

## COMPLIANCE WORKING RECORD

# AI system inventory completeness report

Customer support response assistant. Assessment NFS-AI-INV-GB-014 dated 7 August 2026.

## Document control

| Field              | Value                                   |
|--------------------|-----------------------------------------|
| Organisation       | Northfield Services Ltd                 |
| Document type      | AI system inventory completeness report |
| Document reference | NFS-AI-INV-GB-014                       |
| Jurisdiction       | United Kingdom                          |
| Version            | 1.0                                     |
| Status             | Ready for accountable review            |
| Classification     | Fictional sample                        |
| Prepared by        | Morgan Hale, Director of Operations     |
| Prepared on        | 7 August 2026                           |
| Rule pack          | ai-system-inventory-2026-08-07.1        |
| Sources reviewed   | 7 August 2026                           |
| Generated          | 7 August 2026                           |

## Assessment record

| Field             | Value                               |
|-------------------|-------------------------------------|
| Organisation      | Northfield Services Ltd             |
| Reference         | NFS-AI-INV-GB-014                   |
| Subject           | Customer support response assistant |
| Jurisdiction      | United Kingdom                      |
| Accountable owner | Morgan Hale, Director of Operations |

| Field           | Value                                  |
|-----------------|----------------------------------------|
| Assessment date | 7 August 2026                          |
| Next review     | 5 February 2027                        |
| Status          | Record complete for accountable review |

## Subject and operating context

A supplier-hosted retrieval assistant drafts responses for trained support staff. Staff review and edit every response before it is sent. The service reads selected customer tickets and the approved knowledge base but cannot update the CRM or send messages.

| Field                 | Recorded position                                                                                                    |
|-----------------------|----------------------------------------------------------------------------------------------------------------------|
| Lifecycle             | live                                                                                                                 |
| Organisation role     | deployer                                                                                                             |
| Decision influence    | Content or assistance                                                                                                |
| Personal data         | Personal data                                                                                                        |
| Provider model        | Northstar AI Services, Response Assistant Enterprise, release 2026.07                                                |
| Deployment regions    | United Kingdom support operation with supplier processing in the United Kingdom and Ireland                          |
| Affected people       | Customer support staff and customers whose support messages are used to draft a response                             |
| Data and integrations | Customer ticket text, approved knowledge articles and read-only ticket metadata through a restricted service account |

## Assessment outcome

18 supported items were assessed from the status and evidence records entered by the user.

| Field           | Value                                  |
|-----------------|----------------------------------------|
| Review position | Record complete for accountable review |
| Evidence found  | 18                                     |
| Missing         | 0                                      |

| Field          | Value |
|----------------|-------|
| Uncertain      | 0     |
| Not applicable | 0     |
| Not assessable | 0     |

## System record: Stable identity and version

NIST AI RMF GOVERN 1.6 and MAP 1.1. Record a stable system name, internal identifier, version and lifecycle state so the entry can be distinguished from other systems and later versions.

Result: Evidence identified. The organisation recorded implementation evidence, its type, the control owner and a review date that is not later than the assessment date.

Applicability: Applies. Basis: The recorded ai system or use case facts place this item within the review scope. Confirmed in NFS-AI-INV-GB-014-SCOPE, section 1.

Evidence: NFS-AI-INV-GB-014-01: Register row, architecture record or asset identifier. Owner-confirmed copy held in the controlled governance folder. Type: Controlled document and review record.

Owner: AI Governance Lead. Last tested or reviewed: 5 August 2026.

Action: None recorded. Due: Not set.

## System record: Intended purpose and approved use

NIST AI RMF MAP 1.1 and MAP 1.5. Record the business purpose, intended users, approved use and material uses that are outside the approved scope.

Result: Evidence identified. The organisation recorded implementation evidence, its type, the control owner and a review date that is not later than the assessment date.

Applicability: Applies. Basis: The recorded ai system or use case facts place this item within the review scope. Confirmed in NFS-AI-INV-GB-014-SCOPE, section 2.

Evidence: NFS-AI-INV-GB-014-02: Approved use statement or business case. Owner-confirmed copy held in the controlled governance folder. Type: Controlled document and review record.

Owner: AI Governance Lead. Last tested or reviewed: 5 August 2026.

Action: None recorded. Due: Not set.

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## Governance: Named accountable owner

NIST AI RMF GOVERN 2.3 and GOVERN 3.2. Name the accountable business owner and the operational, technical and risk roles responsible for the system.

Result: Evidence identified. The organisation recorded implementation evidence, its type, the control owner and a review date that is not later than the assessment date.

Applicability: Applies. Basis: The recorded ai system or use case facts place this item within the review scope. Confirmed in NFS-AI-INV-GB-014-SCOPE, section 3.

