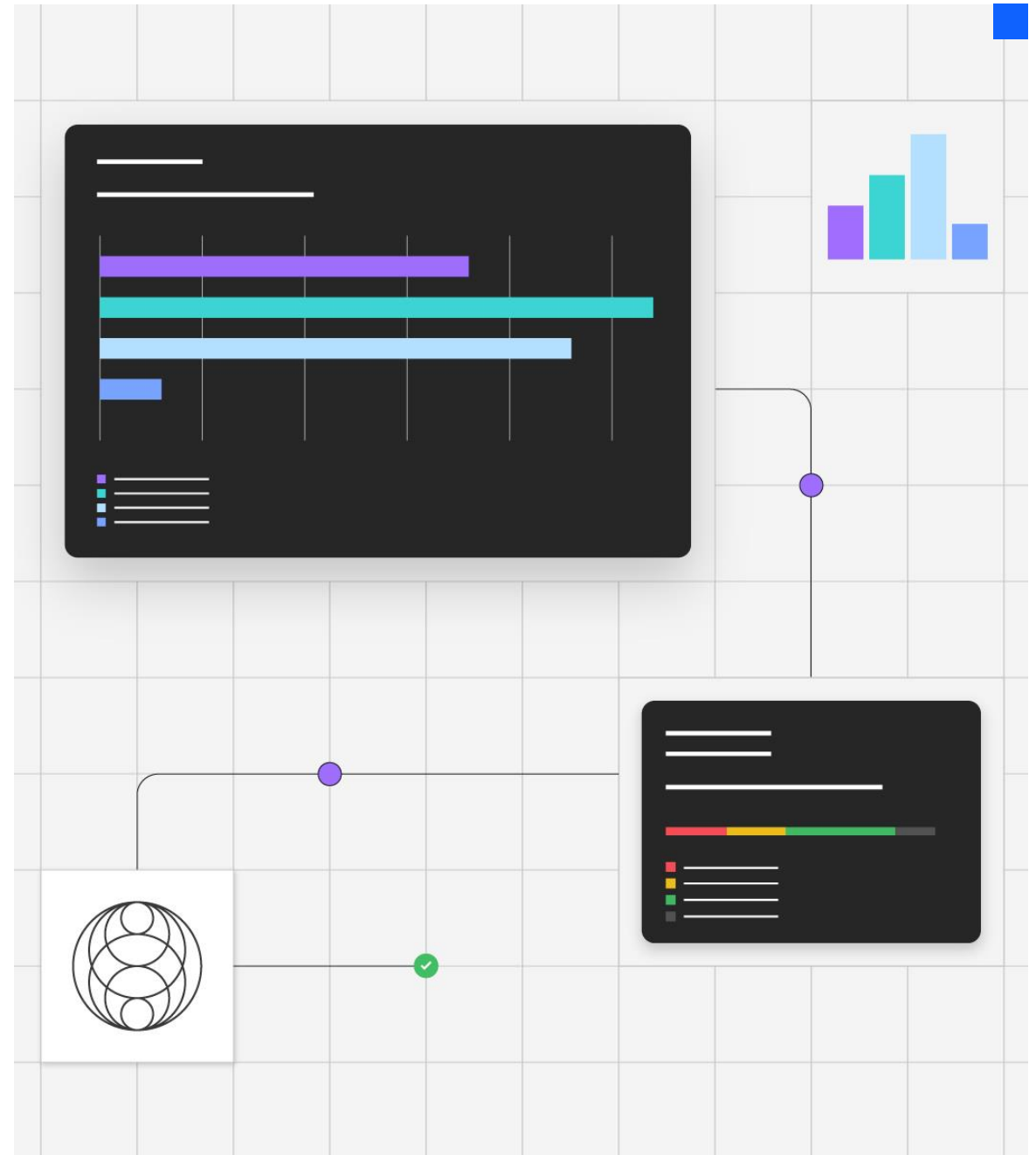
