable ○ **N/A** / Control Effectiveness = Not Applicable / Explainable and Interapertable	
			VII. Privacy and Data Governance			
			This section is intended to assess the measures in place to ensure that personal information used in the AI system lifecycle is kept private, used for intended and informed purposes, and secured.			
	Article 10 Data and Data Governance	*35.0*	**Has a data governance policy been established to ensure quality, accuracy, and reliability of data used to train and test the AI system?** ***Tip:*** *Please provide copies of your current data governance policies or any equivalent documentation designed to ensure the quality, accuracy, and reliability of the data used to train and operate the AI system throughout its lifecycle.*		○ **Yes** / Control Effectiveness = 4 / Privacy Enhanced ○ **No** / Control Effectiveness = 0 / Privacy Enhanced ○ **N/A** / Control Effectiveness = Not Applicable / Privacy Enhanced	
NIST AI RMF MAP 1.1	**Article 10** Data and Data Governance	*36.0*	**Is the AI system being trained, or was it developed, by using or processing personal information?**		○ **Yes** ○ **No**	
NIST AI RMF MAP 1.1 **MEASURE 3.1**	**Article 10** Data and Data Governance	*37.0*	**Please describe the categories of personal information used by the AI system. Indicate if the system is using sensitive or special categories of personal information, including a description of the legal basis for processing the personal information.** ***Tip:*** *Special categories of personal information refer to specific types of personal information that are considered more sensitive and are subject to enhanced data protection and privacy regulations (e.g., race, religious beliefs, health data, sexual orientation, or criminal records).* *You can also refer to your* ***Data Mapping & Risk Manager*** *records for complete information on your personal information processes and business purposes.*			
NIST AI RMF MAP 5.1 **MEASURE 3.1**	**Article 10** Data and Data Governance **Article 26** Obligations of deployers of high-risk AI systems	*38.0*	**Has a privacy risk assessment been conducted to ensure the privacy and security of the personal information used for the AI system?**		○ **Yes** / Control Effectiveness = 4 / Privacy Enhanced ○ **No** / Control Effectiveness = 0 / Privacy Enhanced ○ **N/A** / Control Effectiveness = Not Applicable / Privacy Enhanced	
NIST AI RMF MAP 1.1 **MEASURE 3.1**	**Article 10** Data and Data Governance	*39.0*	**Have privacy by design and by default principles been adopted to mitigate AI privacy risks throughout the AI system's lifecycle?**		○ **Yes** / Control Effectiveness = 4 / Privacy Enhanced ○ **No** / Control Effectiveness = 0 / Privacy Enhance ○ **N/A** / Control Effectiveness = Not Applicable / Privacy Enhanced	
NIST AI RMF MAP 1.1	**Article 10** Data and Data Governance	*40.0*	**Are individuals informed that their personal information is processed to develop and/or train the AI system?**		○ **Yes** / Control Effectiveness = 4 / Privacy Enhanced ○ **No** / Control Effectiveness = 0 / Privacy Enhanced ○ **N/A** / Control Effectiveness = Not Applicable / Privacy Enhanced	

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NIST AI RMF MAP 1.1 **MEASURE 3.1**	**Article 86** Right to explanation of individual decision-making	*41.0*	**Have mechanisms been implemented to enable individuals to exercise their right to privacy for any personal information used in the AI system?** ***Tip:*** *These privacy rights include the right to access, correct, erase, or object to the processing of their personal information. If existing mechanisms are in place for individuals to exercise these rights, ensure that these mechanisms explicitly cover personal data used for AI systems.*		**Yes** / Control Effectiveness = 4 / Privacy Enhanced **No** / Control Effectiveness = 0 / Privacy Enhanced **N/A** / Control Effectiveness = Not Applicable / Privacy Enhanced	
NIST AI RMF MAP 4.1		*42.0*	**Are measures in place to ensure that the data used to develop the AI system is up-to-date, complete, and representative of the AI environment?** ***Tip:*** *Ensure that the data used to train the AI is accurate, diverse, and representative of the real-world conditions, purposes, or situations in which the AI will be used.*		**Yes** / Control Effectiveness = 4 / Privacy Enhanced **No** / Control Effectiveness = 0 / Privacy Enhanced **N/A** / Control Effectiveness = Not Applicable / Privacy Enhanced	
NIST AI RMF MAP 4.1		*43.0*	**Have risks been assessed in using datasets obtained from third parties?**		**Yes** / Control Effectiveness = 4 / Privacy Enhanced **No** / Control Effectiveness = 0 / Privacy Enhanced **N/A** /Control Effectiveness = Not Applicable / Privacy Enhanced	
			VIII. Fairness and Unbiased AI			
			This section is intended to assess the measures in place to ensure that the AI system is free from bias, inclusive, and diverse.			
