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## **EUROPEAN AI SCANNER**

JUNE 2023

**For public use**



# Contents

- Introduction (Slide 3-4)
- Sandbox (Slide 5-10)
- Governance (Slide 11-17)
- Risk (Slide 18-21)
- Compliance (Slide 22-28)
- Process (Slide 29-30)
- How We Can Help (Slide 31-32)

# Introduction



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# Risk assessment made easy

## A software-based EU AI Act compliance solution for your clients and AI value chain actors

- European AI Scanner is a software-based application designed for professional services firms that want to ensure that their clients are operating in compliance with the upcoming European Union Artificial Intelligence Act (EU AI Act).
- Client require a renewed focus for businesses who must be EU AI Act compliant.
- AI & Partners' out-of-the box application is designed to help businesses risk classify their AI systems for those that fall in scope with the regulation and ensure the right controls for AI system development, marketing and use and breach reporting are in place.

Built utilising input from leading artificial intelligence **experts**

Cutting edge **RegTech tool** to future proof EU AI Act compliance

# Sandbox



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# Easy to use dashboard allowing cross-platform navigation

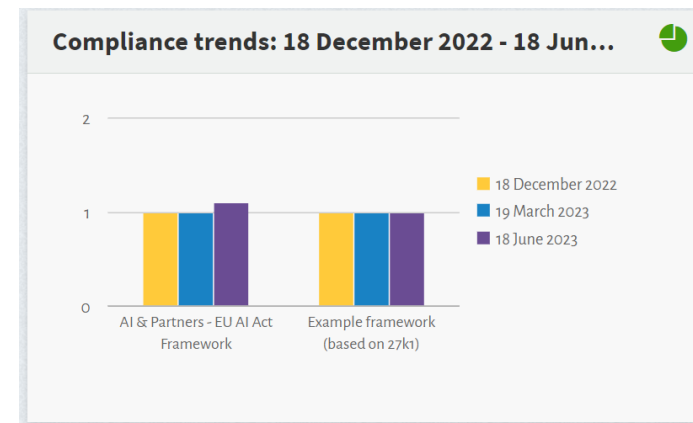
### Organisations in this group (2)

- 239 - Client A
- 324 - Business Unit B02

### Compliance monitor

AI & Partners - EU AI Act Framework: 1,1

Example framework (based on 27k1): 1,0



### Data breaches, incidents and GDPR requests

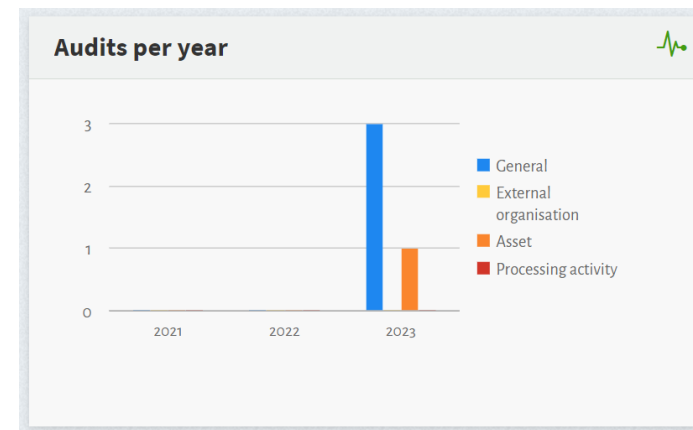
Type	Open	Closed	Total
Data breaches	0	0	0
Other incidents	0	0	0
Data subject requests	0	0	0

Report incident | Record request

### Identified risks

No risks identified.

All risks | New risk





# Easy assignment of tasks to employees across functions

Upcoming (0)

Recent activities (0)

Ready for review (0)

Recent attachments (0)

Task description | Planning | Controls

Type: Implementation

Task: In brief...

