AI & Partners

Mock Scenarios

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Orthrus: Mock Scenarios

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Introduction

Welcome to the Orthrus Compliance Handbook's Mock Scenarios section, a valuable resource designed to help you apply your knowledge of the European Union's AI Act in practical situations. This introduction provides an overview of the mock scenarios and how they can help you gain a deeper understanding of AI compliance in real-world contexts.

Purpose of the Mock Scenarios

The primary purpose of the Mock Scenarios is to provide you with practical, hands-on experience in dealing with compliance challenges related to the EU AI Act. These scenarios simulate real-life situations that governance, risk, and compliance professionals may encounter in their roles. By engaging with these scenarios, you can enhance your problem-solving skills, develop a practical understanding of compliance processes, and become better prepared to address compliance issues in your organization.

How to Use the Mock Scenarios

The Mock Scenarios are structured to offer a structured approach to tackling compliance challenges. You can use them in various ways to suit your learning needs and interests:

- Sequential Practice: Start with scenario 1.1.1 and progress sequentially through the scenarios to get a comprehensive understanding of different aspects of compliance with the EU AI Act.
- Focused Learning: If you have a specific area of interest or want to address particular compliance challenges, you can jump directly to the scenarios that match your interests.
- Skill Enhancement: As you become more proficient in handling compliance scenarios, use this document as a reference for practicing and enhancing your skills.

Each scenario provides you with a practical challenge and the opportunity to apply your knowledge of the EU AI Act and Orthrus RegTech tools to address the compliance situation effectively. You'll find a structured format in each scenario that includes the following elements:

- Scenario Title: A brief, descriptive title for the mock scenario.
- Scenario Overview: An introduction to the compliance situation or challenge that the scenario addresses.
- Scenario Objectives: Clear objectives that you should aim to achieve during the mock scenario.
- Scenario Steps: A step-by-step breakdown of the actions you should take to address the compliance challenge.
- Discussion Points: Key discussion points or questions to encourage you to reflect on your actions and decisions during the scenario.
- Follow-Up Actions: Recommendations for further actions, analysis, or reporting based on the scenario's outcomes.
- Additional Resources: Links to relevant articles, documents, or tools for those who want to explore the scenario in more depth.
- Outcome Assessment: A summary of the expected outcomes and the criteria for assessing the successful completion of the scenario.

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The Mock Scenarios section aims to empower you to become a more effective governance, risk, and compliance professional by honing your practical compliance skills. Your commitment to ethical, legal, and responsible AI compliance is essential, and these scenarios are here to help you build the expertise you need.

Who Should Use the Mock Scenarios Document?

The Mock Scenarios document is tailored for governance, risk, and compliance professionals who are engaged in AI compliance within their organizations. If you are responsible for ensuring that your organization adheres to the EU AI Act, improving risk management, or promoting ethical AI deployment, these scenarios are designed to provide valuable training and experiential learning.

When the Mock Scenarios Document Should Be Used

The Mock Scenarios document should be used whenever you want to enhance your practical understanding of AI compliance and develop your skills. Here are some scenarios when it can be particularly beneficial:

- New Compliance Professionals: If you are new to AI compliance or the EU AI Act, these scenarios provide an excellent starting point to gain practical experience.
- Team Training Sessions: Organize team training sessions to collectively engage with these scenarios to improve your organization's compliance efforts.
- Periodic Skill Assessment: Use the scenarios periodically to assess and enhance your AI compliance skills, ensuring that you remain well-prepared for the challenges of your role.

Where the Mock Scenarios Document Should Be Used

The Mock Scenarios document can be used in various settings, both individually and collectively. You can apply these scenarios:

- During Workshops: Include these scenarios in your compliance workshops or training sessions to promote interactive learning.
- In Group Discussions: Encourage team members to discuss and solve the scenarios together to stimulate knowledge sharing and collective problem-solving.
- For Self-Study: If you prefer self-directed learning, you can work through the scenarios at your own pace to hone your skills.
- At Conferences and Seminars: These scenarios can be used as practical exercises during AI compliance conferences and seminars to deepen participants' understanding.

