Custom Solutions Responsible AI Impact Assessment for [System Name]

This impact assessment template is for custom solutions, as defined in [this guidance document](https://aka.ms/RAICustomSolutions). If your project does not meet the definition of a custom solution, please complete an impact assessment using the appropriate template:

* [Responsible AI Impact Assessment for Microsoft owned and operated AI systems](https://microsoft.sharepoint.com/:w:/s/ResponsibleAI/EYUk27UZwnhMk7vNkyrCcEcBr2JAcf05cDTAdB69BypfbQ?e=wg1l5p)
* [Responsible AI Impact Assessment for the organization Technology and Research (T&R)](https://aka.ms/tnrresearchia)

An Impact Assessment must be completed to comply with the [**Responsible AI Standard for custom solutions.**](https://aka.ms/RAIScustomSolutionsDoc) In the Impact Assessment you will identify the potential impact of an AI system on people, organizations, and society; assess whether a Sensitive Uses review is necessary; and determine which Goals of the Responsible AI Standard apply to the system. This template supports the Impact Assessment requirement defined in the Responsible AI Standard. When you complete or update the Impact Assessment, ensure that the individuals required by your organization and named below have reviewed the document. If you have a [**Lead Responsible AI**](https://aka.ms/FindYourRAIChamp) **Champ** contact them for more information. For additional information, please refer to the resources on the [**Impact Assessment homepage**](https://aka.ms/RAIImpactAssessment)**.** For questions about specific sections within the Impact Assessment, please refer to the [**guidance & activities deck**](https://aka.ms/RAIImpactAssessmentGuidance).

Guidance for Custom Solutions: Some Custom Solutions may not need to complete a full Impact Assessment during the initial pass (only completing the Impact Assessment in full if the project moves past a certain threshold). This template keeps the original structure of the Impact Assessment while providing implementation guidance specifying which questions need to be answered first and which can wait for a second pass. **Questions marked “A” should be completed in the first pass (to assess whether the contract should be pursued and if a Sensitive Use review needs to be conducted)** and questions marked “B” can be completed on a second pass if the project proceeds past initial stages.

# Section 1: System Information

## System profile - A

**1.1** Complete the system information below.

|  |  |
| --- | --- |
| System/Project Name | ##SOLUTION\_NAME |
| Project ID |  |
| Team name |  |

Track revision history below.

|  |  |
| --- | --- |
| Authors |  |
| Last updated |  |

Identify the individuals who will review your Impact Assessment when it is completed.

|  |  |
| --- | --- |
| Program Manager (PM) |  |
| RAI Champ |  |
| Key team members |  |
| Others designated by your organization |  |

## Type of engagement - A

**1.2** Indicate the type of engagement below.

|  |  |
| --- | --- |
| Date | Lifecycle Stage |
|  | **Pre-sales Proof of concept (POC).** |
|  | **Pilot.** |
|  | **MVP.** |
|  | **Phase 1 of a committed project.** |
|  | **Co-innovation engagement.** |
|  | **Other:** |

*Select the description(s) which best describes the engagement below:*

|  |  |
| --- | --- |
| Check all that apply | Type of Engagement |
|  | **Partner led.** |
|  | **ISD led.** |
|  | **Funded.** |
|  | **Unfunded.** |

## System description & purpose - A

**1.3** Briefly explain, in plain language, what you’re building. This will give potential reviewers the necessary context to understand the system and the environment in which it operates. Briefly describe the purpose of the system and system features, focusing on how the system will address customer needs. Explain how the AI technology contributes to achieving these objectives.

|  |
| --- |
| System description |
| ##SOLUTION\_DESCRIPTION |

If you have links to any supplementary information on the system such as demos, specs, decks, or system architecture diagrams, please include links below.

|  |  |
| --- | --- |
| Description of supplementary information | Link |
| ##SUPPLEMENTARY\_INFORMATION\_01 | ##SUPPLEMENTARY\_INFORMATION\_LINK\_01 |
| ##SUPPLEMENTARY\_INFORMATION\_02 | ##SUPPLEMENTARY\_INFORMATION\_LINK\_02 |
| ##SUPPLEMENTARY\_INFORMATION\_03 | ##SUPPLEMENTARY\_INFORMATION\_LINK\_03 |
| ##SUPPLEMENTARY\_INFORMATION\_04 | ##SUPPLEMENTARY\_INFORMATION\_LINK\_04 |
| ##SUPPLEMENTARY\_INFORMATION\_05 | ##SUPPLEMENTARY\_INFORMATION\_LINK\_05 |

## System features - A

**1.5** Focusing on the whole system, briefly describe the system features or high-level feature areas that already exist and those planned for the upcoming release.

|  |  |
| --- | --- |
| Existing system features | System features planned for the upcoming release |
| ##EXISTING\_FEATURE\_01 | ##UPCOMING\_FEATURE\_01 |
| ##EXISTING\_FEATURE\_02 | ##UPCOMING\_FEATURE\_02 |
| ##EXISTING\_FEATURE\_03 | ##UPCOMING\_FEATURE\_03 |
| ##EXISTING\_FEATURE\_04 | ##UPCOMING\_FEATURE\_04 |
| ##EXISTING\_FEATURE\_05 | ##UPCOMING\_FEATURE\_05 |
| ##EXISTING\_FEATURE\_06 | ##UPCOMING\_FEATURE\_06 |
| ##EXISTING\_FEATURE\_07 | ##UPCOMING\_FEATURE\_07 |
| ##EXISTING\_FEATURE\_08 | ##UPCOMING\_FEATURE\_08 |
| ##EXISTING\_FEATURE\_09 | ##UPCOMING\_FEATURE\_09 |
| ##EXISTING\_FEATURE\_10 | ##UPCOMING\_FEATURE\_10 |

Briefly describe how this system relates to other systems or products. For example, describe if the system includes models from other systems.

|  |
| --- |
| Relation to other product/features |
| ##RELATION\_TO\_OTHER\_FEATURES |

## Geographic areas and languages - A

**1.6** Describe where the system will or might be deployed to identify special considerations for language, laws, and culture.

|  |  |
| --- | --- |
| The system is currently deployed to: | ##CURRENT\_DEPLOYMENT\_LOCATION |
| In the upcoming release, the system will be deployed to: | ##UPCOMING\_RELEASE\_DEPLOYMENT\_LOCATIONS |
| In the future, the system might be deployed to: | ##FUTURE\_DEPLOYMENT\_LOCATIONS |

For natural language processing systems, describe supported languages:

|  |  |
| --- | --- |
| The system currently supports: | ##CURRENT\_SUPPORTED\_LANGUAGES |
| In the upcoming release, the system will support: | ##UPCOMING\_RELEASE\_SUPPORTED\_LANGUAGES |
| In the future, the system might support: | ##FUTURE\_SUPPORTED\_LANGUAGES |

## Deployment mode - A

**1.7** Document each way that this system might be deployed.

|  |  |
| --- | --- |
| How is the system currently deployed? | ##CURRENT\_SOLUTION\_DEPLOYMENT\_METHOD |
| Will the deployment mode change in the upcoming release? If so, how? | ##UPCOMING\_RELEASE\_SOLUTION\_DEPLOYMENT\_METHOD |
| Note where the cloud may not be Azure. | ##CLOUD\_PLATFORM |

## Intended uses - A

**1.8** Intended uses are the uses of the system your team is designing and testing for. An intended use is a description of who will use the system, for what task or purpose, and where they are when using the system. They are not the same as system features. Fill in the table with a description of the system’s intended use(s).

|  |  |
| --- | --- |
| Name of intended use(s) | Description of intended use(s) |
| 1. ##INTENDED\_USE\_01 | ##INTENDED\_USE\_DESCRIPTION\_01 |
| 2. ##INTENDED\_USE\_02 | ##INTENDED\_USE\_DESCRIPTION\_02 |
| 3. ##INTENDED\_USE\_03 | ##INTENDED\_USE\_DESCRIPTION\_03 |
| 4. ##INTENDED\_USE\_04 | ##INTENDED\_USE\_DESCRIPTION\_04 |
| 5. ##INTENDED\_USE\_05 | ##INTENDED\_USE\_DESCRIPTION\_05 |
| 6. ##INTENDED\_USE\_06 | ##INTENDED\_USE\_DESCRIPTION\_06 |
| 7. ##INTENDED\_USE\_07 | ##INTENDED\_USE\_DESCRIPTION\_07 |
| 8. ##INTENDED\_USE\_08 | ##INTENDED\_USE\_DESCRIPTION\_08 |
| 9. ##INTENDED\_USE\_09 | ##INTENDED\_USE\_DESCRIPTION\_09 |
| 10. ##INTENDED\_USE\_10 | ##INTENDED\_USE\_DESCRIPTION\_10 |

# Section 2: Intended Uses

## Intended use #1: ##INTENDED\_USE\_NAME\_01

### Assessment of fitness for purpose - A

**2.1** Assess 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.

|  |
| --- |
| Assessment of fitness for purpose |
| ##ASSESSMENT\_OF\_FITNESS\_FOR\_PURPOSE\_IU01 |

### Stakeholders, potential benefits, and potential harms - A

**2.2** Identify the system’s stakeholders for this intended use. Then, for each stakeholder, document the potential benefits and potential harms. For more information, including prompts, see the [**guidance & activities deck**](https://aka.ms/RAIImpactAssessmentGuidance).

|  |  |  |
| --- | --- | --- |
| Stakeholders | Potential system benefits | Potential system harms |
| 1. ##STAKEHOLDER\_01\_IU01 | ##STAKEHOLDER\_BENEFITS\_01\_IU01 | ##STAKEHOLDER\_HARMS\_01\_IU01 |
| 2. ##STAKEHOLDER\_02\_IU01 | ##STAKEHOLDER\_BENEFITS\_02\_IU01 | ##STAKEHOLDER\_HARMS\_02\_IU01 |
| 3. ##STAKEHOLDER\_03\_IU01 | ##STAKEHOLDER\_BENEFITS\_03\_IU01 | ##STAKEHOLDER\_HARMS\_03\_IU01 |
| 4. ##STAKEHOLDER\_04\_IU01 | ##STAKEHOLDER\_BENEFITS\_04\_IU01 | ##STAKEHOLDER\_HARMS\_04\_IU01 |
| 5. ##STAKEHOLDER\_05\_IU01 | ##STAKEHOLDER\_BENEFITS\_05\_IU01 | ##STAKEHOLDER\_HARMS\_05\_IU01 |
| 6. ##STAKEHOLDER\_06\_IU01 | ##STAKEHOLDER\_BENEFITS\_06\_IU01 | ##STAKEHOLDER\_HARMS\_06\_IU01 |
| 7. ##STAKEHOLDER\_07\_IU01 | ##STAKEHOLDER\_BENEFITS\_07\_IU01 | ##STAKEHOLDER\_HARMS\_07\_IU01 |
| 8. ##STAKEHOLDER\_08\_IU01 | ##STAKEHOLDER\_BENEFITS\_08\_IU01 | ##STAKEHOLDER\_HARMS\_08\_IU01 |
| 9. ##STAKEHOLDER\_09\_IU01 | ##STAKEHOLDER\_BENEFITS\_09\_IU01 | ##STAKEHOLDER\_HARMS\_09\_IU01 |
| 10. ##STAKEHOLDER\_10\_IU01 | ##STAKEHOLDER\_BENEFITS\_10\_IU01 | ##STAKEHOLDER\_HARMS\_10\_IU01 |

### Stakeholders for Goal-driven requirements from the Responsible AI Standard - B

**2.3** Certain Goals in the Responsible AI Standard require you to identify specific types of stakeholders. You may have included them in the stakeholder table above. For the Goals below that apply to the system, identify the specific stakeholder(s) for this intended use. If a Goal does not apply to the system, enter “N/A” in the table.

