
FORHUMANITY
980 Broadway #506 Thomwood, NY 10594
(+1) 9146028663
ryan@forhumanity.center
www.forhumanity.center



FORHUMANITY EUROPE
12 rue Frederic Petit
80000 Amiens, France

ForHumanity Guidance on Supporting AAA System Procurement

Guidance v1.0
Artificial Intelligence, Algorithmic and Autonomous (AAA) Systems





[Introduction](#)

[Procurement of AAA Systems](#)

[CORE AAA System Governance](#)

[1.0 Scope](#)

[1.1 Out of Scope Systems](#)

[1.2 Territorial Scope](#)

[2.0 Normative References](#)

[3.0 Terms and Definitions](#)

[3.1 Policies, Plans, and Assessments](#)

[4.0 General Requirements for Accreditation](#)

[4.1 Interoperability with Standards](#)

[4.2 Normative Criteria explanation](#)

[4.3 Evaluation Methodology](#)

[5.0 Use of the term “Algorithmic Lifecycle”](#)

[5.1 AAA Systems and procurement](#)

[5.2 Design lifecycle implementation timeframe](#)

[5.3 Linkage to Procurement and Deployment](#)

[5.3 Criteria catalog](#)

[Expert Oversight](#)

[Top Management and Oversight Bodies](#)

[Business Rationale](#)

[Relevant Legal Framework and Modular Assurance Assessments](#)

[Organizational Business RationaleControls](#)

[Training and Education](#)

[Duty of Care to Vulnerable Populations](#)

[Prohibited Systems](#)

[Ethical Oversight](#)

[Market Analysis - Request for Information](#)

[Data Privacy and Protection](#)

[Risk Management](#)

[Data Management and Governance](#)

[Bias Mitigation](#)

[Explainability](#)

[Choice Architecture](#)

[Security and Cybersecurity](#)

[Testing and Evaluation](#)



[Monitoring \(Continuous and post-deployment\)](#)

[Incident Management](#)

[Control](#)

[Human Oversight and Interaction](#)

[System Development Lifecycle](#)

[Quality Management](#)

[Regulatory Compliance](#)

[Request for Proposal](#)

[RFP Evaluation - Vendor](#)

[RFP Evaluation - AAA System](#)

[RFP Evaluation - Costs](#)

[RFP Conclusions](#)

[RFP Due Diligence](#)

[AAA System Integration](#)

[Contract Monitoring](#)



Introduction

ForHumanity (<https://forhumanity.center/>) is a 501(c)(3) non profit organization 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 3200+ 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 analyze downside risk associated with the ubiquitous advance of AI, algorithmic and autonomous systems and where possible to engage in risk mitigation to maximize the benefits of these systems... ForHumanity*

Procurement of AAA Systems

Procurement of AAA Systems - the act of acquiring AAA Systems from external sources. For most organizations, acquiring AAA Systems, rather than designing and developing them, is the primary pathway towards integrating these tools into everyday usage. This guidance connects the Procurement Process with the business team, inclusive of expert oversight.

The nature of AAA Systems means that they can change in real-time, which makes governance, oversight, and accountability more complex. This complexity demands significant expert attention in order to ensure the following, amongst many other challenges:

1. Compliance with Relevant Legal Frameworks
2. Robust monitoring
3. Thorough understanding of Acceptable Use and Terms and Conditions
4. Complete due diligence processes
5. Sufficiency of the contract

The process of procurement is common amongst many different types of inputs, products, and/or services and this guidance endeavors to uphold and support as much commonality as possible with existing Procurement practices. This guidance reflects the necessary specifications and requirements that must be assessed and documented for a successful interaction with vendors and their proposed AAA Systems. Early evaluation of the procurement process for AAA Systems indicates that support is needed in regards to technical specifications and requirements of AAA Systems. This document aims to bridge the language gap between



Procurement Teams and the Business Operations Team by identifying experts in AAA Systems to support the process..

ForHumanity's Guidance on Supporting AAA System Procurement is designed to enable and empower an organization to be robust, sophisticated, knowledgeable, and responsible buyers and deployers of AAA Systems. The guidance represents a comprehensive and detailed set of processes and procedures abiding by applicable laws, regulations, guidelines, industry standards, and best practices for organizations implementing AAA Systems.

Expert Technical Specification and Requirements identification begins when the Deployer identifies key elements of the expected Deployment:

1. Business rationale/strategy
2. Design choices
3. Scope, Nature, Context, and Purpose
4. Expected riskiness of the Deployment
5. Jurisdictions of operations

These determinations are necessary to inform the AAA System procurement process and the legal and regulatory compliance requirements associated with the expected deployment. These decisions will further inform the final AAA Request for Proposal and help to reduce the risks associated with deploying the AAA System.

















Critically, when an organization implements this guidance, it fosters a feedback loop to vendors of AAA Systems that signals an expectation and requirement of robust governance, oversight, accountability, safety, and security in the tools that they bring to market. The Deployer's procurement and technical expert team play a necessary role in dictating the way the organization will acquire and deploy the AAA System. If we want to move past a world of "move fast and break things", the procurement process must hold vendors to a higher standard with a procurement plan that establishes the following:

1. Specifications
2. Requirements
3. Contractual guardrails

Robust fulfillment of this role makes procurement a critical gatekeeper between purely profit-oriented technology and safe, reliable, secure, and trustworthy AAA Systems that maximize benefits for all of humanity (all impacted stakeholders). This guidance supports that endeavor.

CORE AAA System Governance

This guidance supports the design, development, market analysis, Request for Information, Request for Proposal, contracting, due diligence, and integration of an acquired AAA System. Implementation of this guidance will directly integrate with ForHumanity’s broader CORE AAA Governance certification schemes (especially the Deployer certification schemes) which describe the foundational elements necessary for robust governance, oversight, and accountability of AAA Systems deployment. This guidance ensures that the Business Operations Team and expert advisors are delivering to Procurement Teams the specifications, requirements, and applicable contract clauses that are necessary to robustly acquire AAA Systems from vendors amidst emerging legal frameworks, standards, and best practices. In combination with CORE AAA Governance pillars (shown below), Deployers and vendors will establish better governance, oversight, accountability in AAA Systems that mitigate the risk to humans which might otherwise manifest from these systems.

16 CORE PILLARS			
 Expert Oversight	 Top Management Governance, Oversight, and Accountability	 AAA System Jurisdictional Scope	 Training and Education
 Ethical Oversight	 Risk Management	 Data Management and Governance	 Human Oversight and Interactions
 Monitoring	 Transparency, Disclosure and Explainability	 Change Management	 Incident Management
 Technical Documentation and Record Keeping	 Vendor Management	 Regulatory Compliance	 Decommissioning

1.0 Scope

ForHumanity developed this guidance to enable and empower procurers of any size to effectively and responsibly acquire AAA Systems. Organizations may use the criteria to assure the robustness and completeness of identifying necessary specifications and requirements for



acquiring AAA Systems. The criteria may be applied to one or more specific AI, Algorithmic, or Autonomous (AAA) Systems (including General-Purpose AI).

1.1 Out of Scope Systems

Systems that are not AI, Algorithmic, or Autonomous (AAA) Systems, according to the definitions found in Section 3.0, are out of scope because they are misaligned to ForHumanity's mission.

ForHumanity supports country and regional sovereignty in regards to the deployment of AAA Systems. There are a variety of reasons that any AAA System might be prohibited and our Jurisdictionally-sensitive approach will uphold that prohibition.

For the purposes of this general guidance, ForHumanity has assessed multiple Jurisdictions to determine our own set of prohibited AAA Systems. This determination comes from a crowdsourced interpretation of legal prohibitions from a collection of countries from around the world including the following list:

1. Emotion Recognition Systems (according to the EU AI Act)
2. Social Scoring (according to the EU AI Act)

ForHumanity will examine legally prohibited systems in any of the following Jurisdictions (United States, Canada, Brazil, Australia, New Zealand, Singapore, Japan, India, United Arab Emirates, South Africa, European Union, and the United Kingdom) periodically, to reassess and add or remove AAA Systems from the out of scope list.

1.2 Territorial Scope

This guidance may be applied globally subject to local Jurisdiction prohibitions.

2.0 Normative References

NONE APPLICABLE

3.0 Terms and Definitions

Defined terms are bolded and capitalized throughout this document.



Defined Term	Definition
AAA Cybersecurity Lead	An expert accountable for security and cybersecurity policies, processes, procedures, risk management, incident response, business continuity and disaster recovery
AAA System	Any end-to-end application containing an AI, Algorithmic, or Autonomous component including both technical elements (e.g., databases, data, networks, hardware) and lifecycle elements (e.g., pre-processing, monitoring, human oversight) that allow the system to achieve a specific Scope, Nature, Context, and Purpose
AAA System Procurement Team	Combines the AAA System Specifications and Requirements Advisory Team with a member/liaison from the Procurement Team
AAA System Specifications and Requirements Advisory Team	A team of experts gathered to detail the specifications and requirements of the AAA System and associated vendor for the purposes of acquiring the AAA System . The team includes members from the Business Operations Team.
Accessibility	The degree to which a product or system can be used by people with the widest range of characteristics and capabilities to achieve a specified goal in a specified context of use [SOURCE: ISO/IEC 25010:2011]
Accommodation	A timely adjustment made in a system (such as the provision of tools or changes to the environment or the way in which the AAA System is usually provided) to accommodate or make fair the same system for individuals, including Persons with Disabilities based on a need, which will likely vary. Accommodations can be religious, physical, mental or emotional, academic, or employment related and are often mandated by law and are jurisdictionally sensitive
Accuracy	The closeness of agreement between a test result and the accepted reference value SOURCE: ISO 3534-1 [A measure of a system's Functional Correctness]
Adverse Impact	When the selection rate is below a fairness threshold (e.g., 70%, 80%, 90%) established by the Ethics Committee to

Defined Term	Definition
	identify when the selection rate may indicate a detrimental impact
Adverse Incidents	Negative outcomes or impacts to natural person caused by AAA System
Adverse Incident Reporting System (AIRS)	A system available to the Consumer/Customers/Users/AI Subjects (including internal stakeholders, partners, customers, civil society, industrial associations, and the general public) to report or register confidentially (and maturely anonymously) information regarding their perceived or realised adverse incidents attributable to AAA Systems
AI Compliance Lead	A natural person assigned to be responsible for leading regulatory compliance functions including acting as a Point of Contact for communications with certification bodies and supervisory authorities
AI Subject	A natural person who is impacted by the outcomes of a AAA System
Algorithm	A process or set of rules to be followed in calculations or other problem-solving operations, especially by a computer
Algorithm Ethics	A sub field of Ethics focused on instances of Ethical Choice emerging from AI, algorithmic and autonomous systems. Training and expertise include areas such as Necessity, Proportionality, Benchmark setting, Validity, reliability, Model, Data and Concept Drift and thresholds for Bias mitigation.
Algorithmic Risk	Any risk input or indicator identified in the Algorithmic Risk Assessment, exclusive of security and cybersecurity risks inputs and indicators
Algorithmic Risk Assessment	An analysis of all risks associated with the comprehensive lifecycle of an AAA System, not covered by the Cybersecurity Risk Assessment, the Ethical Risk Assessment, the

