

COMPLIANCE WORKING RECORD

AI vendor due-diligence preflight report

Northstar AI Services, Response Assistant Enterprise. Assessment NFS-AI-VDR-GB-008 dated 7 August 2026.

Document control

Field	Value
Organisation	Northfield Services Ltd
Document type	AI vendor due-diligence preflight report
Document reference	NFS-AI-VDR-GB-008
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-vendor-due-diligence-2026-08-07.1
Sources reviewed	7 August 2026
Generated	7 August 2026

Assessment record

Field	Value
Organisation	Northfield Services Ltd
Reference	NFS-AI-VDR-GB-008
Subject	Northstar AI Services, Response Assistant Enterprise
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

The proposed service drafts customer-support responses from approved knowledge material and ticket text. It will be used by trained staff, with human review before sending. Loss of service would delay responses but would not prevent manual handling.

Field	Recorded position
Procurement stage	Contract review
Service role	Customer operator
Data access	Personal data
Criticality	medium
Contract reference	Northstar MSA v3.2 and AI Service Schedule v2, received 28 July 2026
Business owner	Director of Customer Operations
Technical owner	Platform Engineering Manager
Deployment model	Supplier-hosted service accessed through a private API from the support platform. The service receives ticket text and approved knowledge extracts and returns a draft response.

Assessment outcome

16 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	16
Missing	0

Field	Value
Uncertain	0
Not applicable	0
Not assessable	0

Service and responsibility: Service scope and approved use

NIST AI RMF MAP 1.1 and MAP 5.1. Define the supplied AI service, approved use, material exclusions, service boundary and the customer responsibilities needed for operation.

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 vendor and ai service facts place this item within the review scope. Confirmed in NFS-AI-VDR-GB-008-SCOPE, section 1.

Evidence: NFS-AI-VDR-GB-008-01: Service schedule, statement of work or contract clause. 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.

Service and responsibility: Supplier and customer responsibilities

NIST AI RMF GOVERN 2.3 and GOVERN 6.1. Allocate operational, security, data, monitoring, incident and regulatory responsibilities between the parties.

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 vendor and ai service facts place this item within the review scope. Confirmed in NFS-AI-VDR-GB-008-SCOPE, section 2.

Evidence: NFS-AI-VDR-GB-008-02: Responsibility matrix, contract schedule or operating model. 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.

Service and responsibility: Subprocessors and external components

NIST AI RMF GOVERN 6.1 and MAP 5.1. Identify material subprocessors, model providers and external components, including notice and approval arrangements for 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 vendor and ai service facts place this item within the review scope. Confirmed in NFS-AI-VDR-GB-008-SCOPE, section 3.

Evidence: NFS-AI-VDR-GB-008-03: Subprocessor list, supply-chain register or change notice clause. 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 model use: Customer data purposes

NIST AI RMF MAP 2.3 and MAP 3.4. State what customer data the supplier may access, the permitted purposes, locations, retention and restrictions on secondary 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 vendor and ai service facts place this item within the review scope. Confirmed in NFS-AI-VDR-GB-008-SCOPE, section 4.

Evidence: NFS-AI-VDR-GB-008-04: Data schedule, privacy term or data-flow 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 model use: Training and improvement use

NIST AI RMF MAP 2.3 and GOVERN 6.1. State whether prompts, inputs, outputs, feedback or telemetry may be used to train or improve models and how any choice is controlled.

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 vendor and ai service facts place this item within the review scope. Confirmed in NFS-AI-VDR-GB-008-SCOPE, section 5.

Evidence: NFS-AI-VDR-GB-008-05: Training-use term, product setting or written supplier confirmation. 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 model use: Return, deletion and portability

NIST AI RMF MANAGE 4.2 and GOVERN 6.1. Define export, return and deletion of customer data, derived data and retained copies at termination or request.

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 vendor and ai service facts place this item within the review scope. Confirmed in NFS-AI-VDR-GB-008-SCOPE, section 6.

Evidence: NFS-AI-VDR-GB-008-06: Exit schedule, deletion clause or portability specification. 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.

Security and resilience: Security measures and assurance

NIST AI RMF GOVERN 1.5 and MANAGE 2.4. Record the security measures, assurance reports, access controls, encryption, environment separation and testing relevant to the service.

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 vendor and ai service facts place this item within the review scope. Confirmed in NFS-AI-VDR-GB-008-SCOPE, section 7.

Evidence: NFS-AI-VDR-GB-008-07: Security schedule, audit report or control matrix. Owner-confirmed copy held in the controlled governance folder. Type: Controlled document and review record.

Owner: Security Lead. Last tested or reviewed: 5 August 2026.

Action: None recorded. Due: Not set.

Security and resilience: Incident notification and assistance

NIST AI RMF MANAGE 2.3 and MANAGE 4.3. Set notification timing, required incident information, cooperation, containment, investigation and evidence-preservation duties.

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 vendor and ai service facts place this item within the review scope. Confirmed in NFS-AI-VDR-GB-008-SCOPE, section 8.

Evidence: NFS-AI-VDR-GB-008-08: Incident clause, response plan or notification procedure. Owner-confirmed copy held in the controlled governance folder. Type: Controlled document and review record.

Owner: Security Lead. Last tested or reviewed: 5 August 2026.

Action: None recorded. Due: Not set.