#### Goal A5: Human oversight and control

This Goal applies to all AI systems. Complete the table below.

|  |  |
| --- | --- |
| Who is responsible for troubleshooting, managing, operating, overseeing and controlling the system during and after deployment? | For these stakeholders, identify their oversight and control responsibilities. |
| ##HUMAN\_OVERSIGHT\_IU01 | ##HUMAN\_RESPONSIBILITIES\_IU01 |

#### Goal T3: Disclosure of AI interaction

This Goal applies to AI systems that impersonate interactions with humans, unless it is obvious from the circumstances or context of use that an AI system is in use and AI systems that generate or manipulate image, audio, or video content that could falsely appear to be authentic. If this Goal applies to the system, complete the table below.

|  |
| --- |
| Who will use or be exposed to the system? |
| ##DISCLOSURE\_AND\_AI\_INTERACTION\_IU01 |

### Technology readiness assessment - B

**2.4** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select one** | Technology Readiness |
| ##TECH\_ASSESSMENT\_01\_IU01 | System includes AI supported by basic research and has not yet been deployed to production systems at scale for similar uses. |
| ##TECH\_ASSESSMENT\_02\_IU01 | System includes AI supported by evidence demonstrating feasibility for uses similar to this intended use in production systems. |
| ##TECH\_ASSESSMENT\_03\_IU01 | First time that one or more system component(s) are to be validated in relevant environment(s) for the key intended use. Operational conditions that can be supported have not yet been completely defined and evaluated. |
| ##TECH\_ASSESSMENT\_04\_IU01 | First time the whole system will be validated in relevant environment(s) for the key intended use. Operational conditions that can be supported will also be validated. Alternatively, nearly similar systems or nearly similar methods have been applied by other organizations with defined success. |
| ##TECH\_ASSESSMENT\_05\_IU01 | Whole system has been deployed for all intended uses, and operational conditions have been qualified through testing and uses in production. |

### Task complexity - B

**2.5** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select One** | **Task Complexity** |
| ##TASK\_COMPLEXITY\_01\_IU01 | Simple tasks, such as classification based on few features into a few categories with clear boundaries. For such decisions, humans could easily agree on the correct answer, and identify mistakes made by the system. *For example, a natural language processing system that checks spelling in documents.* |
| ##TASK\_COMPLEXITY\_02\_IU01 | Moderately complex tasks, such as classification into a few categories that are subjective. Typically, ground truth is defined by most evaluators arriving at the same answer. *For example, a natural language processing system that autocompletes a word or phrase as the user is typing.* |
| ##TASK\_COMPLEXITY\_03\_IU01 | Complex tasks, such as models based on many features, not easily interpretable by humans, resulting in highly variable predictions without clear boundaries between decision criteria. For such decisions, humans would have a difficult time agreeing on the best answer, and there may be no clearly incorrect answer. *For example, a natural language processing system that generates prose based on user input prompts.* |

### Role of humans - B

**2.6** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select One** | **Role of humans** |
| ##ROLE\_OF\_HUMAN\_01\_IU01 | People will be responsible for troubleshooting triggered by system alerts but will not be otherwise overseeing system operation. *For example, a loan application processing system that only alerts the operator in case of issues like missing data fields.* |
| ##ROLE\_OF\_HUMAN\_02\_IU01 | The system will support escalation and effective hand-off to people but will be designed to automate most use. *For example, a loan application processing system that can be configured by customers to alert the operator when there are suspected data errors based on expected input.* |
| ##ROLE\_OF\_HUMAN\_03\_IU01 | The system will require escalation and effective hand-off to people but will be designed to automate most use*. For example, a loan application processing system that will automatically (regardless of customer configuration) alert the operator when errors are suspected.* |
| ##ROLE\_OF\_HUMAN\_04\_IU01 | People will evaluate system outputs and can intervene before any action is taken: the system will proceed unless the reviewer intervenes. *For example, a loan application processing system which will deliver reports of decisions to the loan officer but will submit the decision unless the loan officer intervenes.* |
| ##ROLE\_OF\_HUMAN\_05\_IU01 | People will make decisions based on output provided by the system: the system will not proceed unless a person approves*. For example, a loan application processing system that does not make the final loan approval decision without approval from the loan officer.* |

### Deployment environment complexity - B

**2.7** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select One** | **Deployment environment complexity** |
| ##DEPLOYMENT\_COMPLEXITY\_01\_IU01 | Simple environment, such as when the deployment environment is static, possible input options are limited, and there are few unexpected situations that the system must deal with gracefully. *For example, a natural language processing system used in a controlled research environment.* |
| ##DEPLOYMENT\_COMPLEXITY\_02\_IU01 | Moderately complex environment, such as when the deployment environment varies, unexpected situations the system must deal with gracefully may occur, but when they do, there is little risk to people, and it is clear how to effectively mitigate issues. *For example, a natural language processing system used in a corporate workplace where language is professional and communication norms change slowly.* |
| ##DEPLOYMENT\_COMPLEXITY\_03\_IU01 | Complex environment, such as when the deployment environment is dynamic; the system will be deployed in an open and unpredictable environment or may be subject to drifts in input distributions over time. There are many possible types of inputs, and inputs may significantly vary in quality. Time and attention may be at a premium in making decisions and it can be difficult to mitigate issues. *For example, a natural language processing system used on a social media platform where language and communication norms change rapidly.* |

## Intended use #2: ##INTENDED\_USE\_NAME\_02

### Assessment of fitness for purpose - A

**2.1** Assess 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.

|  |
| --- |
| Assessment of fitness for purpose |
| ##ASSESSMENT\_OF\_FITNESS\_FOR\_PURPOSE\_IU02 |

### Stakeholders, potential benefits, and potential harms - A

**2.2** Identify the system’s stakeholders for this intended use. Then, for each stakeholder, document the potential benefits and potential harms. For more information, including prompts, see the [**guidance & activities deck**](https://aka.ms/RAIImpactAssessmentGuidance).

|  |  |  |
| --- | --- | --- |
| Stakeholders | Potential system benefits | Potential system harms |
| 1. ##STAKEHOLDER\_01\_IU02 | ##STAKEHOLDER\_BENEFITS\_01\_IU02 | ##STAKEHOLDER\_HARMS\_01\_IU02 |
| 2. ##STAKEHOLDER\_02\_IU02 | ##STAKEHOLDER\_BENEFITS\_02\_IU02 | ##STAKEHOLDER\_HARMS\_02\_IU02 |
| 3. ##STAKEHOLDER\_03\_IU02 | ##STAKEHOLDER\_BENEFITS\_03\_IU02 | ##STAKEHOLDER\_HARMS\_03\_IU02 |
| 4. ##STAKEHOLDER\_04\_IU02 | ##STAKEHOLDER\_BENEFITS\_04\_IU02 | ##STAKEHOLDER\_HARMS\_04\_IU02 |
| 5. ##STAKEHOLDER\_05\_IU02 | ##STAKEHOLDER\_BENEFITS\_05\_IU02 | ##STAKEHOLDER\_HARMS\_05\_IU02 |
| 6. ##STAKEHOLDER\_06\_IU02 | ##STAKEHOLDER\_BENEFITS\_06\_IU02 | ##STAKEHOLDER\_HARMS\_06\_IU02 |
| 7. ##STAKEHOLDER\_07\_IU02 | ##STAKEHOLDER\_BENEFITS\_07\_IU02 | ##STAKEHOLDER\_HARMS\_07\_IU02 |
| 8. ##STAKEHOLDER\_08\_IU02 | ##STAKEHOLDER\_BENEFITS\_08\_IU02 | ##STAKEHOLDER\_HARMS\_08\_IU02 |
| 9. ##STAKEHOLDER\_09\_IU02 | ##STAKEHOLDER\_BENEFITS\_09\_IU02 | ##STAKEHOLDER\_HARMS\_09\_IU02 |
| 10. ##STAKEHOLDER\_10\_IU02 | ##STAKEHOLDER\_BENEFITS\_10\_IU02 | ##STAKEHOLDER\_HARMS\_10\_IU02 |

### Stakeholders for Goal-driven requirements from the Responsible AI Standard - B

**2.3** Certain Goals in the Responsible AI Standard require you to identify specific types of stakeholders. You may have included them in the stakeholder table above. For the Goals below that apply to the system, identify the specific stakeholder(s) for this intended use. If a Goal does not apply to the system, enter “N/A” in the table.

#### Goal A5: Human oversight and control

This Goal applies to all AI systems. Complete the table below.

|  |  |
| --- | --- |
| Who is responsible for troubleshooting, managing, operating, overseeing and controlling the system during and after deployment? | For these stakeholders, identify their oversight and control responsibilities. |
| ##HUMAN\_OVERSIGHT\_IU02 | ##HUMAN\_RESPONSIBILITIES\_IU02 |

#### Goal T3: Disclosure of AI interaction

This Goal applies to AI systems that impersonate interactions with humans, unless it is obvious from the circumstances or context of use that an AI system is in use and AI systems that generate or manipulate image, audio, or video content that could falsely appear to be authentic. If this Goal applies to the system, complete the table below.

|  |
| --- |
| Who will use or be exposed to the system? |
| ##DISCLOSURE\_AND\_AI\_INTERACTION\_IU02 |

### Technology readiness assessment - B

**2.4** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select one** | Technology Readiness |
| ##TECH\_ASSESSMENT\_01\_IU02 | System includes AI supported by basic research and has not yet been deployed to production systems at scale for similar uses. |
| ##TECH\_ASSESSMENT\_02\_IU02 | System includes AI supported by evidence demonstrating feasibility for uses similar to this intended use in production systems. |
| ##TECH\_ASSESSMENT\_03\_IU02 | First time that one or more system component(s) are to be validated in relevant environment(s) for the key intended use. Operational conditions that can be supported have not yet been completely defined and evaluated. |
| ##TECH\_ASSESSMENT\_04\_IU02 | First time the whole system will be validated in relevant environment(s) for the key intended use. Operational conditions that can be supported will also be validated. Alternatively, nearly similar systems or nearly similar methods have been applied by other organizations with defined success. |
| ##TECH\_ASSESSMENT\_05\_IU02 | Whole system has been deployed for all intended uses, and operational conditions have been qualified through testing and uses in production. |

### Task complexity - B

**2.5** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select One** | **Task Complexity** |
| ##TASK\_COMPLEXITY\_01\_IU02 | Simple tasks, such as classification based on few features into a few categories with clear boundaries. For such decisions, humans could easily agree on the correct answer, and identify mistakes made by the system. *For example, a natural language processing system that checks spelling in documents.* |
| ##TASK\_COMPLEXITY\_02\_IU02 | Moderately complex tasks, such as classification into a few categories that are subjective. Typically, ground truth is defined by most evaluators arriving at the same answer. *For example, a natural language processing system that autocompletes a word or phrase as the user is typing.* |
| ##TASK\_COMPLEXITY\_03\_IU02 | Complex tasks, such as models based on many features, not easily interpretable by humans, resulting in highly variable predictions without clear boundaries between decision criteria. For such decisions, humans would have a difficult time agreeing on the best answer, and there may be no clearly incorrect answer. *For example, a natural language processing system that generates prose based on user input prompts.* |

### Role of humans - B

**2.6** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select One** | **Role of humans** |
| ##ROLE\_OF\_HUMAN\_01\_IU02 | People will be responsible for troubleshooting triggered by system alerts but will not be otherwise overseeing system operation. *For example, a loan application processing system that only alerts the operator in case of issues like missing data fields.* |
| ##ROLE\_OF\_HUMAN\_02\_IU02 | The system will support escalation and effective hand-off to people but will be designed to automate most use. *For example, a loan application processing system that can be configured by customers to alert the operator when there are suspected data errors based on expected input.* |
| ##ROLE\_OF\_HUMAN\_03\_IU02 | The system will require escalation and effective hand-off to people but will be designed to automate most use*. For example, a loan application processing system that will automatically (regardless of customer configuration) alert the operator when errors are suspected.* |
| ##ROLE\_OF\_HUMAN\_04\_IU02 | People will evaluate system outputs and can intervene before any action is taken: the system will proceed unless the reviewer intervenes. *For example, a loan application processing system which will deliver reports of decisions to the loan officer but will submit the decision unless the loan officer intervenes.* |
| ##ROLE\_OF\_HUMAN\_05\_IU02 | People will make decisions based on output provided by the system: the system will not proceed unless a person approves*. For example, a loan application processing system that does not make the final loan approval decision without approval from the loan officer.* |

### Deployment environment complexity - B

**2.7** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select One** | **Deployment environment complexity** |
| ##DEPLOYMENT\_COMPLEXITY\_01\_IU02 | Simple environment, such as when the deployment environment is static, possible input options are limited, and there are few unexpected situations that the system must deal with gracefully. *For example, a natural language processing system used in a controlled research environment.* |
| ##DEPLOYMENT\_COMPLEXITY\_02\_IU02 | Moderately complex environment, such as when the deployment environment varies, unexpected situations the system must deal with gracefully may occur, but when they do, there is little risk to people, and it is clear how to effectively mitigate issues. *For example, a natural language processing system used in a corporate workplace where language is professional and communication norms change slowly.* |
| ##DEPLOYMENT\_COMPLEXITY\_03\_IU02 | Complex environment, such as when the deployment environment is dynamic; the system will be deployed in an open and unpredictable environment or may be subject to drifts in input distributions over time. There are many possible types of inputs, and inputs may significantly vary in quality. Time and attention may be at a premium in making decisions and it can be difficult to mitigate issues. *For example, a natural language processing system used on a social media platform where language and communication norms change rapidly.* |

