



# Automated Employment Decision Tools (AEDT)

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## Use Case Definitions

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ForHumanity (<https://forhumanity.center/>) is a 501(c)(3) non profit organisation and ForHumanity Europe is a French 1901 Association, dedicated to addressing risks associated with Ethics, Bias, Privacy, Trust, and Cybersecurity in Artificial Intelligence, Algorithmic, and Autonomous (AAA) Systems. ForHumanity uses an open and transparent process that draws from a pool of over 3100+ international contributors to construct audit criteria, certification schemes, and educational programs for legal and compliance professionals, educators, auditors, designers, developers, and legislators to mitigate bias, enhance ethics, protect privacy, build trust, improve cybersecurity, and drive accountability & transparency in AAA Systems. ForHumanity works to make AAA Systems safe for all people and makes itself available to support government agencies and instrumentalities to manage risk associated with AAA Systems. Our mission is to *examine and analyse downside risk associated with the ubiquitous advance of AI, algorithmic and autonomous systems and where possible to engage in risk mitigation to maximise the benefits of these systems... ForHumanity.*



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# 1. Introduction

Employees and job candidates need employment to support themselves and their families. Employers control employment decisions. Recently, employers have turned to Automated employment decision tools (AEDTs), which are socio-technical systems that ingest personal data to produce impactful outputs, to assist with consequential employment decision making processes and outcomes. The power imbalance held by employers leaves employees and job seekers vulnerable to the decision-making processes, including those supported by (or even fully performed by) AEDTs.

## 1.1 European Union Legal Relevance

The EU Artificial Intelligence Act identifies artificial intelligence (AI) applied to “employment, workers management and access to self-employment” as high risk. Additionally, the General Data Protection Regulation (GDPR) ensures privacy and data protection, including fairness and transparency of the usage of Personal Data. The EU Artificial Intelligence Act combines with GDPR to ensure the legal mitigation of risk, including technical and organisational controls associated with AEDTs.

There is one additional vector of legal uncertainty - a vector that is conceptually covered by the EU AI Act and now more directly by the AI Liability Framework. Providers of AEDTs sell their products to Deployers (sometimes through Importers and/or Distributors) requiring contractual relationships that define the scope, nature, and context of the interaction. The AI Liability Framework establishes legal responsibility and accountability for each party in the supply chain of artificial intelligence.

The sum of these three obligations govern the legal operation of AEDTs in the European Union.

## 1.2 EU AI Act definitions of High Risk AI

### 1.2.1 Annex III

High-risk AI systems pursuant to the EU AI Act, Article 6(2) relevant to this AI audit criteria scheme include:

- a. Employment, workers management and access to self-employment:
  - i. AI systems intended to be used for recruitment or selection of natural



persons, notably to place targeted job advertisements, to analyse and/or filter job applications, and to evaluate candidates

- ii. AI is intended to be used to make decisions on promotion and termination of work-related contractual relationships, to allocate tasks based on individual behaviour or personal traits or characteristics and to monitor and evaluate performance and behaviour of persons in such relationships.

### 1.2.2 Recital 57

Recital 57 further elaborates on the nature and context of AEDTs and risks:

- a. AI systems used in employment, workers management and access to self-employment, in particular for the recruitment and selection of persons, for making decisions affecting terms of the work-related relationship, promotion and termination of work-related contractual relationships, for allocating tasks on the basis of individual behaviour, personal traits or characteristics and for monitoring or evaluation of persons in work-related contractual relationships, should also be classified as high-risk, since those systems may have an appreciable impact on future career prospects, livelihoods of those persons and workers' rights.
- b. Relevant work-related contractual relationships should, in a meaningful manner, involve employees and persons providing services through platforms as referred to in the [Commission Work Programme 2021](#).
- c. Throughout the recruitment process and in the evaluation, promotion, or retention of persons in work-related contractual relationships, such systems may perpetuate historical patterns of discrimination, for example against women, certain age groups, persons with disabilities, or persons of certain racial or ethnic origins or sexual orientation.
- d. AI systems used to monitor the performance and behaviour of such persons may also undermine their fundamental rights to data protection and privacy.

## 1.3 AEDT Tasks and Risk Context

In addition, AEDTs are specialty tools, often developed by Providers who sell their tools to employers who integrate these tools into their hiring and employee management processes.