What the Mock Scenarios Document Is

The Mock Scenarios document is a collection of practical, real-world compliance challenges and exercises designed to enhance your understanding and application of the European Union's AI Act within the context of your professional role. These scenarios provide you with a hands-on experience of dealing with compliance issues, allowing you to put your knowledge into action and develop essential skills.

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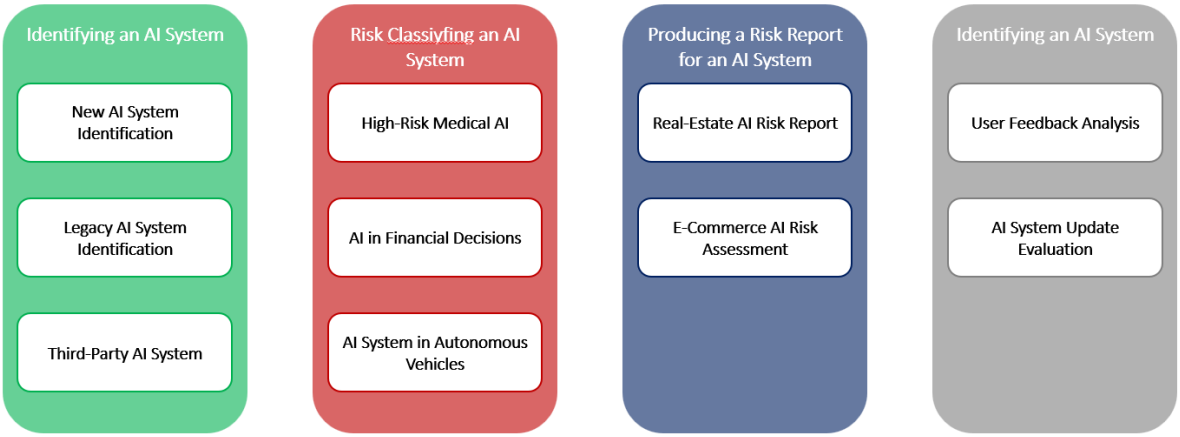
Why the Mock Scenarios Document Should Be Used

The Mock Scenarios document serves several crucial purposes:

- **Applied Learning**: It offers a platform for applied learning, enabling you to apply the theoretical knowledge you've gained from the Compliance Handbook to practical situations. This bridge between theory and practice is vital for building proficiency in AI compliance.
- **Skill Development**: Through these scenarios, you'll sharpen your analytical, decision-making, and problem-solving skills in the realm of AI compliance. You'll learn how to assess, navigate, and address real compliance challenges effectively.
- **Risk Mitigation**: These scenarios help you identify potential compliance risks and learn how to mitigate them. By working through these exercises, you'll be better prepared to handle actual compliance issues in your professional role.
- **Interactive Learning**: The Mock Scenarios encourage interactive and collaborative learning. You can use these scenarios individually for self-study, or within a group setting for team-based discussions and skill-sharing.
- **Preparation for Real-World Challenges**: By engaging with these scenarios, you'll become more adept at anticipating, managing, and responding to AI compliance issues that may arise in your organization. This preparation is invaluable for your role as a governance, risk, and compliance professional.



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Identifying an AI System

New AI System Identification

Scenario Title

Introduction of a Customer Support AI System

Scenario Overview

Your organization is adopting a new AI system for enhancing customer support operations. The challenge is to identify the components, data sources, and functionalities of this AI system, ensuring that it aligns with the EU AI Act's documentation requirements.

Scenario Objectives:

- Identify the key components of the new AI system.
- Document the data sources and types of data the AI system will use.
- Understand the functionalities of the AI system and how they relate to customer support.
- Ensure that the documentation is compliant with the EU AI Act's provisions.

