

Appendix A: AI Impact Assessment (AIIA) Template
For High-Risk AI Systems

Section	Details	Guidance
1. System Overview	<ul style="list-style-type: none">- AI System Name & ID- Purpose/Function- Stakeholders	Describe the AI’s role, target users, and business objectives.
2. Risk Categorization	<ul style="list-style-type: none">- EU AI Act Risk Level (Unacceptable/High/Minimal)- Risk Matrix (Likelihood vs. Impact)	Use the EU AI Act’s Annex III for risk classification.
3. Ethical Considerations	<ul style="list-style-type: none">- Potential Biases Identified- Privacy Risks (GDPR alignment)- Human Oversight Plan	Reference IBM AI Fairness 360 results or similar tools.
4. Mitigation Strategies	<ul style="list-style-type: none">- Technical Safeguards (e.g., adversarial testing)- Operational Protocols (e.g., fallback mechanisms)	Align with NIST AI RMF guidelines.
5. Compliance Checks	<ul style="list-style-type: none">- CE Marking Requirements- GDPR/DPIA Status- Transparency Measures	Attach conformity assessment reports or privacy certifications.
6. Approval	<ul style="list-style-type: none">- Assessor Name/Signature- AI Ethics Committee Review Date	Mandatory for high-risk systems.

Appendix B: Algorithmic Transparency Report Example
AI System: Customer Credit Scoring Model

Section	Content
1. Introduction	<ul style="list-style-type: none">- Purpose: Automate credit eligibility decisions.- Regulatory Scope: EU AI Act (High-Risk).
2. Data Sources	<ul style="list-style-type: none">- Training Data: Historical loan data (2015–2023).- Anonymization: Applied differential privacy.
3. Model Logic	<ul style="list-style-type: none">- Algorithm: XGBoost classifier.- Key Features: Income, credit history, debt ratio.
4. Bias Analysis	<ul style="list-style-type: none">- Tool Used: IBM AI Fairness 360.- Findings: 5% disparity in approval rates for age groups 18–25.- Mitigation: Rebalanced training data.
5. User Communication	<ul style="list-style-type: none">- Disclosure: “This decision was made by an AI system. Contact support for details.”

Section	Content
6. Compliance Status	- CE Marking: Pending (AIIA submitted Q3 2024).
	- GDPR: Compliant (DPIA completed).

Appendix C: Training Program Syllabus

Ethical AI Training for Employees

Module	Content	Duration Format	
1. EU AI Act Basics	- Prohibited AI practices - High-risk system obligations	2 hours	E-learning
2. GDPR & Data Privacy	- Data anonymization techniques - DPIA requirements	1.5 hours	Workshop
3. Bias Mitigation	- Tools: IBM AI Fairness 360, Microsoft Fairlearn - Case studies	3 hours	Hands-on Lab
4. Transparency Tools	- Drafting algorithmic reports - User disclosure best practices	1 hour	E-learning
Assessment	- Final Quiz (80% pass rate) - Certification for technical teams	-	Online Portal

Appendix D: Incident Response Plan Template

For AI System Failures or Breaches

Step	Action	Responsible Party
1. Detection	- Flag anomalies via Splunk/Fiddler AI alerts.	IT Team
2. Containment	- Isolate affected systems; activate fallback protocols.	AI Governance Task Force
3. Reporting	- Notify Data Protection Officer (DPO) within 72 hours (GDPR Article 33).	Legal Team
4. Investigation	- Root cause analysis; update risk register.	AI Ethics Committee
5. Communication	- Issue public disclosure if user impact (e.g., biased outcomes).	PR & Compliance Teams

Appendix E: AI Audit Trail Template

Tools: IBM OpenPages, OneTrust

Field	Example Entry
AI System	HR Recruitment Algorithm v2.1
Decision Date	15 March 2024
Action Taken	Model retrained after bias audit detected gender disparity.
Approver	Jane Doe (AI Ethics Officer)
Compliance Status	Aligned with EU AI Act Article 9 (Human Oversight).

These appendices operationalize the policy, ensuring clarity and compliance.