

Accountability Goals

Goal A1: Impact assessment

Microsoft AI systems are assessed using Impact Assessments.

Applies to: All AI systems.

Requirements

A1.1 Assess the impact of the system on people, organizations, and society by completing an Impact Assessment early in the system's development, typically when defining the product vision and requirements. Document the effort using the Impact Assessment template provided by the Office of Responsible AI.

Tags: Impact Assessment.

A1.2 Review the completed Impact Assessment with the reviewers identified according to your organization's compliance process before development starts. Secure all required approvals from those reviewers.

Tags: Impact Assessment.

A1.3 Update and review the Impact Assessment at least annually, when new intended uses are added, and before advancing to a new release stage.

Tags: Impact Assessment.

Goal A2: Oversight of significant adverse impacts

Microsoft AI systems are reviewed to identify systems that may have a significant adverse impact on people, organizations, and society, and additional oversight and requirements are applied to those systems.

Applies to: All AI systems.

Requirements

A2.1 Review defined Restricted Uses to determine whether the system meets the definition of any Restricted Use. If it does, document this in the Impact Assessment, and follow the requirements for the Restricted Use.

Tags: Impact Assessment.

A2.2 Answer prompts in the Impact Assessment template to determine whether the system meets the definition of a Sensitive Use. If it does, report it to the Office of Responsible AI, and follow any additional requirements resulting from a Sensitive Uses review.

Tags: Impact Assessment.

A2.3 Review your systems at least annually against the definitions for Sensitive Uses and Restricted Uses. If there are systems that meet the criteria for Sensitive Uses, report them to the Office of Responsible AI. If there are systems that meet the criteria for Restricted Uses, notify the Office of Responsible AI.

Goal A3: Fit for purpose

Microsoft AI systems are fit for purpose in the sense that they provide valid solutions for the problems they are designed to solve.

Applies to: All AI systems.

Requirements

A3.1 Document in the Impact Assessment how the system's use will solve the problem posed by each intended use, recognizing that there may be multiple valid ways in which to solve the problem.

Tags: Impact Assessment.

A3.2 Define and document for each model in the AI system:

- 1) the model's *proposed inputs* and how well they represent the concepts they are intended to represent; include analysis of the limitations of this representation,
- 2) the model's *proposed output* and how well it represents the concept it is intended to represent; include analysis of the limitations of this representation, and
- 3) limitations to the generalizability of the resulting model based on the training and testing data that will be used.

A3.3 Define and document Responsible Release Criteria for this Goal. Include:

- 1) a concise definition of the problem being solved in the intended use,
- 2) performance metrics and their Responsible Release Criteria, and
- 3) error types and their Responsible Release Criteria.

A3.4 Document an evaluation plan for each of the performance metrics and error types.

Tags: Ongoing Evaluation Checkpoint.

A3.5 Use the methods defined in requirement A3.4 to conduct evaluations. Document the pre-release results of the evaluations. Determine and document how often ongoing evaluation should be conducted to continue supporting this Goal.

Tags: Ongoing Evaluation Checkpoint.

A3.6 Provide documentation to customers which describes the system's:

- 1) intended uses, and
- 2) evidence that the system is fit for purpose for each intended use.

When the system is a platform service made available to external customers or partners, include this information in the required Transparency Note.

Tags: Transparency Note.

A3.7 If an intended use is not supported by evidence, or if evidence comes to light that refutes that the system is fit for purpose for the intended use at any point in the system's use:

- 1) remove the intended use from customer-facing materials and make current customers aware of the issue, take action to close the identified gap, or discontinue the system,
- 2) revise documentation related to the intended use, and
- 3) publish the revised documentation to customers.

When the system is a platform service made available to external customers or partners, include this information in the required Transparency Note.

A3.8 Communicate with care about system benefits; follow any applicable guidance from your attorney.

Goal A4: Data governance and management

Microsoft AI systems are subject to appropriate data governance and management practices.

Applies to: All AI systems.

Requirements

A4.1 Define and document data requirements with respect to the system's intended uses, stakeholders, and the geographic areas where the system will be deployed. Document these requirements in the Impact Assessment.

Tags: Impact Assessment.

A4.2 Define and document procedures for the collection and processing of data, to include annotation, labelling, cleaning, enrichment, and aggregation, where relevant.

A4.3 If you plan to use existing data sets to train the system, assess the quantity and suitability of available data sets that will be needed by the system in relation to the data requirements defined in A4.1. Document this assessment in the Impact Assessment.

Tags: Impact Assessment.

A4.4 Define and document methods for evaluating data to be used by the system against the requirements defined in A4.1.

A4.5 Evaluate all data sets using the methods defined in requirement A4.4. Document the results of the evaluation.