Description: Task description

Required evidence: Description of required evidence

Cancel Save

Task description | Planning | Controls

Effective date: Gelijk aan eind- of streefdatum

Eind- of streefdatum: Selecteer eind- of streefdatum

Frequency: One-off

Supervisor: Senior Manager

Assignees

Name	Assignee
<input checked="" type="checkbox"/> AIP Sandbox	Select
<input type="checkbox"/> 239 - Client A	Select
<input type="checkbox"/> 324 - Business Unit Bo2	Select

Cancel Save



# Monitor progress on current and planned audits

**Mijn audits** | 3 items

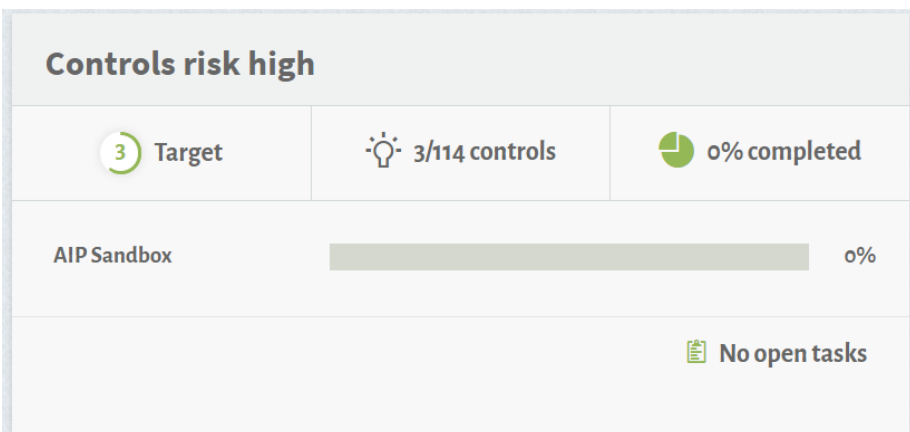
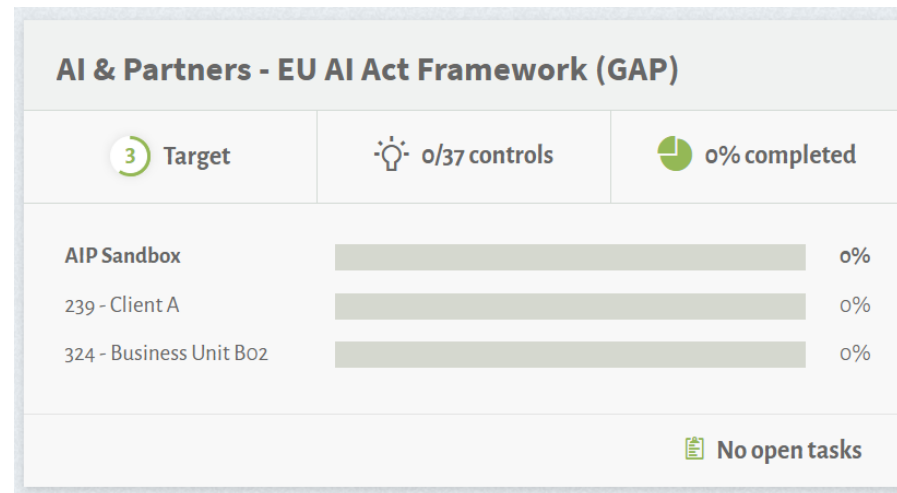
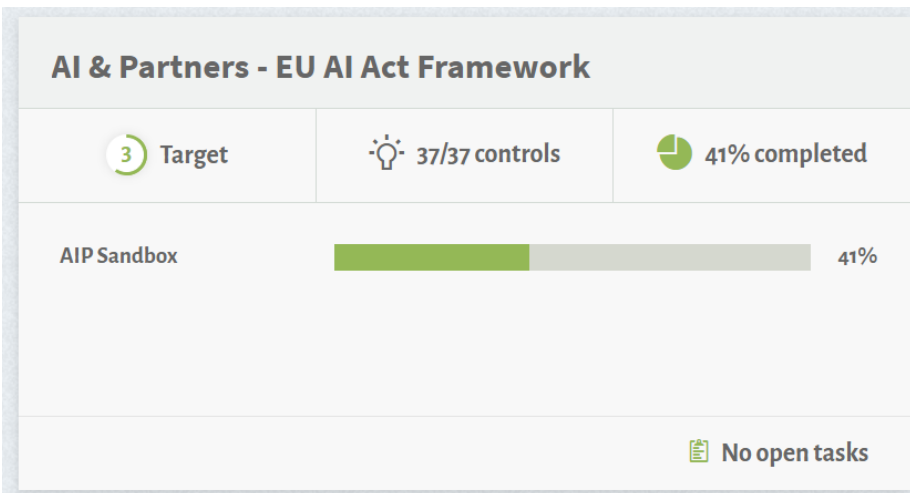
Searching ... All statuses ▼ Mijn rol ... ▼ Senior auditor ... ▼ Auditor ... ▼

