

Section1 - About Your Organisation			
A1. What is your organisation's name?	Registered/Legal Name		
A2. What type of organisation are you?	Select one ☐ LTD – Limited Company (Ltd or PLC) ☐ LLP – Limited Liability Partnership (LLP) ☐ CIC – Community Interest Company (CIC) ☐ COP – Cooperative ☐ MTL – Other Registered Mutual (Community Benefit Society, Credit Union, Building Society, Friendly Society) ☐ CHA – Registered Charity ☐ GOV – Government Agency or Public Body ☐ SOL – Sole Trader ☐ PRT – Other Partnership ☐ SOC – Other Club/ Society ☐ OTH – Other Organisation		
A3. How many employees are there in the organisation?		Please provide the number of people who are working for your organisation.	
A4. What is your organisation's registration number?			
A5. What is your organisation's registered address?	Please provide the legal registered address for your organisation.		
A6. Please provide the operational addresses, if different to your registered address.	Please provide the address or addresses where your organisation operates from. This does not include the addresses of home/remote workers		
A7. What is your main business?	Please summarise the main occupation of your organisation.		
A8. Is this application a renewal of an existing certification or is it the first time you have applied for certification?	Select either "Renewal" or "First Time Application" ☐ Renewal ☐ First time application		
A9. What are the two main reasons for applying for certification?	1). 2).		
Section 2: General Governance (All Roles)			
G1. Accountable officer	Has a Senior Executive (Director level or above) been appointed as the "Accountable Officer" for AI safety and ethics?		☐ Yes ☐ No
G2. AI Registry	Do you maintain a central record of all AI systems currently in use, hosted, or under development by the organization?		☐ Yes ☐ No
G3. High Risk AI	Are any of your AI tools used to make or directly influence high-stakes decisions? (e.g., automated CV screening, credit scoring, or medical triage).		☐ Yes ☐ No
G4. Staff Usage	Do your staff input internal company data, customer data, or personally identifiable information (PII) into the AI tools?		☐ Yes ☐ No
G5. Incident Reporting	Is there a defined process for staff or customers to report "AI Failures" (e.g., hallucinations, bias, or security breaches)?		☐ Yes ☐ No
Section 3: Technical Security (Pillars 1 & 4)			
S1. Centralised Administration	Do you have centralised administrative control over the AI systems you use? (e.g., Enterprise accounts with admin dashboards, Azure OpenAI, or ChatGPT Enterprise, rather than individual staff accounts)		☐ Yes ☐ No
S2. Access Control	Is Multi-Factor Authentication (MFA) enforced for all administrative access to AI training environments, API dashboards, or enterprise AI accounts?		☐ Yes ☐ No
S3. Prompt Injection Protection: (Providers/Producers only)	Do you use automated filtering to detect and block malicious instructions (jailbreaks) in user inputs?		☐ Yes ☐ No
S4. Data Masking (Users only)	Are technical controls (e.g., Data Loss Prevention software) in place to prevent employees from entering PII or "Secret" classified data into external AI tools?		☐ Yes ☐ No
Section 4: Transparency & Trust (Pillars 2 & 5)			

AI Essentials Self-Assessment Questionnaire

T1. Human-in-the-Loop	For high-stakes outputs (legal, financial, or medical), do you have a mandatory "Human Review" step before the output is acted upon?	☐ Yes ☐ No
T2. AI Labelling	Does your system clearly notify users that they are interacting with an AI, or that the content they are viewing was AI-generated?	☐ Yes ☐ No
T3. Hallucination Awareness	Have all staff using AI tools received "AI Literacy" training, specifically covering the risks of fabrication and how to verify AI claims?	☐ Yes ☐ No
Section 5: Ethical & Societal Impact (Pillar 6)		
E1. Bias Testing	Have you conducted a "Bias Review" to ensure the AI does not produce discriminatory outcomes for protected characteristic groups?	☐ Yes ☐ No
E2. Impact Assessment	Has an AI Impact Assessment (AIIA) been completed and signed off for every "High Risk" AI system in your registry?	☐ Yes ☐ No
E3. Rights of Appeal	If the AI is used to make decisions about individuals, is there a clear, human-led appeal process available to those individuals?	☐ Yes ☐ No
Section 6: Role-Specific Requirements (Select One)		
AI Producer	Do you publish Model Cards for every foundation model, detailing training data sources and energy consumption?	☐ Yes ☐ No
AI Provider	Do you provide a "Data Opt-Out" mechanism for your customers to prevent their inputs from being used for model training?	☐ Yes ☐ No
AI User	Have you audited your 3rd party AI vendors to ensure they hold a valid both Cyber Essentials and AI Essentials (or equivalent) certification?	☐ Yes ☐ No
Declaration of Compliance		
I, <i>[Name]</i>, <i>[Job Title]</i>, confirm that the answers provided above are an accurate representation of the AI Management System currently in place at <i>[Organisation Name]</i>. I acknowledge that misrepresentation may lead to the immediate revocation of the AI Essentials certificate.		