AEDTs describe a range of tasks including:





- Collecting and filtering of resumes
- Establishing job descriptions and dissemination of the opportunity
- Conducting assessments of candidates for applicant fitness
- Conducting interviews including video interviews
- Filtering and ranking candidates
- Hiring decisions
- Onboarding and Human Resources integration

One, or often many, of the above tasks are commonly performed by the organisation's AEDT. It is the organisation's responsibility to determine all of the tasks that are being supported by AEDTs and document the AEDT Systems in a concise list.

Keeping track of all AEDTs is critical given that AEDT applications introduce a spectrum of risks to employees and candidates due to insufficiency and inadequacy in performance and design such as :

- Opaque processes
- Bias in:
  - Datasets
  - Architectural Inputs and Evaluation Process
  - Outcomes
  - Application of Technology
- Limited or lacking accommodations and inclusivity
- Invalid and inaccurate systems
- Data management and disclosure
- Managing anomalies, dysfunctions and exceptions
- Failure of monitoring
- Human Oversight
- Risk management
- Disclosure of Residual Risk

## 1.4 Audit Applicability

Each of the following conditions will apply to an AEDT in order for the AEDT to be considered “in scope” for the ForHumanity EU AEDT AI audit certification scheme:

1. The organisation is EU domiciled or the organisation is a Provider or Importer and duly contracted to represent an organisation's AEDT in the Union, and
2. The AEDT(s) falls under the EU AI Act definition of “high risk” AEDTs listed in



section 1.2 above.

The organisation must establish which of the following AEDT Use Cases are applicable for the EU AEDT AI Audit Certification. An assessment is conducted to identify the scope, nature, context and purpose of the AEDT, which is then compared against the definitions within the following AEDT Use Cases categories:

1. Job Seeking
2. Job Attraction
3. Recruiting & Hiring
4. Pay & Benefits
5. Onboarding
6. Task Allocation & Scheduling
7. Monitoring & Surveillance
8. Productivity Tools
9. Learning & Development
10. Rewards & Recognition
11. Disciplinary Action
12. Reviews & Coaching
13. Career Progression
14. Separation

For each identified applicable AEDT use case, there are unique and specific audit criteria. Conformity with these audit criteria to achieve satisfactory compliance with this certification scheme.



## 1.5 Modularity of ForHumanity Certification Schemes

This Scheme is suggested to be paired with all of the following ForHumanity certification schemes:

<u>FH Scheme</u>	<u>Explanation</u>
CORE	Foundational AI governance, oversight, accountability necessary for compliance with EU Regulation 2024/1689
EU AI Act	AI governance, oversight, accountability necessary for compliance with EU Regulation 2024/1689
GDPR Controller	Data Privacy and protection for the use of Personal Data in the AAA System
Disability Inclusion & Accessibility (EU)	Accessibility requirements under EU Regulation 2019/882 European Accessibility Act of 2019
Cybersecurity (EU)	Cybersecurity requirements under EU Regulation 2019/881 and 2024/482

This certification scheme is not assurable without concurrent assurance of the CORE OR EU AI Act certification schemes.

## 2. Use Cases

All normative criteria found in this section are required, provided that the use case has been identified as part of the Target of Evaluation. The criteria found in each specific section below are required to achieve certification. The remaining use cases may be ignored as “not applicable”. Criteria may be repeated for different use cases.

*All normative criteria found in this section are required, provided that the use case has been identified as part of the Target of Evaluation. For example, if the ToE is defined as “Recruiting and Hiring”, “Onboarding”, and “Learning and Development” then the criteria found in those specific sections below are required to achieve certification. The remaining use cases may be ignored as “not applicable”.*





### 2.1.1 Job Seeking

- a. **Job Sourcing System**- An AAA System that provides any of the following services that allow job seekers to (manually, automatically, and/or autonomously):
  - i. Research job opportunities across multiple Job Boards
  - ii. Receive notices about relevant jobs from multiple Job Boards
  - iii. Post their resume/CV across multiple Job Boards
  - iv. Apply for job opportunities on multiple Job Boards
- b. **Interview Preparation** - AAA System that generates probably interview questions and analyses job seeker responses to aspects of an interview (e.g., sample questions, sample tests) to assist the job seeker with optimal responses (e.g., word choices, manner of speech)
- c. **Resume/CV Optimisation**: An AAA that analyses, refines, and tailors a resume or CV, on behalf of the job seeker, to specific job descriptions, industry standards, and/or resume scoring systems

