Responsible Artificial Intelligence Institute

Deployer's Documentation Checklist:

A deployer, or a third party contracted by a deployer, that deploys a high-risk artificial intelligence system must make the following documentation internally available related to impact assessments:

Fulfilled?	Document Type	Content Requirements
☐	Impact Assessment Statement	A statement by the deployer **disclosing the purpose, intended use cases, and deployment context** of, and **benefits** afforded by, the high-risk AI system.
☐	Impact Assessment Analysis	An analysis of whether the deployment of the system poses any **known risks of algorithmic discrimination, their nature, and steps taken to mitigate the risks.**
☐	Impact Assessment Data Descriptions	A description of the **categories of data** the system processes as **inputs** and the **outputs the system produces.** Includes an **overview** of the categories of **data** the deployer **used to customize the system.**
☐	Impact Assessment Metrics	Overview of **metrics** used to **evaluate the performance and known limitations** of the system.
☐	Description of Transparency Measures	**A description** of any **transparency measures** taken concerning the system, including any measures taken to disclose to a consumer that the system is in use.
☐	Description of monitoring and User Safeguards	**A description** of the **post-deployment monitoring and user safeguards** provided concerning the system, including the **oversight, use, and learning process** established by the deployer to address issues.
☐	Intended Use Statement	In addition to this information, the assessment must include **a statement disclosing** the **extent to which the high-risk system was used in a manner that was consistent with, or varied from, the developer's intended uses of the system.**

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A deployer, or a third party contracted by a deployer, that deploys a high-risk artificial intelligence system must make the following documentation or information available to consumers:*

*To the extent that the deployer withholds information, the deployer must notify the consumer and provide a basis for the withholding.

Fulfilled? (enter x)	Document Type	Content Requirements
☐	Notification of System Use for Consequential Decisions	The deployer must notify the consumer that the deployer has deployed a high-risk system to make, or be a substantial factor in making, a consequential decision before the decision is made. The deployer must provide a **statement disclosing:** • **Purpose** of the system and nature of the decision • **Contact information** for the deployer • **A description** in plain language of the system • **Instructions on how to access the statement** required by this subsection The deployer must provide the notice, statement, contact information, and description required **directly** to the consumer, in **plain language, in all languages** in which the deployer **provides contracts, disclaimers, sale announcements, and other information to consumers,** and in a format that is **accessible to consumers with disabilities.** If the deployer cannot provide the notice, statement, contact information, and description required directly to the consumer, the deployer shall make them available in a manner reasonably calculated to ensure that the consumer receives them.
☐	Notification of Consumer Rights to Opt Out	The deployer must provide to the consumer **information regarding the consumer's right to opt out of the processing of personal data** concerning the consumer for purposes of profiling in furtherance of decisions that produce legal or similarly significant effects concerning the consumer.

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☐	Rationale for Decision Making	If the consequential decision is adverse to the consumer, the developer must provide a **statement disclosing the principal reason or reasons for the decision**, including: ● The **degree to which**, and **manner** in which, the **system contributed to the decision** ● **Type of data** that was processed in making the decision ● **Source or sources of the data** described in this section The developer must also provide: ● An **opportunity to correct any incorrect personal data** that the high-risk system processed in making the decision ● An **opportunity to appeal** an adverse decision concerning the consumer arising from the decision ○ If technically feasible, the appeal **must allow for human review** unless providing the opportunity to appeal is not in the best interest of the consumer, including in instances in which any delay might pose a risk to the life or safety of such consumer
☐	Deployer Inventory Statement	The deployer must **publish a statement** on their website summarizing: ● The **types of high-risk AI systems currently deployed** by the deployer ● **How the deployer manages known risks** of algorithmic discrimination ● The **nature, source, and extent of the information collected and used** by the deployer These requirements **do not apply** if the **deployer:** ● Employs **fewer than 50 full-time employees** ● **Does not use the deployer's own data** to train the high-risk AI system ● The system is **used for the intended uses** that are disclosed to the deployer as required, and **continues learning** based on data derived from sources other than the deployer's own data, and the **deployer makes available to consumers any impact assessment** that: ○ The developer of the system has completed and provided to the deployer ○ Includes information that is substantially similar to the information in the impact assessment required under section 6-1-1703, subsection 3b of the CAIA
☐	Consumer Interaction Disclosure	If a high-risk system is intended to interact with consumers, the deployer must ensure the **disclosure to each consumer who interacts with the system that they are interacting with an AI system.** Disclosure is not required under circumstances in which it would be obvious to a reasonable person that the person is interacting with an AI system.

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A deployer, or a third party contracted by a deployer, that deploys a high-risk artificial intelligence system must make the following documentation or information available to the Attorney General:

Fulfilled? (enter x)	Document Type	Content Requirements
☐	Notice of Discovery	If the deployer subsequently discovers the high-risk system caused algorithmic discrimination, the **deployer must send the Attorney General notice disclosing the discovery.**

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