	Article 10 Data and Data Governance	*44.0*	**Are measures in place to identify and mitigate biases inherent to the data used to train and test AI models?**		**Yes** / Control Effectiveness = 4 / Fair with Risk of Harmful Bias Managed **No** / Control Effectiveness = 0 / Fair with Risk of Harmful Bias Managed **N/A** / Control Effectiveness = Not Applicable / Fair with Risk of Harmful Bias Managed	
NIST AI RMF MAP 1.2	**Article 10** Data and Data Governance	*45.0*	**Has a strategy or a set of procedures been established to prevent the creation or reinforcement of unfair bias in the AI system, both regarding the use of input data as well as for the algorithm design?** ***Tip:*** *The AI system might produce unfair outcomes for different individuals or groups due to insufficiently diverse training data, training data that is inappropriate for the purpose of the AI system, or training data that reflects past discrimination.*		**Yes** / Control Effectiveness = 4 / Fair with Risk of Harmful Bias Managed **No** / Control Effectiveness = 0 / Fair with Risk of Harmful Bias Managed **N/A** / Control Effectiveness = Not Applicable / Fair with Risk of Harmful Bias Managed	
NIST AI RMF MAP 1.2	**Article 10** Data and Data Governance	*46.0*	**Has diversity and representativeness of end-users, data subjects, or target groups been considered in the data used for the AI system?**		**Yes** / Control Effectiveness = 4 / Fair with Risk of Harmful Bias Managed **No** / Control Effectiveness = 0 / Fair with Risk of Harmful Bias Managed **N/A** / Control Effectiveness = Not Applicable / Fair with Risk of Harmful Bias Managed	
NIST AI RMF MAP 1.2	**Article 10** Data and Data Governance	*47.0*	*Have the demographics of those involved in the design and development of the AI system been documented to capture and communicate potential biases inherent to the development process?*		**Yes** / Control Effectiveness = 4 / Fair with Risk of Harmful Bias Managed **No** / Control Effectiveness = 0 / Fair with Risk of Harmful Bias Managed **N/A** / Control Effectiveness = Not Applicable / Fair with Risk of Harmful Bias Managed	
NIST AI RMF MAP 1.2	**Article 10** Data and Data Governance	*48.0*	**Are AI actors provided with trainings and resources to ensure that they are aware of the possible bias that they can inject into the design and development of the AI system?** ***Tip:*** *"AI Actors" are those who play an active role in the AI system lifecycle, including organizations and individuals that deploy or operate AI.*		**Yes** / Control Effectiveness = 4 / Fair with Risk of Harmful Bias Managed **No** / Control Effectiveness = 0 / Fair with Risk of Harmful Bias Managed **N/A** / Control Effectiveness = Not Applicable / Fair with Risk of Harmful Bias Managed	

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MEASURE 2.8	**Article 10** Data and Data Governance	*49.0*	**Are mechanisms in place to test and monitor the AI system for potential biases during the entire AI lifecycle?**		**Yes** / Control Effectiveness = 4 / Fair with Risk of Harmful Bias Managed **No** / Control Effectiveness = 0 / Fair with Risk of Harmful Bias Managed **N/A** / Control Effectiveness = Not Applicable / Fair with Risk of Harmful Bias Managed	
GOVERN 4.2 **MEASURE 2.8**	**Article 10** Data and Data Governance	*50.0*	**Are identified issues related to bias, discrimination, accuracy, or poor performance of the AI system mitigated?** ***Tip:*** *Please describe the procedures in place to mitigate issues related to bias, discrimination, accuracy, or poor performance.*		**Yes** / Control Effectiveness = 4 / Fair with Risk of Harmful Bias Managed **No** / Control Effectiveness = 0 / Fair with Risk of Harmful Bias Managed **N/A** / Control Effectiveness = Not Applicable / Fair with Risk of Harmful Bias Managed	
			IX. Transparent and Accountable AI			
			This section is intended to assess the measures in place to provide sufficient and appropriate information to relevant stakeholders, at any point of the AI lifecycle.			