Evidence: NFS-AI-INV-GB-014-03: Governance record, RACI or approval minute. Owner-confirmed copy held in the controlled governance folder. Type: Controlled document and review record.

Owner: AI Governance Lead. Last tested or reviewed: 5 August 2026.

Action: None recorded. Due: Not set.

## System record: Provider, model and component provenance

NIST AI RMF MAP 1.3 and MAP 5.1. Record the provider, model or service version, material components and whether the organisation develops, deploys or uses the system.

Result: Evidence identified. The organisation recorded implementation evidence, its type, the control owner and a review date that is not later than the assessment date.

Applicability: Applies. Basis: The recorded ai system or use case facts place this item within the review scope. Confirmed in NFS-AI-INV-GB-014-SCOPE, section 4.

Evidence: NFS-AI-INV-GB-014-04: Architecture record, provider documentation or bill of materials. Owner-confirmed copy held in the controlled governance folder. Type: Controlled document and review record.

Owner: AI Governance Lead. Last tested or reviewed: 5 August 2026.

Action: None recorded. Due: Not set.

## System record: Deployment context and integrations

NIST AI RMF MAP 1.6 and MAP 5.2. Record where the system is deployed, its interfaces, connected systems, permissions and material dependencies.

Result: Evidence identified. The organisation recorded implementation evidence, its type, the control owner and a review date that is not later than the assessment date.

Applicability: Applies. Basis: The recorded ai system or use case facts place this item within the review scope. Confirmed in NFS-AI-INV-GB-014-SCOPE, section 5.

Evidence: NFS-AI-INV-GB-014-05: Data-flow map, integration register or permission review. Owner-confirmed copy held in the controlled governance folder. Type: Controlled document and review record.

Owner: AI Governance Lead. Last tested or reviewed: 5 August 2026.

Action: None recorded. Due: Not set.

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## People and impact: Users and affected people

NIST AI RMF MAP 1.5 and MAP 2.1. Identify direct users, people affected by outputs and groups that may face different consequences or barriers.

Result: Evidence identified. The organisation recorded implementation evidence, its type, the control owner and a review date that is not later than the assessment date.

Applicability: Applies. Basis: The recorded ai system or use case facts place this item within the review scope. Confirmed in NFS-AI-INV-GB-014-SCOPE, section 6.

Evidence: NFS-AI-INV-GB-014-06: User research, impact map or stakeholder record. Owner-confirmed copy held in the controlled governance folder. Type: Controlled document and review record.

Owner: AI Governance Lead. Last tested or reviewed: 5 August 2026.

Action: None recorded. Due: Not set.

## People and impact: Decision influence and human role

NIST AI RMF GOVERN 1.7 and MAP 3.5. Record whether the system informs, recommends or makes decisions and state the human review, override and escalation route.

Result: Evidence identified. The organisation recorded implementation evidence, its type, the control owner and a review date that is not later than the assessment date.

Applicability: Applies. Basis: The recorded ai system or use case facts place this item within the review scope. Confirmed in NFS-AI-INV-GB-014-SCOPE, section 7.

Evidence: NFS-AI-INV-GB-014-07: Process map, human-oversight procedure or approval control. Owner-confirmed copy held in the controlled governance folder. Type: Controlled document and review record.

Owner: AI Governance Lead. Last tested or reviewed: 5 August 2026.

Action: None recorded. Due: Not set.

## Data and access: Data categories and sources

NIST AI RMF MAP 2.3 and MAP 2.4. Record input, training, retrieval, output and logging data categories, their sources and any personal or sensitive data position.

Result: Evidence identified. The organisation recorded implementation evidence, its type, the control owner and a review date that is not later than the assessment date.

Applicability: Applies. Basis: The recorded ai system or use case facts place this item within the review scope. Confirmed in NFS-AI-INV-GB-014-SCOPE, section 8.

Evidence: NFS-AI-INV-GB-014-08: Data inventory, model card or privacy record. Owner-confirmed copy held in the controlled governance folder. Type: Controlled document and review record.

Owner: AI Governance Lead. Last tested or reviewed: 5 August 2026.

Action: None recorded. Due: Not set.

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## Data and access: Data rights, licence and permitted use

NIST AI RMF MAP 3.4 and GOVERN 6.1. Record ownership, licence, consent or other permission relied on for material datasets, models and content.

Result: Evidence identified. The organisation recorded implementation evidence, its type, the control owner and a review date that is not later than the assessment date.

Applicability: Applies. Basis: The recorded ai system or use case facts place this item within the review scope. Confirmed in NFS-AI-INV-GB-014-SCOPE, section 9.

