

Checklist for AI Systems, Generative AI solutions, and Systems Leveraging AI

This checklist serves as a tool to ensure compliance with the County of San Mateo's AI Policy which outlines essential guidelines and standards for the ethical and responsible use of AI technologies. *If any check boxes are marked "No" please refer to the "Exceptions" section of the AI Policy to request an exception.*

Vendor/Solution:

County Data	YES	NO	N/A
Is County data explicitly excluded from being used to train or enhance AI models?	☐	☐	☐
If County data will be used for model training, has explicit consent been obtained and the use fully disclosed to stakeholders?	☐	☐	☐
Are licensing terms for County data clearly defined — including scope, duration and limitations?	☐	☐	☐
Data Quality and Privacy	YES	NO	N/A
Is customer data anonymized and securely managed during the AI training process?	☐	☐	☐
Are all AI prompts, inputs and outputs handled in accordance with public-records requirements?	☐	☐	☐
Does the AI system meet all relevant data-privacy standards (e.g., HIPAA, CJIS, IRS, CCPA) for protecting PII/PHI and other sensitive data?	☐	☐	☐
Is data processed securely, transparently, and of high quality, relevance, and accuracy?	☐	☐	☐
Does the solution reliably honor user opt-out or data-sharing preferences?	☐	☐	☐
Has a documented risk assessment identified potential impacts and defined mitigation measures?	☐	☐	☐
Has the vendor provided a complete list of data sources and confirmed their handling is policy-compliant?	☐	☐	☐
Is training data periodically reviewed and refreshed for accuracy and relevance?	☐	☐	☐
Algorithmic Bias	YES	NO	N/A
Are efforts made to prevent and mitigate bias, ensuring diversity in datasets and ongoing evaluation of algorithms?	☐	☐	☐
Are formal fairness-and-equity checks performed on outputs at defined intervals?	☐	☐	☐
Decision Making	YES	NO	N/A
Does the solution avoid sole reliance on AI for high-impact decisions?	☐	☐	☐
Is meaningful human review available before finalizing such decisions?	☐	☐	☐
Transparency	YES	NO	N/A
Are the data sources and decision logic documented and available to stakeholders (without revealing protected IP)?	☐	☐	☐
Is the AI system transparent, explainable, and verifiable for all stakeholders?	☐	☐	☐
Are AI outputs continually monitored until reliability thresholds are met and documented?	☐	☐	☐
Are up-to-date model-explanation materials maintained and shared with users so they can understand input-to-output reasoning?	☐	☐	☐
Accountability	YES	NO	N/A
Have roles and responsibilities— including accountability for any harm—been formally assigned for all AI decisions and actions?	☐	☐	☐
Robustness and Safety of AI Systems	YES	NO	N/A
Is the AI system reliable, safe, secure, and resilient to errors and adversarial attacks?	☐	☐	☐
Does the system include controls that let humans override or halt AI actions in high-risk scenarios?	☐	☐	☐
Are AI systems regularly monitored and evaluated to ensure they meet security and risk management criteria?	☐	☐	☐
Technical Standards	YES	NO	N/A
Is the AI system operated in full compliance with all County, state and federal technical standards for accessibility, trust, transparency and accountability?"	☐	☐	☐