### 2.1.2 Job Attraction

- a. **AEDT-generated Job descriptions (exclusionary protected category-oriented language)** - Any AAA System that describes and explains the role, responsibilities, Knowledge, Skills, and Abilities necessary for a candidate to understand the nature of the job
- b. **Job Boards** - Any AAA System that delivers a collection of job descriptions from multiple sources to a wide audience of potential applicants and includes job attraction service (e.g., Marketing and promoting job descriptions)
- c. **Talent Identification Management** - an AAA System that filters public data in regards to candidates and identifies and creates talent pools
- d. **Job Marketing** - an AAA System that advertises and promotes specific jobs

### 2.1.3 Recruiting & Hiring

- a. **Resume scoring (Ranking) Algorithms** - Any AAA Systems that measures specific words or resume characteristics associated with the job description/opening for the purposes of ranking, filtering, or classifying candidates
- b. **Employment Information Scraping (for employment eligibility information)** - Any AAA System that exfiltrates public internet or privately offered employment information (e.g., employment history, skills, education, certificates) for the purposes of augmenting/enriching submitted information calculating inferences about individuals, including ranking, filtering, or classifying individuals based on the augmented information
- c. **Applicant tracking systems (ATS)** - An AAA System workflow tool that helps organisations manage and track the pipeline of candidates and their associated data



*in each step of the recruiting process*

- d. **Job Application Questionnaire [beyond Resume or Curriculum Vitae (CV) ]** - any AAA System that allows the candidate to respond to predetermined questions regarding their experience and/or the job beyond what would typically be found in a resume or CV for the purpose of eliminating or ranking candidates against other candidates for the same job opening
- e. **Applicant screening chatbot** - Any AAA System designed to simulate conversation with candidates regarding a job opening for the purposes of asking the candidate questions and making decisions (real-time or post hoc) based upon candidates' answers so that the candidate can be eliminated or ranked against other candidates for the same job opening.
- f. **Video Interview** - Any AAA System that can collect both audio and visual responses to translate (if necessary), tag, label, categorise, or rank against other candidates and if applicable, generate AI enabled questions or prompts to assist in the interview process
- g. **Pre-employment job function tests (non-personality-based)** Any AAA system designed to deliver a test(s) that assesses a candidate's Knowledge, Skills, and Abilities associated with the job description (e.g., Excel skills, welding skills, rapid response skills needed for air traffic control, statistical knowledge for ML coding)
- h. **Pre-employment personality tests for job fit, culture fit, and longevity predictions** - Any AAA system designed to deliver a test that assesses a job candidate's personality, cognitive biases, emotional intelligence, critical thinking, or other psychometric traits. (e.g., Watson Glaser, DISC, etc.)
- i. **Simulation Tests** - Any AAA system designed to test a job candidate's skills in regards to tasks and scenarios, in order to rank candidates based on their results (e.g., Role-play, video gamification, situational judgment)
- j. **Applicant verification** - Any AAA System designed to verify and/or validate the identity of a person using Personal Data including biometric identification of natural persons
- k. **Automated Background Checks** - Any AAA system designed to process the person's background history (e.g., current and former names, age, places of residence, previous employment, criminal/convictions/judicial data etc.), including reference checks
- l. **Security Clearance** - Any AAA System designed to process a person's background history in the context of security requirements
- m. **Visa Applications** - Any AAA System designed to process a person's Visa Application or Work Permit
- n. **Applicant Assessment / Social Media Activity Analysis** - An AAA system designed to process, screen, filter, infer or otherwise rank candidates, employees, contractors, and gig-workers based on social behaviour, relationships, and/or



*identity of a person based on the person's social media profile, network, follows, followers, activities (e.g., likes, comments) and historic content.*