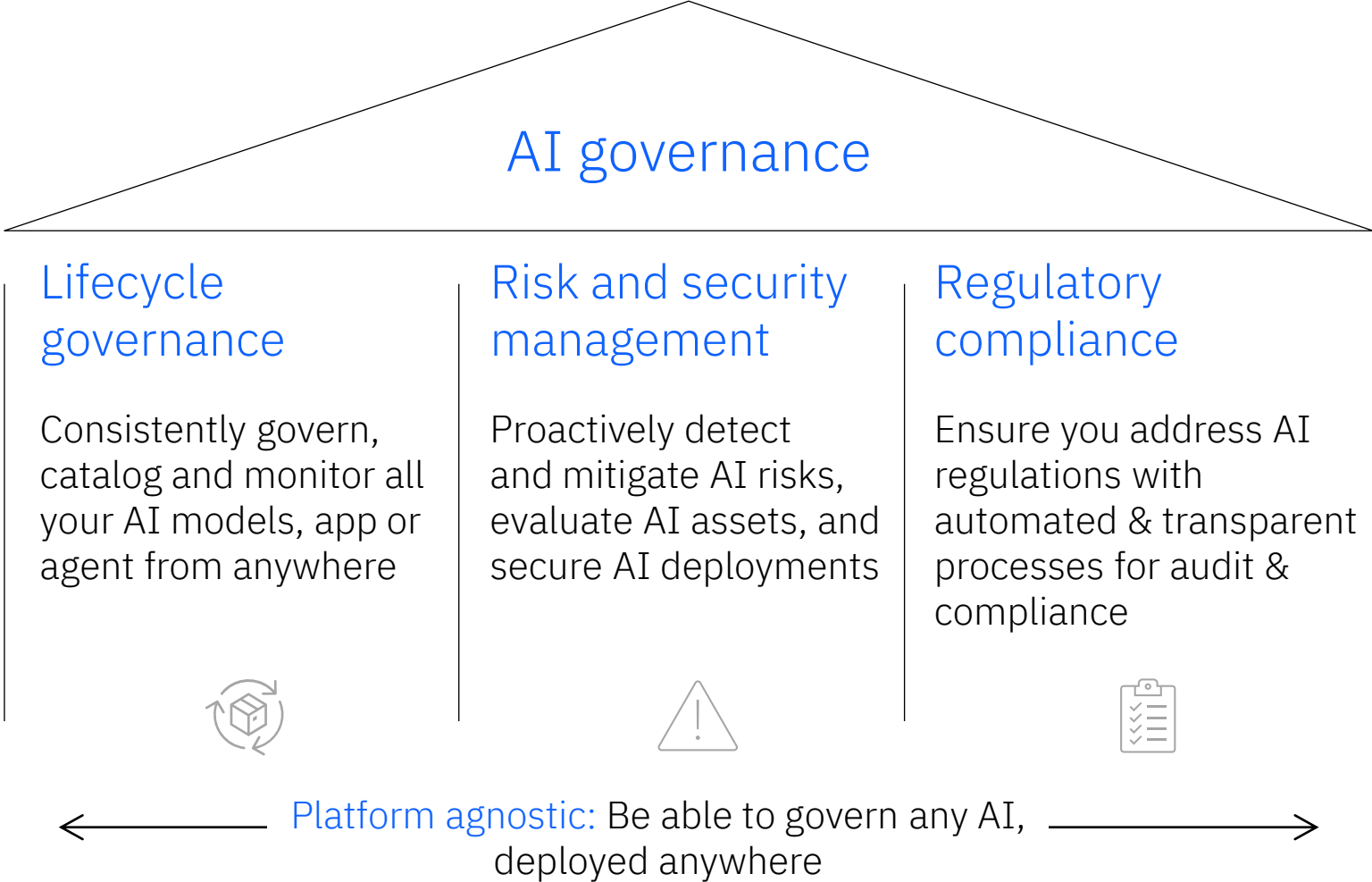