●	Nummer en titel	Progress	Mijn rol	Senior auditor	Auditor(s)	Scope	★
📅	#002/001. Auditpl...	Overdue	Senior auditor	Senior Manager	<i>Not yet assigned</i>		6
📅	#003/001. TEST	Overdue	Senior auditor	Senior Manager	<i>Not yet assigned</i>		3
📅	#004/001. High ri...	Planned	Senior auditor	Senior Manager	<i>Not yet assigned</i>	Examp...	4





# Creation of work packages at a group & organizational level



Add work package



# Precision-based insights into performance against framework

### AI & Partners - EU AI Act Framework

**Total - 41% completed**

1. Initial (11)	<div style="width: 20%;"></div>	
2. Repeatable (11)	<div style="width: 20%;"></div>	
3. Defined (15)	<div style="width: 40.5%;"></div>	40.5%
4. Managed (0)	<div style="width: 0%;"></div>	0%
5. Optimised (0)	<div style="width: 0%;"></div>	0%
<i>Not applicable (0)</i>	<div style="width: 0%;"></div>	

**This work package**

**3** Maturity goal  
**Defined**

**No open tasks**

**37 / 37 controls** (active / total)

**1.1** AI & Partners - EU AI Act Framework

**Description**

### AIP Sandbox (Group level)

Maturity goal **Defined** **41% completed**

1. Initial (11)	<div style="width: 20%;"></div>	
2. Repeatable (11)	<div style="width: 20%;"></div>	
3. Defined (15)	<div style="width: 40.5%;"></div>	40.5%
4. Managed (0)	<div style="width: 0%;"></div>	0%
5. Optimised (0)	<div style="width: 0%;"></div>	0%
<i>Not applicable (0)</i>	<div style="width: 0%;"></div>	

**No open tasks**

Add organisation

**+**

# Governance



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# Assign people within the organisation specific roles

**People in this administration** | 3 items Add contact +

🔍 Searching ... All organisations ▼

 Name	Organisation(s)	E-mail address	Authorisation
 Michael Borelli	All	m.borrelli@ai-and-partners.com	group administrator
 Tijs Maas	All	t.maas@ai-and-partners.com	group administrator
 Senior Manager	All	s.musch@ai-and-partners.com	group administrator



# Creation of processes based on the AI lifecycle stage

## Processen

New +

Er zijn nog geen processen op groepsniveau.

Proces toevoegen +

### Over het proces

Draft   Submitted for approval   Reviewed   Final

#### Name & description

Naam van het proces ?

Wat is het doel van dit proces

examples: customer service management, payment of salaries

Omschrijving van het proces ? 0/8000

### Group administrator

Select

### Process owner ?

Select

### Label ?

No label selected

#### Availability on decentral level

- Dit proces is available on central level only.
- Dit proces applies to the entire organisation, both centrally and decentrally.
- Dit proces may be inserted decentrally.



# Assigning organisations involved in the AI value chain

External organisations Supplier asses... New ▾


No external organisations at group level registered.