#### 2.1.4 Pay & Benefits

- a. **Recommender system (for new employee initial pay and benefits)** Any AAA System measuring external market/industry rates, external factors (e.g., geolocation, references/recommendations, educational institution) to establish both a base rate and salary/benefits ranges and titles
- b. **Recommender system (for existing employee pay/salary offers, raises, bonuses)** Any AAA System measuring internal and/or external market/industry rates as well as performance reports, productivity metrics, and disciplinary record, to establish both a base rate and salary/benefits ranges, raises, bonuses, and titles
- c. **On-demand pay** - Any AAA system designed to allow workers to receive all or a portion of their wages as they earn them without needing to wait until the full pay period has been completed.
- d. **Biometric data clock in/out** - Any AAA system designed to allow workers to clock in and clock out of the workplace through **Biometric** identification (e.g., facial, fingerprint, retinal)
- e. **AI-assisted shift swapping** - Any AAA system designed to allow workers to easily swap shifts with other employees by recommending only eligible employees and/or employees who have made themselves "known/available" for the pending shift including inferences about Personal Data and/or Special Category Data
- f. **Automatic compensation adjustment** - Any AAA system designed to allow employers to automatically adjust pay as calculated based on performance of essential job functions (e.g., feedback from customers or clients) and worker behaviours such as monitoring break times, or work stations presence regardless of the method of monitoring (e.g., facial recognition, web cam, workstation or keystroke monitors, vehicle on board diagnostics)
- g. **Crowdwork platforms** - AAA System that alters pay rates based upon changes in market demand (e.g., MTurk, Deliveroo, Uber)
- h. **Behaviour modification reminders** - AAA Systems designed to change current employee status, actions, or activities in a manner that is the preference of the company (e.g., targeted to HR staff - employees with no raise/promotion in 2 years, no training in 6 mo, no response to applicant in 10 days, excessive employee leave accumulation) targeted to employees - e.g., flu shots available, flex account total and time left, improved adoption of wellness programs, benefits selection support, PTO reminders, company events)
- i. **Pay and Benefits Chatbots**
  - i. **Mental Health Chat bots** (related to the provision of mental health support as governed by a clinical definition in a Relevant Legal Framework) - AAA System designed to offer clinical mental health services, regulated by the Jurisdiction, and inclusive of professional



- ii. **Workforce Productivity Chatbots** (*light touch measures of satisfaction/happiness/well-being, not offered as authorised or governed by medical legal obligations*) - AAA System designed to assess the overall well-being of an employee or the workforce in order to provide solutions or suggestion on how to improve upon negative states, including training on new technology, systems or processes
- iii. **Reward-based chat bots** (*thank you gift likes/dislikes*) AAA System that provides an interface for colleagues to recognize and reward positive behaviour in the workplace accompanied by the employee making choices on preferred rewards
- iv. **Benefits chatbots** (*time off requests, self service changes: address, beneficiary, marital status*) an AAA System that interacts with the employee to provide guidance on how to make elections, including explanation of options in the pay and benefits system, FAQs and/or answers to common questions about the pay and benefits system
- a. **Internal Feedback and Inquiry System** - an AAA System that supports employee questions, understand of policy, concerns, and critiques (e.g., Codes of Ethics, company policies, safety policies, and/or harmful impacts amongst employees including fundamental human rights and freedoms)

### 2.1.5 Onboarding

- a. **AI-powered/Chatbot onboarding** - an AAA system designed to automate onboarding materials distribution (e.g., employee handbook) after an employment decision has been made (e.g., tech provisioning, answer FAQs)\_ on the company and employment, that may include Pay and Benefits
- b. **Biometric capture for Identification and Access** - an AAA System that captures any form of biometric data for the purpose of Identification for generic employment or contractor access and/or tracking
- c. **Implanted and Wearable Device for Identification and Access** - an AAA System, implanted in the body or attached that is used for the purpose of Identification for generic employment, contractor, or gig-worker access and/or tracking

### 2.1.6 Task Allocation & Scheduling

- a. **Managerial support for Task Allocation** - in consideration of pre-defined skills, experience, past performance, availability, and education, an AAA System that is designed to assist a manager with the manner in which work products or tasks are either assigned to employees or teams
- b. **Job design** - an AAA System designed to assist a manager or employee with goal setting, work methods, task significance, job complexity, and quota setting
- c. **Automated scheduling** - an AAA System designed to assist a manager or



- d. **Scheduling nudges (gig-workers)** - *an AAA System designed to provide nudges to gig-workers to make themselves available for work at certain times and/or certain locations.*
- e. **Customer self-service tools** - *an AAA System that enables or empowers the customer, instead of relying upon the employee and their skills (employee reductionism), in effect changing the nature and skills required to perform the job*