watsonx.governance


Compliance Accelerators




Three pillars of AI governance




Global AI Reg footprint rapidly expanding.....

 **Canada**


- Proposed Reg C-27 – AI & Data Act [terminated due to election]
- E-23 Regulation still applies to AI/ML

 **United States**


- SR 11-7
- 500 AI Laws in progress
- 200 AI Laws pass / in effect

 **Brazil**


- Artificial Intelligence Legal Framework (Bill No. 2338/2023). (passed)

 **United Kingdom**


- SS/123
- Artificial Intelligence (Regulation and Workers' Rights) Bill (introduced)
- Artificial Intelligence (Regulation) Bill (introduced)
- Public Authority Algorithmic and Automated Decision-Making Systems Bill (introduced)
- Automated Vehicles Act (passed)

 **European Union**

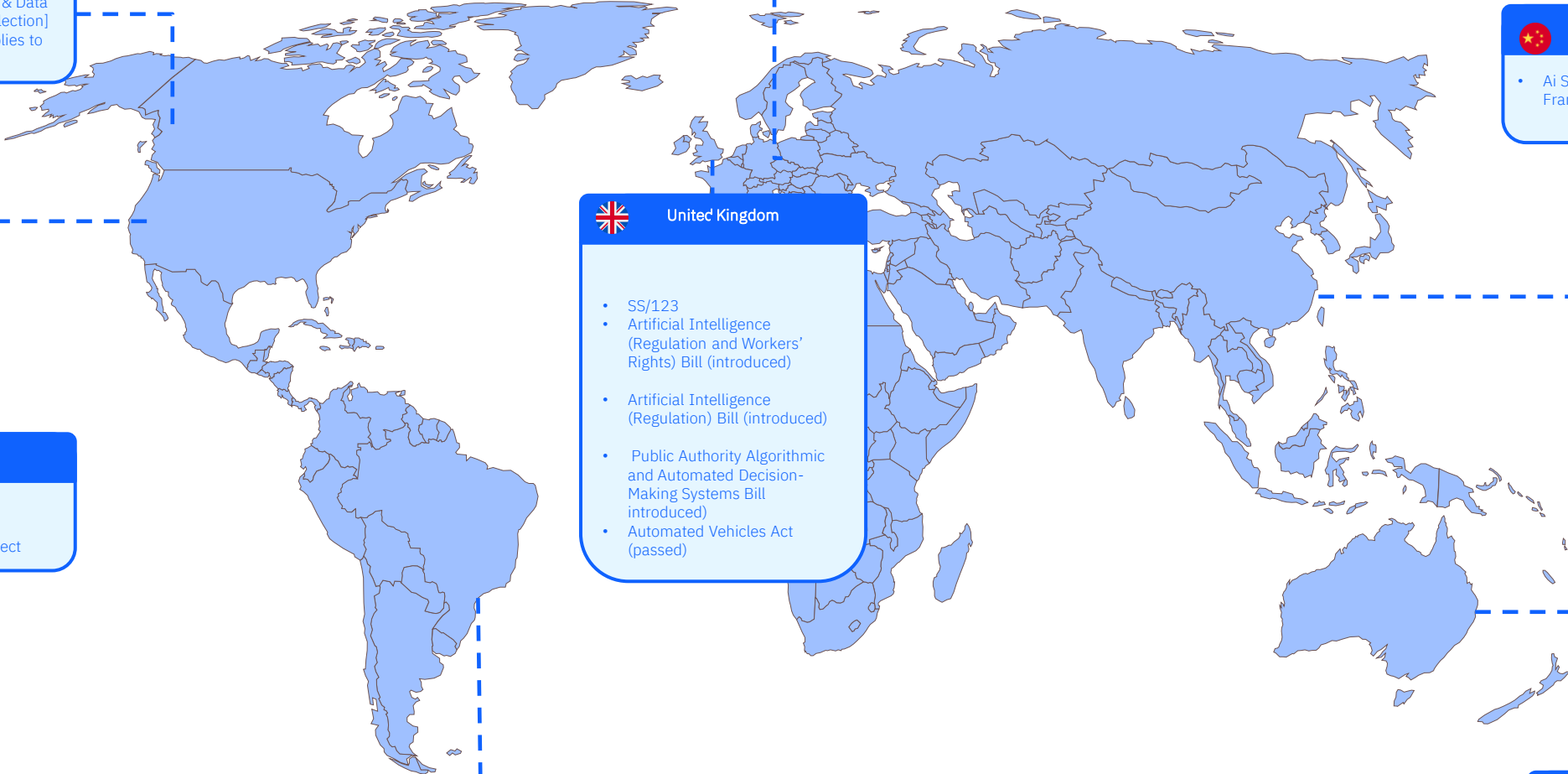
- EU AI Act (in force)
- DSA (in effect)