Defined Term	Definition
	Committee Governance Assessment and the Systemic Societal Impact Analysis.
Algorithmic Risk Committee	Group of employees (or outsourced expert group) tasked with assuring that all AI, algorithms and autonomous systems have taken the necessary steps to identify, remediate, mitigate, explain, monitor and document all instances of Algorithmic Risk
Architectural Inputs	The parameters, variables, hyperparameters, weights and other elements that are used to establish an algorithmic calculation or process
Artificial Intelligence	A process or system that replaces human decision-making
Authenticity	The degree to which the identity of a subject or resource can be proved to be the one claimed [SOURCE: ISO/IEC 25010:2011]
Authority	The legal right to hold or provide data
Autonomous System	Any self-governing system, operating without a human-in-the-loop (excluding pre-start inputs and design plus maintenance, recalibration, retasking and repair) , producing characteristics of human dexterity, such as arm or leg motion and their results (e.g., travelling distances) or any one of the five human senses
Business Operations Team	The collection of team members delineated with accountability for designing and developing a solution to an identified problem or opportunity
Business Rationale Report	In the context of the Fundamental Rights Impact Assessment, Proportionality Study and Necessity Assessment, document the system's underlying logic, Causal Hypothesis, Construct Validity, and feature relevance that upholds and supports the human rights and freedoms
Capacity	The degree to which the maximum limits of a product or system parameter meet requirements [SOURCE: ISO/IEC 25010:2011]

Defined Term	Definition
Causal Hypothesis	An assessable proposition, to be proven or disproven, that predicts a relationship between two variables, where the change in the first variable brings about change in the second variable
Child (ren)	A person under the age of 18
Choice Architecture	The inputs to a recommender system that may be controlled or modified by the AI Subject
Code of Data Ethics	Set of guidelines, principles and procedures by which data is acquired, analysed, processed, adjusted, compiled or otherwise sold, traded or shared with other entities
Code of Ethics	A publicly documented set of principles and rules concerning moral obligations and regards for the rights of humans and nature, which may be specified by a given profession or group. The document is drafted and kept up to date by an organisation’s Ethics Committee and outlines said organisation’s shared moral framework within the Relevant Legal Frameworks, providing context to instances of Ethical Choice, diversity and anti-discrimination
Cognitive Bias	The way a particular person understands events, facts, and other people, which is based on their own particular set of beliefs and experiences and may not be accurate in regards to the Data Subject or sample population resulting in discriminatory outcomes (e.g., confirmation bias, anchoring bias)
Concept Drift	The change in the measured relationships (e.g., correlation, covariance) between input and output data resulting in misalignment
Construct validity	How well a set of indicators represent or reflect a concept that is not directly measurable. The extent to which feature (indicator) relevance, Functional Correctness , and causality of a model or algorithm represent the ground truth with the theoretical construct

Defined Term	Definition
Context	The circumstances in which an event occurs; including Jurisdiction and/or location, behavior and functional inputs to an AAA System that are appropriate (e.g. domain, operating environment)
Controllability	The degree to which a Provider, Deployer and/or AI Subject can appropriately intervene in an AAA System’s functioning in a timely manner Modified from the ISO definition [SOURCE: ISO/IEC 25059:2023]
Corrective Action Plan	Summarizing responses to a Accessibility, Change Management Plan, Incident Response, including containment, eradication, recovery, and implementation of new risk controls, treatments, and/or mitigations
Data Age	The elapsed time between the original acquisition or compilation of each datum and current state
Data Drift	Occurs when the distribution of incoming data to a model changes over time, or differs from the data used to train and test the model resulting in misalignment
Data Flow Diagram	Picture or graphic which visually represents all inputs and outputs of data (e.g., Personal and Non-Personal Data) associated with an AI, Algorithmic or Autonomous (AAA) System across controller and processor relationships including databases, processing, flow and movements, pipeline, data collection, UX interfaces, location/Jurisdiction
Data Quality	Data that is expected to be fit for purpose, representative, and aligned to the Scope, Nature, Context and Purpose of the intended use as applicable to an AAA System. Data Quality is characterised as complete, accurate, categorically representative, consistent, precise collected from reasonably calibrated sensors, surveys, or other tools to gather data
Data Subject	An identifiable natural person who can be identified, directly or indirectly, in particular by referencing an identifier such as a name, an identification number, location data, an online

Defined Term	Definition
	identifier, or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural, or social identity of that natural person.
Data Transparency Document	A clear and plain language, public report created by the Algorithmic Risk Committee designed to collect and document all relevant steps taken by the Ethics Committee and the Algorithmic Risk Committee to mitigate risk of Bias , insufficient Data, Information , and Pipeline Quality
Deceptive Design	A design encompassing “dark patterns”, coercion, conditioning and subliminal behavior modifications
Decommissioning	The process, procedures, metrics, measurements and thresholds that might lead to termination or retirement of the AAA System
Deletion	“Delete” in the context of data, is when data is removed and is no longer available in plain sight or can easily be recovered
Deployer	A natural or legal person, public authority, agency or other body that acquires, configures, and operates an AAA System within existing parameters, specifications, terms and conditions as defined by a Provider and does not operate an AAA system with its own brand or trademark
Destruction	“Destroy” in the context of data, is when data is removed from your device and can never be restored, even be professional data recovery experts
Disabled Person(s)/ People with Disabilities	Includes natural persons who have long-term physical, mental, intellectual or sensory impairments which in interaction with various barriers may hinder their full and effective participation in society on an equal basis with others
Diverse Inputs and	As accepted by the Ethics Committee in compliance with

Defined Term	Definition
<p>Multi Stakeholder Feedback</p>	<p>the Code of Ethics and/or a diversity policy, it is a collection of individuals noteworthy by their representation of lived experiences, backgrounds, cultures, diversity of thought processes, skills, expertise (including domain experts), and inclusion of Protected Categories and Intersectionalities. This group is used for risk inputs, risk evaluation, assessment of foreseen misuse and this evaluation occurs throughout the algorithmic lifecycle from design to decommissioning (captured in an Algorithmic Risk Assessment)</p>
<p>Emergent Risk</p>	<p>An unforeseen risk that was not contemplated and is presently manifest. A risk where the potential for harm or loss is not fully known presently.</p>
<p>Ethical Choice</p>	<p>For a natural person, an ethical choice is the result, outcome or judgement made using a shared moral framework, or set of moral principles based upon the organisation’s Code of Ethics. It requires awareness and consideration of a set of options to be made in the context of Artificial intelligence, algorithmic or autonomous systems, using a set of principles and rules concerning moral obligations and regards for the rights of humans and for nature, which may be specified by a given profession or group</p>
<p>Ethics Committee</p>	<p>A group of persons trained in Algorithm Ethics and Ethical Choice, guided by the Code of Ethics and Code of Data Ethics, which they create and maintain on behalf of the organisation. The Ethics Committee is responsible for all instance of Ethical Choice related to AI, algorithmic and autonomous systems and producing the Ethical Risk Assessment</p>
<p>Ethical Risk Assessment</p>	<p>A study of instances of Ethical Choice, softlaw, application of Code of Ethics and Code of Data Ethics principles and shared moral frameworks across the lifecycle of the AI, algorithm or autonomous systems shared Publicly.</p>

Defined Term	Definition
<p>Event Log</p>	<p>An event is any activity carried out by the system(e.g., request for data, remote login, automatic shutdown of the system, or deletion of a file) or through an interaction with the system.</p> <p>The Event Log must contain five main components:</p> <ol style="list-style-type: none"> 1. User ID 2. System activity can be monitored to identify what took place. 3. At a certain date and time, an event occurred. 4. The event took place on the device/system and its location was identified. 5. Network addresses and protocols – IP information. <p>Paraphrased from [ISO 27001:2002]</p>
<p>Exceptions Interpretability</p>	<p>A timely interface designed for human oversight during the period in which the AAA System is in use for identification of:</p> <ol style="list-style-type: none"> A. Anomalies B. Dysfunctions C. Exceptions D. Expected foreseeable misuse E. False positive and false negative F. Key Risk Indicators (KRIs) <p>to enable and empower a Human-in-Command to stop, pause, disregard, override, and reverse the AAA System</p>
<p>Explainability Statement</p>	<p>A description of the AAA System, its logic and any applicable automated decision-making, including profiling (inferences), when the outcome impacts the health, safety, and human rights of an AI Subject that sufficiently describes the model in plain language in order to provide understanding to the AI Subject on how conclusions were reached both globally and in the context of a specific case (locally)</p>
<p>Explainability+</p>	<p>A human-centric process by which an AI Subject is helped to understand the decision making process and educated on</p>

Defined Term	Definition
	how they could have earned a favourable result from the system, in order to improve their interaction, their outcome or their satisfaction
Functional Correctness	The degree to which a product or system provides the correct results with the needed degree of precision [SOURCE ISO/IEC 25010:2011, 4.2.1.2]
Fundamental Rights Impact Assessment	An analysis of the manner in which an AAA Systems interacts with the rights and freedoms guaranteed to AI Subjects according to the Relevant Legal Frameworks
Geolocation	The process of finding, determining and providing the exact location of a computer, phone, tablet, networking device or equipment, and may including inputs such as wifi, IP Address, bluetooth connectivity, GPS, latitude, longitude, altitude, direction of movement and time period recorded
Ground Truth	Information ascertainable as real or true through observation or experience
Human Interactions Log	A record of all Human-in/on-the-Loop/Command interactions with the high risk AAA System , including measures implemented during interactions
Human-in-Command	A natural person assigned by a system Provider or Deployer to act as no less than a 3rd line of defence governance Human-on-the-Loop, knowing the Capacity and limitations of the system, possessing sufficient training for the regular operation including the identification of anomalies, dysfunctions and unexpected performance.
Human-in-the-loop	Any model that is unable to offer an answer or conclude processing without human intervention
Human-on-the-loop	Human supervision and/or control of AI, algorithmic or autonomous systems, however the system is able to conclude processing without the need for human intervention
Inclusivity Risk Assessment	A process examining Training Data, designed to identify risk inputs associated with bias, inclusivity, accessibility, safety

Defined Term	Definition
	<p>and security of AAA Systems, and further identify treatments and mitigation. The testing examines the potential for adverse incidents associated with AAA Systems when tested with extreme examples (including black swan, fat-tail, boundary values, failure of expected inter-relationships etc) and “Edge-in” thinking designed to balance the innate nature of most algorithms to “normalise” or find the “best fit”</p>
Inference	<p>Assumption or conclusion reached by a data processing algorithm, which may not be treated as fact and shall be labelled as such.</p>
Information Quality	<p>Data Quality that has demonstrated fitness for purpose, representative and aligned to the Scope, Nature, Context and Purpose of the intended use as applicable to an AAA System. Information Quality is characterised by Construct Validity, Provenance, Authority, Authenticity, Relevance, and Data age, legal basis and Consent, if applicable</p>
Integrity	<p>The degree to which a system, product or component prevents unauthorised access to, or modification of, AAA Systems and/or data</p> <p>Modified from [SOURCE: ISO/IEC 25010:2011]</p>
Interactions Data	<p>Post deployment, data exchanged between and amongst internal (to the ToE) AAA Systems/components/models, and/or any applicable Orchestration Layer (which may be an AAA Agent/System itself)</p>
Intersectionalities	<p>The places, ways, and sources of inequality in systems based on combinations of gender, race, ethnicity, sexual orientation, gender identity, disability, class, and other forms of discrimination to create unique dynamics and effects. A subset of categories of Protected Categories.</p>
Intervenability	<p>The degree to which an operator can intervene in an AI</p>

Defined Term	Definition
	<p>system’s functioning in a timely manner to prevent harm or hazard</p> <p>[SOURCE: ISO/IEC 25059:2023]</p>
Jurisdiction	<p>A defined geographic area over which a particular legal authority may lawfully exercise control</p>
Just-in-Time	<p>The moment a notification is presented to the AI Subject prior to an interaction with the AAA System that could be any of the following:</p> <ul style="list-style-type: none"> A. A statement of rights (e.g., Disability Inclusion and Accessibility Statement) B. A legal obligation (e.g., the collection of Personal Data) C. Terms and conditions
Metadata	<p>Information about a datum (e.g. location, owner, date, time)</p>
Monitoring and Control Data	<p>Data collected from:</p> <ol style="list-style-type: none"> 1. AAA Systems/components/models 2. Technical infrastructure 3. Any applicable Orchestration Layer 4. Pipeline Data 5. Interactions Data 6. Outcomes <p>that is used to determine whether each source is functioning according to specifications as identified by the Monitoring and Control Layer</p>
Monitoring and Control Layer	<p>In regards to an AAA System or Multi AAA- Agent Systems, it is assessment and evaluation of data and pre-determined metrics, measurements, and thresholds (e.g., policies, guardrails, business rules) to determine whether AAA System or Multi AAA-Agent Systems is performing to specifications or engages in any of the following tasks</p> <ol style="list-style-type: none"> 1. Error identification 2. Error remediation
Monitoring Lead	<p>An expert accountable for continuous and post-deployment monitoring of the AAA System</p>

