Foundational artificial intelligence risk assessment guideline – Appendix A

When is a FAIRA needed?

Final

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The Foundational AI risk assessment (FAIRA) is a tool for IT solutions that encompass artificial intelligence (AI) systems to function in their expected context of use. Not every IT solution will need a FAIRA or equivalent.

# Do I need to do a FAIRA assessment?

Does your IT solution encompass an ‘AI system’?

|  |  |
| --- | --- |
| **Yes** | **No** |

**A technology is an AI system if it meets one or more of the following criteria:**

1) It meets the OECD definition of an AI System found in the [National Framework for the Assurance of AI in Government](https://www.finance.gov.au/government/public-data/data-and-digital-ministers-meeting/national-framework-assurance-artificial-intelligence-government):

‘*A machine-based system that, for explicit or implicit objectives, infers, from the input it receives, how to generate outputs such as predictions, content, recommendations or decisions that can influence physical or virtual environments. Different AI systems vary in their levels of autonomy and adaptiveness after deployment.’*

2) It is classified as AI under ISO 22989 Information technology — Artificial intelligence — Artificial intelligence concepts and terminology

3) It classified as AI under the [QGEA technology classification framework V.5.0 August 2024](https://www.forgov.qld.gov.au/__data/assets/pdf_file/0024/321378/QGEA-Technology-Classification-Framework-v5.0.0.pdf) when:

* a team identifies that the project, product, or service uses AI
* a vendor describes its product or service as using AI
* users, the public or other stakeholders believe the project, product or service uses AI

**If any of the above criteria are met, then you should complete a FAIRA.**

**When can I decide not to complete a FAIRA?**

There are several circumstances where you may decide not to complete a FAIRA:

**A. Is your IT solution an ‘AI system’** **but you have an assessment framework that is more suitable than a FAIRA.**

|  |  |
| --- | --- |
| **Yes** | **No** |

Provide an explanation and justification for an alternate AI risk assessment framework that ensures alignment with the AI Governance Policy and the [National Framework for the Assurance of AI in Government](https://www.finance.gov.au/government/public-data/data-and-digital-ministers-meeting/national-framework-assurance-artificial-intelligence-government)

|  |
| --- |
| *Explain the alternate AI risk assessment framework and justify its use in this specific case, including how it provides appropriate and sufficient identification, management, and controls of risks in alignment with the AI Governance Policy and the National Framework for the Assurance of AI in Government.* |

**B. Is your IT solution an AI system and meets the following:**

* Is suitably assured,
* Appropriate AI governance is in place,
* Sufficient risk controls have been applied, and
* The technology does not require a further risk assessment.

|  |  |
| --- | --- |
| **Yes** | **No** |

Provide the justification and explanation here that ensures alignment with the AI Governance Policy and the [National Framework for the Assurance of AI in Government](https://www.finance.gov.au/government/public-data/data-and-digital-ministers-meeting/national-framework-assurance-artificial-intelligence-government)

|  |
| --- |
| *Detail reasons why a FAIRA or equivalent AI risk assessment is not required to use this AI technology. Provide evidence including risk management documentation to support that the IT solution:*   1. *Is suitably assured,* 2. *Appropriate AI governance is in place,* 3. *Sufficient risk controls have been applied, and* 4. *The technology does not require a further risk assessment.* |

**C. Is your IT solution not an AI system?**

|  |  |
| --- | --- |
| **Yes** | **No** |

|  |
| --- |
| *Provide an explanation of why your technology is* ***not*** *an AI system according to the criteria described on the previous page. If appropriate explain what kind of non-AI technology is being used in your IT solution and what risk assessment framework is being used. Provide evidence including risk management documentation* |

I recommend that a FAIRA **[is / is not]** needed for this solution

|  |  |
| --- | --- |
| Prepared by: |  |
| Position / unit: |  |
| Email: |  |
| Date: |  |

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# Document history

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| --- | --- | --- | --- |
| Version | Date | Author | Key changes made |
| 0.0.1 | January 2024 | Kate Conroy | Initial draft |
| 0.0.2 | February 2024 | QGEA team | Updated template. Minor updates |
| 0.0.3 | February 2024 | QGEA team | Updates in line with v2.3 of the FAIRA framework |
| 0.0.4 | April 2024 | Data and AI and QGEA team | Updates for feedback from informal consultation |
| 0.0.5 | May 2024 | Data and AI and QGEA team | Further updates for feedback from informal consultation |
| 0.0.6 | May 2024 | Data and AI and QGEA team | Updates in preparation for formal consultation |
| 0.1.0 | May 2024 | QGEA policy team | Formal consultation |
| 0.1.1 | August 2024 | QGEA policy team | Consultation feedback incorporated, and content split into two documents- guideline and FAIRA framework. |
| 0.1.2 | August 2024 | QGEA policy team | Final feedback from AI unit and key stakeholders incorporated. |
| 1.0.0 | September 2024 | CCDO, QGCDG | Approved |