AI Assurance Report

Purpose of this Assurance

The purpose of this Assurance Report is to provide our opinion on the review conducted of <AI system> to determine if 1) the processes (both organizational and technological) by which the AI system is designed, developed, deployed, and monitored for compliance with responsible AI standards, and best practices, and 2) the outputs and outcomes produced as a part of this process are compliant with the intended goals of the system.

Scope of the Assurance Process

We reviewed the <AI system> from <organization> as of <date>. We interviewed the following individuals: <list of individuals and their corresponding stakeholder roles>. We reviewed the following artifacts: <list of artifacts>.

The interviewees were responsible for providing us with information about the processes used in developing the AI system and the decisions made during those processes. The organization was also responsible for providing us with any related artifacts such as source code for the system (if applicable), any data used to develop and validate the system, and documentation created during these processes, as well as models, analysis results, and related artifacts.

Our responsibility was to conduct this assessment through the interviews and reviewing artifacts provided to us, and provide an opinion as to whether the processes used meet best practices and any standards, and whether the system outputs and the resulting outcomes match the intended function of the AI system.

Opinion on the AI System

In our opinion, based on the information provided to us, we rate <AI system> overall as follows: <assurance rating>.

In our opinion, we rate each stage of the AI lifecycle for <AI system> as follows.

- Value Proposition + Problem Formulation: <assurance rating>.
- Data Collection + Processing: <assurance rating>.
- Statistical Modeling: <assurance rating>.
- Testing + Validation: <assurance rating>.
- Deployment + Monitoring: <assurance rating>.

Assurance Ratings

We provide one of the four assurance ratings for the AI system overall, and for each stage.

- 1: Inadequate access to perform the evaluation.
- 2: Adequate access, lack of compliance with baseline industry expectations.
- 3: Adequate access; adequate compliance with baseline expert expectations but lack of evidence of compliance with state of the art and best practices.
- 4: Adequate access, adequate compliance with best practices, and state of the art industry standards.

Basis for Opinion

<AI system> is the responsibility of <organization>. Our responsibility is to express an opinion on <organization>'s <AI system> based on our assurance process. We are <assurance team> and are required to be independent with respect to <organization>.

We conducted the assurance process by interviewing the representatives from <list of stakeholder roles> using the interview protocol and reviewing <list of artifacts>. Using the interviews, we filled out the "process" column of the maturity matrix; using the artifacts, we filled out the "outputs" column of the maturity matrix. Figure 1 summarizes the ratings we provided for each subcategory in the maturity matrix.

1 - Lagging
2 - Basic
3 - Intermediate
4 - Industry Leading

Value Proposition + Problem Formulation		Data Collection + Processing		Statistical Modeling		Testing + Validation		Deployment + Monitoring	
Process	Outputs	Process	Outputs	Process	Outputs	Process	Outputs	Process	Outputs
Purpose, Goals, Motivation	Purpose, Goals, Motivation	Data Needs and Requirements	Data Needs and Requirements	Experimental Set Up	Experimental Set Up	Experimental Design	Experimental Design	End User Guidance	End User Guidance
Technical Feasibility	Technical Feasibility	Data Availability	Data Availability	Data Set Up	Data Set Up	Considering Alternatives	Considering Alternatives	Use Case Guidance	Use Case Guidance
Organizational Feasibility	Organizational Feasibility	Data Collection	Data Collection	Model Choices	Model Choices	Conclusions	Conclusions	System Transparency	System Transparency
Risks, Harms, Mitigations	Risks, Harms, Mitigations	Data Lifecycle	Data Lifecycle	Match to Deployment Context	Match to Deployment Context	Impact Assessment	Impact Assessment	Regulatory Compliance	Regulatory Compliance
Considering Alternatives	Considering Alternatives	Data Sharing	Data Sharing	Requirement Satisfaction	Requirement Satisfaction	Stakeholder Engagement	Stakeholder Engagement	Governance and Audit Trails	Governance and Audit Trails
External Impact Assessment	External Impact Assessment	Legal and Ethical Compliance	Legal and Ethical Compliance	Stakeholder Engagement	Stakeholder Engagement	Process Documentation	Process Documentation	Monitoring	Monitoring

Problem Formulation	Problem Formulation	Preprocessing and Cleaning	Preprocessing and Cleaning	Process Documentation	Process Documentation		Maintenance and Updates	Maintenance and Updates
Stakeholder Engagement	Stakeholder Engagement	Stakeholder Engagement	Stakeholder Engagement				Risk Management, Harm Prevention	Risk Management, Harm Prevention
Process Documentation	Process Documentation	Process Documentation	Process Documentation				Stakeholder Engagement	Stakeholder Engagement
							Process Documentation	Process Documentation

Figure 1: Summary of the maturity matrix that will be included in the final AI Assurance Report. Each column represents a different stage of the AI lifecycle. Each row represents one of the subcategories for that stage. The colors represent the rating that was assigned to that subcategory.

Recommendations

We recommend the following steps. For <list of subcategories with a subcategory rating of 1 - Lagging>, we recommend that <steps needed to move to 2 - Basic, using the language from the maturity matrix>. For <list of subcategories with a subcategory rating of 2 - Basic>, we recommend that <steps needed to move to 3 - Intermediate, using the language from the maturity matrix>.