Defined Term	Definition
Nature	The forces and processes that influence and control the variables and features (e.g., foreseeable conditions, input variables)
Necessity Assessment	Produced by the Algorithmic Risk Committee in consultation with the Ethics Committee , who are guided by the Code of Ethics and principles portion of the Code of Data Ethics , to determine whether an AAA System is the only or best solution, considering a comprehensive set of stakeholders, in the context of the legal basis. Additionally, it analyses and determines whether the inclusion of each Personal Datum collected and processed by AAA System is vital.
Nudge (Nudging)	Design, interfaces and notifications of an AAA System that leverage concepts found in behavioral economics, political theory, and behavioral sciences, to reinforce, suggest, or influence (consciously or subconsciously) the behavior, actions, or decision-making of individuals or groups
Orchestration Layer	In regards to an AAA System or Multi AAA Agent Systems , it is the applicable instructions associated with each AAA Agent and the system’s interaction, including all of the following: <ol style="list-style-type: none"> 1. Workflows 2. Sequencing 3. Agent Instructions 4. Hierarchies 5. Deliverables 6. Communications 7. Interdependencies 8. Optimization
Persona 2	One of 5 Personas that ForHumanity defines to differentiate types of learners, this group of learners includes Employees, Contractors, and Gig-Workers impacted by the AAA System
Persona 5	One of 5 Personas that ForHumanity defines to differentiate types of learners, this group of learners includes AAA

Defined Term	Definition
	System Leaders and decision-makers for the AAA System
Personal Data	<p>Any information relating to an identified or identifiable natural person ('Data Subject'); an identifiable person is one who can be identified, directly or indirectly, in particular by reference to an identification number or to one or more factors specific to their physical, physiological, mental, economic, cultural or social identity.</p> <p>Personal Data may be a collective term encompassing specialised terms such as Inferences, Proxy Variables, Personally Identifiable Information, Personal Information, Sensitive Data, and Special Category Data</p>
Pipeline Data	Inputs to an operational AAA System from external sources (including natural persons) via a predetermined collection mechanism
Pipeline Quality	The nature of the live data input into an operating (live) AAA System, including the manner in which the data matches to the data schema
Profiling	Any form of automated processing of Personal Data consisting of the use of Personal Data to evaluate certain aspects relating to a natural person, in particular to analyse or predict aspects concerning that natural person's performance at work, economic situation, health, personal preferences, interests, reliability, behaviour location or movements
Protected Category(ies)	Defined under law or regulation by Jurisdiction, may include race, age, gender, religion, ability/disability, sexual orientation, creed, color, nation of origin, socioeconomic class etc
Provenance	The history and traceability of the supply chain especially when documented or authenticated
Provider	A natural or legal person, public authority, agency or other body that develops an AI system or a general-purpose AI model or that has an AI system or a general-purpose AI

Defined Term	Definition
	model developed and places it on the market or puts the AI system into service under its own name or trademark, whether for payment or free of charge
Purpose	The aim or goal of a system (e.g., limitations, variants)
QMS Audit Report	Generated by the Quality Management Lead in the context of the Quality Management Policy it documents the validation of quality objectives, controls and assurance processes
Quality Management Lead	An expert accountable for quality functions (e.g., control, assurance, validation) for a designated AAA System
Quality Management System	A system that captures all policies, procedures and written guidance, including policies, guidance, instructions, user guides, metrics, thresholds, technical specifications, data management and required documentation. It also includes an operations manual for the risk management system, regulatory compliance, record-keeping, post-deployment monitoring and Adverse Incident Reporting Systems , communications with regulatory and supervisory authorities
Relevance	The appropriateness and meaningfulness of each datum, feature and Causal Hypothesis to the Scope, Nature, Context, and Purpose of the AAA System
Relevant Legal Frameworks	The collection of applicable law such as the laws that govern an entity or organisation, that govern the rights, freedoms, and privileges of a Data Subject or AI Subject , that restrict the activities and behaviors or put positive obligations upon a Provider or Deployer
Reliability	The degree to which an AAA System performs specified functions under specified conditions for a specified period of time. [Source ISO 25000]
Representativeness	A measurement of the AAA System dataset, especially for a Protected Category, Intersectionality, and Vulnerable

Defined Term	Definition
	<p>Populations, that it has comparable statistical characteristics between the training, validation, and testing datasets related to at least two different benchmarks (within a reasonable confidence level):</p> <ol style="list-style-type: none"> 1. General population and 2. A reasonable explanation of the source, sample, and pipeline (target) population <p>with the aim of the AAA System dataset being reasonably similar</p>
Residual Risk	The documented sum of all unmitigated risk pertaining a AAA System
Resilience	In the context of a major disruption, the ability of the system to withstand recover. The speed and capability to return to a sufficient level of function in accordance with the system’s intended operation.
Risk Appetite	The type, amount and threshold of risk that an organisation is prepared to accept in pursuit of its strategic objectives and business plan.
Risk Tolerance	The acceptable level of variation relative to the achievement of objectives. In setting-specific risk tolerances, management considers the relative importance of related objectives and aligns risk tolerance with risk appetite.
Robustness	The degree to which an AAA System can maintain its level of functional correctness under any circumstances [SOURCE: ISO/IEC 25059:2023]
Scope	The boundaries of a system, what is covered, what is not covered (i.e, in scope, out-of-scope)
Sensitive Data	<p>Personal Data that reveals:</p> <ol style="list-style-type: none"> 1. Government-issued identification including tax ID, driver’s license, or passport number 2. Racial or ethnic origin, religious, political, or philosophical beliefs, or union membership 3. Account log-in, financial account, debit card, or credit

Defined Term	Definition
	<p>card number in combination with any required security or access code, password, or credentials allowing access to an account, including transactions</p> <ol style="list-style-type: none"> 4. Precise Geolocation 5. The contents of mail, email, and text messages unless the Business is the intended recipient of the communication 6. Genetic data 7. Biometric information (e.g., fingerprint, gait, retina, face print) 8. Physical health and mental health data 9. Sex life, sexual orientation, or gender
Source Data	Set of inputs gathered from outside the model environment prior to deployment (e.g., Training, Testing, Validation data)
Statistical Bias	Systematic and repeatable errors in a computer system that create unfair outcomes, applied specifically to Protected Categories, Intersectionalities and Vulnerable Populations resulting in discriminatory outcomes
Synthetic Data	Artificial data, without Provenance, Authority, or Authenticity , (not include data anonymization techniques e.g., masking) that is generated from original Source Data and represents characteristics of the original Source Data
System Architecture Report	A report documenting the overall, top-level blueprint of conceptual/logical/physical structure of the system including relevant frameworks (e.g., TOGAF, Zachman) and applicable standards (e.g., ISO, CEN/CENELEC, IEEE)
System Design Report	A report documenting the design of the system and its design choices and associated rationale, notably in the areas of human interactions with the system, including pros and cons, tensions and Trade-offs amongst choices, especially in the context of Protected Categories and Vulnerable Populations and log design choices of the overall system at various levels of granularity based upon the complexity of the system

Defined Term	Definition
Technology Barrier Bias	Also known as Non-Response Bias, a phenomenon in which the availability, accessibility, and usability of the technology used to gather data or interface with the AAA System results in certain participants having reduced ability to participate which affects their representativeness in the dataset, potentially resulting in biased estimates and discriminatory outcomes
Test Completion Report	A report that provides a summary of the testing that was performed across the end-to-end AAA System deployment including test procedures, metrics, measurements, and thresholds, testing artefacts, and model/system test types.
Test Item	Work product to be tested
Testing Data	Data used for providing an independent evaluation of the trained and validated AI system in order to confirm the expected performance of that system before its placing on the market or putting into service
Traceability	The ability to trace a data right back to its origin through documentation, including a chain-of-custody (“paper trail,” physical or otherwise) for data provenance that chronologically records the ownership, viewing, analysis, and transformations of a data record or data sources
Training Data	Data used for training an AI system through fitting its learnable parameters, including the weights of a neural network
Usability	A type of user acceptance testing that identifies barriers to usage by considering the needs of impacted stakeholders and Vulnerable Populations , including people with a variety of disabilities (e.g., physical, sensory, cognitive, etc.), and assessing the Scope, Nature, Context, and Purpose of the AAA System in terms of use cases, foreseeable scenarios, languages, use of Assistive Technologies, and key modalities of the AAA System

Defined Term	Definition
Validation Data	Data used for providing an evaluation of the trained AI system and for tuning its non-learnable parameters and its learning process, among other things, in order to prevent overfitting
Validity	The extent to which the results really measure what they are supposed to measure (intended purpose) presently and as time passes distinct from the concept of a (validation) dataset as it relates to training and testing data.
Version Control and Change Log	Collects all human deliberative changes, combined with alterations to Pipeline , outcomes, and Architectural Inputs across the lifecycle of the AAA System . A description of any change made to the system through its lifecycle; including changes required by a Notified Body
Vulnerable Populations (People in vulnerable situations)	Persons who often experience exclusion, insufficient accessibility resulting from geopolitical, social, socioeconomic, and cultural inequitable power distribution including but not limited to: children, persons with disabilities, ethnic minorities, and people made vulnerable by an imbalance of power in relation to knowledge, economic or social circumstances, or age

3.1 Policies, Plans, and Assessments

Policy, Plan, or Assessment	File Link
Algorithmic Risk Assessment	ForHumanity CORE AAA System Governance Prov...
Bias Mitigation Policy	ForHumanity CORE AAA System Governance Prov...
Business Continuity Plan	ForHumanity Cybersecurity Certification Scheme
Change Management Impact Assessment	ForHumanity CORE AAA System Governance Prov...



Policy, Plan, or Assessment	File Link
Change Management Plan	ForHumanity CORE AAA System Governance Prov...
Data Management and Governance Policy	ForHumanity CORE AAA System Governance Prov...
Data Protection Policy	ForHumanity's EU GDPR Controller Certification ...
Data Security Policy	ForHumanity's EU GDPR Controller Certification ...
Decommissioning Policy	ForHumanity CORE AAA System Governance Prov...
Ethical Risk Assessment	ForHumanity CORE AAA System Governance Prov...
Fundamental Rights Impact Assessment	ForHumanity CORE AAA System Governance Prov...
Human Interactions Policy	ForHumanity CORE AAA System Governance Prov...
Incident Response Policy	ForHumanity CORE AAA System Governance Prov...
Inclusivity Risk Assessment	ForHumanity CORE AAA System Governance Prov...
Monitoring Policy	ForHumanity CORE AAA System Governance Prov...
Necessity Assessment	ForHumanity CORE AAA System Governance Prov...
Quality Management Policy	ForHumanity CORE AAA System Governance Prov...
Risk Management Policy	ForHumanity CORE AAA System Governance Prov...
Security Policy	ForHumanity Cybersecurity Certification Scheme
Test Plan	ForHumanity CORE AAA System Governance Prov...

4.0 General Requirements for Accreditation

4.1 Interoperability with Standards

This guidance leverages existing industry standards when they are appropriate, applicable, and sufficiently precise to make the specifications, requirements, and contractual guardrail identification process efficient and harmonized.

4.2 Normative Criteria explanation

SHALL - is a requirement.