Scenario Steps:

- Review the documentation provided about the new AI system.
- Identify the system's components, including software, hardware, and data interfaces.
- Document the data sources, specifying where the AI system collects and processes data.
- Describe the AI system's functionalities and how they contribute to customer support.
- Review the documentation to ensure compliance with the EU AI Act.

Discussion Points:

- What challenges did you encounter when gathering information about the AI system's components?
- How do you think the AI system's data usage might impact its risk classification under the EU AI Act?
- What considerations are essential to ensure that the documentation complies with the EU AI Act's provisions?

Follow-Up Actions:

After completing the scenario, you should conduct a compliance review of the documentation and consider further assessments and risk classification as needed.

Additional Resources:

[EU AI Act Documentation](link to EU AI Act provisions on documentation)

Outcome Assessment

Successful completion includes thorough documentation that identifies the AI system's components, data sources, functionalities, and compliance with EU AI Act documentation requirements.

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Legacy AI System Identification

Scenario Title

Locating a Legacy AI System

Scenario Overview

Your organization has been using an AI system for years, but the documentation is outdated or incomplete. You are tasked with identifying the legacy AI system's functionalities and data usage to ensure ongoing compliance under the EU AI Act.

Scenario Objectives:

- Locate and identify the legacy AI system.
- Reconstruct its functionalities and data processing mechanisms.
- Assess how the AI system's current state aligns with the EU AI Act's documentation requirements.

Scenario Steps:

- Gather existing documentation related to the legacy AI system.
- Interview relevant personnel who have knowledge of the AI system.
- Reconstruct the system's functionalities and data sources based on gathered information.
- Compare the current documentation with EU AI Act requirements and identify gaps.

Discussion Points:

- What challenges did you encounter when trying to reconstruct the legacy AI system's functionalities?
- How do incomplete or outdated documentation practices impact compliance under the EU AI Act?
- What steps would you recommend to ensure ongoing compliance when dealing with legacy systems?

Follow-Up Actions:

After completing the scenario, you should prioritize updating the legacy system's documentation to align with the EU AI Act's requirements.

Additional Resources:

[EU AI Act Documentation](link to EU AI Act provisions on documentation)

Outcome Assessment

Successful completion includes a reconstructed documentation that outlines the legacy AI system's functionalities and data usage, along with an assessment of its compliance with the EU AI Act's documentation requirements.

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Third-Party AI System

Scenario Title

Integrating a Third-Party AI System for Data Analytics

Scenario Overview

Your organization has decided to incorporate a third-party AI system for data analytics. You are responsible for identifying this external system's interactions with your data and evaluating its potential impact on compliance with the EU AI Act.

Scenario Objectives:

- Identify the third-party AI system's components and data processing methods.
- Evaluate how the external AI system interacts with your organization's data.
- Assess the potential risks and compliance implications of integrating the third-party AI system.

Scenario Steps:

- Acquire documentation and information regarding the third-party AI system.
- Analyze the system's components, data sources, and data processing methods.
- Map out the points of interaction between the third-party AI system and your organization's data.
- Evaluate the AI system's potential risks and identify any non-compliance issues.

Discussion Points:

- What are the key considerations when integrating a third-party AI system for data analytics from a compliance perspective?
- How can you ensure that the third-party system's risk classification aligns with your organization's compliance goals?
- What measures should be in place to address potential risks associated with the third-party AI system?

Follow-Up Actions:

After completing the scenario, you should develop strategies to mitigate risks and ensure that the third-party AI system complies with the EU AI Act.

Additional Resources:

[EU AI Act Documentation](link to EU AI Act provisions on third-party integration)

Outcome Assessment

Successful completion includes a comprehensive understanding of the third-party AI system's components, data interactions, and potential risks, along with a plan to address compliance issues under the EU AI Act.