 **China**

- Ai Safety Governance Framework

 **Australia**

- Privacy Bill updates
- Govt Standards
- Incoming standards for High Risk AI systems



Understanding the core elements of AI laws and rules can serve to provide companies a competitive advantage in their use of AI

US states introducing AI bills in the 2024 legislative session.¹

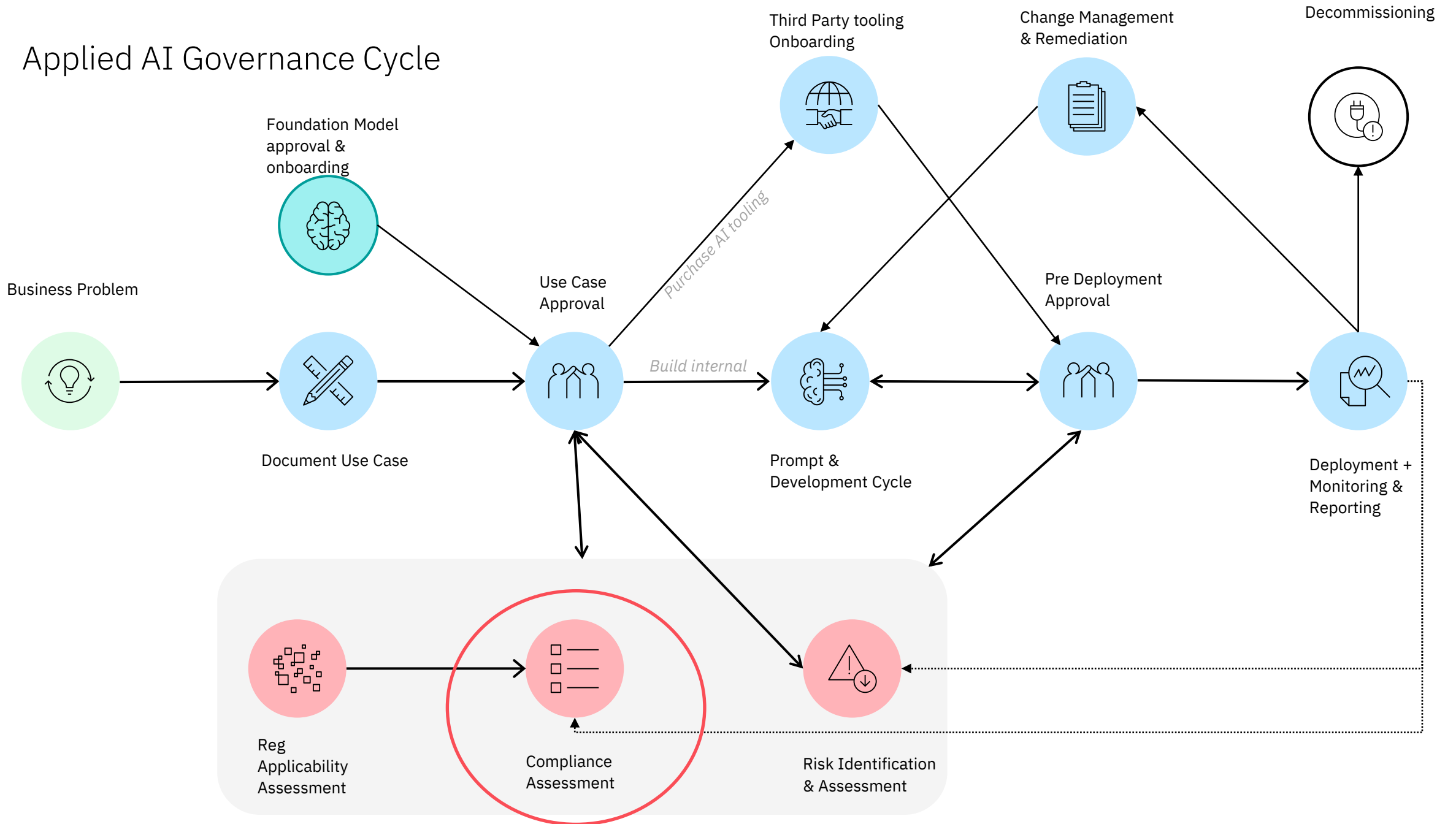
↗ 45

Sanction as percentage of Global Turnover for use of prohibited AI under the EU AI Act.²

