

Phase I - Preparation

- Develop and maintain AI incident response plan with:
 - Clear definition of AI incident
 - Severity schema (high, medium, low etc.)
 - Clear roles and responsibilities for response activities
 - Overview of:
 - Existing security standards as applied to AI
 - Privacy and data usage restrictions
 - Warranties associated with models
 - Related consumer expectations
 - Role of contractors and vendors
 - Existing sensitive data assets
 - Clear relation to existing information security plans (standalone vs. addendum)
 - Communications strategy (internal, PR, legal, etc.)
- Allocate in-house resources and/or select third parties for:
 - AI liability assessment
 - AI forensic investigation
 - Legal assessment and response
 - Public and media relations
- Communicate potential for AI failures and attacks to:
 - Senior management
 - Data scientists
 - Information security
 - IT personnel
- Confirm authorization to respond to AI incidents across all information technology (IT) systems
- Establish a clear understanding of containment strategies:
 - “Watch and Learn” vs. “Disrupt and Disconnect” standard operating procedures (SOP)
 - Processes for necessary departures from SOPs

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Phase I - Preparation (Cont.)

- ❑ Standardize model documentation, to include:
 - ❑ Applicable regulatory requirements
 - ❑ Anticipated litigation or reputational risks
 - ❑ Baseline operational data for a model
 - ❑ Estimated business impact of disconnecting a model
 - ❑ IT and business contacts for a model
 - ❑ Technical specifications for a model
 - ❑ Sensitivity of data involved (input or output data)
 - ❑ Other key assumptions
- ❑ Backup and secure model documentation against integrity attacks
- ❑ Implement critical response capabilities, including:
 - ❑ Appeal of model-based decisions
 - ❑ Model “kill switch”
 - ❑ Processes for model monitoring
 - ❑ Override of model-based decisions
- ❑ Inventory and backup models in offline storage

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