SHOULD - is a recommendation and is evaluated in context

4.3 Evaluation Methodology

Each of the guidance criteria identifies an evaluation method type. The certifying body may vary the evaluation method type where it provides additional assurance, but not so that it provides less. The following types are listed:

1. *Contract* - An executed contract that can be examined and demonstrates compliance with the criteria.
2. *Correspondence (Internal or External)* - Historical correspondence is available that demonstrates compliance with the criteria.
3. *Employee Handbook* - In the context of an employment contract, an internal document that comprehensively describes an employee's duties, obligations, responsibilities, guidelines, rights, benefits, and available resources.
4. *Internal log, register or database* - Internal, systemic records with proof of authenticity that can be examined by the certifying body and that demonstrate compliance.
5. *Internal procedure manual* - Internal policy and procedure documentation that can be shown to the certifying body to demonstrate compliance with the criteria. These may include, but are not limited to, documents, notifications, interfaces, assessments, studies, rosters, and meeting minutes. All evidence should be of sufficient detail to show that they are up-to-date, implemented, and complete.
6. *Picture/Graphic* - Includes diagrams and technical drawings.
7. *Public disclosure document* - Contains all legal obligations and elements as described by the specific audit criteria. The document must meet the definition of Public (as found in Section 3.0).
8. *Physical testing* - At the certifying body's discretion, this can refer to documentation of any of the following:



- a. Interviews with authorized personnel
- b. Inspection of current events, interfaces, and/or notifications
- c. Technical testing including metrics, measurements, and thresholds

5.0 Use of the term “Algorithmic Lifecycle”

ForHumanity uses the terminology “algorithmic lifecycle” in our Provider and Deployer schemes. It should be noted that this term represents differing component stages for Providers and Deployers, for example:

1. Provider Algorithmic lifecycle: 1) Design 2) Development 3) Deployment 4) Monitoring 5) Decommissioning
2. Deployer Algorithmic Lifecycle: 1) Procurement 2) Implementation 3) Deployment 4) Monitoring 5) Decommissioning

5.1 AAA Systems and procurement

ForHumanity advises that any organization looking to acquire a product or service containing Artificial Intelligence, Algorithmic Systems, or Autonomous features conduct an expert business risk assessment of features, benefits and risks prior to procurement.

5.2 Design lifecycle implementation timeframe

This guidance is designed to facilitate the interface between a design and development business team and the organization’s procurement process. Once the business has established that a AAA System is a necessary component of a potential business solution, then it becomes necessary to define the required solution in terms that the procurement team can understand and then effectively communicate those needs to the marketplace. When this stage is reached, the business must ensure that they have considered defining the expected deployment and associated specifications and requirements in a manner that upholds the following values:

1. Responsible and legal
2. Safe and secure
3. Fair and ethical
4. Trustworthy, transparent and controllable
5. Robust, accurate, and reliable

5.3 Linkage to Procurement and Deployment

This guidance matches the evolution of deployment from ideation to implementation. It weaves governance, oversight, and accountability between and amongst the business, expert advisors, and procurement teams, consulting with Top Management and Oversight Bodies (e.g., expert legal team) along the way.

The guidance begins with the **Business Operations Team** including ideation and design concepts that determine whether an **AAA System** will be included in the potential solution. Once the business objectives are established, the organization will be able to identify the experts required to advise on the technical specifications and requirements. This collection of experts is called **AAA System Specifications and Requirements Advisory Team**. As this team establishes the needs and requirements, they will be joined by members of the **Business Operations Team** and the Procurement team to form the **AAA System Procurement Team**. The **AAA System Procurement Team** interfaces and supports Procurement. They ensure all of the following:

1. Market analysis
2. Supporting the Request for Information (RFI) deployment by Procurement
3. Evaluation of RFIs to determine adjustments to the technical specifications and requirements
4. Supporting the Request for Proposal (RFP) deployment by Procurement
5. Requirements for contract terms, conditions, clauses, as appropriate and applicable are provided to Procurement for future contracting
6. Evaluation of RFP responses to score Vendor biographical response, proposed AAA System response, and third party input (e.g., customer references, AI Incident Databases)
7. Facilitating integration and monitoring of an acquired AAA System to the operations teams (e.g., Algorithmic Risk Committee, Monitoring Lead) as identified in ForHumanity's CORE AAA System Deployer scheme

5.4 Accountability lifecycle for Procurement of AAA Systems

This guidance is applicable when an organization determines that the acquisition or development of an **AAA System** may be part of a business solution. The first party accountable for the process is the **Business Operations Team** who are responsible for evaluating Necessity and initial design choices.



Once the design is established, these choices will inform the necessary expert oversight to determine the technical specifications and requirements of the designed AAA system. This team of experts is known as the **AAA System Specifications and Requirements Advisory Team**. The expertise of this team is generally defined under the Expert Oversight section in this guidance.

As this team begins to compile the specifications and requirements, they will join with a member of the Procurement Team to facilitate communications with the established organizational procurement process. When procurement augments the **AAA System Specifications and Requirements Advisory Team**, then it becomes known as the **AAA System Procurement Team** (distinct from the existing Procurement Team). Procurement controls all external communications such as Market Surveys, Requests for Information, requests for Proposals, and Contracting.

Once the **AAA System** has been acquired, then the organization should establish an operating governance, oversight, and accountability team for the **AAA System** deployment (2nd line of defense). ForHumanity describes this team as the **Algorithmic Risk Committee** (and **Ethics Committee** as appropriate and applicable). The expertise of this group is defined in the ForHumanity AAA System Deployer certification scheme v1.5 under the Expert Oversight section.

It is anticipated, but not required that many members of the **AAA System Specifications and Requirements Advisory Team**, which includes members of the **Business Operations Team**, will become members of the **Algorithmic Risk Committee** and/or **Ethics Committee**.

5.5 Criteria catalog

Column 1 = ForHumanity unique identifier (FHUI)

Column 2 = CORE Classification description

Column 3 = Audit criteria

Column 4 = Evaluation method

FHUI	Categories	Audit Criteria	Evaluation Method
Expert Oversight			



FHUI	Categories	Audit Criteria	Evaluation Method
	Expert Oversight	<p>In consideration of:</p> <ol style="list-style-type: none"> 1. An identified business problem or opportunity 2. Whether an AAA System is a necessary component of the expected/proposed solution <p>Top Management and Oversight Bodies shall delineate and empower the Business Operations Team to:</p> <ol style="list-style-type: none"> 1. Justify the inclusion or use of an AAA System or component 2. Design a solution aligned to the appropriate and applicable Scope, Nature, Context, and Purpose to meet the organization’s needs and requirements 	Internal log, register, and database
	Expert Oversight	<p>Top Management and Oversight Bodies shall augment any existing procurement teams with a duly designated expert technical team trained in understanding the following AAA System deployment needs:</p> <ol style="list-style-type: none"> A. To conduct due diligence and alignment of the prospective vendor’s proposed AAA System including specifications and requirements associated with: <ol style="list-style-type: none"> i. Scope, Nature, Context, and Purpose of the AAA System meets the expected business needs and objectives ii. Ethical Oversight (e.g., Algorithm Ethics, vendor oversight) iii. Risk Management iv. Data Management and Governance v. Bias Mitigation and AAA System Drift 	Internal log, register, or database

FHUI	Categories	Audit Criteria	Evaluation Method
		<ul style="list-style-type: none"> vi. Testing and Evaluation vii. Monitoring viii. Control ix. Human oversight x. Explainability xi. Transparency and technical documentation xii. Security and cybersecurity xiii. Quality management xiv. Regulatory compliance <p>B. To uphold human rights and freedoms of AI Subjects (especially Vulnerable Populations), including associated legal risks such as equality, nondiscrimination, transparency, and fairness</p> <p>C. To ensure data privacy and protection needs to uphold Data Subject rights, especially in the areas of Sensitive Data (e.g., race, gender, age, biometric facial mapping, retinal scan, DNA)</p> <p>D. To protect the specific and unique needs and risks associated with Protected Categories, Intersectionalities, and Vulnerable Populations, including the expected Deployer’s Duty of Care</p> <p>E. To implement and integrate the AAA System into a robust operational deployment</p> <p>F. To ensure robust security and cybersecurity</p> <p>G. To meet the needs of the Business Operations Team</p> <p><i>Note - The duly designated team of experts are hereafter referred to as the AAA System Specifications and Requirements Advisory Team for the purposes of ease of reference.</i></p>	
	Expert Oversight	In consideration of: <ul style="list-style-type: none"> 1. The procurement of an AAA System 	Internal log, register or database

FHUI	Categories	Audit Criteria	Evaluation Method
		<p>Top Management and Oversight Bodies shall augment the procurement team with the AAA System Specifications and Requirements Advisory Team for the purposes of ensuring that the following requirements are met during the procurement process:</p> <ul style="list-style-type: none"> A. Market research B. Stipulation of contract terms C. Evaluate: <ul style="list-style-type: none"> i. Satisfactory pricing and associated cost ii. Sufficient satisfaction of specification and requirement iii. Vendor requirements 	
<h3>Top Management and Oversight Bodies</h3>			
	<p>Top Management and Oversight Bodies</p>	<p>Top Management and Oversight Bodies shall implement the following governance, oversight, and accountability functions for procuring the AAA System including:</p> <ul style="list-style-type: none"> A. LEADERSHIP AND GOVERNANCE - ensuring the procurement teams are integrated with the AAA System Specifications and Requirements Advisory Team, hereafter referred to as the AAA System Procurement Team B. ACCOUNTABILITY - delineating roles and responsibilities between and amongst the procurement team, the AAA System Specifications and Requirements Advisory Team, the expert legal team (internal or external), and the Business Operations Team, including delineating a Chair for the AAA System Specifications and Requirements Advisory Team 	<p>Correspondence (Internal or External)</p>



FHUI	Categories	Audit Criteria	Evaluation Method
		<p>C. RISK MANAGEMENT - validating (internal audit/quality management) that both the procurement process and the AAA System acquisition have sufficient risk management processes and procedures</p> <p>D. REGULATORY COMPLIANCE - ensuring that the AAA System Specifications and Requirements Advisory Team is accountable for identifying the Jurisdictions of operation and expected legal obligations</p> <p>E. RESOURCE ALLOCATION -Ensuring that the necessary resources are allocated to manage governance, oversight, accountability, risk, and quality (e.g., people, budget, infrastructure) of the procurement process</p> <p>F. OVERSIGHT - ensuring confidentiality of the procurement process</p> <p>G. DUTY OF CARE FOR VULNERABLE POPULATIONS - ensuring that the AAA System Specifications and Requirements Advisory Team identify all appropriate and applicable duties of care and Protected Categories, Intersectionalities, and Vulnerable Populations</p> <p>H. STATEMENT OF PRINCIPLES - ensuring that the organization’s values, ethics, and principles are incorporated in the procurement process</p> <p>I. IDENTIFY STAKEHOLDERS - ensuring that the AAA System Specifications and Requirements Advisory Team identify all direct and indirect stakeholders</p>	



FHUI	Categories	Audit Criteria	Evaluation Method
		<p>J. DUTY TO STAKEHOLDERS - ensuring that the business and the AAA System Specifications and Requirements Advisory Team have included Diverse Input and Multi Stakeholder Feedback</p> <p>K. HUMAN OVERSIGHT - ensuring that the AAA System Specifications and Requirements Advisory Team identifies the appropriate minimum level of human oversight of the AAA System</p> <p>L. AAA SYSTEM VENDOR MANAGEMENT - ensuring that the specifications and requirements delineate the minimum criteria for the potential vendor and committing the necessary resources (e.g., budget, people, time, infrastructure)</p> <p>M. TECHNICAL REQUIREMENTS - empowering the AAA System Specifications and Requirements Advisory Team and the procurement team to produce robust Request for Information and Request for Proposal criteria to meet the organization’s needs</p> <p>N. PURPOSE INTEGRITY - ensuring that the AAA System Specifications and Requirements Advisory Team delineates the necessary details to uphold the expressed Scope, Nature, Context, and Purpose of the AAA System</p> <p>O. SYSTEM INTEGRITY - ensuring that the specifications and requirements include delivery and/or explanation of processes and procedures used to monitor changes in the AAA System’s Scope, Nature, Context, and Purpose,</p>	