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Risk Classifying an AI System

High-Risk Medical AI

Scenario Title

Evaluating Risk Classification for a Medical AI System

Scenario Overview

In this scenario, your organization relies on an AI system for medical diagnosis, where the stakes are high. Your task is to assess the risk level of this AI system in accordance with the EU AI Act's criteria. You must consider factors like data sensitivity and potential harm to patients.

Scenario Objectives:

- Determine the AI system's risk level for medical diagnosis.
- Apply the EU AI Act's risk classification criteria to the scenario.
- Evaluate data sensitivity and potential harm to patients in the risk assessment.

Scenario Steps:

- Acquire documentation and information about the medical AI system.
- Identify the system's functionalities in the medical diagnosis process.
- Apply the EU AI Act's risk classification criteria to evaluate the system.
- Analyze data sensitivity and assess the potential harm that incorrect diagnoses could cause to patients.
- Make a risk classification recommendation based on the assessment.

Discussion Points:

- How do you balance the benefits of the medical AI system with the potential risks it poses in patient diagnosis?
- Which aspects of the EU AI Act's risk classification criteria are particularly relevant in a high-stakes medical scenario?
- What strategies can be employed to mitigate the risks associated with this AI system?

Follow-Up Actions:

After completing the scenario, it is essential to communicate your risk classification recommendation to stakeholders and establish procedures to manage and monitor the AI system's compliance.

Additional Resources:

[EU AI Act Documentation](link to EU AI Act provisions on medical AI systems)

Outcome Assessment

Successful completion includes a risk classification recommendation that accurately assesses the medical AI system's risk level based on the EU AI Act's criteria.

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AI in Financial Decisions

Scenario Title

Risk Classification for AI in Financial Decisions

Scenario Overview

Your organization relies on an AI system to make automated financial decisions, a context where financial implications and fairness are paramount. Your task is to classify the risk of this AI system according to the EU AI Act, considering financial implications and fairness in decision-making.

Scenario Objectives:

- Classify the risk level of the AI system used in financial decision-making.
- Apply the EU AI Act's risk classification criteria, particularly considering financial aspects and fairness.
- Evaluate how the AI system's decisions impact customers and financial outcomes.

Scenario Steps:

- Gather documentation and information regarding the AI system used in financial decisions.
- Identify the AI system's functionalities and how it influences financial outcomes.
- Apply the EU AI Act's risk classification criteria to assess the system's risk level.
- Consider fairness and the potential financial impact of incorrect decisions.
- Make a risk classification recommendation based on the assessment.

Discussion Points:

- How does the financial context influence the risk classification of this AI system?
- Which aspects of the EU AI Act's risk classification criteria are particularly relevant in the financial domain?
- What measures can be taken to ensure fairness in financial decisions made by the AI system?

Follow-Up Actions:

Following the scenario, you should communicate your risk classification recommendation to relevant stakeholders and implement ongoing monitoring mechanisms to ensure compliance.

Additional Resources:

[EU AI Act Documentation](link to EU AI Act provisions on AI in financial contexts)

Outcome Assessment

Successful completion includes a risk classification recommendation that effectively assesses the AI system's risk level within the context of financial decisions, considering financial implications and fairness.

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AI System in Autonomous Vehicles

Scenario Title

Risk Classification for AI in Autonomous Vehicles

Scenario Overview

Your organization utilizes AI in autonomous vehicles, a domain where safety concerns and potential impact on users and the environment are critical. Your role is to classify the risk of this AI system based on the EU AI Act's criteria, with an emphasis on safety and user/environmental impact.

Scenario Objectives:

- Determine the risk level of the AI system used in autonomous vehicles.
- Apply the EU AI Act's risk classification criteria, with a focus on safety and impact on users and the environment.
- Assess how the AI system's operations could impact the safety of users and the environment.

