Responsible Artificial Intelligence Institute

Developer's Documentation Checklist:

A developer of a high-risk artificial intelligence system must make the following documentation available to the deployer or other developer of the high-risk artificial intelligence system:

Fulfilled?	Document Type	Content Requirements
☐	General Statement	Describes the reasonably foreseeable uses and known harmful or inappropriate uses of the high-risk AI system. **Discloses:** ● **High-level summaries** of the **type of data** used to train the high-risk AI system ● Known or reasonably foreseeable **limitations** of the high-risk AI system, including known or reasonably foreseeable risks of algorithmic discrimination arising from the intended uses of the high-risk AI system ● The **purpose** of the high-risk AI system ● The **intended benefits and uses** of the high-risk AI system ● All other information necessary to allow the **deployer to comply with the requirements of section 6-1-1703 of the CAIA** (Deployer duty to avoid algorithmic discrimination - risk management policy and program)
☐	Evaluation Criteria	**How the system was evaluated for performance and mitigation of algorithmic discrimination** before the high-risk AI system was offered, sold, leased, licensed, given, or otherwise made available to the deployer.
☐	Data Governance Measures	The measures used to cover the **training datasets** and the measures used to examine the **suitability of data sources**, possible biases, and appropriate mitigation.
☐	Intended Outputs	The **intended outputs** of the high-risk AI system.
☐	Algorithmic Discrimination Measures	**Measures the developer has taken to mitigate known or reasonably foreseeable risks of algorithmic discrimination** that may arise from the reasonably foreseeable deployment of the high-risk system.
☐	Intended Uses	**How the system should be used, not be used, and be monitored** by an individual when the high-risk system is used to make, or is a substantial factor in making, a consequential decision.

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☐	Description of Outputs	Any additional documentation reasonably necessary to **assist the deployer in understanding the outputs and monitor the performance** of the high-risk AI system for risks of algorithmic discrimination.
☐	System Artifacts	The documentation and information**,** through **artifacts such as model cards, dataset cards, or other impact assessments, necessary** for a deployer, or for a third party contracted by a deployer, to complete an impact assessment…(A developer that also serves as a deployer for a high risk AI system is not required to generate the documentation required by this section)
☐	Public Inventory Statement	In a manner that is clear and readily available on the developer's website or in a public use case inventory, a **statement summarizing:** ● The **types of high-risk AI system the developer has developed or intentionally and substantially modified** and currently makes available to a developer or other developer ● **How the developer manages known or reasonably foreseeable risks of algorithmic discrimination** that may arise from the development or intentional and substantial modification of the systems described
☐	Risk Mapping	The developer must disclose to the Attorney General, *in a form and manner prescribed by the Attorney General*, and to all known deployers or other developers of the high-risk system, **any known or reasonably foreseeable risks of algorithmic discrimination arising from the intended uses of the high-risk system.**
☐	Risk Management Policy & Program	A risk management policy and program to **govern the deployer's deployment of the high-risk system**. The risk management policy and program must **specify and incorporate the principles, processes, and personnel** the deployer **uses to identify, document, and mitigate known or reasonably foreseeable risks of algorithmic discrimination.**The CAIA also requires the policy and program be reasonable considering the NIST RMF, ISO 42001, and nationally or internationally recognized risk management frameworks.

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