### 2.1.7 Monitoring & Surveillance

- a. **Technical supervision** - *an AAA System that monitors (regardless of the nature of the sensor) the impact and interaction of the human, focused on the measurement of the inputs from the human in a quantitative manner including disclosure of acceptable and unacceptable measurement (excluding sentiment or emotional measurements)*
  - i. *File access monitoring (NDA, trade secrets)*
  - ii. *Electronic trackers and wearables ( warehouses scanners; GPS trackers: delivery drivers, gig workers, public transportation)*
  - iii. *Keyboard and mouse movement trackers (productivity detection)*
  - iv. *Automatic screenshots logging (productivity detection)*
  - v. *Automatic webcam shots (presence detection)*
  - vi. *Chair sensors (detecting break durations)*
  - vii. *Tracking body movements*
- b. **Safety, Security, and Fraud Behavioural Supervision** - *an AAA System that monitors biometric data (regardless of the nature of the sensor) to infer sentiment or emotions linked to acceptable and unacceptable behaviour*
  - i. *Electronic driver performance monitoring (e.g., speed, braking, backing up, road conditions, etc.)*
  - ii. *Tracking eye movements to evaluate tiredness or attentiveness*
  - iii. *Tracking physical placement of hands, head, body*
  - iv. *Emotion recognition for at-risk human interactors*
- c. **Sentiment Supervision** *(excluding Safety, Security, and Fraud purposes) an AAA System that monitors biometric data (regardless of the nature of the sensor) to infer sentiment or emotions of employees, contractors, or gig-workers in order to collectively measure workplace culture and environment*
- d. **Behavioural supervision** - *an AAA System that assesses physical placement, human movement, or other biometric measurements in regards to a workstation or supervised work environment that infers emotions or sentiment for the purpose of*





*employee observation and compliance monitoring (the AAA System is prohibited from inferring mental state or emotions of the employee, contractor, or gig-worker, unless deployed in the context of Fraud, Safety, or Security, or by strict opt-in by the AI Subject)*

- i. Intonation / sentiment towards a customer, coworker, etc.*
- ii. Correspondence appropriateness / word choices*
- iii. Electronic trackers and wearables (all biometrics)*
- iv. Automatic webcam shots (presence detection)*
- v. Tracking physical body movements (e.g., gait, keystroke)*
- e. Social Media and Online Activity Monitoring** - *An AAA system designed to track employee's social media profile, network, follows, followers, activities (e.g., likes, comments) and historic content, for candidates, employees, or contractors*

### 2.1.8 Productivity Tools

- a. Collaboration tools** - *any AAA Systems authorised by the employer to facilitate multiple employees communicating, sharing, and/or collaborating (e.g., Zoom, Teams, Google Meet, direct messages, Slack, Sharepoint, Jira, shared documents) to accomplish work tasks*
- b. Work product development (individual)** - *any AAA System (e.g., Grammarly, Textio) provided by the employer that facilitates the creation and/or improvement of an individual employee's output*
- c. Business Communications Tools on personal devices (WhatsApp, FB Messenger, GoogleMyBusiness)** - *An AAA System placed on Personal devices or in services that that an employee uses on their Personal time*
- d. Digital Assistants** - *An AAA System that refers to any tool built using Artificial Intelligence, Algorithmic, or Autonomous (AAA) System designed to operate and/or complete a broad spectrum of tasks (e.g., time management, meeting and note taking assistants, report generation, accommodation/accessibility tools) as directed by and on behalf of an employee or contractor.*
- e. Agentic Work Process Augmentation** - *An AAA System designed to autonomously operate and/or complete work processes to completion without the need for human involvement/interaction*
- f. Digital Twin** - *An AAA System that combines the characteristics of a Digital Assistant and an AI Agent and thus, for this certification scheme must comply with criteria for both Digital Assistants and AI Agents (compliance required using both Digital Assistant and Agentic Work Process Augmentation audit criteria)*

### 2.1.9 Learning & Development

- a. Training Recommender Systems** - *An AAA System that assesses available trainings matched to the expected path of personal development for the employee in*





*the organisation*

- b. **Talent intelligence** - *An AAA Systems that assesses the employee for missing skills or insufficiencies and seeks out tools for skills improvement (skills gap analysis and recommendations)*
- c. **Internal Expert Connection** - *An AAA System that identifies experts (Institutional knowledge question routing through Teams/Slack using NLP-driven, skill-based, routed to "internal experts") in an organisation based upon the nature of the writing or query and guides the employee to the internal expert (not including safety, security, IP protection tools)*