Scenario Steps:

- Collect documentation and information regarding the AI system used in autonomous vehicles.
- Identify the AI system's functionalities and its role in the autonomous vehicle context.
- Apply the EU AI Act's risk classification criteria to evaluate the system's risk level.
- Consider safety concerns and the potential impact of the AI system on users and the environment.
- Make a risk classification recommendation based on the assessment.

Discussion Points:

- How does the context of autonomous vehicles influence the risk classification of this AI system?
- Which aspects of the EU AI Act's risk classification criteria are particularly relevant in the domain of autonomous vehicles?
- What strategies can be employed to ensure user and environmental safety in the use of this AI system?

Follow-Up Actions:

Upon completing the scenario, you should communicate your risk classification recommendation to relevant stakeholders and establish safety protocols and monitoring procedures to ensure compliance.

Additional Resources:

[EU AI Act Documentation](link to EU AI Act provisions on AI in autonomous vehicles)

Outcome Assessment

Successful completion includes a risk classification recommendation that effectively assesses the AI system's risk level within the context of autonomous vehicles, considering safety and impact on users and the environment.

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Producing a Risk Report for an AI System

Real-Estate AI Risk Report

Scenario Title

Creating a Risk Report for Real Estate AI

Scenario Overview

In this scenario, your organization relies on AI for real estate market predictions. Your task is to generate a comprehensive risk report for this AI system, detailing its functionality, data usage, and risk classification under the EU AI Act.

Scenario Objectives:

- Create a detailed risk report for the AI system used in real estate predictions.
- Document the AI system's functionality and data sources.
- Classify the risk level of the AI system as per the EU AI Act.
- Include relevant risk metrics and potential impact on customers.
- Provide recommendations for risk mitigation.

Scenario Steps:

- Gather documentation and information regarding the AI system used in real estate predictions.
- Identify the AI system's functionalities in predicting real estate market trends.
- Apply the EU AI Act's risk classification criteria to evaluate the system's risk level.
- Analyze data usage and potential impact on customers.
- Create a comprehensive risk report, including risk metrics and risk classification.

Discussion Points:

- How do the AI system's predictions impact the real estate market, and what potential risks can emerge?
- Which aspects of the EU AI Act's risk classification criteria are particularly relevant in the context of real estate predictions?
- What measures can be taken to mitigate the risks associated with this AI system in the real estate domain?

Follow-Up Actions:

After generating the risk report, it is crucial to communicate the findings to relevant stakeholders, implement any recommended risk mitigation strategies, and ensure ongoing monitoring for compliance.

Additional Resources:

[EU AI Act Documentation](link to EU AI Act provisions on AI in the real estate industry)

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Outcome Assessment
Successful completion involves the creation of a comprehensive risk report for the real estate AI system, including risk metrics, risk classification, and recommendations for risk mitigation.

E-Commerce AI Risk Assessment

Scenario Title
Assessing Risks of an E-commerce AI System

Scenario Overview
In this scenario, you are tasked with conducting a risk assessment for an AI system used in e-commerce. Your objective is to create a risk assessment that includes relevant metrics, considers the potential impact on customers, and provides recommendations for risk mitigation.

Scenario Objectives:
- Conduct a thorough risk assessment for the AI system used in e-commerce.
- Assess the AI system's functionalities, data usage, and potential risks.
- Develop risk metrics to quantify the identified risks.
- Consider the impact of these risks on customers.
- Provide recommendations for risk mitigation and compliance.

Scenario Steps:
- Collect documentation and information related to the AI system used in e-commerce.
- Identify the functionalities of the AI system within the e-commerce context.
- Assess the AI system's data usage and potential risks, applying the EU AI Act's risk classification criteria.
- Develop relevant risk metrics to quantify the identified risks.
- Analyze the potential impact of these risks on e-commerce customers.

Discussion Points:
- What are the key risks associated with AI in e-commerce, and how can they impact customers?
- Which elements of the EU AI Act's risk classification criteria are most relevant in the e-commerce sector?
- What strategies can be implemented to mitigate the identified risks and ensure compliance?