## Intended use #3: ##INTENDED\_USE\_NAME\_03

### Assessment of fitness for purpose - A

**2.1** Assess 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.

|  |
| --- |
| Assessment of fitness for purpose |
| ##ASSESSMENT\_OF\_FITNESS\_FOR\_PURPOSE\_IU03 |

### Stakeholders, potential benefits, and potential harms - A

**2.2** Identify the system’s stakeholders for this intended use. Then, for each stakeholder, document the potential benefits and potential harms. For more information, including prompts, see the [**guidance & activities deck**](https://aka.ms/RAIImpactAssessmentGuidance).

|  |  |  |
| --- | --- | --- |
| Stakeholders | Potential system benefits | Potential system harms |
| 1. ##STAKEHOLDER\_01\_IU03 | ##STAKEHOLDER\_BENEFITS\_01\_IU03 | ##STAKEHOLDER\_HARMS\_01\_IU03 |
| 2. ##STAKEHOLDER\_02\_IU03 | ##STAKEHOLDER\_BENEFITS\_02\_IU03 | ##STAKEHOLDER\_HARMS\_02\_IU03 |
| 3. ##STAKEHOLDER\_03\_IU03 | ##STAKEHOLDER\_BENEFITS\_03\_IU03 | ##STAKEHOLDER\_HARMS\_03\_IU03 |
| 4. ##STAKEHOLDER\_04\_IU03 | ##STAKEHOLDER\_BENEFITS\_04\_IU03 | ##STAKEHOLDER\_HARMS\_04\_IU03 |
| 5. ##STAKEHOLDER\_05\_IU03 | ##STAKEHOLDER\_BENEFITS\_05\_IU03 | ##STAKEHOLDER\_HARMS\_05\_IU03 |
| 6. ##STAKEHOLDER\_06\_IU03 | ##STAKEHOLDER\_BENEFITS\_06\_IU03 | ##STAKEHOLDER\_HARMS\_06\_IU03 |
| 7. ##STAKEHOLDER\_07\_IU03 | ##STAKEHOLDER\_BENEFITS\_07\_IU03 | ##STAKEHOLDER\_HARMS\_07\_IU03 |
| 8. ##STAKEHOLDER\_08\_IU03 | ##STAKEHOLDER\_BENEFITS\_08\_IU03 | ##STAKEHOLDER\_HARMS\_08\_IU03 |
| 9. ##STAKEHOLDER\_09\_IU03 | ##STAKEHOLDER\_BENEFITS\_09\_IU03 | ##STAKEHOLDER\_HARMS\_09\_IU03 |
| 10. ##STAKEHOLDER\_10\_IU03 | ##STAKEHOLDER\_BENEFITS\_10\_IU03 | ##STAKEHOLDER\_HARMS\_10\_IU03 |

### Stakeholders for Goal-driven requirements from the Responsible AI Standard - B

**2.3** Certain Goals in the Responsible AI Standard require you to identify specific types of stakeholders. You may have included them in the stakeholder table above. For the Goals below that apply to the system, identify the specific stakeholder(s) for this intended use. If a Goal does not apply to the system, enter “N/A” in the table.

#### Goal A5: Human oversight and control

This Goal applies to all AI systems. Complete the table below.

|  |  |
| --- | --- |
| Who is responsible for troubleshooting, managing, operating, overseeing and controlling the system during and after deployment? | For these stakeholders, identify their oversight and control responsibilities. |
| ##HUMAN\_OVERSIGHT\_IU03 | ##HUMAN\_RESPONSIBILITIES\_IU03 |

#### Goal T3: Disclosure of AI interaction

This Goal applies to AI systems that impersonate interactions with humans, unless it is obvious from the circumstances or context of use that an AI system is in use and AI systems that generate or manipulate image, audio, or video content that could falsely appear to be authentic. If this Goal applies to the system, complete the table below.

|  |
| --- |
| Who will use or be exposed to the system? |
| ##DISCLOSURE\_AND\_AI\_INTERACTION\_IU03 |

### Technology readiness assessment - B

**2.4** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select one** | Technology Readiness |
| ##TECH\_ASSESSMENT\_01\_IU03 | System includes AI supported by basic research and has not yet been deployed to production systems at scale for similar uses. |
| ##TECH\_ASSESSMENT\_02\_IU03 | System includes AI supported by evidence demonstrating feasibility for uses similar to this intended use in production systems. |
| ##TECH\_ASSESSMENT\_03\_IU03 | First time that one or more system component(s) are to be validated in relevant environment(s) for the key intended use. Operational conditions that can be supported have not yet been completely defined and evaluated. |
| ##TECH\_ASSESSMENT\_04\_IU03 | First time the whole system will be validated in relevant environment(s) for the key intended use. Operational conditions that can be supported will also be validated. Alternatively, nearly similar systems or nearly similar methods have been applied by other organizations with defined success. |
| ##TECH\_ASSESSMENT\_05\_IU03 | Whole system has been deployed for all intended uses, and operational conditions have been qualified through testing and uses in production. |

### Task complexity - B

**2.5** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select One** | **Task Complexity** |
| ##TASK\_COMPLEXITY\_01\_IU03 | Simple tasks, such as classification based on few features into a few categories with clear boundaries. For such decisions, humans could easily agree on the correct answer, and identify mistakes made by the system. *For example, a natural language processing system that checks spelling in documents.* |
| ##TASK\_COMPLEXITY\_02\_IU03 | Moderately complex tasks, such as classification into a few categories that are subjective. Typically, ground truth is defined by most evaluators arriving at the same answer. *For example, a natural language processing system that autocompletes a word or phrase as the user is typing.* |
| ##TASK\_COMPLEXITY\_03\_IU03 | Complex tasks, such as models based on many features, not easily interpretable by humans, resulting in highly variable predictions without clear boundaries between decision criteria. For such decisions, humans would have a difficult time agreeing on the best answer, and there may be no clearly incorrect answer. *For example, a natural language processing system that generates prose based on user input prompts.* |

### Role of humans - B

**2.6** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select One** | **Role of humans** |
| ##ROLE\_OF\_HUMAN\_01\_IU03 | People will be responsible for troubleshooting triggered by system alerts but will not be otherwise overseeing system operation. *For example, a loan application processing system that only alerts the operator in case of issues like missing data fields.* |
| ##ROLE\_OF\_HUMAN\_02\_IU03 | The system will support escalation and effective hand-off to people but will be designed to automate most use. *For example, a loan application processing system that can be configured by customers to alert the operator when there are suspected data errors based on expected input.* |
| ##ROLE\_OF\_HUMAN\_03\_IU03 | The system will require escalation and effective hand-off to people but will be designed to automate most use*. For example, a loan application processing system that will automatically (regardless of customer configuration) alert the operator when errors are suspected.* |
| ##ROLE\_OF\_HUMAN\_04\_IU03 | People will evaluate system outputs and can intervene before any action is taken: the system will proceed unless the reviewer intervenes. *For example, a loan application processing system which will deliver reports of decisions to the loan officer but will submit the decision unless the loan officer intervenes.* |
| ##ROLE\_OF\_HUMAN\_05\_IU03 | People will make decisions based on output provided by the system: the system will not proceed unless a person approves*. For example, a loan application processing system that does not make the final loan approval decision without approval from the loan officer.* |

### Deployment environment complexity - B

**2.7** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select One** | **Deployment environment complexity** |
| ##DEPLOYMENT\_COMPLEXITY\_01\_IU03 | Simple environment, such as when the deployment environment is static, possible input options are limited, and there are few unexpected situations that the system must deal with gracefully. *For example, a natural language processing system used in a controlled research environment.* |
| ##DEPLOYMENT\_COMPLEXITY\_02\_IU03 | Moderately complex environment, such as when the deployment environment varies, unexpected situations the system must deal with gracefully may occur, but when they do, there is little risk to people, and it is clear how to effectively mitigate issues. *For example, a natural language processing system used in a corporate workplace where language is professional and communication norms change slowly.* |
| ##DEPLOYMENT\_COMPLEXITY\_03\_IU03 | Complex environment, such as when the deployment environment is dynamic; the system will be deployed in an open and unpredictable environment or may be subject to drifts in input distributions over time. There are many possible types of inputs, and inputs may significantly vary in quality. Time and attention may be at a premium in making decisions and it can be difficult to mitigate issues. *For example, a natural language processing system used on a social media platform where language and communication norms change rapidly.* |

## Intended use #4: ##INTENDED\_USE\_NAME\_04

### Assessment of fitness for purpose - A

**2.1** Assess 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.

|  |
| --- |
| Assessment of fitness for purpose |
| ##ASSESSMENT\_OF\_FITNESS\_FOR\_PURPOSE\_IU04 |

### Stakeholders, potential benefits, and potential harms - A

**2.2** Identify the system’s stakeholders for this intended use. Then, for each stakeholder, document the potential benefits and potential harms. For more information, including prompts, see the [**guidance & activities deck**](https://aka.ms/RAIImpactAssessmentGuidance).

|  |  |  |
| --- | --- | --- |
| Stakeholders | Potential system benefits | Potential system harms |
| 1. ##STAKEHOLDER\_01\_IU04 | ##STAKEHOLDER\_BENEFITS\_01\_IU04 | ##STAKEHOLDER\_HARMS\_01\_IU04 |
| 2. ##STAKEHOLDER\_02\_IU04 | ##STAKEHOLDER\_BENEFITS\_02\_IU04 | ##STAKEHOLDER\_HARMS\_02\_IU04 |
| 3. ##STAKEHOLDER\_03\_IU04 | ##STAKEHOLDER\_BENEFITS\_03\_IU04 | ##STAKEHOLDER\_HARMS\_03\_IU04 |
| 4. ##STAKEHOLDER\_04\_IU04 | ##STAKEHOLDER\_BENEFITS\_04\_IU04 | ##STAKEHOLDER\_HARMS\_04\_IU04 |
| 5. ##STAKEHOLDER\_05\_IU04 | ##STAKEHOLDER\_BENEFITS\_05\_IU04 | ##STAKEHOLDER\_HARMS\_05\_IU04 |
| 6. ##STAKEHOLDER\_06\_IU04 | ##STAKEHOLDER\_BENEFITS\_06\_IU04 | ##STAKEHOLDER\_HARMS\_06\_IU04 |
| 7. ##STAKEHOLDER\_07\_IU04 | ##STAKEHOLDER\_BENEFITS\_07\_IU04 | ##STAKEHOLDER\_HARMS\_07\_IU04 |
| 8. ##STAKEHOLDER\_08\_IU04 | ##STAKEHOLDER\_BENEFITS\_08\_IU04 | ##STAKEHOLDER\_HARMS\_08\_IU04 |
| 9. ##STAKEHOLDER\_09\_IU04 | ##STAKEHOLDER\_BENEFITS\_09\_IU04 | ##STAKEHOLDER\_HARMS\_09\_IU04 |
| 10. ##STAKEHOLDER\_10\_IU04 | ##STAKEHOLDER\_BENEFITS\_10\_IU04 | ##STAKEHOLDER\_HARMS\_10\_IU04 |

### Stakeholders for Goal-driven requirements from the Responsible AI Standard - B

**2.3** Certain Goals in the Responsible AI Standard require you to identify specific types of stakeholders. You may have included them in the stakeholder table above. For the Goals below that apply to the system, identify the specific stakeholder(s) for this intended use. If a Goal does not apply to the system, enter “N/A” in the table.