[Add organisation +](#)


### Availability on decentral level

- This external organisation is available on central level only.
- This external organisation applies to the entire organisation, both centrally and decentrally.
- This external organisation may be inserted decentrally.

### Company information

Company name \*  

Type 

Category 

### Privacy and data processing agreements

How are privacy and data security protection organised?

- No agreement has been reached (yet)
- Data processing agreement
- Data exchange agreement
- Joint data controller agreement
- Covenant
- Privacy statement or policy
- Other agreements
- Not applicable



# Reliable, centralised register of AI systems

**Assets** | 2 items New Export Settings

Searching ... All asset categories All levels All owners

Name	Supplier	Owner	Secur...	Categories	Processing activities
1409 - Transaction fraud detection system	Interne systemen	<none>	None	<none>	<none>
Example AJK	Interne systemen	<none>	High	<none>	<none>



# Catalogue processing activities for data protection purposes

Group processing activities New ▾

No processing activities on administration level.

[Add group processing activity +](#)

▼ **About this processing activity**

● — ○ — ○ — ○

Draft Submitted for approval Reviewed Final

**Name & description**

Name of the processing activity ?

Group administrator

Select ▾

Process owner ?

Select ▾

Domain(s) ?

No items selected

Description of the processing activity ⓘ 0/8000

What is the purpose of this processing activity? ⓘ M+

examples: customer service management, payment of salaries

Automated decision-making ⓘ M+

This processing involves automated decision-making.

Label ⓘ

No label selected







**Availability on decentral level**

- This processing activity is available on central level only.
- This processing activity applies to the entire organisation, both centrally and decentrally.
- This processing activity may be inserted decentrally.





# Identify the data maps for each AI system

Data maps   6 items	
🔍 Searching ...	
Title	Export
Data subjects x Organisations	
Personal data categories x Organisations	
Details x Assets	
Personal data categories x Processing activities	
Overview of activated/inserted External organisations	
Overview of activated/inserted Assets	

# Risk




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# Central domain to manage potential & identified risks

☰ **Identified risks** 


No risks identified.

**All risks**  **New risk** 

☰ **0 DPIAs** 


No DPIAs available

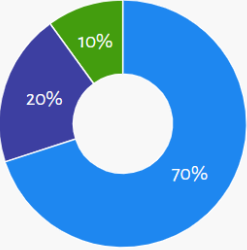
**Start new DPIA**

**0 Checklists** 




No checklists available

**Start new checklist**

**10 BIA's** 



Status	Count	Percentage
In process	7	70%
In review	2	20%
Finished	1	10%

-  In process: 7
-  In review: 2
-  Finished: 1



# Identify the performance rating achieved versus each control

**Controls** | 222 items New +

🔍 Searching ... All maturity levels ▼ All standards ▼ All organisations ▼

		Title	Organisations	Tasks	Risks	H...
		Users of AI Systems	2		0	<i>t.b.d.</i>
		Policies for AI system usage	2		0	<i>t.b.d.</i>
		Impacted Shareholders	2		0	<i>t.b.d.</i>
		Review of the policies for AI systems	2		0	<i>t.b.d.</i>
		Optionality and Redress	2		0	<i>t.b.d.</i>



# Task assignment to risk management function for oversight

Tasks New +

No tasks available.

Task description | Planning | Controls

Type <sup>?</sup> Implementation

Task In brief ...