Evidence: NFS-AI-INV-GB-014-09: Licence, supplier term, data provenance or rights record. Owner-confirmed copy held in the controlled governance folder. Type: Controlled document and review record.

Owner: AI Governance Lead. Last tested or reviewed: 5 August 2026.

Action: None recorded. Due: Not set.

## Data and access: Access and security controls

NIST AI RMF GOVERN 1.5 and MANAGE 2.4. Record privileged access, authentication, secrets, environments and other controls protecting the system and its assets.

Result: Evidence identified. The organisation recorded implementation evidence, its type, the control owner and a review date that is not later than the assessment date.

Applicability: Applies. Basis: The recorded ai system or use case facts place this item within the review scope. Confirmed in NFS-AI-INV-GB-014-SCOPE, section 10.

Evidence: NFS-AI-INV-GB-014-10: Access review, security design or control test. Owner-confirmed copy held in the controlled governance folder. Type: Controlled document and review record.

Owner: AI Governance Lead. Last tested or reviewed: 5 August 2026.

Action: None recorded. Due: Not set.

## Risk and assurance: Risk tier and rationale

NIST AI RMF MAP 1.6 and MANAGE 1.1. Record the organisation risk tier, factors considered and the person who approved that position.

Result: Evidence identified. The organisation recorded implementation evidence, its type, the control owner and a review date that is not later than the assessment date.

Applicability: Applies. Basis: The recorded ai system or use case facts place this item within the review scope. Confirmed in NFS-AI-INV-GB-014-SCOPE, section 11.

Evidence: NFS-AI-INV-GB-014-11: Risk classification decision or assessment. Owner-confirmed copy held in the controlled governance folder. Type: Controlled document and review record.

Owner: AI Governance Lead. Last tested or reviewed: 5 August 2026.

Action: None recorded. Due: Not set.

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## Risk and assurance: Impact and risk assessment

NIST AI RMF MAP 3.3 and MAP 5.1. Link the current impact, privacy, security, safety, equality or other risk assessment required by the organisation route.

Result: Evidence identified. The organisation recorded implementation evidence, its type, the control owner and a review date that is not later than the assessment date.

Applicability: Applies. Basis: The recorded ai system or use case facts place this item within the review scope. Confirmed in NFS-AI-INV-GB-014-SCOPE, section 12.

Evidence: NFS-AI-INV-GB-014-12: DPIA, impact assessment, risk record or review reference. Owner-confirmed copy held in the controlled governance folder. Type: Controlled document and review record.

Owner: AI Governance Lead. Last tested or reviewed: 5 August 2026.

Action: None recorded. Due: Not set.

## Risk and assurance: Testing and acceptance evidence

NIST AI RMF MEASURE 2 and MEASURE 3. Record testing for the system use, acceptance criteria, known limitations and the approval to deploy or continue use.

Result: Evidence identified. The organisation recorded implementation evidence, its type, the control owner and a review date that is not later than the assessment date.

Applicability: Applies. Basis: The recorded ai system or use case facts place this item within the review scope. Confirmed in NFS-AI-INV-GB-014-SCOPE, section 13.

Evidence: NFS-AI-INV-GB-014-13: Evaluation report, acceptance test or model card. Owner-confirmed copy held in the controlled governance folder. Type: Controlled document and review record.

Owner: AI Governance Lead. Last tested or reviewed: 5 August 2026.

Action: None recorded. Due: Not set.

## Operation and change: Monitoring and performance review

NIST AI RMF MEASURE 4.2 and MANAGE 2.2. Record monitored behaviours, thresholds, review frequency, drift or performance alerts and who responds.

Result: Evidence identified. The organisation recorded implementation evidence, its type, the control owner and a review date that is not later than the assessment date.

Applicability: Applies. Basis: The recorded ai system or use case facts place this item within the review scope. Confirmed in NFS-AI-INV-GB-014-SCOPE, section 14.

Evidence: NFS-AI-INV-GB-014-14: Monitoring plan, dashboard reference or review record. Owner-confirmed copy held in the controlled governance folder. Type: Controlled document and review record.

Owner: AI Governance Lead. Last tested or reviewed: 5 August 2026.

Action: None recorded. Due: Not set.

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## Operation and change: Incident and concern route

NIST AI RMF MANAGE 2.3 and MANAGE 4.3. Record how incidents, harmful outcomes, misuse, security concerns and user reports are received, investigated and escalated.

Result: Evidence identified. The organisation recorded implementation evidence, its type, the control owner and a review date that is not later than the assessment date.

Applicability: Applies. Basis: The recorded ai system or use case facts place this item within the review scope. Confirmed in NFS-AI-INV-GB-014-SCOPE, section 15.