#### Goal A5: Human oversight and control

This Goal applies to all AI systems. Complete the table below.

|  |  |
| --- | --- |
| Who is responsible for troubleshooting, managing, operating, overseeing and controlling the system during and after deployment? | For these stakeholders, identify their oversight and control responsibilities. |
| ##HUMAN\_OVERSIGHT\_IU04 | ##HUMAN\_RESPONSIBILITIES\_IU04 |

#### Goal T3: Disclosure of AI interaction

This Goal applies to AI systems that impersonate interactions with humans, unless it is obvious from the circumstances or context of use that an AI system is in use and AI systems that generate or manipulate image, audio, or video content that could falsely appear to be authentic. If this Goal applies to the system, complete the table below.

|  |
| --- |
| Who will use or be exposed to the system? |
| ##DISCLOSURE\_AND\_AI\_INTERACTION\_IU04 |

### Technology readiness assessment - B

**2.4** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select one** | Technology Readiness |
| ##TECH\_ASSESSMENT\_01\_IU04 | System includes AI supported by basic research and has not yet been deployed to production systems at scale for similar uses. |
| ##TECH\_ASSESSMENT\_02\_IU04 | System includes AI supported by evidence demonstrating feasibility for uses similar to this intended use in production systems. |
| ##TECH\_ASSESSMENT\_03\_IU04 | First time that one or more system component(s) are to be validated in relevant environment(s) for the key intended use. Operational conditions that can be supported have not yet been completely defined and evaluated. |
| ##TECH\_ASSESSMENT\_04\_IU04 | First time the whole system will be validated in relevant environment(s) for the key intended use. Operational conditions that can be supported will also be validated. Alternatively, nearly similar systems or nearly similar methods have been applied by other organizations with defined success. |
| ##TECH\_ASSESSMENT\_05\_IU04 | Whole system has been deployed for all intended uses, and operational conditions have been qualified through testing and uses in production. |

### Task complexity - B

**2.5** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select One** | **Task Complexity** |
| ##TASK\_COMPLEXITY\_01\_IU04 | Simple tasks, such as classification based on few features into a few categories with clear boundaries. For such decisions, humans could easily agree on the correct answer, and identify mistakes made by the system. *For example, a natural language processing system that checks spelling in documents.* |
| ##TASK\_COMPLEXITY\_02\_IU04 | Moderately complex tasks, such as classification into a few categories that are subjective. Typically, ground truth is defined by most evaluators arriving at the same answer. *For example, a natural language processing system that autocompletes a word or phrase as the user is typing.* |
| ##TASK\_COMPLEXITY\_03\_IU04 | Complex tasks, such as models based on many features, not easily interpretable by humans, resulting in highly variable predictions without clear boundaries between decision criteria. For such decisions, humans would have a difficult time agreeing on the best answer, and there may be no clearly incorrect answer. *For example, a natural language processing system that generates prose based on user input prompts.* |

### Role of humans - B

**2.6** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select One** | **Role of humans** |
| ##ROLE\_OF\_HUMAN\_01\_IU04 | People will be responsible for troubleshooting triggered by system alerts but will not be otherwise overseeing system operation. *For example, a loan application processing system that only alerts the operator in case of issues like missing data fields.* |
| ##ROLE\_OF\_HUMAN\_02\_IU04 | The system will support escalation and effective hand-off to people but will be designed to automate most use. *For example, a loan application processing system that can be configured by customers to alert the operator when there are suspected data errors based on expected input.* |
| ##ROLE\_OF\_HUMAN\_03\_IU04 | The system will require escalation and effective hand-off to people but will be designed to automate most use*. For example, a loan application processing system that will automatically (regardless of customer configuration) alert the operator when errors are suspected.* |
| ##ROLE\_OF\_HUMAN\_04\_IU04 | People will evaluate system outputs and can intervene before any action is taken: the system will proceed unless the reviewer intervenes. *For example, a loan application processing system which will deliver reports of decisions to the loan officer but will submit the decision unless the loan officer intervenes.* |
| ##ROLE\_OF\_HUMAN\_05\_IU04 | People will make decisions based on output provided by the system: the system will not proceed unless a person approves*. For example, a loan application processing system that does not make the final loan approval decision without approval from the loan officer.* |

### Deployment environment complexity - B

**2.7** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select One** | **Deployment environment complexity** |
| ##DEPLOYMENT\_COMPLEXITY\_01\_IU04 | Simple environment, such as when the deployment environment is static, possible input options are limited, and there are few unexpected situations that the system must deal with gracefully. *For example, a natural language processing system used in a controlled research environment.* |
| ##DEPLOYMENT\_COMPLEXITY\_02\_IU04 | Moderately complex environment, such as when the deployment environment varies, unexpected situations the system must deal with gracefully may occur, but when they do, there is little risk to people, and it is clear how to effectively mitigate issues. *For example, a natural language processing system used in a corporate workplace where language is professional and communication norms change slowly.* |
| ##DEPLOYMENT\_COMPLEXITY\_03\_IU04 | Complex environment, such as when the deployment environment is dynamic; the system will be deployed in an open and unpredictable environment or may be subject to drifts in input distributions over time. There are many possible types of inputs, and inputs may significantly vary in quality. Time and attention may be at a premium in making decisions and it can be difficult to mitigate issues. *For example, a natural language processing system used on a social media platform where language and communication norms change rapidly.* |

## Intended use #5: ##INTENDED\_USE\_NAME\_05

### Assessment of fitness for purpose - A

**2.1** Assess 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.

|  |
| --- |
| Assessment of fitness for purpose |
| ##ASSESSMENT\_OF\_FITNESS\_FOR\_PURPOSE\_IU05 |

### Stakeholders, potential benefits, and potential harms - A

**2.2** Identify the system’s stakeholders for this intended use. Then, for each stakeholder, document the potential benefits and potential harms. For more information, including prompts, see the [**guidance & activities deck**](https://aka.ms/RAIImpactAssessmentGuidance).

|  |  |  |
| --- | --- | --- |
| Stakeholders | Potential system benefits | Potential system harms |
| 1. ##STAKEHOLDER\_01\_IU05 | ##STAKEHOLDER\_BENEFITS\_01\_IU05 | ##STAKEHOLDER\_HARMS\_01\_IU05 |
| 2. ##STAKEHOLDER\_02\_IU05 | ##STAKEHOLDER\_BENEFITS\_02\_IU05 | ##STAKEHOLDER\_HARMS\_02\_IU05 |
| 3. ##STAKEHOLDER\_03\_IU05 | ##STAKEHOLDER\_BENEFITS\_03\_IU05 | ##STAKEHOLDER\_HARMS\_03\_IU05 |
| 4. ##STAKEHOLDER\_04\_IU05 | ##STAKEHOLDER\_BENEFITS\_04\_IU05 | ##STAKEHOLDER\_HARMS\_04\_IU05 |
| 5. ##STAKEHOLDER\_05\_IU05 | ##STAKEHOLDER\_BENEFITS\_05\_IU05 | ##STAKEHOLDER\_HARMS\_05\_IU05 |
| 6. ##STAKEHOLDER\_06\_IU05 | ##STAKEHOLDER\_BENEFITS\_06\_IU05 | ##STAKEHOLDER\_HARMS\_06\_IU05 |
| 7. ##STAKEHOLDER\_07\_IU05 | ##STAKEHOLDER\_BENEFITS\_07\_IU05 | ##STAKEHOLDER\_HARMS\_07\_IU05 |
| 8. ##STAKEHOLDER\_08\_IU05 | ##STAKEHOLDER\_BENEFITS\_08\_IU05 | ##STAKEHOLDER\_HARMS\_08\_IU05 |
| 9. ##STAKEHOLDER\_09\_IU05 | ##STAKEHOLDER\_BENEFITS\_09\_IU05 | ##STAKEHOLDER\_HARMS\_09\_IU05 |
| 10. ##STAKEHOLDER\_10\_IU05 | ##STAKEHOLDER\_BENEFITS\_10\_IU05 | ##STAKEHOLDER\_HARMS\_10\_IU05 |

### Stakeholders for Goal-driven requirements from the Responsible AI Standard - B

**2.3** Certain Goals in the Responsible AI Standard require you to identify specific types of stakeholders. You may have included them in the stakeholder table above. For the Goals below that apply to the system, identify the specific stakeholder(s) for this intended use. If a Goal does not apply to the system, enter “N/A” in the table.

#### Goal A5: Human oversight and control

This Goal applies to all AI systems. Complete the table below.

|  |  |
| --- | --- |
| Who is responsible for troubleshooting, managing, operating, overseeing and controlling the system during and after deployment? | For these stakeholders, identify their oversight and control responsibilities. |
| ##HUMAN\_OVERSIGHT\_IU05 | ##HUMAN\_RESPONSIBILITIES\_IU05 |

#### Goal T3: Disclosure of AI interaction

This Goal applies to AI systems that impersonate interactions with humans, unless it is obvious from the circumstances or context of use that an AI system is in use and AI systems that generate or manipulate image, audio, or video content that could falsely appear to be authentic. If this Goal applies to the system, complete the table below.

|  |
| --- |
| Who will use or be exposed to the system? |
| ##DISCLOSURE\_AND\_AI\_INTERACTION\_IU05 |

### Technology readiness assessment - B

**2.4** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select one** | Technology Readiness |
| ##TECH\_ASSESSMENT\_01\_IU05 | System includes AI supported by basic research and has not yet been deployed to production systems at scale for similar uses. |
| ##TECH\_ASSESSMENT\_02\_IU05 | System includes AI supported by evidence demonstrating feasibility for uses similar to this intended use in production systems. |
| ##TECH\_ASSESSMENT\_03\_IU05 | First time that one or more system component(s) are to be validated in relevant environment(s) for the key intended use. Operational conditions that can be supported have not yet been completely defined and evaluated. |
| ##TECH\_ASSESSMENT\_04\_IU05 | First time the whole system will be validated in relevant environment(s) for the key intended use. Operational conditions that can be supported will also be validated. Alternatively, nearly similar systems or nearly similar methods have been applied by other organizations with defined success. |
| ##TECH\_ASSESSMENT\_05\_IU05 | Whole system has been deployed for all intended uses, and operational conditions have been qualified through testing and uses in production. |

### Task complexity - B

**2.5** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select One** | **Task Complexity** |
| ##TASK\_COMPLEXITY\_01\_IU05 | Simple tasks, such as classification based on few features into a few categories with clear boundaries. For such decisions, humans could easily agree on the correct answer, and identify mistakes made by the system. *For example, a natural language processing system that checks spelling in documents.* |
| ##TASK\_COMPLEXITY\_02\_IU05 | Moderately complex tasks, such as classification into a few categories that are subjective. Typically, ground truth is defined by most evaluators arriving at the same answer. *For example, a natural language processing system that autocompletes a word or phrase as the user is typing.* |
| ##TASK\_COMPLEXITY\_03\_IU05 | Complex tasks, such as models based on many features, not easily interpretable by humans, resulting in highly variable predictions without clear boundaries between decision criteria. For such decisions, humans would have a difficult time agreeing on the best answer, and there may be no clearly incorrect answer. *For example, a natural language processing system that generates prose based on user input prompts.* |

### Role of humans - B

**2.6** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select One** | **Role of humans** |
| ##ROLE\_OF\_HUMAN\_01\_IU05 | People will be responsible for troubleshooting triggered by system alerts but will not be otherwise overseeing system operation. *For example, a loan application processing system that only alerts the operator in case of issues like missing data fields.* |
| ##ROLE\_OF\_HUMAN\_02\_IU05 | The system will support escalation and effective hand-off to people but will be designed to automate most use. *For example, a loan application processing system that can be configured by customers to alert the operator when there are suspected data errors based on expected input.* |
| ##ROLE\_OF\_HUMAN\_03\_IU05 | The system will require escalation and effective hand-off to people but will be designed to automate most use*. For example, a loan application processing system that will automatically (regardless of customer configuration) alert the operator when errors are suspected.* |
| ##ROLE\_OF\_HUMAN\_04\_IU05 | People will evaluate system outputs and can intervene before any action is taken: the system will proceed unless the reviewer intervenes. *For example, a loan application processing system which will deliver reports of decisions to the loan officer but will submit the decision unless the loan officer intervenes.* |
| ##ROLE\_OF\_HUMAN\_05\_IU05 | People will make decisions based on output provided by the system: the system will not proceed unless a person approves*. For example, a loan application processing system that does not make the final loan approval decision without approval from the loan officer.* |

### Deployment environment complexity - B

**2.7** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select One** | **Deployment environment complexity** |
| ##DEPLOYMENT\_COMPLEXITY\_01\_IU05 | Simple environment, such as when the deployment environment is static, possible input options are limited, and there are few unexpected situations that the system must deal with gracefully. *For example, a natural language processing system used in a controlled research environment.* |
| ##DEPLOYMENT\_COMPLEXITY\_02\_IU05 | Moderately complex environment, such as when the deployment environment varies, unexpected situations the system must deal with gracefully may occur, but when they do, there is little risk to people, and it is clear how to effectively mitigate issues. *For example, a natural language processing system used in a corporate workplace where language is professional and communication norms change slowly.* |
| ##DEPLOYMENT\_COMPLEXITY\_03\_IU05 | Complex environment, such as when the deployment environment is dynamic; the system will be deployed in an open and unpredictable environment or may be subject to drifts in input distributions over time. There are many possible types of inputs, and inputs may significantly vary in quality. Time and attention may be at a premium in making decisions and it can be difficult to mitigate issues. *For example, a natural language processing system used on a social media platform where language and communication norms change rapidly.* |

## Intended use #6: ##INTENDED\_USE\_NAME\_06

### Assessment of fitness for purpose - A

**2.1** Assess 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.

|  |
| --- |
| Assessment of fitness for purpose |
| ##ASSESSMENT\_OF\_FITNESS\_FOR\_PURPOSE\_IU06 |