#### 2.1.10 Rewards & Recognition

- a. **Workplace culture and sentiment assessment** - *An AAA System that processes, infers, and analyses employee or contractor sentiment on workplace environment, health, safety, and well-being survey data to provide the employee and organisation recommendations or prescriptive action (exclusive of clinical recommendations and prescriptive action)*
- b. **Management nudges Reprimand/Reward (in-the-moment reminders for staff)** - *An AAA System that monitors manager-employee or workplace relationships (e.g., human, autonomous agent) based upon inputs including emails, calendar, DMs to encourage a change in behaviour of the manager and to celebrate or reprimand accordingly*

#### 2.1.11 Disciplinary Action

- a. **Algorithmic work replacement (discipline) (low-skilled workers/2nd tier of reserve workers; gig-workers/slow replacement)** - *An AAA System that allocates work based upon success/failure criteria*
- b. **Disciplinary Recommender System (Disciplinary)** - *An AAA System that recommends disciplinary actions based on inputs from a manager or human resources*
- c. **Reviews & Coaching**
- d. **Annual review scoring** - *An AAA System that is designed to compile scores, ranks, classifications from all reviewers and calculating inferences and conclusions*
- e. **Mentor matching** - *An AAA System that connects mentors with mentees based upon skills, preferences, goals and other Personal Data and/or Special Category Data*
- f. **Coaching Tool** - *An AAA System that assess scenarios and/or feedback to facilitate advice in regards to any soft skill performance, employment environment, culture, or interpersonal interactions*

#### 2.1.12 Reviews & Coaching

- g. **Annual review scoring** - *An AAA System that is designed to compile scores, ranks, classifications from all reviewers and calculating inferences and conclusions*



- h. **Mentor matching** - An AAA System that connects mentors with mentees based upon skills, preferences, goals and other Personal Data and/or Special Category Data
- i. **Coaching Tool** - An AAA System that assess scenarios and/or feedback to facilitate advice in regards to any soft skill performance, employment environment, culture, or interpersonal interactions

#### 2.1.13 Career Progression

- a. **Career Progression Recommender system** - An AAA System that is used by management to advise on promotions based on a defined set of parameters (e.g., algorithmically calculated productivity, resume/career information, performance reviews)
- b. **Personalised Career Development Tools** - An AAA System that is provided to an individual in order to provide guidance on development or future progression (recommender) and the manner in which the individual's goals might be achieved
- c. **Succession Planning** - an AAA System designed to enable and empower management to analyse and evaluate a business critical role to foster effective transition either with a previously identified individual(s) or through training and development of others
- d. **Skills Cloud/Graph** - An AAA System that infers a range of information about employee's capabilities or characteristics (e.g., skill level, interoperability, proficiency, expertise) to perform various job tasks, duties and roles

#### 2.1.14 Separation

- a. **Termination System** - An AAA Systems that recommends and executes terminations for employees based on a prescribed set of criteria (e.g., missing productivity targets; gig-workers based on customer satisfaction ratings)
- b. **Severance Package/Final Comp** - an AAA System designed to calculate and offer severance details and final compensation decisions to an employee being separated from the organization
- c. **Offboarding** - an AAA System designed to execute the separation of an employee, contract worker, or gig-worker from the employer, including, security protocols, Visa status, exit interview

## 3. Infrastructure of Trust

ForHumanity supports an infrastructure of trust predicated on the 50+ year track record of financial accounting and reporting. This infrastructure of trust is founded on a principle of



jurisdictional sensitivity, which means that each sovereign nation-state or region has the right to establish their own laws, regulations, guidelines, and shared moral framework. ForHumanity affirms that right by ensuring that our certification program upholds local laws and seeks approval, where applicable, from local authorities. Key elements of Independent Audit of AI Systems are critical to ensure that it functions properly across multiple different jurisdictions, these are non-negotiable elements of the shared moral framework that constitutes Independent Audit of AI Systems and they include concepts such as transparency, disclosure, independence, risk management, and ethical oversight.

ForHumanity believes that a binary (compliant/non-compliant) set of criteria, either adopted by common practice in the marketplace or approved by the sufficient governmental authorities, and subsequently assured for compliance independently by certifying bodies (auditors), can create an infrastructure of trust for the public that assures compliance with laws, regulations, guidelines, standards, and best practices in a proactive manner when combined with the requirement for regular, mandatory, independent audits.