Follow-Up Actions:
Upon completing the risk assessment, it's crucial to share the findings and recommendations with relevant stakeholders, implement risk mitigation strategies, and establish monitoring mechanisms for ongoing compliance.

Additional Resources:
[EU AI Act Documentation](link to EU AI Act provisions on AI in e-commerce)

Outcome Assessment
Successful completion includes a comprehensive risk assessment for the e-commerce AI system, including risk metrics, risk classification, and recommendations for risk mitigation and compliance.

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Post-Market Monitoring of an AI System

User Feedback Analysis

Scenario Title

Analyzing User Feedback for Social Media AI

Scenario Overview

In this scenario, you are responsible for the post-market monitoring of an AI system used in a social media platform. Your task is to analyze user feedback and comments to identify emerging risks and potential violations of the EU AI Act.

Scenario Objectives:

- Analyze user feedback and comments related to the AI system's performance.
- Identify emerging risks or concerns expressed by social media platform users.
- Apply the EU AI Act's risk classification criteria to assess identified concerns.
- Determine whether any potential violations of the EU AI Act have occurred.
- Develop recommendations for risk mitigation based on the analysis.

Scenario Steps:

- Gather user feedback and comments related to the AI system's performance on the social media platform.
- Categorize and analyze the feedback to identify recurring concerns and issues.
- Apply the EU AI Act's risk classification criteria to evaluate the identified concerns.
- Assess whether any of the identified issues may constitute potential violations of the EU AI Act.
- Create a report summarizing the analysis, potential risks, and recommendations for risk mitigation.

Discussion Points:

- What recurring concerns and issues have social media platform users expressed regarding the AI system?
- How can the EU AI Act's risk classification criteria be applied to the identified user feedback?
- What measures can be taken to mitigate identified risks and ensure compliance with the EU AI Act?

Follow-Up Actions:

After completing the user feedback analysis, it is essential to communicate the findings to relevant stakeholders, implement risk mitigation measures, and establish ongoing monitoring for compliance.

Additional Resources:

[EU AI Act Documentation](link to EU AI Act provisions on AI in social media)

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Outcome Assessment
Successful completion involves a well-documented analysis of user feedback, identification of potential risks, and recommendations for risk mitigation and compliance.

AI System Update Evaluation

Scenario Title
Evaluating an Update to a Personal Finance AI

Scenario Overview
In this scenario, your organization plans to update an AI system used for personal finance management. As part of post-market monitoring, your task is to assess the implications of the update on compliance and user safety.

Scenario Objectives:
- Evaluate the proposed update to the personal finance AI system.
- Determine potential impacts on compliance with the EU AI Act.
- Assess the implications of the update on user safety and financial decisions.
- Develop recommendations for ensuring compliance and user protection.

Scenario Steps
- Review the details and documentation related to the proposed update of the personal finance AI system.
- Analyze how the update aligns with the EU AI Act's criteria and regulations.
- Assess the potential impact of the update on user safety and the fairness of financial decisions.
- Develop a report summarizing the evaluation, potential compliance risks, and recommendations for a safe and compliant update.

Discussion Points:
- How does the proposed update align with the EU AI Act's criteria and regulations?
- What potential risks or compliance issues may arise from the update?
- What measures can be taken to ensure the update is safe, fair, and compliant?

Follow-Up Actions:
Upon completing the evaluation, it's crucial to communicate the findings and recommendations to relevant stakeholders, make necessary adjustments to the update plan, and ensure ongoing monitoring for compliance.

Additional Resources:
[EU AI Act Documentation](link to EU AI Act provisions on AI updates in personal finance)

Outcome Assessment
Successful completion includes a well-documented evaluation of the AI system update, identification of potential risks, and recommendations for ensuring compliance and user safety.

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