### Stakeholders, potential benefits, and potential harms - A

**2.2** Identify the system’s stakeholders for this intended use. Then, for each stakeholder, document the potential benefits and potential harms. For more information, including prompts, see the [**guidance & activities deck**](https://aka.ms/RAIImpactAssessmentGuidance).

|  |  |  |
| --- | --- | --- |
| Stakeholders | Potential system benefits | Potential system harms |
| 1. ##STAKEHOLDER\_01\_IU06 | ##STAKEHOLDER\_BENEFITS\_01\_IU06 | ##STAKEHOLDER\_HARMS\_01\_IU06 |
| 2. ##STAKEHOLDER\_02\_IU06 | ##STAKEHOLDER\_BENEFITS\_02\_IU06 | ##STAKEHOLDER\_HARMS\_02\_IU06 |
| 3. ##STAKEHOLDER\_03\_IU06 | ##STAKEHOLDER\_BENEFITS\_03\_IU06 | ##STAKEHOLDER\_HARMS\_03\_IU06 |
| 4. ##STAKEHOLDER\_04\_IU06 | ##STAKEHOLDER\_BENEFITS\_04\_IU06 | ##STAKEHOLDER\_HARMS\_04\_IU06 |
| 5. ##STAKEHOLDER\_05\_IU06 | ##STAKEHOLDER\_BENEFITS\_05\_IU06 | ##STAKEHOLDER\_HARMS\_05\_IU06 |
| 6. ##STAKEHOLDER\_06\_IU06 | ##STAKEHOLDER\_BENEFITS\_06\_IU06 | ##STAKEHOLDER\_HARMS\_06\_IU06 |
| 7. ##STAKEHOLDER\_07\_IU06 | ##STAKEHOLDER\_BENEFITS\_07\_IU06 | ##STAKEHOLDER\_HARMS\_07\_IU06 |
| 8. ##STAKEHOLDER\_08\_IU06 | ##STAKEHOLDER\_BENEFITS\_08\_IU06 | ##STAKEHOLDER\_HARMS\_08\_IU06 |
| 9. ##STAKEHOLDER\_09\_IU06 | ##STAKEHOLDER\_BENEFITS\_09\_IU06 | ##STAKEHOLDER\_HARMS\_09\_IU06 |
| 10. ##STAKEHOLDER\_10\_IU06 | ##STAKEHOLDER\_BENEFITS\_10\_IU06 | ##STAKEHOLDER\_HARMS\_10\_IU06 |

### Stakeholders for Goal-driven requirements from the Responsible AI Standard - B

**2.3** Certain Goals in the Responsible AI Standard require you to identify specific types of stakeholders. You may have included them in the stakeholder table above. For the Goals below that apply to the system, identify the specific stakeholder(s) for this intended use. If a Goal does not apply to the system, enter “N/A” in the table.

#### Goal A5: Human oversight and control

This Goal applies to all AI systems. Complete the table below.

|  |  |
| --- | --- |
| Who is responsible for troubleshooting, managing, operating, overseeing and controlling the system during and after deployment? | For these stakeholders, identify their oversight and control responsibilities. |
| ##HUMAN\_OVERSIGHT\_IU06 | ##HUMAN\_RESPONSIBILITIES\_IU06 |

#### Goal T3: Disclosure of AI interaction

This Goal applies to AI systems that impersonate interactions with humans, unless it is obvious from the circumstances or context of use that an AI system is in use and AI systems that generate or manipulate image, audio, or video content that could falsely appear to be authentic. If this Goal applies to the system, complete the table below.

|  |
| --- |
| Who will use or be exposed to the system? |
| ##DISCLOSURE\_AND\_AI\_INTERACTION\_IU06 |

### Technology readiness assessment - B

**2.4** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select one** | Technology Readiness |
| ##TECH\_ASSESSMENT\_01\_IU06 | System includes AI supported by basic research and has not yet been deployed to production systems at scale for similar uses. |
| ##TECH\_ASSESSMENT\_02\_IU06 | System includes AI supported by evidence demonstrating feasibility for uses similar to this intended use in production systems. |
| ##TECH\_ASSESSMENT\_03\_IU06 | First time that one or more system component(s) are to be validated in relevant environment(s) for the key intended use. Operational conditions that can be supported have not yet been completely defined and evaluated. |
| ##TECH\_ASSESSMENT\_04\_IU06 | First time the whole system will be validated in relevant environment(s) for the key intended use. Operational conditions that can be supported will also be validated. Alternatively, nearly similar systems or nearly similar methods have been applied by other organizations with defined success. |
| ##TECH\_ASSESSMENT\_05\_IU06 | Whole system has been deployed for all intended uses, and operational conditions have been qualified through testing and uses in production. |

### Task complexity - B

**2.5** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select One** | **Task Complexity** |
| ##TASK\_COMPLEXITY\_01\_IU06 | Simple tasks, such as classification based on few features into a few categories with clear boundaries. For such decisions, humans could easily agree on the correct answer, and identify mistakes made by the system. *For example, a natural language processing system that checks spelling in documents.* |
| ##TASK\_COMPLEXITY\_02\_IU06 | Moderately complex tasks, such as classification into a few categories that are subjective. Typically, ground truth is defined by most evaluators arriving at the same answer. *For example, a natural language processing system that autocompletes a word or phrase as the user is typing.* |
| ##TASK\_COMPLEXITY\_03\_IU06 | Complex tasks, such as models based on many features, not easily interpretable by humans, resulting in highly variable predictions without clear boundaries between decision criteria. For such decisions, humans would have a difficult time agreeing on the best answer, and there may be no clearly incorrect answer. *For example, a natural language processing system that generates prose based on user input prompts.* |

### Role of humans - B

**2.6** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select One** | **Role of humans** |
| ##ROLE\_OF\_HUMAN\_01\_IU06 | People will be responsible for troubleshooting triggered by system alerts but will not be otherwise overseeing system operation. *For example, a loan application processing system that only alerts the operator in case of issues like missing data fields.* |
| ##ROLE\_OF\_HUMAN\_02\_IU06 | The system will support escalation and effective hand-off to people but will be designed to automate most use. *For example, a loan application processing system that can be configured by customers to alert the operator when there are suspected data errors based on expected input.* |
| ##ROLE\_OF\_HUMAN\_03\_IU06 | The system will require escalation and effective hand-off to people but will be designed to automate most use*. For example, a loan application processing system that will automatically (regardless of customer configuration) alert the operator when errors are suspected.* |
| ##ROLE\_OF\_HUMAN\_04\_IU06 | People will evaluate system outputs and can intervene before any action is taken: the system will proceed unless the reviewer intervenes. *For example, a loan application processing system which will deliver reports of decisions to the loan officer but will submit the decision unless the loan officer intervenes.* |
| ##ROLE\_OF\_HUMAN\_05\_IU06 | People will make decisions based on output provided by the system: the system will not proceed unless a person approves*. For example, a loan application processing system that does not make the final loan approval decision without approval from the loan officer.* |

### Deployment environment complexity - B

**2.7** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select One** | **Deployment environment complexity** |
| ##DEPLOYMENT\_COMPLEXITY\_01\_IU06 | Simple environment, such as when the deployment environment is static, possible input options are limited, and there are few unexpected situations that the system must deal with gracefully. *For example, a natural language processing system used in a controlled research environment.* |
| ##DEPLOYMENT\_COMPLEXITY\_02\_IU06 | Moderately complex environment, such as when the deployment environment varies, unexpected situations the system must deal with gracefully may occur, but when they do, there is little risk to people, and it is clear how to effectively mitigate issues. *For example, a natural language processing system used in a corporate workplace where language is professional and communication norms change slowly.* |
| ##DEPLOYMENT\_COMPLEXITY\_03\_IU06 | Complex environment, such as when the deployment environment is dynamic; the system will be deployed in an open and unpredictable environment or may be subject to drifts in input distributions over time. There are many possible types of inputs, and inputs may significantly vary in quality. Time and attention may be at a premium in making decisions and it can be difficult to mitigate issues. *For example, a natural language processing system used on a social media platform where language and communication norms change rapidly.* |

## Intended use #7: ##INTENDED\_USE\_NAME\_07

### Assessment of fitness for purpose - A

**2.1** Assess 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.

|  |
| --- |
| Assessment of fitness for purpose |
| ##ASSESSMENT\_OF\_FITNESS\_FOR\_PURPOSE\_IU07 |

### Stakeholders, potential benefits, and potential harms - A

**2.2** Identify the system’s stakeholders for this intended use. Then, for each stakeholder, document the potential benefits and potential harms. For more information, including prompts, see the [**guidance & activities deck**](https://aka.ms/RAIImpactAssessmentGuidance).

|  |  |  |
| --- | --- | --- |
| Stakeholders | Potential system benefits | Potential system harms |
| 1. ##STAKEHOLDER\_01\_IU07 | ##STAKEHOLDER\_BENEFITS\_01\_IU07 | ##STAKEHOLDER\_HARMS\_01\_IU07 |
| 2. ##STAKEHOLDER\_02\_IU07 | ##STAKEHOLDER\_BENEFITS\_02\_IU07 | ##STAKEHOLDER\_HARMS\_02\_IU07 |
| 3. ##STAKEHOLDER\_03\_IU07 | ##STAKEHOLDER\_BENEFITS\_03\_IU07 | ##STAKEHOLDER\_HARMS\_03\_IU07 |
| 4. ##STAKEHOLDER\_04\_IU07 | ##STAKEHOLDER\_BENEFITS\_04\_IU07 | ##STAKEHOLDER\_HARMS\_04\_IU07 |
| 5. ##STAKEHOLDER\_05\_IU07 | ##STAKEHOLDER\_BENEFITS\_05\_IU07 | ##STAKEHOLDER\_HARMS\_05\_IU07 |
| 6. ##STAKEHOLDER\_06\_IU07 | ##STAKEHOLDER\_BENEFITS\_06\_IU07 | ##STAKEHOLDER\_HARMS\_06\_IU07 |
| 7. ##STAKEHOLDER\_07\_IU07 | ##STAKEHOLDER\_BENEFITS\_07\_IU07 | ##STAKEHOLDER\_HARMS\_07\_IU07 |
| 8. ##STAKEHOLDER\_08\_IU07 | ##STAKEHOLDER\_BENEFITS\_08\_IU07 | ##STAKEHOLDER\_HARMS\_08\_IU07 |
| 9. ##STAKEHOLDER\_09\_IU07 | ##STAKEHOLDER\_BENEFITS\_09\_IU07 | ##STAKEHOLDER\_HARMS\_09\_IU07 |
| 10. ##STAKEHOLDER\_10\_IU07 | ##STAKEHOLDER\_BENEFITS\_10\_IU07 | ##STAKEHOLDER\_HARMS\_10\_IU07 |

### Stakeholders for Goal-driven requirements from the Responsible AI Standard - B

**2.3** Certain Goals in the Responsible AI Standard require you to identify specific types of stakeholders. You may have included them in the stakeholder table above. For the Goals below that apply to the system, identify the specific stakeholder(s) for this intended use. If a Goal does not apply to the system, enter “N/A” in the table.