FHUI	Categories	Audit Criteria	Evaluation Method
		<p>including Model, Data, and Concept drift</p> <p>P. TRANSPARENCY - ensuring that the following are documented in the response to the request for proposal:</p> <ul style="list-style-type: none"> i. AAA System Deployer Guide ii. Contractual descriptions of the type, method, and manner of communications iii. Residual Risk <p>Q. TRAINING AND EDUCATION - ensuring that the AAA System Specifications and Requirements Advisory Team and the procurement team have the necessary training and education for acquiring an AAA System</p> <p>R. CONFLICT RESOLUTION - establishing a process or procedure to adjudicate conflict between and amongst the procurement team, the AAA System Specifications and Requirements Advisory Team, and the Business Operations Team</p> <p><i>Note - Referred to as ForHumanity Governance, Oversight, and Accountability (20) pillars</i></p>	
<h2>Business Rationale</h2>			
	<p>Business Rationale</p>	<p>In consideration of:</p> <ol style="list-style-type: none"> 1. Code of Ethics 2. Existing business practices, operations, infrastructure, and technology architecture 3. Guidance from Top Management and Oversight 4. Identified problem or opportunity (e.g., customer feedback, internal audit report) 	<p>Internal Procedure Manual</p>

FHUI	Categories	Audit Criteria	Evaluation Method
		<p>5. Existing vendor relationships, if applicable</p> <p>the Business Operation Team shall research a range of potential solutions, including non-AAA System solutions, for internal evaluation purposes and document the conclusions in the initial market analysis report</p>	
	Business Rationale	<p>In consideration of:</p> <ol style="list-style-type: none"> 1. Initial market analysis report 2. Procurement’s Request for Information Template, if applicable 3. Current system architecture and infrastructure <p>the Business Operation Team shall identify the proposed business needs and requirements that have the following characteristics:</p> <ol style="list-style-type: none"> A. Refined opportunity or problem statement B. Hypothesized solution C. Description of minimum capabilities D. Proposed performance metrics, measurements, and thresholds E. Identified business objective(s) F. Business rules G. Constraints and limitations, including budget, if applicable H. Information regarding legacy system(s) <p>and document the conclusions in the Statement of Business Needs and Requirements and the Business Rationale Report</p>	Internal Procedure Manual
<h2>Relevant Legal Framework and Modular Assurance Assessments</h2>			
	Relevant Legal Framework	<p>In consideration of:</p> <ol style="list-style-type: none"> 1. The Scope, Nature, Context, and Purpose of the proposed business design <p>the Business Operations Team shall assess the proposed AAA System to determine all</p>	Correspondence (Internal or External)



FHUI	Categories	Audit Criteria	Evaluation Method
		<p>applicable Jurisdictions in which the AAA System is expected to be deployed and document the Jurisdictions and document the conclusions to the AAA System Specifications and Requirements Advisory Team</p>	
	<p>Relevant Legal Framework</p>	<p>In consideration of:</p> <ol style="list-style-type: none"> 1. Each Jurisdiction of the proposed business design <p>and in consultation with:</p> <ol style="list-style-type: none"> 1. The expert legal team (internal and/or external) <p>the AAA System Specifications and Requirements Advisory Team shall assess the proposed AAA System deployment for applicable legal obligations including, but not limited to, the following sectors of law:</p> <ol style="list-style-type: none"> A. Fundamental and Human Rights B. Legal/Lawful basis C. Data collection, protection and retention D. Equality and nondiscrimination E. Access to goods and services F. Market and competition law G. National Security H. Prohibited Systems I. Sector-specific law (e.g., health, security) J. Protection for Vulnerable Populations (e.g., Elderly, Children, Persons with Disabilities) K. Employment law L. International laws, treaties, and conventions <p>and document the following details in the Relevant Legal Framework log:</p> <ol style="list-style-type: none"> 1. Applicable legal obligations as Relevant Legal Frameworks 	<p>Internal log, register, or database</p>

FHUI	Categories	Audit Criteria	Evaluation Method
	Relevant Legal Framework	<p>In consideration of:</p> <ol style="list-style-type: none"> 1. The Code of Ethics 2. The Scope, Nature, Context, and Purpose of the proposed AAA System 3. Relevant Legal Frameworks <p>in consultation with:</p> <ol style="list-style-type: none"> 1. The expert legal team (internal or external) <p>the AAA System Procurement Team shall assess the proposed AAA System to determine whether the Request for Information and/or the Request for Proposal will be conducted under a non-disclosure agreement and document the conclusions in the request for proposal with Traceability</p>	Correspondence (Internal or External)
	Relevant Legal Framework	<p>In consideration of:</p> <ol style="list-style-type: none"> 1. The request for proposal <p>the AAA System Procurement Team shall delineate the planned Jurisdictions of operation and the associated legal obligations with Traceability</p>	Correspondence (Internal or External)
	Relevant Legal Framework	<p>In consideration of:</p> <ol style="list-style-type: none"> 1. The request for proposal 2. Planned Jurisdictions of operation <p>the AAA System Procurement Team shall assess the proposed AAA System design to determine whether any of the following produce legal obligations or identified ForHumanity best practices:</p> <ol style="list-style-type: none"> A. The presence of Personal Data B. Children as AI Subjects C. Persons with Disabilities as AI Subjects D. Security or cybersecurity law E. Sector-specific: <ol style="list-style-type: none"> i. Harmonized standards ii. Common specifications 	Internal log, register, or database

FHUI	Categories	Audit Criteria	Evaluation Method
		iii. Industry and Use Case specific regulations and ForHumanity best practices and document the obligations in the Relevant Legal Framework log and AAA System Specifications and Requirements Criteria	
	Relevant Legal Framework	In consideration of: 1. Relevant Legal Frameworks 2. Planned Jurisdictions of operation 3. Proposed AAA System design in consultation with: 1. The expert legal team (internal or external) the AAA System Procurement Team shall identify design constraints (e.g., social scoring) on the AAA System resulting from prohibitions under the law and document the constraints in the AAA System Specifications and Requirements Criteria	Internal Procedure Manual
<h2>Organizational Controls</h2>			
	Organizational Controls	Top Management and Oversight Bodies shall appoint a Chair of the AAA System Specifications and Requirements Advisory Team with Traceability	Correspondence (Internal or External)
	Quality Management	Top Management and Oversight Bodies shall assign natural persons to fill the following roles: A. Data Lead B. Monitoring Lead C. Quality Management Lead D. AI Compliance Lead to the AAA System Specifications and Requirements Advisory Team	Correspondence (Internal or External)
	Organizational Controls	In consideration of: 1. The proposed AAA System	Internal Procedure Manual

FHUI	Categories	Audit Criteria	Evaluation Method
		<p>the AAA System Specifications and Requirements Advisory Team shall maintain and keep current a Statement of Specifications and Requirements including:</p> <ul style="list-style-type: none"> A. Jurisdictions of operation B. Proposed Scope, Nature, Context and Purpose C. Legal basis D. Business and operational needs E. Vendor standards F. Expected cost structure G. Descriptions of data (e.g., type(s) of data, Provenance, intellectual property rights) H. Usability and accessibility minimum standards I. Accommodations and processes to supply them J. Whether the proposed AAA System may be assessed as a “High-Risk AI” K. Whether Children are impacted L. Whether cybersecurity obligations exist M. Whether use case or industry specific standards are being applied 	
<h2>Training and Education</h2>			
	Training and Education	<p>Top Management and Oversight Bodies shall train and educate the AAA System Specifications and Requirements Advisory Team as a Persona 5 learner and document the completion in the Training and Education log</p>	Internal log, register, or database
	Training and Education	<p>Top Management and Oversight Bodies shall train and educate the AAA System Specifications and Requirements Advisory Team on procurement standard operating procedures including the organization’s specific</p>	Internal log, register, or database

FHUI	Categories	Audit Criteria	Evaluation Method
		processes and procedures and document the completion in the Training and Education log	
	Training and Education	Top Management and Oversight Bodies shall train and educate the procurement team as a Persona 2 learner and document the completion in the Training and Education log	Internal log, register, or database
	Training and Education	The AAA System Specifications and Requirements Advisory Team shall assess the proposed AAA System to determine whether training and education is a required deliverable and document the conclusion in the AAA System Specifications and Requirements Criteria	Internal Procedure Manual
<h3>Duty of Care to Vulnerable Populations</h3>			
	Duty of Care to Vulnerable Populations	<p>In consideration of:</p> <ol style="list-style-type: none"> 1. AI Subjects who have been identified as members of a Vulnerable Population <p>Top Management and Oversight Bodies shall augment the AAA System Specifications and Requirements Advisory Team with experts charged with a duty of care to assess the specific and unique risks to that population that may result from the proposed AAA System deployment:</p> <ol style="list-style-type: none"> A. Identification of the specific and unique needs including risk controls, treatments, and mitigations B. Identification of the human rights and freedoms of AI Subjects to be upheld on behalf of the Vulnerable Population C. Inclusion of experts in regards to identifying, analysing, evaluating, and treating risks related to the health and safety of the Vulnerable Population <p>with Traceability</p>	Correspondence (Internal or External)

FHUI	Categories	Audit Criteria	Evaluation Method
<h2>Prohibited Systems</h2>			
	<p>Prohibited Systems</p>	<p>In consideration of:</p> <ol style="list-style-type: none"> 1. Jurisdictions of Operation 2. Relevant Legal Frameworks <p>in consultation with:</p> <ol style="list-style-type: none"> 1. The expert legal team (Internal or External) <p>the Ethics Committee shall assess the Statement of Business Needs and Requirements to determine whether any of the following techniques are proposed:</p> <ol style="list-style-type: none"> A. AAA System without a validated Causal Hypothesis and Construct Validity B. Engaging in Nudges, Deceptive Design, or other subliminal techniques that are physically, psychologically or economically detrimental to the AI Subject C. Exploiting any Vulnerable Populations, with the objective to materially distort or having the effect of materially distorting an AI Subject's behavior that is physically, psychologically, or economically detrimental to the person or another person D. Deploying an AAA System intended to detect the emotional state of individuals, without a validation and appeals process in regards to inferential conclusions impacting the individual, in situations related to the workplace, education and all other applications where the human rights or freedoms of the AI Subject are 	<p>Internal Procedure Manual/ Correspondence (Internal or External)</p>



FHUI	Categories	Audit Criteria	Evaluation Method
		<p>compromised, except for medical or safety reasons, such as systems intended for therapeutic use</p> <p>and document and/or notify with the following:</p> <ol style="list-style-type: none"> 1. The prohibitions in the Ethical Risk Assessment 2. The need for the Business Operations Team to adjust their proposal to avoid prohibited systems 3. The conclusions as constraints in the AAA System Specifications and Requirements Criteria 	
<h2>Ethical Oversight</h2>			
	Ethical Oversight	<p>Top Management and Oversight Bodies shall appoint a natural person(s) trained in Algorithm Ethics to the AAA System Specifications and Requirements Advisory Team to be accountable for the application of the Code of Ethics and the Code of Data Ethics with Traceability</p>	Correspondence (Internal or External)
	Ethical Oversight	<p>In consideration of:</p> <ol style="list-style-type: none"> 1. The Code of Ethics 2. The principles portion of the Code of Data Ethics <p>the AAA System Specifications and Requirements Advisory Team shall assess to determine the metrics, measurements, and thresholds that identify vendor and proposed AAA System ethical requirements:</p> <ol style="list-style-type: none"> A. Alignment of their Code of Ethics and Code of Data Ethics to the organizations Code of Ethics and Code of Data Ethics, including public disclosure 	Internal Procedure Manual



