

Artificial Intelligence (AI) Documentation and Evidence Request Index

Pre on-site documents / evidence	Name of document provided as evidence	Reference (if applicable)
System specification documents / Technical specification document(s)		
Various job descriptions - privacy personnel, technical staff (designers, researchers, developers etc), senior management, internal audit / compliance staff, procurement staff.		
DPO job description.		
Organisational charts		
Meeting terms of reference for meetings where data privacy is discussed, or that are attended by privacy personnel.		
Meeting minutes showing data privacy based discussions / actions at various levels within the business, including at senior level.		
Mission statement, business values or business culture documentation demonstrating management support for data privacy and awareness (tone from the top).		
Privacy or Data Protection policies.		
Information / Cyber Security policies.		
Sample Contracts of Employment demonstrating requirement to adhere to privacy and security policies.		
Procedures containing privacy / data protection elements		
Design templates containing privacy / data protection elements		
Audit / External Assessment or Certification Plan		
Evidence (reports) of completed external audits or certifications e.g. SOC2, ISO27001 etc		
Internal audit plan		
Internal audit reports		
Product release process.		
Engineer Design / Product Release Templates		
Change management logs		
Change management policy / process		
Data supply chain map		
Network diagrams - data flow diagram / map		
Data Index		
List of sub processors / 3rd party suppliers - includes what data involved, data shared, retention, SCCs.		
Internal and external facing versions		
Client contract, sales and marketing scripts / clauses		
Privacy information provided within SDK (screenshots), or website / tool / product / system		
Privacy Policy		
Copies of all Privacy Notice / Information		
Terms of Use / Service		
Example copies of Client / Customer privacy information or notices		
Privacy / fair processing information training for all staff		
Appropriate Policy Document (APD) - if applicable		
Legitimate Interest Assessment (LIA)		
Record of Processing Activities (RoPA)		
Copies of consent statements		
Consent records log		
Article 22 assessments - if applicable		
Copies of all applicable DPIAs		
Copies of 3rd party and processor Contracts (redacted if necessary)		
Vendor checklists & onboarding risk assessment questionnaire		
Ongoing 3rd party and processor due diligence checklists and security assessments		

Outputs of statistical accuracy testing reporting provided as part of procurement process.			
Outputs of discrimination / bias testing reporting provided as part of procurement process.			
Outputs of any trade off review / reporting provided as part of procurement process.			
Contracts log / record			
Data Minimisation policy and procedures			
Data minimisation test plan and reports			
Retention Schedule			
Destruction Schedule, Log and / or Certificates			
Individual Rights Request (IRR) Policy			
Individual Rights (IR) handling procedures			
IR training material for all staff (on how to recognise a request and where to channel requests)			
Job descriptions for roles with responsibilities for processing IRR's			
Data protection and security training materials, e-learning			
Training Programmes			
Training Needs Analysis			
Recruitment procedure / policy			
DPIA screening checklist			
DPIA template			
DPIA policy / procedure / process			
Risk management policy / procedure			
Risk Register(s) showing data protection risks			
Model / system security policy			
System Operating Procedures			
Penetration Test Plans & Reports			
Internal IT health check plans and reports			
Patch Management Policy			
Vulnerability Monitoring Policy			
Hardware and Software Management Policy			
Hardware and Software asset registers			
Hardware and Software Risk Management Policy			
Acceptable Use Policy and procedures			
Breach Management Policy and procedures			
Breach Log			
System use monitoring policy / procedures			
API Access Policy - if applicable			
Firewall rules			
Data accuracy and integrity test plans			
Data Quality / Quality Assurance Policy and procedures			
Access Control Policy			
Business Continuity Plans (BCP) & Disaster Recovery Plans (DR)			
Evidence of documented trade off decisions			
Data management process			
Data labelling process			
Data labelling QA process			
Data labelling testing results			
Contracts for 3rd party data labelling services			
Evidence of data label reviews			
Statistical accuracy test plans			
Statistical accuracy test results , charts etc.			
Product Performance dashboards			
Test plans for discrimination or bias testing and evidence of reported outcomes			
Human review testing plan			
Human review testing reports			