#### Goal A5: Human oversight and control

This Goal applies to all AI systems. Complete the table below.

|  |  |
| --- | --- |
| Who is responsible for troubleshooting, managing, operating, overseeing and controlling the system during and after deployment? | For these stakeholders, identify their oversight and control responsibilities. |
| ##HUMAN\_OVERSIGHT\_IU07 | ##HUMAN\_RESPONSIBILITIES\_IU07 |

#### Goal T3: Disclosure of AI interaction

This Goal applies to AI systems that impersonate interactions with humans, unless it is obvious from the circumstances or context of use that an AI system is in use and AI systems that generate or manipulate image, audio, or video content that could falsely appear to be authentic. If this Goal applies to the system, complete the table below.

|  |
| --- |
| Who will use or be exposed to the system? |
| ##DISCLOSURE\_AND\_AI\_INTERACTION\_IU07 |

### Technology readiness assessment - B

**2.4** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select one** | Technology Readiness |
| ##TECH\_ASSESSMENT\_01\_IU07 | System includes AI supported by basic research and has not yet been deployed to production systems at scale for similar uses. |
| ##TECH\_ASSESSMENT\_02\_IU07 | System includes AI supported by evidence demonstrating feasibility for uses similar to this intended use in production systems. |
| ##TECH\_ASSESSMENT\_03\_IU07 | First time that one or more system component(s) are to be validated in relevant environment(s) for the key intended use. Operational conditions that can be supported have not yet been completely defined and evaluated. |
| ##TECH\_ASSESSMENT\_04\_IU07 | First time the whole system will be validated in relevant environment(s) for the key intended use. Operational conditions that can be supported will also be validated. Alternatively, nearly similar systems or nearly similar methods have been applied by other organizations with defined success. |
| ##TECH\_ASSESSMENT\_05\_IU07 | Whole system has been deployed for all intended uses, and operational conditions have been qualified through testing and uses in production. |

### Task complexity - B

**2.5** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select One** | **Task Complexity** |
| ##TASK\_COMPLEXITY\_01\_IU07 | Simple tasks, such as classification based on few features into a few categories with clear boundaries. For such decisions, humans could easily agree on the correct answer, and identify mistakes made by the system. *For example, a natural language processing system that checks spelling in documents.* |
| ##TASK\_COMPLEXITY\_02\_IU07 | Moderately complex tasks, such as classification into a few categories that are subjective. Typically, ground truth is defined by most evaluators arriving at the same answer. *For example, a natural language processing system that autocompletes a word or phrase as the user is typing.* |
| ##TASK\_COMPLEXITY\_03\_IU07 | Complex tasks, such as models based on many features, not easily interpretable by humans, resulting in highly variable predictions without clear boundaries between decision criteria. For such decisions, humans would have a difficult time agreeing on the best answer, and there may be no clearly incorrect answer. *For example, a natural language processing system that generates prose based on user input prompts.* |

### Role of humans - B

**2.6** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select One** | **Role of humans** |
| ##ROLE\_OF\_HUMAN\_01\_IU07 | People will be responsible for troubleshooting triggered by system alerts but will not be otherwise overseeing system operation. *For example, a loan application processing system that only alerts the operator in case of issues like missing data fields.* |
| ##ROLE\_OF\_HUMAN\_02\_IU07 | The system will support escalation and effective hand-off to people but will be designed to automate most use. *For example, a loan application processing system that can be configured by customers to alert the operator when there are suspected data errors based on expected input.* |
| ##ROLE\_OF\_HUMAN\_03\_IU07 | The system will require escalation and effective hand-off to people but will be designed to automate most use*. For example, a loan application processing system that will automatically (regardless of customer configuration) alert the operator when errors are suspected.* |
| ##ROLE\_OF\_HUMAN\_04\_IU07 | People will evaluate system outputs and can intervene before any action is taken: the system will proceed unless the reviewer intervenes. *For example, a loan application processing system which will deliver reports of decisions to the loan officer but will submit the decision unless the loan officer intervenes.* |
| ##ROLE\_OF\_HUMAN\_05\_IU07 | People will make decisions based on output provided by the system: the system will not proceed unless a person approves*. For example, a loan application processing system that does not make the final loan approval decision without approval from the loan officer.* |

### Deployment environment complexity - B

**2.7** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select One** | **Deployment environment complexity** |
| ##DEPLOYMENT\_COMPLEXITY\_01\_IU07 | Simple environment, such as when the deployment environment is static, possible input options are limited, and there are few unexpected situations that the system must deal with gracefully. *For example, a natural language processing system used in a controlled research environment.* |
| ##DEPLOYMENT\_COMPLEXITY\_02\_IU07 | Moderately complex environment, such as when the deployment environment varies, unexpected situations the system must deal with gracefully may occur, but when they do, there is little risk to people, and it is clear how to effectively mitigate issues. *For example, a natural language processing system used in a corporate workplace where language is professional and communication norms change slowly.* |
| ##DEPLOYMENT\_COMPLEXITY\_03\_IU07 | Complex environment, such as when the deployment environment is dynamic; the system will be deployed in an open and unpredictable environment or may be subject to drifts in input distributions over time. There are many possible types of inputs, and inputs may significantly vary in quality. Time and attention may be at a premium in making decisions and it can be difficult to mitigate issues. *For example, a natural language processing system used on a social media platform where language and communication norms change rapidly.* |

## Intended use #8: ##INTENDED\_USE\_NAME\_08

### Assessment of fitness for purpose - A

**2.1** Assess 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.

|  |
| --- |
| Assessment of fitness for purpose |
| ##ASSESSMENT\_OF\_FITNESS\_FOR\_PURPOSE\_IU08 |

### Stakeholders, potential benefits, and potential harms - A

**2.2** Identify the system’s stakeholders for this intended use. Then, for each stakeholder, document the potential benefits and potential harms. For more information, including prompts, see the [**guidance & activities deck**](https://aka.ms/RAIImpactAssessmentGuidance).

|  |  |  |
| --- | --- | --- |
| Stakeholders | Potential system benefits | Potential system harms |
| 1. ##STAKEHOLDER\_01\_IU08 | ##STAKEHOLDER\_BENEFITS\_01\_IU08 | ##STAKEHOLDER\_HARMS\_01\_IU08 |
| 2. ##STAKEHOLDER\_02\_IU08 | ##STAKEHOLDER\_BENEFITS\_02\_IU08 | ##STAKEHOLDER\_HARMS\_02\_IU08 |
| 3. ##STAKEHOLDER\_03\_IU08 | ##STAKEHOLDER\_BENEFITS\_03\_IU08 | ##STAKEHOLDER\_HARMS\_03\_IU08 |
| 4. ##STAKEHOLDER\_04\_IU08 | ##STAKEHOLDER\_BENEFITS\_04\_IU08 | ##STAKEHOLDER\_HARMS\_04\_IU08 |
| 5. ##STAKEHOLDER\_05\_IU08 | ##STAKEHOLDER\_BENEFITS\_05\_IU08 | ##STAKEHOLDER\_HARMS\_05\_IU08 |
| 6. ##STAKEHOLDER\_06\_IU08 | ##STAKEHOLDER\_BENEFITS\_06\_IU08 | ##STAKEHOLDER\_HARMS\_06\_IU08 |
| 7. ##STAKEHOLDER\_07\_IU08 | ##STAKEHOLDER\_BENEFITS\_07\_IU08 | ##STAKEHOLDER\_HARMS\_07\_IU08 |
| 8. ##STAKEHOLDER\_08\_IU08 | ##STAKEHOLDER\_BENEFITS\_08\_IU08 | ##STAKEHOLDER\_HARMS\_08\_IU08 |
| 9. ##STAKEHOLDER\_09\_IU08 | ##STAKEHOLDER\_BENEFITS\_09\_IU08 | ##STAKEHOLDER\_HARMS\_09\_IU08 |
| 10. ##STAKEHOLDER\_10\_IU08 | ##STAKEHOLDER\_BENEFITS\_10\_IU08 | ##STAKEHOLDER\_HARMS\_10\_IU08 |

### Stakeholders for Goal-driven requirements from the Responsible AI Standard - B

**2.3** Certain Goals in the Responsible AI Standard require you to identify specific types of stakeholders. You may have included them in the stakeholder table above. For the Goals below that apply to the system, identify the specific stakeholder(s) for this intended use. If a Goal does not apply to the system, enter “N/A” in the table.

#### Goal A5: Human oversight and control

This Goal applies to all AI systems. Complete the table below.

|  |  |
| --- | --- |
| Who is responsible for troubleshooting, managing, operating, overseeing and controlling the system during and after deployment? | For these stakeholders, identify their oversight and control responsibilities. |
| ##HUMAN\_OVERSIGHT\_IU08 | ##HUMAN\_RESPONSIBILITIES\_IU08 |

#### Goal T3: Disclosure of AI interaction

This Goal applies to AI systems that impersonate interactions with humans, unless it is obvious from the circumstances or context of use that an AI system is in use and AI systems that generate or manipulate image, audio, or video content that could falsely appear to be authentic. If this Goal applies to the system, complete the table below.

|  |
| --- |
| Who will use or be exposed to the system? |
| ##DISCLOSURE\_AND\_AI\_INTERACTION\_IU08 |

### Technology readiness assessment - B

**2.4** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select one** | Technology Readiness |
| ##TECH\_ASSESSMENT\_01\_IU08 | System includes AI supported by basic research and has not yet been deployed to production systems at scale for similar uses. |
| ##TECH\_ASSESSMENT\_02\_IU08 | System includes AI supported by evidence demonstrating feasibility for uses similar to this intended use in production systems. |
| ##TECH\_ASSESSMENT\_03\_IU08 | First time that one or more system component(s) are to be validated in relevant environment(s) for the key intended use. Operational conditions that can be supported have not yet been completely defined and evaluated. |
| ##TECH\_ASSESSMENT\_04\_IU08 | First time the whole system will be validated in relevant environment(s) for the key intended use. Operational conditions that can be supported will also be validated. Alternatively, nearly similar systems or nearly similar methods have been applied by other organizations with defined success. |
| ##TECH\_ASSESSMENT\_05\_IU08 | Whole system has been deployed for all intended uses, and operational conditions have been qualified through testing and uses in production. |

### Task complexity - B

**2.5** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select One** | **Task Complexity** |
| ##TASK\_COMPLEXITY\_01\_IU08 | Simple tasks, such as classification based on few features into a few categories with clear boundaries. For such decisions, humans could easily agree on the correct answer, and identify mistakes made by the system. *For example, a natural language processing system that checks spelling in documents.* |
| ##TASK\_COMPLEXITY\_02\_IU08 | Moderately complex tasks, such as classification into a few categories that are subjective. Typically, ground truth is defined by most evaluators arriving at the same answer. *For example, a natural language processing system that autocompletes a word or phrase as the user is typing.* |
| ##TASK\_COMPLEXITY\_03\_IU08 | Complex tasks, such as models based on many features, not easily interpretable by humans, resulting in highly variable predictions without clear boundaries between decision criteria. For such decisions, humans would have a difficult time agreeing on the best answer, and there may be no clearly incorrect answer. *For example, a natural language processing system that generates prose based on user input prompts.* |

### Role of humans - B

**2.6** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select One** | **Role of humans** |
| ##ROLE\_OF\_HUMAN\_01\_IU08 | People will be responsible for troubleshooting triggered by system alerts but will not be otherwise overseeing system operation. *For example, a loan application processing system that only alerts the operator in case of issues like missing data fields.* |
| ##ROLE\_OF\_HUMAN\_02\_IU08 | The system will support escalation and effective hand-off to people but will be designed to automate most use. *For example, a loan application processing system that can be configured by customers to alert the operator when there are suspected data errors based on expected input.* |
| ##ROLE\_OF\_HUMAN\_03\_IU08 | The system will require escalation and effective hand-off to people but will be designed to automate most use*. For example, a loan application processing system that will automatically (regardless of customer configuration) alert the operator when errors are suspected.* |
| ##ROLE\_OF\_HUMAN\_04\_IU08 | People will evaluate system outputs and can intervene before any action is taken: the system will proceed unless the reviewer intervenes. *For example, a loan application processing system which will deliver reports of decisions to the loan officer but will submit the decision unless the loan officer intervenes.* |
| ##ROLE\_OF\_HUMAN\_05\_IU08 | People will make decisions based on output provided by the system: the system will not proceed unless a person approves*. For example, a loan application processing system that does not make the final loan approval decision without approval from the loan officer.* |

### Deployment environment complexity - B

**2.7** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select One** | **Deployment environment complexity** |
| ##DEPLOYMENT\_COMPLEXITY\_01\_IU08 | Simple environment, such as when the deployment environment is static, possible input options are limited, and there are few unexpected situations that the system must deal with gracefully. *For example, a natural language processing system used in a controlled research environment.* |
| ##DEPLOYMENT\_COMPLEXITY\_02\_IU08 | Moderately complex environment, such as when the deployment environment varies, unexpected situations the system must deal with gracefully may occur, but when they do, there is little risk to people, and it is clear how to effectively mitigate issues. *For example, a natural language processing system used in a corporate workplace where language is professional and communication norms change slowly.* |
| ##DEPLOYMENT\_COMPLEXITY\_03\_IU08 | Complex environment, such as when the deployment environment is dynamic; the system will be deployed in an open and unpredictable environment or may be subject to drifts in input distributions over time. There are many possible types of inputs, and inputs may significantly vary in quality. Time and attention may be at a premium in making decisions and it can be difficult to mitigate issues. *For example, a natural language processing system used on a social media platform where language and communication norms change rapidly.* |

## Intended use #9: ##INTENDED\_USE\_NAME\_09

### Assessment of fitness for purpose - A

**2.1** Assess 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.

|  |
| --- |
| Assessment of fitness for purpose |
| ##ASSESSMENT\_OF\_FITNESS\_FOR\_PURPOSE\_IU09 |

### Stakeholders, potential benefits, and potential harms - A

**2.2** Identify the system’s stakeholders for this intended use. Then, for each stakeholder, document the potential benefits and potential harms. For more information, including prompts, see the [**guidance & activities deck**](https://aka.ms/RAIImpactAssessmentGuidance).