FHUI	Categories	Audit Criteria	Evaluation Method
		<p>B. Avoidance of prohibited activities (e.g., to mitigate the risk of detrimental Nudges, dark patterns, and deceptive design)</p> <p>C. Conducting a Fundamental Rights Impact Assessment (FRIA) and a commitment to include the FRIA in the response to the Request for Proposal</p> <p>D. Statement of or assurance of completion of the following:</p> <ul style="list-style-type: none"> i. Necessity Assessment ii. Proportionality Study <p>E. Processes and procedures:</p> <ul style="list-style-type: none"> i. To oversee the fairness of the proposed AAA System ii. To manage Model, Data, and Concept Drift iii. To mitigate Cognitive Bias iv. To ensure training, testing, and validation Representativeness <p>and document the needs in the AAA System Specifications and Requirements Criteria</p>	
<p>Market Analysis - Request for Information</p>			
		<p>The AAA System Specifications and Requirements Advisory Team shall assess the Statement of Business Needs and Requirements to determine technical specifications and requirements for the Request for Information for prospective vendors’ responses to the following areas of operation, if applicable:</p> <ul style="list-style-type: none"> i. Scope, Nature, Context, and Purpose of the AAA System ii. Ethical Oversight (e.g., Algorithm Ethics, Vendor oversight) iii. Risk Management 	



FHUI	Categories	Audit Criteria	Evaluation Method
		<ul style="list-style-type: none"> iv. Data Management and Governance v. Bias Mitigation and AAA System Drift vi. Testing and Evaluation vii. Monitoring viii. Control ix. Human oversight x. Explainability xi. Transparency and technical documentation xii. Security and Cybersecurity xiii. Quality Management xiv. Regulatory Compliance <p>and document the questions in the Request for Information Advisory Report</p>	
	Market Analysis	<p>In consideration of:</p> <ul style="list-style-type: none"> 1. Building a Request for Information 2. Procurement Policy including Risk Appetite and Tolerance for varying stages of vendor financial stability and product maturity 3. Statement of Business Needs and Requirements 4. Request for Information template, if applicable 5. Request for Information Advisory Report <p>the AAA System Procurement Team shall identify questions to be asked of prospective vendors such as but not limited to:</p> <ul style="list-style-type: none"> A. Biographical information about the Vendor (e.g., financial status, experience, ownership) B. Jurisdictions of operation in regards to the vendor AAA System solution C. Whether a non-AAA System might solve the problem more effectively D. Alignment of the proposed AAA System solution 	Correspondence (Internal or External)

FHUI	Categories	Audit Criteria	Evaluation Method
		<p>E. Pre-qualification thresholds (from limitations and constraints), if applicable</p> <p>F. Product maturity</p> <p>G. Capability and technical requirements, if applicable</p> <p>H. The vendor’s proposed solution(s), including the number of applications of that solution already in the market and applicable certifications or assurance (e.g., independent audit)</p> <p>I. Customer reference availability</p> <p>J. Is there insurance associated with the proposed AAA System solution</p> <p>K. Complexity of proposed AAA System solution (e.g., third party involvement)</p> <p>L. Vendor’s cost structure for the proposed solution</p> <p>M. Proposed solution or vendor differentiation</p> <p>N. Proposed solution environmental impact (e.g., emissions, water usage, disposal) and sustainability characteristics</p> <p>with Traceability to the Procurement Team</p>	
	Market Analysis	Prior to external distribution, the AAA System Procurement Team shall validate the Request for Information with Traceability	Correspondence (Internal or External)
	Market Analysis	<p>In consideration of:</p> <ol style="list-style-type: none"> 1. Vendor Due Diligence and Procurement policy 2. The Request for Information 3. Responses from Vendors <p>the AAA System Procurement Team shall establish metrics, measurements, and thresholds to evaluate whether each aspect of the Request for Information responses may inform the future Request for Proposal or AAA System Procurement Plan and document the conclusions in the Request for Information Evaluation Report</p>	Internal Procedure manual



FHUI	Categories	Audit Criteria	Evaluation Method
<h2>Data Privacy and Protection</h2>			
	<p>Data Privacy and Protection</p>	<p>In consideration of:</p> <ol style="list-style-type: none"> 1. Statement of Business Needs and Requirements 2. Planned Jurisdictions of operation 3. Relevant Legal Framework <p>in consultation with:</p> <ol style="list-style-type: none"> 1. The expert legal team (Internal or External) <p>the AAA System Specifications and Requirements Advisory Team shall assess the design to determine whether there is a need for processing Personal Data and thus a legal obligation to provide Data Privacy and Protection and document the conclusion in the AAA System Specifications and Requirements Criteria, including the need for the vendor’s Data Protection Impact Assessment</p>	<p>Internal Procedure Manual</p>
<h2>Risk Management</h2>			
	<p>Risk Management</p>	<p>The AAA System Specifications and Requirements Advisory Team shall establish metrics and thresholds to measure the vendor’s risk management process for the proposed AAA System that includes the following, as applicable:</p> <ol style="list-style-type: none"> A. Team of experts that govern the risk of the proposed AAA System B. A Risk Management Policy C. A Process to include Diverse Input and Multi Stakeholder Feedback D. A process to generate a risk log E. A process to compute Residual Risk 	<p>Internal Procedure Manual</p>



FHUI	Categories	Audit Criteria	Evaluation Method
		<p>F. Monitoring of the effectiveness of controls, treatments, and mitigations</p> <p>G. A Risk Management Framework that includes all of the following:</p> <ul style="list-style-type: none"> i. Identification process ii. Risk categorization process iii. Risk log or register iv. Analysis process <ul style="list-style-type: none"> 1. Severity 2. Likelihood v. Evaluation process vi. Treatment process vii. Risk appetite and tolerance assessment process viii. That evaluates systemic risk of the AAA System ix. Integrates processes and procedure for: <ul style="list-style-type: none"> 1. Data Management and Governance 2. Testing and Evaluation 3. Incident Response 4. Monitoring, including an Adverse Incident Reporting System 5. Control 6. Human oversight 7. Change Management 8. Vendor Management 9. Quality Management 10. Regulatory compliance 11. Decommissioning <p>and document the metrics and thresholds in the AAA System Specifications and Requirements Criteria</p>	



FHUI	Categories	Audit Criteria	Evaluation Method
<h2>Data Management and Governance</h2>			
	<p>Data Management and Governance</p>	<p>The AAA System Specifications and Requirements Advisory Team shall establish metrics and thresholds to measure the vendor’s data management and governance process for the proposed AAA System that includes the following, as applicable:</p> <ul style="list-style-type: none"> A. Existence of a group of experts in data management and governance associated with the AAA System B. Data Management and governance policy that includes: <ul style="list-style-type: none"> i. Establishing a Causal Hypothesis and Construct Validity ii. Assuring appropriate Intellectual Property Rights iii. Establishing Data Privacy, Protection, and Security Policy that includes using technical and organizational controls iv. Establishing a process for: <ul style="list-style-type: none"> a. Calibrating data gathering tools including matching data schema b. Assuring Data and Information Quality c. Documenting metadata including syntax and semantics d. Documenting the process for generating and use of Synthetic Data when appropriate and applicable 	<p>Internal Procedure Manual</p>



FHUI	Categories	Audit Criteria	Evaluation Method
		e. Conducting an Inclusivity Risk Assessment v. Conducting a Necessity Assessment and document the metrics and thresholds in the AAA System Specifications and Requirements Criteria	
<h3>Bias Mitigation</h3>			
	Bias Mitigation	<p>The AAA System Specifications and Requirements Advisory Team shall establish metrics, measurements, and thresholds to determine whether the following bias assessments, as documented in the Data Transparency Document are sufficient:</p> <ul style="list-style-type: none"> A. If applicable, that the vendor has collected Sensitive Data in augment bias mitigation B. Representativeness testing on Source Data C. Adverse Impact in outcomes D. Technology Barrier Bias, Cognitive Bias, Statistical Bias conducted appropriately over the algorithmic lifecycle <p>and document the conclusions in the AAA System Specifications and Requirements Criteria</p>	Internal Procedure Manual
<h3>Explainability</h3>			
	Explainability	In consideration of: 1. Relevant Legal Frameworks	Internal Procedure Manual

FHUI	Categories	Audit Criteria	Evaluation Method
		<p>the AAA System Specifications and Requirements Advisory Team shall establish metrics, measurements, and thresholds for the vendor’s Explainability Statement and if applicable, Explainability+ Statement to determine whether they have all of the following characteristics:</p> <ul style="list-style-type: none"> A. It is in clear, plain, and accessible language B. It contains simple diagrams, especially in regards to the logic of the AAA System deployment C. It explains the logic of the AAA System deployment D. It explains the statistics, reliability, and robustness of the AAA System deployment E. What the AAA System is optimised for F. A description of the Monitoring and Control Layer G. A description of the expected output H. A description of human interactions in the AAA System deployment I. It provides guidance on how to access the Provider’s Data Transparency Document J. It explains sources of data (from the Provider) from the AI Subject, beyond Pipeline Data (e.g., device scraping, galleries, contact lists), with the intent to increase the AI Subject’s understanding of the training of the AAA System deployment K. A simple guide and process for the AI Subject to exercise their right to challenge a decision and request human intervention 	



FHUI	Categories	Audit Criteria	Evaluation Method
		<p>L. A simple guide to the public legal documents and disclosures that AI Subjects are required to have access to (e.g., terms and conditions, Privacy Policy, Explainability Statement)</p> <p>M. It provides a date stamp of the current version</p> <p>N. Whether the Explainability+ Statement is offered</p> <p>and document the conclusions in the AAA System Specifications and Requirements Criteria</p>	
<h3>Choice Architecture</h3>			
	<p>Choice Architecture</p>	<p>In consideration of:</p> <ol style="list-style-type: none"> 1. Relevant Legal Frameworks if the proposed AAA System has Choice Architecture, then the AAA System Specifications and Requirements Advisory Team shall establish metrics, measurements, and thresholds to determine whether the vendor’s recommender system has all of the following characteristics: <ol style="list-style-type: none"> 1. Options are available to AI Subjects to alter applicable Profiling 2. UX/UI interface options (e.g., Profile Reset, Profile Re-engage, Profile Decline) that allows the AI Subject to effectively manage their Profile <p>and document the conclusion in the AAA System Specifications and Requirements Criteria</p>	<p>Internal Procedure Manual</p>
<h3>Security and Cybersecurity</h3>			

FHUI	Categories	Audit Criteria	Evaluation Method
	Security and Cybersecurity	<p>In consideration of:</p> <ol style="list-style-type: none"> 1. Relevant Legal Frameworks 2. The Jurisdiction(s) of deployment for the AAA System <p>the AAA System Specifications and Requirements Advisory Team shall require acceptable assurance demonstrating that security and cybersecurity of the proposed AAA System upholds applicable legal obligations (e.g., Regulation (EU) 2019/881- Article 54 certification - Regulation (EU) 2024/482) and conforms to one of the following standards:</p> <ol style="list-style-type: none"> A. ForHumanity Cybersecurity certification B. ISO 27001 assurance C. NIST Cybersecurity 2.0 framework assurance <p>and document the needs in the AAA System Specifications and Requirements Criteria</p>	Internal Procedure Manual
<h2>Testing and Evaluation</h2>			
	Testing and Evaluation	<p>The AAA System Specifications and Requirements Advisory Team shall establish metrics, measurements, and thresholds to determine whether the proposed AAA System has been sufficiently tested including:</p> <ol style="list-style-type: none"> A. A Test Plan and Test Completion Report that includes: <ol style="list-style-type: none"> i. Testing use cases and foreseeable scenarios, defined by any acceptable range of the following descriptions: <ol style="list-style-type: none"> a. Scope b. Nature c. Context d. Purpose 	Internal Procedure Manual