Description Task description

Required evidence <sup>?</sup> Description of required evidence

# Compliance

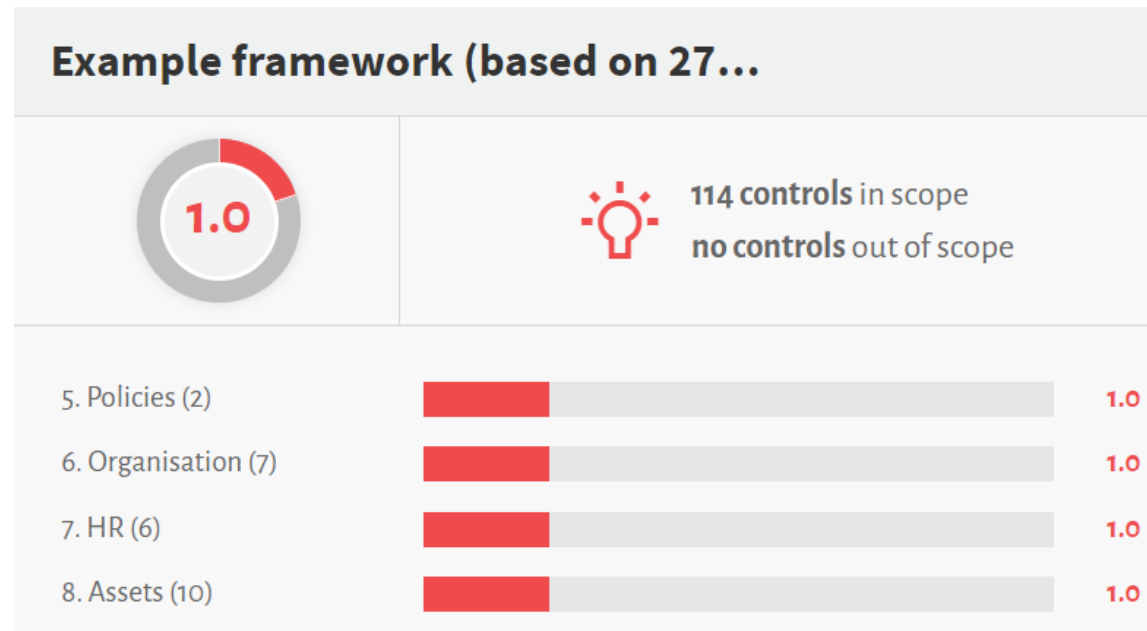
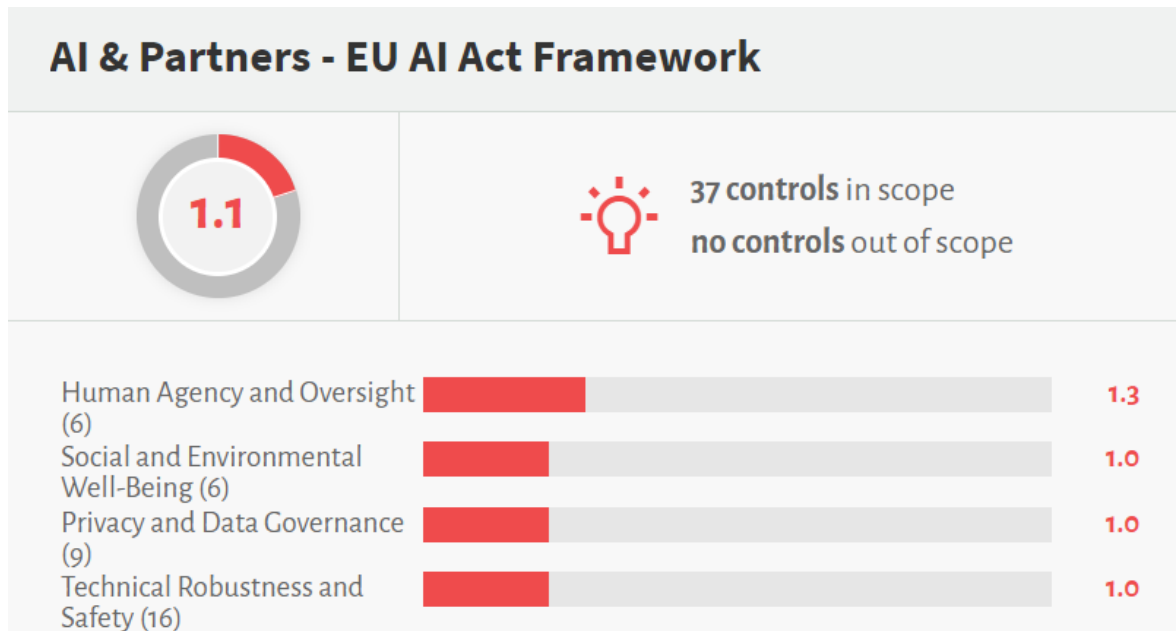