Security and resilience: Vulnerability and update management

NIST AI RMF MANAGE 2.4 and MANAGE 4.1. Record vulnerability reporting, patching, material model or service updates and the customer notice and testing 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 vendor and ai service facts place this item within the review scope. Confirmed in NFS-AI-VDR-GB-008-SCOPE, section 9.

Evidence: NFS-AI-VDR-GB-008-09: Vulnerability policy, update term or release notice. Owner-confirmed copy held in the controlled governance folder. Type: Controlled document and review record.

Owner: Security Lead. Last tested or reviewed: 5 August 2026.

Action: None recorded. Due: Not set.

Security and resilience: Continuity, availability and recovery

NIST AI RMF MANAGE 2.2 and MAP 5.1. Set service continuity, recovery, fallback, data restoration and material dependency arrangements for the intended 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 vendor and ai service facts place this item within the review scope. Confirmed in NFS-AI-VDR-GB-008-SCOPE, section 10.

Evidence: NFS-AI-VDR-GB-008-10: Continuity plan, recovery objective or service schedule. Owner-confirmed copy held in the controlled governance folder. Type: Controlled document and review record.

Owner: Security Lead. Last tested or reviewed: 5 August 2026.

Action: None recorded. Due: Not set.

Assurance and oversight: Testing and technical documentation

NIST AI RMF MEASURE 2 and MAP 1.1. Require sufficient documentation of capabilities, limitations, evaluations and intended use for the customer review.

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 vendor and ai service facts place this item within the review scope. Confirmed in NFS-AI-VDR-GB-008-SCOPE, section 11.

Evidence: NFS-AI-VDR-GB-008-11: Model card, evaluation report, system card or technical schedule. 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.

Assurance and oversight: Monitoring information and material changes

NIST AI RMF MEASURE 4.2 and MANAGE 4.1. Require information needed to monitor performance, limitations, drift and material changes during the relationship.

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 vendor and ai service facts place this item within the review scope. Confirmed in NFS-AI-VDR-GB-008-SCOPE, section 12.

Evidence: NFS-AI-VDR-GB-008-12: Monitoring schedule, change notice or service report. 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.

Assurance and oversight: Audit and information rights

NIST AI RMF GOVERN 4.1 and GOVERN 6.1. Define proportionate information, assurance and audit rights needed to verify the supplier commitments recorded for the service.

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 vendor and ai service facts place this item within the review scope. Confirmed in NFS-AI-VDR-GB-008-SCOPE, section 13.

Evidence: NFS-AI-VDR-GB-008-13: Audit clause, assurance schedule or evidence portal. 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.

Assurance and oversight: Regulatory and rights assistance

NIST AI RMF GOVERN 4.2 and GOVERN 6.1. Record the supplier assistance needed for impact assessments, enquiries, rights handling, investigations or required records.

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 vendor and ai service facts place this item within the review scope. Confirmed in NFS-AI-VDR-GB-008-SCOPE, section 14.

Evidence: NFS-AI-VDR-GB-008-14: Assistance clause, compliance schedule or response procedure. 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.

Commercial control: Intellectual property and content claims

NIST AI RMF MAP 3.4 and GOVERN 6.1. Allocate relevant input, output, model and documentation rights and address known content or infringement claims and cooperation.

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 vendor and ai service facts place this item within the review scope. Confirmed in NFS-AI-VDR-GB-008-SCOPE, section 15.

Evidence: NFS-AI-VDR-GB-008-15: Licence, indemnity, claims procedure or usage term. 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.

Commercial control: Termination and transition support

NIST AI RMF MANAGE 4.2 and GOVERN 6.1. Define termination triggers, continued access, transition assistance, configuration export, deletion evidence and replacement planning.

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 vendor and ai service facts place this item within the review scope. Confirmed in NFS-AI-VDR-GB-008-SCOPE, section 16.

Evidence: NFS-AI-VDR-GB-008-16: Termination clause, exit plan or transition schedule. 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

- Candidate contract wording is a search aid, not a conclusion that a clause is adequate or enforceable.
- The evidence subjects use a voluntary NIST AI RMF baseline. UK and EU materials provide route context only, and local duties must be assessed separately.
- The organisation remains responsible for procurement, contractual, legal, security and deployment decisions.
- 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
UK Government: Guidelines for AI procurement	Procurement, data assessment, risk and supplier management guidance	7 August 2026	https://www.gov.uk/government/publications/guidelines-for-ai-procurement/guidelines-for-ai-procurement
Department for Science, Innovation and Technology: Code of Practice for the Cyber Security of AI	Principles 1 to 13	7 August 2026	https://www.gov.uk/government/publications/ai-cyber-security-code-of-practice/code-of-practice-for-the-cyber-security-of-ai
National Cyber Security Centre: Guidelines for secure AI system development	Secure design, development, deployment and operation	7 August 2026	https://www.ncsc.gov.uk/collection/guidelines-secure-ai-system-development
National Institute of Standards and Technology: Artificial Intelligence Risk Management Framework (AI RMF 1.0)	Govern, Map, Measure and Manage functions	7 August 2026	https://www.nist.gov/publications/artificial-intelligence-risk-management-framework-ai-rmf-10
National Institute of Standards and Technology: NIST AI Risk Management Framework Playbook	Suggested actions for Govern, Map, Measure and Manage	7 August 2026	https://www.nist.gov/itl/ai-risk-management-framework/nist-ai-rmf-playbook