NIST AI RMF MAP 1.2 **NIST AI RMF MAP 2.3** **MEASURE 2.12**	**Article 50** Transparency obligations for providers and users of certain AI systems	*51.0*	**Is sufficient information provided to relevant AI actors to assist them in making an informed decision on the development, design, and deployment of the AI system?** ***Tip:*** *"AI Actors" are those who play an active role in the AI system lifecycle, including organizations and individuals that deploy or operate AI.*		**Yes** / Control Effectiveness = 4 / Accountable and Transparent **No** / Control Effectiveness = 0 / Accountable and Transparent **N/A** / Control Effectiveness = Not Applicable / Accountable and Transparent	
NIST AI RMF MAP 1.6 **MEASURE 2.9**	**Article 50** Transparency obligations for providers and users of certain AI systems	*52.0*	**Are external stakeholders able to access information on the design, operation and limitations of the AI system?** ***Tip:*** *To promote transparency of the AI enable external stakeholders to access information on the design, operation, and limitations of the AI system.*		**Yes** / Control Effectiveness = 4 / Accountable and Transparent **No** / Control Effectiveness = 0 / Accountable and Transparent **N/A** / Control Effectiveness = Not Applicable / Accountable and Transparent	
MEASURE 2.9	**Article 13** Transparency and provision of information to deployers	*53.0*	**Are appropriate information provided to AI deployers to enable them to appropriately interpret and use the outputs of the AI system?** ***Tip:*** *This may be in a form of use instructions or similar documents that may contain the following information:* 1. *Intended purpose of the AI system* 2. *Level of accuracy, robustness, and cybersecurity meaures in place* 3. *Technical capabilities and characteristics of the AI system*		**Yes** / Control Effectiveness = 4 / Accountable and Transparent **No** / Control Effectiveness = 0 / Accountable and Transparent **N/A** / Control Effectiveness = Not Applicable / Accountable and Transparent	
MEASURE 2.9		*54.0*	**Are necessary information (e.g., use instructions or manual) about the AI system obtained from providers, including information on its intended purpose, limitations, and potential risks?**		**Yes** / Control Effectiveness = 4 / Accountable and Transparent **No** / Control Effectiveness = 0 / Accountable and Transparent **N/A** / Control Effectiveness = Not Applicable / Accountable and Transparent	
MEASURE 2.9	**Article 50** Transparency obligations for providers and users of certain AI systems	*55.0*	**Are end users of the AI system aware that they are interacting with an AI system and not a human?**		**Yes** / Control Effectiveness = 4 / Accountable and Transparent **No** / Control Effectiveness = 0 / Accountable and Transparent N/A / Control Effectiveness = Not Applicable / Accountable and Transparent	
NIST AI RMF MAP 1.6	**Article 50** Transparency obligations for providers and users of certain AI systems	*56.0*	**Are end-users informed of the purpose, criteria, and limitations of the decisions generated by the AI system?**		**Yes** / Control Effectiveness = 4 / Accountable and Transparent **No** / Control Effectiveness = 0 / Accountable and Transparent **N/A** / Control Effectiveness = Not Applicable / Accountable and Transparent	

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AI Risk Assessment

NIST AI RMF Mapping	EU AI Act Mapping	Question ID	Template or Section Name Template or Section Description Prologue or Epilogue Title & Description Question Text		Responses, Labels, and Risk Level	Guidance/Question Description
	Article 86 Right to explanation of individual decision-making	*57.0*	**Is a mechanism in place to regularly communicate with or receive inquiries, feedback, or requests from external stakeholders related to the operation of the AI system?**		○ **Yes** / Control Effectiveness = 4 / Accountable and Transparent ○ **No** / Control Effectiveness = 0 / Accountable and Transparent ○ **N/A** / Control Effectiveness = Not Applicable / Accountable and Transparent	
			X. AI Accountability			
			This section is intended to ensure that the organization has risk management mechanisms in place to effectively manage identified AI risk.			
NIST AI RMF MAP 3.1 **GOVERN 1.5**	**Article 9** AI RIsk Management System	*58.0*	**Is a risk management system implemented to address risks identified in the AI system throughout the system's lifecycle?**		○ **Yes** / Control Effectiveness = 4 / Accountable and Transparent ○ **No** / Control Effectiveness = 0 / Accountable and Transparent ○ **N/A** / Control Effectiveness = Not Applicable / Accountable and Transparent	
MEASURE 2.6	**Article 9** AI RIsk Management System	*59.0*	**Are measures in place to address the identified risks associated with the AI system, and are these measures considered sufficient to reduce the risks to an acceptable level?**		○ **Yes** / Control Effectiveness = 4 / Accountable and Transparent ○ **No** / Control Effectiveness = 0 / Accountable and Transparent ○ **N/A** / Control Effectiveness = Not Applicable / Accountable and Transparent	
MEASURE 3.2		*60.0*	**Is the AI system subject to independent third-party audits to ensure its fairness, accuracy, and compliance with relevant ethical standards and regulations?**		○ **Yes** / Control Effectiveness = 4 / Accountable and Transparent ○ **No** / Control Effectiveness = 0 / Accountable and Transparent ○ **N/A** / Control Effectiveness = Not Applicable / Accountable and Transparent	
		61.0	**Are checks conducted at appropriate intervals to confirm that the AI system is still trustworthy and conforms to the requirements of this risk assessment?**		○ **Yes** / Control Effectiveness = 4 / Accountable and Transparent ○ **No** / Control Effectiveness = 0 / Accountable and Transparent ○ **N/A** / Control Effectiveness = Not Applicable / Accountable and Transparent	
			End of Assessment			