FHUI	Categories	Audit Criteria	Evaluation Method
		<ul style="list-style-type: none"> ii. Determining Test Items, including applicable metrics, measurements, thresholds, and industry standards such as: <ul style="list-style-type: none"> a. Functional Correctness and associated performance tests b. Applied risk controls, treatments, and mitigations to risk inputs and indicators with an explanation of how the risks identified in the Algorithmic Risk Assessment and the Failure Mode and Effect Analysis (FMEA) are mitigated c. Continuous and post-deployment monitoring and control processes and procedures of the deployment d. Intervenability and applicable rollback processes and procedures to the pre-determined Last Known Good e. Human interactions associated with the deployment f. Specific technical components and their version numbers. g. As applicable, applied quality objectives, processes, procedures, and 	



FHUI	Categories	Audit Criteria	Evaluation Method
		<p>controls (e.g., ISO/IEC 25010, 25059)</p> <p>B. Enabling the Ethics Committee’s assessment of the Causal Hypothesis</p> <p>C. The Scope, Nature, Context, and Purpose of the AAA System deployment, including foreseeable scenarios and use cases</p> <p>D. Business objectives, including expected Functional Correctness</p> <p>E. Meeting legal, regulatory and market compliance requirements associated with the AAA System deployment</p> <p>F. The system logic, including an effective Orchestration Layer, and Monitoring and Control Layer</p> <p>G. Intervenability and Last Known Good testing</p> <p>H. Human interactions</p> <p>I. Quality objectives</p> <p>J. All applicable Test Items and associated metrics, measurements, and thresholds</p> <p>K. Continuous and post-deployment monitoring is implemented and effectiveConfirmation of the independence of the test team</p> <p>and document the conclusions in the AAA System Specifications and Requirements Criteria</p>	
<p>Monitoring (Continuous and post-deployment)</p>			
	<p>Monitoring</p>	<p>The AAA System Specifications and Requirements Advisory Team shall establish metrics, measurements, and thresholds to determine whether the vendor’s monitoring of the proposed AAA System is sufficient such as:</p> <p>A. A Monitoring Policy</p>	<p>Internal Procedure Manual</p>



FHUI	Categories	Audit Criteria	Evaluation Method
		B. Tests for Model, Data, and Concept Drift C. Tests for Model Health and Fitness D. An Adverse Incident Response Policy E. An internal process for employees to raise questions, concerns, and critiques F. Tests for Emergent Risks G. A process for assessing a Decommission or Change Management decision and document the conclusions in the AAA System Specifications and Requirements Criteria	
<h3>Incident Management</h3>			
	Incident Management	The AAA System Specifications and Requirements Advisory Team shall establish metrics, measurements, and thresholds for all of the following vendor’s incident responses in regards to the proposed AAA System : A. An Incident Response Policy B. Minor incident playbooks C. Incident Response Plan(s) D. Process for reporting Incidents and Corrective Action Plans and document the conclusions in the AAA System Specifications and Requirements Criteria	Internal Procedure Manual
<h3>Control</h3>			
	Control	The AAA System Specifications and Requirements Advisory Team shall establish metrics, measurements, and thresholds for Intervenability of the proposed AAA System	Internal Procedure Manual



FHUI	Categories	Audit Criteria	Evaluation Method
		<p>that has the following characteristics, without the possibility of override by the AAA System:</p> <ul style="list-style-type: none"> A. Ceases operations in a manner that maximizes the AI Subject’s health, safety, well-being, and human rights and freedoms B. Provides all necessary metrics, measurements, and thresholds for human oversight to understand the state and status of the AAA System C. Provides processes and procedures to rollback to the Last Known Good, if appropriate and applicable, that maximizes the health, safety, well-being, and human rights and freedoms of AI Subjects D. Can be stopped by authorized human intervention E. Can be prevented from executing any of its operational or business process steps F. Can be prevented from achieving its Purpose permanently by human oversight G. Can be prevented from gathering further Pipeline Data H. Remains stopped until intentionally restarted by a human I. Permanently Deletes/Destroys Personal Data upon demand when appropriate and applicable J. Can be prevented from saving, archiving, or otherwise replicating its source code <p>and document the conclusions in the AAA System Specifications and Requirements Criteria</p>	



FHUI	Categories	Audit Criteria	Evaluation Method
<h2>Human Oversight and Interaction</h2>			
	<p>Human Oversight and Interaction</p>	<p>The AAA System Specifications and Requirements Advisory Team shall establish metrics, measurements, and thresholds for human oversight associated with the proposed AAA System including:</p> <ul style="list-style-type: none"> A. The elected human oversight B. A Human interactions policy C. The nature of the human oversight, especially if it is the responsibility of the Deployer including: <ul style="list-style-type: none"> i. Training and education ii. Exception Interpretability D. Establishing a Human Interactions Log E. Establishing monitoring of the human interactions F. A process to assess the well-being of the human interactor <p>and document the conclusions in the AAA System Specifications and Requirements Criteria</p>	<p>Internal Procedure Manual</p>
<h2>System Development Lifecycle</h2>			
	<p>System Development</p>	<p>The AAA System Specifications and Requirements Advisory Team shall establish metrics, measurements, and thresholds to determine that the vendor’s development lifecycle is sufficient including the following needs:</p> <ul style="list-style-type: none"> A. An industry standard System Development Lifecycle Policy B. Separate environments for: <ul style="list-style-type: none"> i. Development 	<p>Internal Procedure Manual</p>

FHUI	Categories	Audit Criteria	Evaluation Method
		<ul style="list-style-type: none"> ii. Testing iii. Change management iv. Live (Production) and document the conclusions in the AAA System Specifications and Requirements Criteria	
<h2>Quality Management</h2>			
	Quality Management	In consideration of: <ul style="list-style-type: none"> 1. Existing quality management system(s) (e.g., ISO 9001), if applicable 2. Design choices 3. The planned Scope, Nature, Context, and Purpose of the AAA System 4. Business Rationale Report and in consultation with the: <ul style="list-style-type: none"> 1. AI Compliance Lead 2. AAA Cybersecurity Lead the Quality Management Lead shall establish metrics, measurements, and thresholds for Quality Management controls and objectives such as: <ul style="list-style-type: none"> A. A process to identify regulatory compliance obligations <ul style="list-style-type: none"> i. Legal obligations identified in the Relevant Legal Framework ii. If applicable, common specifications, iii. If applicable, harmonized standards B. A process for vendor conformity (e.g. ForHumanity certification) C. Proportionate quality objectives (e.g., targets), controls, and processes or procedures including metrics, 	Internal Procedure Manual



FHUI	Categories	Audit Criteria	Evaluation Method
		<p>measurements, and thresholds that validate and assure:</p> <ul style="list-style-type: none"> i. That the AAA System is fit for purpose in the planned design ii. Specific and proportionate quality objectives (e.g., control, assurance) in regards to: <ul style="list-style-type: none"> a. Ethical Oversight b. Risk Management c. Data Management and Governance d. Monitoring e. Incident Response f. Control g. Security and Cybersecurity h. Change Management i. Decommissioning <p>D. A QMS Audit Report that logs validation of policies, processes, and procedures based upon quality objectives regarding:</p> <ul style="list-style-type: none"> i. AAA system Procurement ii. Vendor acceptance iii. Cybersecurity iv. Regulatory compliance and assurance maintenance v. Risk Management vi. Data Management and Governance vii. Monitoring <p>E. Retaining of all record-keeping according to Relevant Legal Frameworks and document the conclusions in the AAA System Specifications and Requirements Criteria</p>	
<h2 style="margin: 0;">Regulatory Compliance</h2>			



FHUI	Categories	Audit Criteria	Evaluation Method
	Regulatory Compliance	<p>The AI Compliance Lead shall establish metrics, measurements, and thresholds to determine whether the proposed AAA System has sufficient regulatory compliance, including:</p> <ol style="list-style-type: none"> 1. A dedicated AI Compliance Lead at the vendor 2. A plan for assurance or conformity assessments 3. A plan for regulatory compliance commensurate with Relevant Legal Frameworks such as: <ol style="list-style-type: none"> i. Maintaining Technical Documentation and appropriate record-keeping ii. Filing Corrective Action Reports iii. Registering with the appropriate Supervisory Authority databases iv. Correctly affixing marks of conformity 4. A plan for withdrawing from the market if applicable <p>and document the conclusions in the AAA System Specifications and Requirements Criteria</p>	
Request for Proposal			
	Request for Proposal	<p>In consideration of:</p> <ol style="list-style-type: none"> 1. Code of Ethics 2. Code of Data Ethics 3. Request for Information Evaluation Report <p>and in consultation with:</p> <ol style="list-style-type: none"> 1. The Ethics Committee 	Internal Procedure Manual



FHUI	Categories	Audit Criteria	Evaluation Method
		<p>the AAA System Specifications and Requirements Advisory Team shall augment the following documents:</p> <ul style="list-style-type: none"> A. Statement of Business Needs and Requirements B. Business Rationale Report C. AAA System Specifications and Requirements Criteria <p>with the following information:</p> <ul style="list-style-type: none"> A. Updated problem statement B. Conclusion of whether an AAA System is the most effective solution C. Precise specifications and requirements for the proposed AAA System design, development and deployment D. Determination that the design, development and deployment of the proposed AAA System is auditable E. If applicable, updated acceptable metrics, measurements, and thresholds for: <ul style="list-style-type: none"> i. Environmental impact (e.g., emissions, water usage, disposal) ii. Sustainability characteristics 	
	Request for Proposal	<p>In consideration of:</p> <ul style="list-style-type: none"> 1. Request for Information Evaluation Report 2. AAA System Specifications and Requirements Criteria 3. The Code of Ethics 4. The Code of Data Ethics 5. The planned Scope, Nature, Context, and Purpose 6. The design choices of the proposed AAA System 7. Relevant Legal Frameworks 8. Quality Management Policy <p>and in consultation with:</p> <ul style="list-style-type: none"> 1. The Ethics Committee 	Public Disclosure Document/ Internal Procedure Manual



FHUI	Categories	Audit Criteria	Evaluation Method
		<p>2. The expert legal team (internal or external)</p> <p>3. Top Management and Oversight Bodies, if applicable</p> <p>4. AAA Cybersecurity Lead</p> <p>the AAA System Procurement Team shall assess to determine whether to establish minimum specifications, requirements, and evaluation metrics as applicable for potential vendors:</p> <p>A. Biographical information about the vendor</p> <ol style="list-style-type: none"> i. Financial status ii. Experience iii. Ownership iv. Size, scope of account management team, including their relevant experience v. Jurisdictions of operation in regards to the vendor <p>B. Vendor’s cost structure for the proposed solution</p> <p>C. Ethical Oversight (e.g., Code of Ethics, Code of Data Ethics)</p> <p>D. Industry standards and certifications</p> <p>E. Track record supported by case studies, budget targets and time targets met, including customer references</p> <p>F. Supply chain management</p> <ol style="list-style-type: none"> i. Supply chain due diligence and procurement policy <p>G. Change Management</p> <ol style="list-style-type: none"> i. Change Management Policy <p>and document the conclusions in the Request for Proposal and update the AAA System Specifications and Requirements Criteria</p>	