Evidence: NFS-AI-INV-GB-014-15: Incident procedure, issue queue or escalation route. Owner-confirmed copy held in the controlled governance folder. Type: Controlled document and review record.

Owner: AI Governance Lead. Last tested or reviewed: 5 August 2026.

Action: None recorded. Due: Not set.

## Operation and change: Supplier and dependency control

NIST AI RMF GOVERN 6.1 and MAP 5.1. Record material suppliers, service dependencies, contract owner, review dates and contingency arrangements.

Result: Evidence identified. The organisation recorded implementation evidence, its type, the control owner and a review date that is not later than the assessment date.

Applicability: Applies. Basis: The recorded ai system or use case facts place this item within the review scope. Confirmed in NFS-AI-INV-GB-014-SCOPE, section 16.

Evidence: NFS-AI-INV-GB-014-16: Supplier register, contract or continuity record. Owner-confirmed copy held in the controlled governance folder. Type: Controlled document and review record.

Owner: AI Governance Lead. Last tested or reviewed: 5 August 2026.

Action: None recorded. Due: Not set.

## Operation and change: Material change control

NIST AI RMF MANAGE 3.1 and MANAGE 4.1. Define changes that trigger reassessment, including model, purpose, data, provider, integration, user or deployment changes.

Result: Evidence identified. The organisation recorded implementation evidence, its type, the control owner and a review date that is not later than the assessment date.

Applicability: Applies. Basis: The recorded ai system or use case facts place this item within the review scope. Confirmed in NFS-AI-INV-GB-014-SCOPE, section 17.

Evidence: NFS-AI-INV-GB-014-17: Change procedure, release gate or review trigger. Owner-confirmed copy held in the controlled governance folder. Type: Controlled document and review record.

Owner: AI Governance Lead. Last tested or reviewed: 5 August 2026.

Action: None recorded. Due: Not set.

## Operation and change: Review and retirement plan

NIST AI RMF MANAGE 4.2 and GOVERN 1.6. Set the next review and record suspension, replacement, data retention, access removal and retirement responsibilities.

Result: Evidence identified. The organisation recorded implementation evidence, its type, the control owner and a review date that is not later than the assessment date.

Applicability: Applies. Basis: The recorded ai system or use case facts place this item within the review scope. Confirmed in NFS-AI-INV-GB-014-SCOPE, section 18.

Evidence: NFS-AI-INV-GB-014-18: Review schedule, retirement plan or disposal record. Owner-confirmed copy held in the controlled governance folder. Type: Controlled document and review record.

Owner: AI Governance Lead. Last tested or reviewed: 5 August 2026.

Action: None recorded. Due: Not set.

## Open actions and unresolved facts

- No unresolved record gaps were produced by the supported checks.

## Limitations

- This register records one system and its evidence against a voluntary NIST AI RMF baseline. It does not classify the system under any law or decide whether a use is permitted.

- EU and UK materials supplied on those routes provide context only. Their applicability and any local duties must be assessed separately for the system and organisation.

- The result is based only on the facts, status choices and evidence references entered by the user.

- Official materials, systems and operating facts can change. Re-run the assessment after material change and review the cited sources before approval.

## Official sources

| Source                                                                                                         | Provision                                 | Date          | Link                                                                                                                                                                                                      |
|----------------------------------------------------------------------------------------------------------------|-------------------------------------------|---------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| National Institute of Standards and Technology: Artificial Intelligence Risk Management Framework (AI RMF 1.0) | Govern, Map, Measure and Manage functions | 7 August 2026 | <a href="https://www.nist.gov/publications/artificial-intelligence-risk-management-framework-ai-rmf-10">https://www.nist.gov/publications/artificial-intelligence-risk-management-framework-ai-rmf-10</a> |

| Source                                                                                           | Provision                                             | Date          | Link                                                                                                                                                                                                                                                                  |
|--------------------------------------------------------------------------------------------------|-------------------------------------------------------|---------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| National Institute of Standards and Technology: NIST AI Risk Management Framework Playbook       | Suggested actions for Govern, Map, Measure and Manage | 7 August 2026 | <a href="https://www.nist.gov/itl/ai-risk-management-framework/nist-ai-rmf-playbook">https://www.nist.gov/itl/ai-risk-management-framework/nist-ai-rmf-playbook</a>                                                                                                   |
| Department for Science, Innovation and Technology: Code of Practice for the Cyber Security of AI | Principles 1 to 13                                    | 7 August 2026 | <a href="https://www.gov.uk/government/publications/ai-cyber-security-code-of-practice/code-of-practice-for-the-cyber-security-of-ai">https://www.gov.uk/government/publications/ai-cyber-security-code-of-practice/code-of-practice-for-the-cyber-security-of-ai</a> |