An infrastructure of trust, as it relates to certification, is an unconflicted process deploying a segregation of duties, conducted by certified and trained experts, that establishes a robust ecosystem that engenders trust for all citizens and protects those who have no power or control.

### 3.1 Four Core Tenets

The infrastructure of Trust<sup>1</sup> that For Humanity supports is grounded on four core tenets:

1. ForHumanity produces accessible, binary (compliant / not compliant) certification criteria that transparently and inclusively aligns laws, regulations, standards, guidance and best practice that embeds compliance and performance into practice, and is considerate of corporate wisdom, but impervious to corporate dilution and

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<sup>1</sup> [Infrastructure of trust for AI - Guide to Entity Roles and Responsibilities](#)



undue influence, while being mindful of the regulatory burden and dedicated to maximising risk mitigations to humans.

2. Individuals are trained and accredited on certification criteria as experts by ForHumanity. They perform pre-audit and audit services on behalf of certification bodies and are individually held to a high standard of behaviour and professionalism as described in the [ForHumanity Code of Ethics and Professional Conduct](#) - they are ForHumanity Certified Auditors (FHCAs)
3. Certification Bodies employ FHCAs to independently assure compliance with certification criteria on behalf of the public. They are licensed, independent, robust organisations that take on the task and risk, on behalf of the public, to ascertain assurance of compliance. They are held to standards of independence and anti-collusion and are further subject to third-party oversight (“watching the watchers”), by entities such as national accreditation bodies (e.g. COFRAC, UKAS, DaKKE) and ForHumanity.
4. Corporations and public sector Providers and Deployers of AAA Systems can use the criteria to operationalise governance, oversight, and accountability that helps them to achieve required conformity under the law. Compliance with ForHumanity certification schemes will create leverageable governance, oversight, and accountability that will simultaneously lead to more sustainable profitability and reduce the risk of negative outcomes for their stakeholders.

## 3.2 ForHumanity’s Role in an Infrastructure of Trust

Founded in 2016, ForHumanity first wrote about Independent Audit of AI Systems in 2017 and it has been our primary focus since that time. We advocate for mandatory independent audits and the establishment of the aforementioned infrastructure of trust similar to those required in financial accounts and reporting.

Transforming an audit ecosystem from financial audits to process audits for AAA Systems requires thoughtful adaptation. Transformation occurs by accomplishing the following tasks:

1. Understanding how financial audit rules & standards mitigate risk, provide clarity, and translate opaque controls and processes into public trust and valuable cross-sectional comparability through third-party independent assurance



2. Understanding the risks of AAA Systems and developing rules & standards to treat and mitigate risks to stakeholders, including individuals
3. Drafting audit criteria that are binary, implementable, solution-oriented to the identified risks
4. Mapping steps #1-3 onto an ecosystem that recreates the assurance and infrastructure of trust nurtured in financial audit for more than 50 years

In support of this transformation, ForHumanity is replicating and augmenting the role of the Financial Accounting Standards Board (FASB) and the International Financial Reporting Standards (IFRS) foundation, who drafted GAAP and IFRS respectively. Unlike those predecessors, ForHumanity is a grassroots, civil-society organisation with contributors from more than 98 countries around the world. Our approach ensures globally-harmonised, audit criteria that operationalize the law, standards, and best practices sourced by diverse input and multi stakeholder feedback contributors.

We draft audit criteria for AAA Systems in the context of new legislation all around the world, such as, the EU's General Data Protection Regulation (GDPR), and the EU Artificial Intelligence Act, Unfair, Deceptive, and Abusive Practices and Consumer Privacy Protection Act in the United States, Lei Geral de Proteção de Dados Pessoais (LGPD) in Brazil, and India's Digital Personal Data Protection Act

ForHumanity's authority for producing audit criteria is grounded in the robustness of our crowdsourced, transparent process (no one is excluded from participating), however we always seek the endorsement of Federal, state, and local authorities, as applicable, when they support the approval of audit criteria, such as the manner in which most nation-states and regional blocks have adopted Generally Accepted Accounting Principles (GAAP) or International Financial Reporting Standards (IFRS) to govern financial accounting and reporting. When governments are unprepared to endorse uniform, objective audit criteria, then ForHumanity seeks adoption directly from the marketplace, which is what occurred in 1973 with GAAP and the predecessor to IFRS, prior to Federal adoption in the years afterwards.