FHUI	Categories	Audit Criteria	Evaluation Method
	Request for Proposal	<p>In consideration of:</p> <ol style="list-style-type: none"> 1. Request for Information Evaluation Report 2. AAA System Specifications and Requirements Criteria 3. The Code of Ethics 4. The Code of Data Ethics 5. The planned Scope, Nature, Context, and Purpose 6. The design choices of the proposed AAA System 7. Relevant Legal Frameworks 8. Adjustments for Small and Medium Enterprise bids 9. Quality Management Policy <p>and in consultation with:</p> <ol style="list-style-type: none"> 1. The Ethics Committee 2. The expert legal team (internal or external) 3. Top Management and Oversight Bodies, if applicable 4. AAA Cybersecurity Lead <p>the AAA System Procurement Team shall assess to determine whether to establish minimum specifications, requirements, and evaluation metrics as applicable for the proposed AAA System in regards to:</p> <ol style="list-style-type: none"> A. Jurisdictions of operation in regards to the proposed AAA System solution including Relevant Legal Framework compliance (e.g., conformity assessments, certifications, assurance) B. Alignment of the proposed AAA System solution to the identified Scope, Nature, Context, and Purpose C. Range of Scope(s), Nature(s), Context(s), and Purpose(s), if applicable 	



FHUI	Categories	Audit Criteria	Evaluation Method
		<p>D. Proposed AAA System Bill of Materials and/or System of Records and System Architecture Report including processors, third parties, hardware, software, network infrastructure, and data types and flows (e.g., Data Flow Diagram)</p> <p>E. Governance mechanisms:</p> <ul style="list-style-type: none"> i. Ethical oversight <ul style="list-style-type: none"> a. Code of Ethics b. Fundamental Rights Impact Assessment c. A process for assessing Ethical Choice associated with the proposed AAA System d. A process for assessing and assuring mitigation of detrimental Nudges, dark patterns, and Deceptive Design ii. Risk management <ul style="list-style-type: none"> a. Risk Management Policy iii. Data management and governance <ul style="list-style-type: none"> a. Data Management and Governance Policy b. Necessity Assessment c. Data Transparency Document iv. Technical Documentation <ul style="list-style-type: none"> a. System Architecture Report b. System Design Report, if applicable c. Test Completion Report d. Explainability Statement 	



FHUI	Categories	Audit Criteria	Evaluation Method
		<ul style="list-style-type: none"> e. Explainability+ Statement, if applicable f. AAA System Deployer’s Guide v. Event logs vi. Quality management policy vii. Regulatory compliance viii. Decommissioning F. Oversight mechanisms: <ul style="list-style-type: none"> i. Privacy and Data Protection <ul style="list-style-type: none"> a. Data Protection Policy b. Data Security Policy ii. Monitoring: <ul style="list-style-type: none"> a. Monitoring Policy b. Model health and fitness c. Model, Data, Concept Drift and applicable guardrails iii. Control (e.g., Intervenability) iv. Human Oversight on the following scale: <ul style="list-style-type: none"> a. Human Interactions Policy b. Human-in-the-Loop c. Human-in-Command d. Human-the-on-Loop e. Post hoc human review v. Incident response <ul style="list-style-type: none"> a. Incident Response Plan vi. Change management <ul style="list-style-type: none"> a. Version Control and Change log G. Accountability mechanisms: <ul style="list-style-type: none"> i. Bias Mitigation and AAA System Drift <ul style="list-style-type: none"> a. Bias Mitigation Policy ii. Explainability iii. Transparency and technical documentation 	



FHUI	Categories	Audit Criteria	Evaluation Method
		<ul style="list-style-type: none"> iv. Adverse Incident Reporting System v. Exceptions Interpretability H. Capability and technical requirements, including applicable certifications, conformity, or assurances: <ul style="list-style-type: none"> i. Security and cybersecurity <ul style="list-style-type: none"> a. Cybersecurity Risk Management Policy ii. Robustness and resilience (e.g., Business Continuity Plan and Disaster Recovery) iii. Performance: <ul style="list-style-type: none"> a. Functional Correctness b. Response times and latency c. Processing volume iv. Testing and Evaluation v. Logging, record-keeping, and auditability vi. Accessibility <ul style="list-style-type: none"> a. Language and/or translations b. Accommodations c. Modalities I. Acquisition or interface standards J. Limitations and constraints for the proposed AAA System K. Product maturity L. Training and education on the proposed AAA System M. The vendor’s proposed solution(s), including the number of applications of that solution already in the market and applicable certifications or assurance (e.g., independent audit) 	

FHUI	Categories	Audit Criteria	Evaluation Method
		<p>N. Statement of applicable insurance including covered liabilities associated with the proposed AAA System</p> <p>O. Product differentiation</p> <p>P. Proposed AAA System environmental impact (e.g., emissions, water usage, disposal) and sustainability characteristics</p> <p>and document the conclusions in the Request for Proposal and update the AAA System Specifications and Requirements Criteria</p>	
	Request for Proposal	<p>In consideration of:</p> <ol style="list-style-type: none"> 1. Relevant Legal Frameworks 2. Regulatory guidance, as appropriate and applicable 3. AAA System Specifications and Requirements Criteria <p>and in consultation with:</p> <ol style="list-style-type: none"> 1. The expert legal team (internal or external) <p>the AAA System Procurement Team shall augment existing organisation procurement contract stipulations with all of the following:</p> <p>A. Representations, warranties, and indemnifications, as applicable, in regards to:</p> <ol style="list-style-type: none"> i. Upholding performance specifications and requirements, including alignment thresholds (e.g., in regards to Scope, Nature, Context, and Purpose, Model, Data, and/or Concept Drift) ii. Intellectual property rights <ol style="list-style-type: none"> i. Source Data 	Internal Procedure Manual/ Correspondence (internal or external)



FHUI	Categories	Audit Criteria	Evaluation Method
		<ul style="list-style-type: none"> ii. Provider usage of Pipeline Data (e.g., prompt entries) iii. Source Data provided by the Deployer for AAA System customization (e.g., restriction on usage) iii. Cybersecurity measures applicable to the proposed AAA System, including specified Business Continuity associated with the Deployer’s instance of the AAA System iv. Certification, conformity, and/or assurance, if applicable, including maintenance requirements v. Compliance with Relevant Legal Frameworks, consent decree, and/or judicial/legal decisions vi. Insurance for the proposed AAA System liabilities (e.g., upstream third party failures) vii. Personal Data storage, if applicable viii. Personal Data breaches, if applicable B. Delineation of duties between the Deployer and the vendor (e.g., human oversight, monitoring) C. Communications/notifications between and amongst the vendor and Deployer in regards to Incident Response D. Right to audit, as applicable E. Termination rights and process (e.g., de-integration support), including for deviations from specifications and requirements 	



FHUI	Categories	Audit Criteria	Evaluation Method
		and document the conclusions in the Request for Proposal and update the AAA System Specifications and Requirements Criteria	
	Request for Proposal	<p>In consideration of:</p> <ol style="list-style-type: none"> 1. The Request for Proposal in consultation with: <ol style="list-style-type: none"> 1. The expert legal team (internal or external) <p>the AAA System Procurement Team shall assess the Evaluation Scoring system to determine whether to include any of the following external data points in regards to the vendor, their supply chain, and/or the proposed AAA System:</p> <ol style="list-style-type: none"> A. AI Incident Database(s), or similar B. Regulatory enforcement actions C. Social media and news items <p>and augment the Request for Proposal with the conclusions</p>	Internal Procedure Manual
	Request for Proposal	Prior to release of the Request for Proposal, the AAA System Procurement Team shall validate the Request for Proposal with Traceability	Correspondence (internal or external)
RFP Evaluation - Vendor			
	RFP Evaluation - Vendor	If the RFP Evaluation Report requires external input scoring (e.g., Social Media, News, Incident databases) for the vendor and their supply chain organizations then the AAA System Procurement Team shall augment candidate scoring with the input from external sources and document the conclusions in the RFP Evaluation Report	Internal Procedure Manual



FHUI	Categories	Audit Criteria	Evaluation Method
	RFP Evaluation - Vendor	In consideration of: <ol style="list-style-type: none"> 1. Request for Proposal responses regarding vendor biographical details 2. Evaluation metrics from the AAA System Specifications and Requirements Criteria the AAA System Procurement Team shall validate and score responses to identify and rank qualified candidates and document the conclusions in the RFP Evaluation Report	Internal Procedure Manual
	RFP Evaluation - Vendor	In consideration of: <ol style="list-style-type: none"> 1. Cybersecurity and security RFP responses 2. Identified upstream supply chain organizations from the RFP responses the AAA Cybersecurity Lead shall evaluate threat intelligence associated with the qualified candidates and their supply chain organizations to score the responses and augment the RFP Evaluation Report with the conclusions	Internal Procedure Manual
	RFP Evaluation - Vendor	The AAA System Procurement Team shall augment qualified candidate scoring with customer references and document the conclusions in the RFP Evaluation Report	Internal Procedure Manual
<h2>RFP Evaluation - AAA System</h2>			
	RFP Evaluation - AAA System	If the RFP Evaluation Report requires external input scoring (e.g., AI Incident Database, enforcement actions) then the AAA System Procurement Team shall augment candidate scoring with the input from external sources and document the conclusions in the RFP Evaluation Report	Internal Procedure Manual
	RFP Evaluation - AAA System	In consideration of: <ol style="list-style-type: none"> 1. Cybersecurity and security RFP responses 	Internal Procedure Manual



FHUI	Categories	Audit Criteria	Evaluation Method
		2. Identified upstream supply chain organizations from the RFP responses the AAA Cybersecurity Lead shall evaluate threat intelligence associated with the proposed AAA System and its supply chain inputs to score the response and document the conclusion in the RFP Evaluation Report	
	RFP Evaluation - AAA System	In consideration of: <ol style="list-style-type: none"> 1. RFP responses in regards to specifications and requirements 2. Evaluation metrics from the AAA System Specifications and Requirements Criteria the AAA System Procurement Team shall validate and score responses to identify and rank qualified candidates and document the conclusions in the RFP Evaluation Report	Internal Procedure Manual
<h3>RFP Evaluation - Costs</h3>			
	RFP Evaluation - Costs	In consideration of: <ol style="list-style-type: none"> 1. Established budget constraints 2. RFP responses in regards to cost proposals 3. Evaluation metrics from the AAA System Specifications and Requirements Criteria the AAA System Procurement Team shall validate and score responses to identify and rank qualified budget proposals and document the conclusions in the RFP Evaluation Report	Internal Procedure Manual
<h3>RFP Conclusions</h3>			
	RFP Conclusions	In consideration of: <ol style="list-style-type: none"> 1. The RFP Evaluation Report the AAA System Procurement Team shall evaluate the following:	Internal Procedure Manual



FHUI	Categories	Audit Criteria	Evaluation Method
		A. Each vendor and proposed AAA System scoring to determine fairness B. Each vendor and proposed AAA System scoring to determine which AAA System will undergo due diligence and augment the RFP Evaluation Report with the conclusions	
<h3>RFP Due Diligence</h3>			
	RFP Due Diligence	In consideration of: 1. The augmented RFP Evaluation Report the AAA System Procurement Team shall conduct due diligence on the proposed AAA System(s) to validate the vendor responses and document the conclusions in the RFP Evaluation Report	Internal Procedure Manual
<h3>AAA System Integration</h3>			
	AAA System Integration	In consultation with: 1. The AAA System Procurement Team the Algorithmic Risk Committee shall integrate the acquired AAA System into the deployment design including delineating roles and responsibilities with Traceability	Physical Testing/ Correspondence (internal or external)
<h3>Contract Monitoring</h3>			
	Contract Monitoring	In consultation with: 1. The AAA System Procurement Team 2. The expert legal team (internal or external) the Monitoring Lead shall integrate the contract specifications into the monitoring policy, processes, and procedures to determine	Correspondence (internal or external)/ Physical Testing/ Internal log, register, or database



FHUI	Categories	Audit Criteria	Evaluation Method
		whether the AAA System is within specifications and execute the following details: A. Notify the completion of integration with Traceability to Procurement and the AAA System Procurement Team B. Document the conclusion in the Monitoring log and the QMS Audit Report	