|  |  |  |
| --- | --- | --- |
| Stakeholders | Potential system benefits | Potential system harms |
| 1. ##STAKEHOLDER\_01\_IU09 | ##STAKEHOLDER\_BENEFITS\_01\_IU09 | ##STAKEHOLDER\_HARMS\_01\_IU09 |
| 2. ##STAKEHOLDER\_02\_IU09 | ##STAKEHOLDER\_BENEFITS\_02\_IU09 | ##STAKEHOLDER\_HARMS\_02\_IU09 |
| 3. ##STAKEHOLDER\_03\_IU09 | ##STAKEHOLDER\_BENEFITS\_03\_IU09 | ##STAKEHOLDER\_HARMS\_03\_IU09 |
| 4. ##STAKEHOLDER\_04\_IU09 | ##STAKEHOLDER\_BENEFITS\_04\_IU09 | ##STAKEHOLDER\_HARMS\_04\_IU09 |
| 5. ##STAKEHOLDER\_05\_IU09 | ##STAKEHOLDER\_BENEFITS\_05\_IU09 | ##STAKEHOLDER\_HARMS\_05\_IU09 |
| 6. ##STAKEHOLDER\_06\_IU09 | ##STAKEHOLDER\_BENEFITS\_06\_IU09 | ##STAKEHOLDER\_HARMS\_06\_IU09 |
| 7. ##STAKEHOLDER\_07\_IU09 | ##STAKEHOLDER\_BENEFITS\_07\_IU09 | ##STAKEHOLDER\_HARMS\_07\_IU09 |
| 8. ##STAKEHOLDER\_08\_IU09 | ##STAKEHOLDER\_BENEFITS\_08\_IU09 | ##STAKEHOLDER\_HARMS\_08\_IU09 |
| 9. ##STAKEHOLDER\_09\_IU09 | ##STAKEHOLDER\_BENEFITS\_09\_IU09 | ##STAKEHOLDER\_HARMS\_09\_IU09 |
| 10. ##STAKEHOLDER\_10\_IU09 | ##STAKEHOLDER\_BENEFITS\_10\_IU09 | ##STAKEHOLDER\_HARMS\_10\_IU09 |

### Stakeholders for Goal-driven requirements from the Responsible AI Standard - B

**2.3** Certain Goals in the Responsible AI Standard require you to identify specific types of stakeholders. You may have included them in the stakeholder table above. For the Goals below that apply to the system, identify the specific stakeholder(s) for this intended use. If a Goal does not apply to the system, enter “N/A” in the table.

#### Goal A5: Human oversight and control

This Goal applies to all AI systems. Complete the table below.

|  |  |
| --- | --- |
| Who is responsible for troubleshooting, managing, operating, overseeing and controlling the system during and after deployment? | For these stakeholders, identify their oversight and control responsibilities. |
| ##HUMAN\_OVERSIGHT\_IU09 | ##HUMAN\_RESPONSIBILITIES\_IU09 |

#### Goal T3: Disclosure of AI interaction

This Goal applies to AI systems that impersonate interactions with humans, unless it is obvious from the circumstances or context of use that an AI system is in use and AI systems that generate or manipulate image, audio, or video content that could falsely appear to be authentic. If this Goal applies to the system, complete the table below.

|  |
| --- |
| Who will use or be exposed to the system? |
| ##DISCLOSURE\_AND\_AI\_INTERACTION\_IU09 |

### Technology readiness assessment - B

**2.4** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select one** | Technology Readiness |
| ##TECH\_ASSESSMENT\_01\_IU09 | System includes AI supported by basic research and has not yet been deployed to production systems at scale for similar uses. |
| ##TECH\_ASSESSMENT\_02\_IU09 | System includes AI supported by evidence demonstrating feasibility for uses similar to this intended use in production systems. |
| ##TECH\_ASSESSMENT\_03\_IU09 | First time that one or more system component(s) are to be validated in relevant environment(s) for the key intended use. Operational conditions that can be supported have not yet been completely defined and evaluated. |
| ##TECH\_ASSESSMENT\_04\_IU09 | First time the whole system will be validated in relevant environment(s) for the key intended use. Operational conditions that can be supported will also be validated. Alternatively, nearly similar systems or nearly similar methods have been applied by other organizations with defined success. |
| ##TECH\_ASSESSMENT\_05\_IU09 | Whole system has been deployed for all intended uses, and operational conditions have been qualified through testing and uses in production. |

### Task complexity - B

**2.5** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select One** | **Task Complexity** |
| ##TASK\_COMPLEXITY\_01\_IU09 | Simple tasks, such as classification based on few features into a few categories with clear boundaries. For such decisions, humans could easily agree on the correct answer, and identify mistakes made by the system. *For example, a natural language processing system that checks spelling in documents.* |
| ##TASK\_COMPLEXITY\_02\_IU09 | Moderately complex tasks, such as classification into a few categories that are subjective. Typically, ground truth is defined by most evaluators arriving at the same answer. *For example, a natural language processing system that autocompletes a word or phrase as the user is typing.* |
| ##TASK\_COMPLEXITY\_03\_IU09 | Complex tasks, such as models based on many features, not easily interpretable by humans, resulting in highly variable predictions without clear boundaries between decision criteria. For such decisions, humans would have a difficult time agreeing on the best answer, and there may be no clearly incorrect answer. *For example, a natural language processing system that generates prose based on user input prompts.* |

### Role of humans - B

**2.6** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select One** | **Role of humans** |
| ##ROLE\_OF\_HUMAN\_01\_IU09 | People will be responsible for troubleshooting triggered by system alerts but will not be otherwise overseeing system operation. *For example, a loan application processing system that only alerts the operator in case of issues like missing data fields.* |
| ##ROLE\_OF\_HUMAN\_02\_IU09 | The system will support escalation and effective hand-off to people but will be designed to automate most use. *For example, a loan application processing system that can be configured by customers to alert the operator when there are suspected data errors based on expected input.* |
| ##ROLE\_OF\_HUMAN\_03\_IU09 | The system will require escalation and effective hand-off to people but will be designed to automate most use*. For example, a loan application processing system that will automatically (regardless of customer configuration) alert the operator when errors are suspected.* |
| ##ROLE\_OF\_HUMAN\_04\_IU09 | People will evaluate system outputs and can intervene before any action is taken: the system will proceed unless the reviewer intervenes. *For example, a loan application processing system which will deliver reports of decisions to the loan officer but will submit the decision unless the loan officer intervenes.* |
| ##ROLE\_OF\_HUMAN\_05\_IU09 | People will make decisions based on output provided by the system: the system will not proceed unless a person approves*. For example, a loan application processing system that does not make the final loan approval decision without approval from the loan officer.* |

### Deployment environment complexity - B

**2.7** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select One** | **Deployment environment complexity** |
| ##DEPLOYMENT\_COMPLEXITY\_01\_IU09 | Simple environment, such as when the deployment environment is static, possible input options are limited, and there are few unexpected situations that the system must deal with gracefully. *For example, a natural language processing system used in a controlled research environment.* |
| ##DEPLOYMENT\_COMPLEXITY\_02\_IU09 | Moderately complex environment, such as when the deployment environment varies, unexpected situations the system must deal with gracefully may occur, but when they do, there is little risk to people, and it is clear how to effectively mitigate issues. *For example, a natural language processing system used in a corporate workplace where language is professional and communication norms change slowly.* |
| ##DEPLOYMENT\_COMPLEXITY\_03\_IU09 | Complex environment, such as when the deployment environment is dynamic; the system will be deployed in an open and unpredictable environment or may be subject to drifts in input distributions over time. There are many possible types of inputs, and inputs may significantly vary in quality. Time and attention may be at a premium in making decisions and it can be difficult to mitigate issues. *For example, a natural language processing system used on a social media platform where language and communication norms change rapidly.* |

## Intended use #10: ##INTENDED\_USE\_NAME\_10

### Assessment of fitness for purpose - A

**2.1** Assess 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.

|  |
| --- |
| Assessment of fitness for purpose |
| ##ASSESSMENT\_OF\_FITNESS\_FOR\_PURPOSE\_IU10 |

### Stakeholders, potential benefits, and potential harms - A

**2.2** Identify the system’s stakeholders for this intended use. Then, for each stakeholder, document the potential benefits and potential harms. For more information, including prompts, see the [**guidance & activities deck**](https://aka.ms/RAIImpactAssessmentGuidance).

|  |  |  |
| --- | --- | --- |
| Stakeholders | Potential system benefits | Potential system harms |
| 1. ##STAKEHOLDER\_01\_IU10 | ##STAKEHOLDER\_BENEFITS\_01\_IU10 | ##STAKEHOLDER\_HARMS\_01\_IU10 |
| 2. ##STAKEHOLDER\_02\_IU10 | ##STAKEHOLDER\_BENEFITS\_02\_IU10 | ##STAKEHOLDER\_HARMS\_02\_IU10 |
| 3. ##STAKEHOLDER\_03\_IU10 | ##STAKEHOLDER\_BENEFITS\_03\_IU10 | ##STAKEHOLDER\_HARMS\_03\_IU10 |
| 4. ##STAKEHOLDER\_04\_IU10 | ##STAKEHOLDER\_BENEFITS\_04\_IU10 | ##STAKEHOLDER\_HARMS\_04\_IU10 |
| 5. ##STAKEHOLDER\_05\_IU10 | ##STAKEHOLDER\_BENEFITS\_05\_IU10 | ##STAKEHOLDER\_HARMS\_05\_IU10 |
| 6. ##STAKEHOLDER\_06\_IU10 | ##STAKEHOLDER\_BENEFITS\_06\_IU10 | ##STAKEHOLDER\_HARMS\_06\_IU10 |
| 7. ##STAKEHOLDER\_07\_IU10 | ##STAKEHOLDER\_BENEFITS\_07\_IU10 | ##STAKEHOLDER\_HARMS\_07\_IU10 |
| 8. ##STAKEHOLDER\_08\_IU10 | ##STAKEHOLDER\_BENEFITS\_08\_IU10 | ##STAKEHOLDER\_HARMS\_08\_IU10 |
| 9. ##STAKEHOLDER\_09\_IU10 | ##STAKEHOLDER\_BENEFITS\_09\_IU10 | ##STAKEHOLDER\_HARMS\_09\_IU10 |
| 10. ##STAKEHOLDER\_10\_IU10 | ##STAKEHOLDER\_BENEFITS\_10\_IU10 | ##STAKEHOLDER\_HARMS\_10\_IU10 |

### Stakeholders for Goal-driven requirements from the Responsible AI Standard - B

**2.3** Certain Goals in the Responsible AI Standard require you to identify specific types of stakeholders. You may have included them in the stakeholder table above. For the Goals below that apply to the system, identify the specific stakeholder(s) for this intended use. If a Goal does not apply to the system, enter “N/A” in the table.

#### Goal A5: Human oversight and control

This Goal applies to all AI systems. Complete the table below.

|  |  |
| --- | --- |
| Who is responsible for troubleshooting, managing, operating, overseeing and controlling the system during and after deployment? | For these stakeholders, identify their oversight and control responsibilities. |
| ##HUMAN\_OVERSIGHT\_IU10 | ##HUMAN\_RESPONSIBILITIES\_IU10 |

#### Goal T3: Disclosure of AI interaction

This Goal applies to AI systems that impersonate interactions with humans, unless it is obvious from the circumstances or context of use that an AI system is in use and AI systems that generate or manipulate image, audio, or video content that could falsely appear to be authentic. If this Goal applies to the system, complete the table below.

|  |
| --- |
| Who will use or be exposed to the system? |
| ##DISCLOSURE\_AND\_AI\_INTERACTION\_IU10 |

### Technology readiness assessment - B

**2.4** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select one** | Technology Readiness |
| ##TECH\_ASSESSMENT\_01\_IU10 | System includes AI supported by basic research and has not yet been deployed to production systems at scale for similar uses. |
| ##TECH\_ASSESSMENT\_02\_IU10 | System includes AI supported by evidence demonstrating feasibility for uses similar to this intended use in production systems. |
| ##TECH\_ASSESSMENT\_03\_IU10 | First time that one or more system component(s) are to be validated in relevant environment(s) for the key intended use. Operational conditions that can be supported have not yet been completely defined and evaluated. |
| ##TECH\_ASSESSMENT\_04\_IU10 | First time the whole system will be validated in relevant environment(s) for the key intended use. Operational conditions that can be supported will also be validated. Alternatively, nearly similar systems or nearly similar methods have been applied by other organizations with defined success. |
| ##TECH\_ASSESSMENT\_05\_IU10 | Whole system has been deployed for all intended uses, and operational conditions have been qualified through testing and uses in production. |

