



Partner and Client AI Assurance Schedule

Engagement scope and evidence for due diligence

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This schedule enables a partner or client to define the assurance needed for a Finaffairs service. Complete it with verified engagement evidence before issuing any assurance conclusion. It is a reusable schedule, not a statement that controls have already been implemented or independently certified.

Assurance scope

Adopting/delivering legal entity and jurisdiction: _____

Partner/client and engagement reference: _____

Systems, AI functions, models/vendors and versions: _____

Assessment period and production or pilot boundary: _____

Accountable Finaffairs and client contacts: _____

Assurance commitments to agree

Record permitted AI uses and exclusions; data rights, handling and vendor restrictions; human review and decision authority; quality/security testing; change/incident notice; evidence access; and exit responsibilities. The signed scope and applicable law control the engagement obligations.

Evidence status

Verified requires a dated test and scoped evidence. Partial means a documented gap. Planned means an owner and target date exist. Not assessed means no review conclusion is available. Not applicable requires a reason. Do not answer Yes solely because a policy describes a control.

Evidence schedule

For every item, add status, evidence reference, scope/period, reviewer and any gap/action date.
Disclose confidential evidence through approved channels and appropriate redaction.

Assurance area	Evidence to provide	Status
Governance	Adopted policy named roles conflicts and escalation.	Not assessed
Purpose and risk	Approved use-case scope tier assessment and exclusions.	Not assessed
Data and privacy	Client authority data flow processing/transfer schedule.	Not assessed
Vendor restrictions	Supplier/model list training/retention terms and settings.	Not assessed
Isolation and access	Tenant/retrieval tests identity controls access review.	Not assessed
Quality and fairness	Validation baseline sample sizes subgroup review and limits.	Not assessed
Human accountability	Competent reviewer override stop appeal and escalation.	Not assessed
Agents and actions	Tool/action boundaries exact approvals and stop test.	Not assessed
Release and operation	Signed release monitoring fallback and change controls.	Not assessed
Incidents and exit	Notice duties response contacts continuity deletion/handover.	Not assessed
Independent evidence	Reviewer scope findings; verified certificate where applicable.	Not assessed

Disclosure class: Public / Share under NDA / Restricted

Evidence index owner / location / recipients / date: _____

Open material findings and restrictions: _____

Contract and assurance decisions

Contract schedule

Agree the client purpose, AI involvement, permitted data, controller/processor roles, subprocessors/geographies, no unauthorised training, retention, IP and deliverable rights, performance limits, action approvals, incident/change notice, evidence access, liability and exit support. Client consent does not remove the parties own legal obligations.

Independent review and claims

Identify whether the evidence is policy adoption, management attestation, independent review or external certification. State scope, period and exclusions. A vendor partnership or certification does not certify Finaffairs delivery. Do not claim guaranteed unbiased output, comprehensive regulatory compliance or ISO certification without verifiable authority.

Assurance conclusion template after review

For the specified engagement and assessment period, the controls identified in the evidence schedule were reviewed using the stated procedures. The attached findings record results, exceptions and limitations. Approved use remains restricted to the documented purpose and operating boundary. This conclusion does not cover excluded systems or guarantee error-free AI output.

Complete before authorisation

Reviewer and procedures performed: _____

Conclusion and material limitations: _____

Outstanding actions owners and dates: _____

Next review and suspension conditions: _____

Finaffairs approving authority signature and date: _____

Client acceptance authority signature and date: _____

Use with FA GOV RAI 001 Governance and Responsible AI Framework. Contact the named Engagement Owner for approved evidence and incident escalation.