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# Forensic insights for sufficient compliance monitoring





# Construct audit programs to align with the EU AI Act

### AI Audit

1 audit planned	2 findings	1 audit plan
-----------------	------------	--------------

Plan A 0%

### AI risk Audit

2 audits planned	2 findings	2 audit plans
------------------	------------	---------------

High risk audit 0%

TEST 0%

### System 1: AI & Partners - EU AI Act Framework

no audits planned	no findings	no audit plans
-------------------	-------------	----------------

*Geen audits in dit auditprogramma.*

Nieuw auditprogramma





# Review progress of planned & performed audits

## Planned and performed audits | 4 items

🔍 Searching ...

All statuses ▼

Senior auditor ... ▼

Auditor ... ▼

●	Nummer en titel	Progress	Senior auditor	Auditor(s)	Scope	★
📅	#001/001. Plan A	Overdue	<i>Not yet assigned</i>	<i>Not yet assigned</i>		3
📅	#002/001. Auditpl...	Overdue	Senior Manager	<i>Not yet assigned</i>		6
📅	#003/001. TEST	Overdue	Senior Manager	<i>Not yet assigned</i>		3
📅	#004/001. High ri...	Planned	Senior Manager	<i>Not yet assigned</i>	Example AJK	4



# Identify & correct findings linked with one or more AI systems

**Findings** | 4 items New + Export ↴

🔍 Searching... All statuses ▾ All owners ▾ All types ▾ Alle norm-elementen ▾

	●	Date	In a nutshell	Standard element(s)	Source	Corrective actions	Finding type
	●	30-May-2023	Unknown	5.1.2 Review of the policies for information s...	Audit #001/001	<input type="checkbox"/>	!
	●	30-May-2023	Unknown	5.1.1 Policies for AI usage	Audit #001/001	<input type="checkbox"/>	👁
	●	1-Jul-2023	logging is an issue	12.4.1 Event logging	Audit #004/001	<input type="checkbox"/>	!
	●	13-Jun-2023	Unknown	12.4.1 Event logging	Audit #003/001	<input type="checkbox"/>	✖



# Record security incidents linked to a system for audit purposes

## Incidents

New +

No security incidents have been recorded yet.

Record security incident +

### Record security incident

This is the incident registration form. After registration you can immediately proceed with the handling of the incident.  
[Click here to report an incident to the Response Team.](#)

#### General information about the security incident

Type of incident

<input type="radio"/> ICT incident	<input type="radio"/> Privacy incident	<input type="radio"/> Other incident
------------------------------------	--	--------------------------------------

Short description of the incident

Summary

#### Reported by

Who reported the incident?

Reported by

Email address of the person reporting

E-mail address

Telephone number of the person reporting

Phone

#### Owner

Senior Manager x v

#### Time line

Date/time first report ?

06/18/2023 15:10

Start of the incident ?

06/18/2023 15:10 Same as first notification

End of the incident ?

End of the incident Same as start



# Provide evidence for each AI system for record-keeping

## Attachments

*No documents in this category*

**Add document** +

Not available on group level

## New document



**Upload file**

Drop file here to upload or select a file.

*(Maximum file size: 8.0 mb)*



**External link to document**

https://...