### Task complexity - B

**2.5** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select One** | **Task Complexity** |
| ##TASK\_COMPLEXITY\_01\_IU10 | Simple tasks, such as classification based on few features into a few categories with clear boundaries. For such decisions, humans could easily agree on the correct answer, and identify mistakes made by the system. *For example, a natural language processing system that checks spelling in documents.* |
| ##TASK\_COMPLEXITY\_02\_IU10 | Moderately complex tasks, such as classification into a few categories that are subjective. Typically, ground truth is defined by most evaluators arriving at the same answer. *For example, a natural language processing system that autocompletes a word or phrase as the user is typing.* |
| ##TASK\_COMPLEXITY\_03\_IU10 | Complex tasks, such as models based on many features, not easily interpretable by humans, resulting in highly variable predictions without clear boundaries between decision criteria. For such decisions, humans would have a difficult time agreeing on the best answer, and there may be no clearly incorrect answer. *For example, a natural language processing system that generates prose based on user input prompts.* |

### Role of humans - B

**2.6** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select One** | **Role of humans** |
| ##ROLE\_OF\_HUMAN\_01\_IU10 | People will be responsible for troubleshooting triggered by system alerts but will not be otherwise overseeing system operation. *For example, a loan application processing system that only alerts the operator in case of issues like missing data fields.* |
| ##ROLE\_OF\_HUMAN\_02\_IU10 | The system will support escalation and effective hand-off to people but will be designed to automate most use. *For example, a loan application processing system that can be configured by customers to alert the operator when there are suspected data errors based on expected input.* |
| ##ROLE\_OF\_HUMAN\_03\_IU10 | The system will require escalation and effective hand-off to people but will be designed to automate most use*. For example, a loan application processing system that will automatically (regardless of customer configuration) alert the operator when errors are suspected.* |
| ##ROLE\_OF\_HUMAN\_04\_IU10 | People will evaluate system outputs and can intervene before any action is taken: the system will proceed unless the reviewer intervenes. *For example, a loan application processing system which will deliver reports of decisions to the loan officer but will submit the decision unless the loan officer intervenes.* |
| ##ROLE\_OF\_HUMAN\_05\_IU10 | People will make decisions based on output provided by the system: the system will not proceed unless a person approves*. For example, a loan application processing system that does not make the final loan approval decision without approval from the loan officer.* |

### Deployment environment complexity - B

**2.7** Indicate with an “X” the description that best represents the system regarding this intended use.

|  |  |
| --- | --- |
| **Select One** | **Deployment environment complexity** |
| ##DEPLOYMENT\_COMPLEXITY\_01\_IU10 | Simple environment, such as when the deployment environment is static, possible input options are limited, and there are few unexpected situations that the system must deal with gracefully. *For example, a natural language processing system used in a controlled research environment.* |
| ##DEPLOYMENT\_COMPLEXITY\_02\_IU10 | Moderately complex environment, such as when the deployment environment varies, unexpected situations the system must deal with gracefully may occur, but when they do, there is little risk to people, and it is clear how to effectively mitigate issues. *For example, a natural language processing system used in a corporate workplace where language is professional and communication norms change slowly.* |
| ##DEPLOYMENT\_COMPLEXITY\_03\_IU10 | Complex environment, such as when the deployment environment is dynamic; the system will be deployed in an open and unpredictable environment or may be subject to drifts in input distributions over time. There are many possible types of inputs, and inputs may significantly vary in quality. Time and attention may be at a premium in making decisions and it can be difficult to mitigate issues. *For example, a natural language processing system used on a social media platform where language and communication norms change rapidly.* |

# Section 3: Adverse Impact

## Restricted Uses - A

**3.1** Review defined[**Restricted Uses**](https://aka.ms/RestrictedUses) to determine whether the system meets the definition of any current Restricted Uses. If so, list them here, and follow the requirements for those Restricted Uses.

|  |
| --- |
| Restricted Uses |
| ##RESTRICTED\_USES |

## Unsupported uses - B

**3.2** Uses for which the system was not designed or evaluated or that we recommend customers avoid.

|  |
| --- |
| Unsupported uses |
| ##UNSUPPORTED\_USES |

## Known limitations - B

**3.3** Describe the known limitations of the system. This could include scenarios where the system will not perform well, environmental factors to consider, or other operating factors to be aware of.

|  |
| --- |
| Known limitations |
| ##KNOWN\_LIMITATIONS |

## Potential impact of failure on stakeholders - A

***3.4*** *Define predictable failures, including false positive and false negative results for the system as a whole and how they would impact stakeholders for each intended use.*

|  |
| --- |
| Potential impact of failure on stakeholders |
| ##FAILURE\_ON\_STAKEHOLDERS |

## Potential impact of misuse on stakeholders - A

**3.5** Define system misuse, whether intentional or unintentional, and how misuse could negatively impact each stakeholder. Identify and document whether the consequences of misuse differ for marginalized groups. When serious impacts of misuse are identified, note them in the summary of impact as a potential harm.

|  |
| --- |
| Potential impact of misuse on stakeholders |
| ##MISUSE\_ON\_STAKEHOLDERS |

## Sensitive Uses - A

**3.6** Consider whether the use or misuse of the system could meet any of the Sensitive Use triggers below. For more information, including full definitions of the triggers, example scenarios, and FAQs, see [**Sensitive Uses**](https://microsoft.sharepoint.com/sites/ResponsibleAI/SitePages/Report-Sensitive-Uses.aspx)**.**

|  |  |
| --- | --- |
| **Yes or No** | **Sensitive Use triggers** |
| ##SENSITIVE\_USE\_01 | **Consequential impact on legal position or life opportunities**  The use or misuse of the AI system could affect an individual’s: legal status, legal rights, access to credit, education, employment, healthcare, housing, insurance, and social welfare benefits, services, or opportunities, or the terms on which they are provided. |
| ##SENSITIVE\_USE\_02 | **Risk of physical or psychological injury**  The use or misuse of the AI system could result in significant physical or psychological injury to an individual. |
| ##SENSITIVE\_USE\_03 | **Threat to human rights**  The use or misuse of the AI system could restrict, infringe upon, or undermine the ability to realize an individual’s human rights. Because human rights are interdependent and interrelated, AI can affect nearly every internationally recognized human right. |

If the use or misuse of the system triggers a Sensitive Use, you are required to report the system using the [**Sensitive Uses Intake Tool**](http://aka.ms/reportsensitiveuse)**.** Follow any additional requirements resulting from a Sensitive Uses review.

# Section 4: Data requirements

## Data requirements - B

**4.1** Define and document data requirements with respect to the system’s intended uses, stakeholders, and the geographic areas where the system will be deployed.

|  |
| --- |
| Data requirements |
| ##DATA\_REQUIREMENTS |

## Existing data sets – B

**4.2** 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 above. If you do not plan to use pre-defined data sets, enter “N/A” in the response area.

|  |
| --- |
| Existing data sets |
| ##EXISTING\_DATA\_SETS |

# Section 5: Summary of Impact

## Potential harms and preliminary mitigations - A

**5.1** Gather the potential harms you identified in the Impact Assessment in this table (check the stakeholder table, fairness considerations, adverse impact section, and any other place where you may have described potential harms). Use the mitigations prompts in the[**guidance and activities deck**](https://aka.ms/RAIImpactAssessmentGuidance) to understand if the Responsible AI Standard can mitigate some of the harms you identified. Discuss the harms that remain unmitigated with your team and potential reviewers.

|  |  |  |
| --- | --- | --- |
| Describe the potential harm | Corresponding Goal from the Responsible AI Standard (if applicable) | Describe your initial ideas for mitigations or explain how you might implement the corresponding Goal in the design of the system. |
| ##HARM\_01 | ##HARM\_01\_GOAL | ##HARM\_01\_MITIGATION |
| ##HARM\_02 | ##HARM\_02\_GOAL | ##HARM\_02\_MITIGATION |
| ##HARM\_03 | ##HARM\_03\_GOAL | ##HARM\_03\_MITIGATION |
| ##HARM\_04 | ##HARM\_04\_GOAL | ##HARM\_04\_MITIGATION |
| ##HARM\_05 | ##HARM\_05\_GOAL | ##HARM\_05\_MITIGATION |
| ##HARM\_06 | ##HARM\_06\_GOAL | ##HARM\_06\_MITIGATION |
| ##HARM\_07 | ##HARM\_07\_GOAL | ##HARM\_07\_MITIGATION |
| ##HARM\_08 | ##HARM\_08\_GOAL | ##HARM\_08\_MITIGATION |
| ##HARM\_09 | ##HARM\_09\_GOAL | ##HARM\_09\_MITIGATION |
| ##HARM\_10 | ##HARM\_10\_GOAL | ##HARM\_10\_MITIGATION |

## Goal Applicability - A

**5.2** Some of the Goals of the Responsible AI Standard apply to all AI systems, while other Goals apply only to specific types of AI systems. To assess which Goals apply to this system, use the tables below. When a Goal applies to only specific types of AI systems, indicate if the Goal applies to the system being evaluated in this Impact Assessment by indicating “Yes” or “No.” If you indicate that a Goal does not apply to the system, explain why in the response area. If a Goal applies to the system, you must complete the requirements associated with that Goal while developing the system. See the [**Standard training**](https://aka.ms/RAIS-Training) for more information about the specific requirements for each Goal.

### Accountability Goals

|  |  |  |
| --- | --- | --- |
| **Goals** | **Does this Goal apply to the system?** | **Link to training for this Goal** |
| A1: Impact assessment  *Applies to:* AI systems where a Microsoft team carries out qualifying development or deployment activities for a customer as part of the project. | **Yes** | [***Training for A1***](https://aka.ms/RAIS-Training-A1) |
| A2: Oversight of significant adverse impacts  *Applies to:* AI systems where a Microsoft team carries out qualifying development or deployment activities for a customer as part of the project. | **Yes** | [***Training for A2***](https://aka.ms/RAIS-Training-A2) |
| A3: Fit for purpose  *Applies to:* AI systems where a Microsoft team carries out qualifying development or deployment activities for a customer as part of the project. | **Yes** | [***Training for A3***](https://aka.ms/RAIS-Training-A3) |
| A4: Data governance and management  *Applies to:* AI systems where a Microsoft team carries out qualifying development or deployment activities for a customer as part of the project. | **Yes** | [***Training for A4***](https://aka.ms/RAIS-Training-A4) |
| A5: Human oversight and control  *Applies to:* AI systems where a Microsoft team carries out qualifying development or deployment activities for a customer as part of the project. | **Yes** | [***Training for A5***](https://aka.ms/RAIS-Training-A5) |

### Transparency Goals

|  |  |  |
| --- | --- | --- |
| **Goals** | **Does this Goal apply to the system?** | **Link to training for this Goal** |
| T3: Disclosure of AI interaction  *Applies to:* AI systems where a Microsoft team carries out qualifying development or deployment activities for a customer as part of the project that meet either of the following two conditions:   1. The system impersonates interactions with humans, unless it is obvious from the circumstances or context of use that an AI system is in use, or 2. The system generates or manipulates image, audio, or video content that could falsely appear to be authentic. | **##DISCLOSURE\_OF\_AI\_INTERACTION** | [***Training for T3***](https://aka.ms/RAIS-Training-T3) |

|  |
| --- |
| **If you selected “No” for Goal T3, explain why the Goal does not apply to the system below.** |
| **##DISCLOSURE\_OF\_AI\_INTERACTION\_EXPLANATION** |

## Signing off on the Impact Assessment - A

**5.3** Before you continue with next steps, complete the appropriate reviews and sign off on the Impact Assessment. At minimum, the PM should verify that the Impact Assessment is complete, but your organization may also have a formal review process with your RAI Champ and/or others. In this case, ensure you complete the appropriate reviews and secure all approvals as required by your organization before beginning development.

|  |  |  |  |
| --- | --- | --- | --- |
| Reviewer role and name  (e.g., PM, RAI Champ) | I can confirm that the document benefitted from collaborative work and different expertise within the team (e.g., engineers, designers, data scientists, etc.) | Date reviewed | Comments |
|  |  |  |  |

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

## Guidance and feedback (optional)

In this (optional) section, note any places in the Impact Assessment where you have questions or concerns, or need additional support or input from your potential reviewers. Reviewers can also use this section to provide feedback on the Impact Assessment.

|  |
| --- |
| Notes |
|  |

## Feedback on the Impact Assessment

We would like to hear about your experience completing an Impact Assessment. Please follow [**this link**](https://forms.office.com/Pages/ResponsePage.aspx?id=v4j5cvGGr0GRqy180BHbR23RB60UBK9BjmEIqZ0hN5NUNUZRMTVYUlBVNk1XM0tHUzBDTzJRUUdLUiQlQCN0PWcu) to complete a short survey.