OR

**Document name**

Document name

**Document type / folder**

Attachments

Cancel

Add

# Process

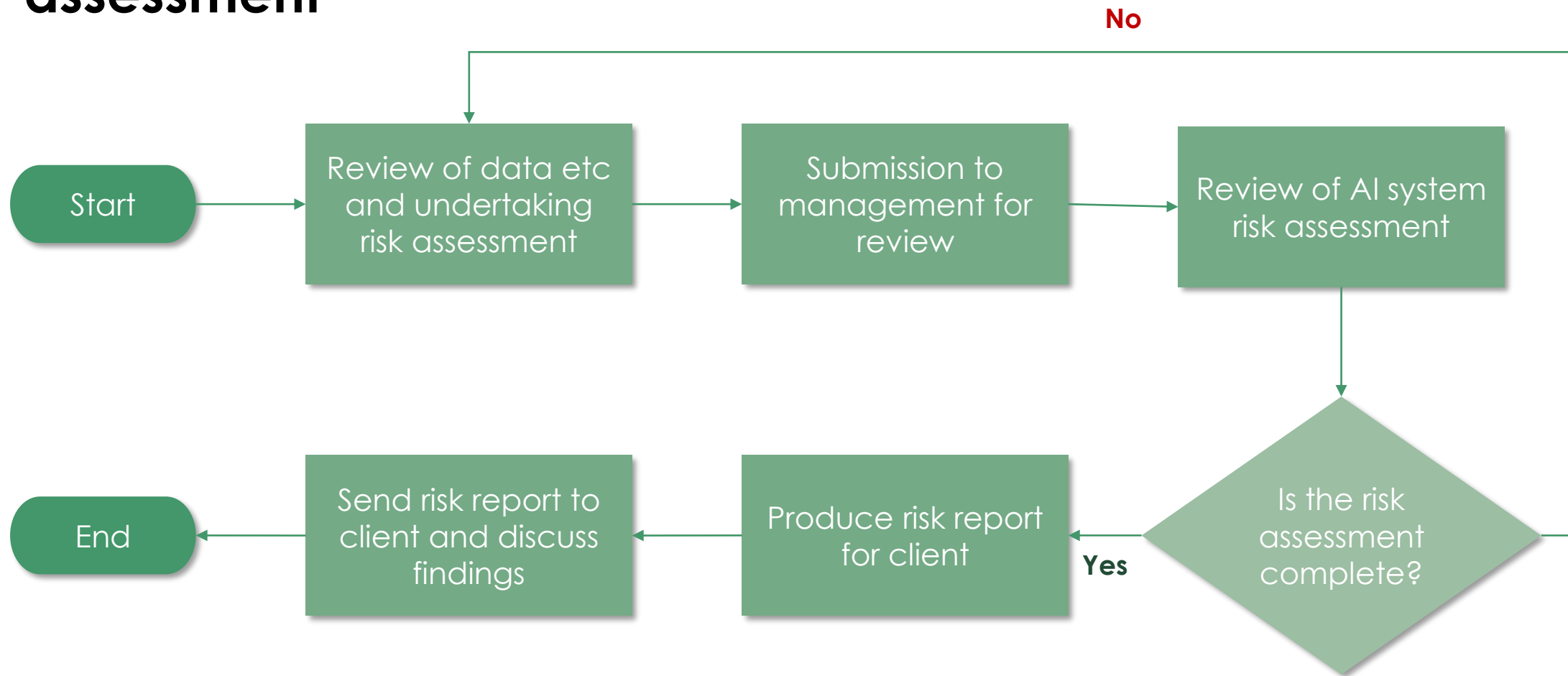


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# Designed to increase productivity, reduce costs for AI system risk assessment\*



# How We Can Help



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# Institutional grade, high-performance professional services firm

We work with our clients to add value, such as:

1. **Compliance efficiency:** help streamline and automate compliance processes, reducing the time and effort required to ensure adherence to the EU AI Act.
2. **Accuracy and Risk Mitigation:** provide accurate and up-to-date regulatory information, helping them stay informed about relevant changes and minimizing the risk of non-compliance.
3. **Scalability and Adaptability:** allow firms to scale to accommodate their needs, especially with large data volumes.
4. **Reporting and Audit Trail:** maintain detailed records of compliance activities and demonstrate their adherence to the EU AI Act.
5. **Integration and User Experience:** user-friendly interfaces and intuitive workflows are essential for quick adoption and efficient usage by professionals.







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**QUESTIONS?**



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**THANK YOU FOR YOUR TIME**

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