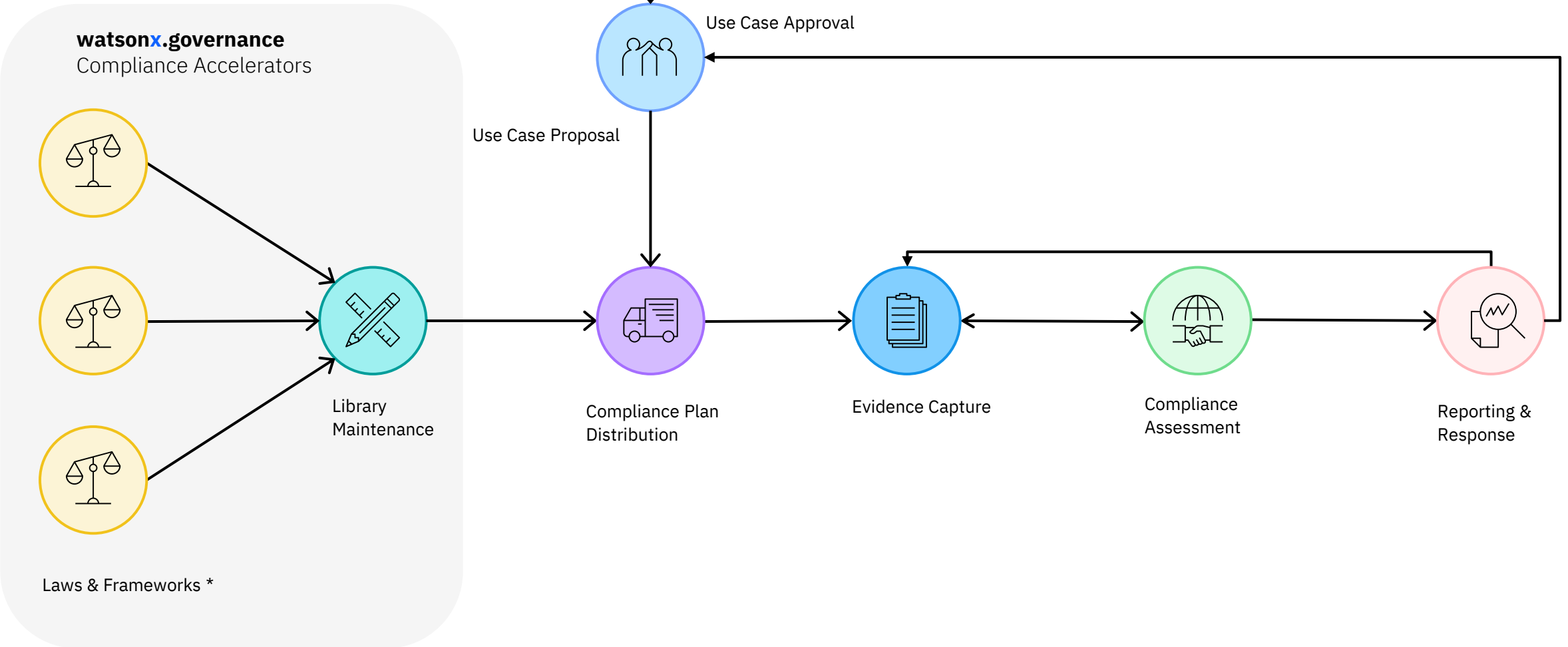
+7%

Source: 1 [National Conference of State Legislators](#)
Source: 2. [EUR-Lex - EU AI Act - Article 99](#)

Applied AI Governance Cycle



AI Compliance Assessment cycle



Primary Personas

Lana : Compliance Officer



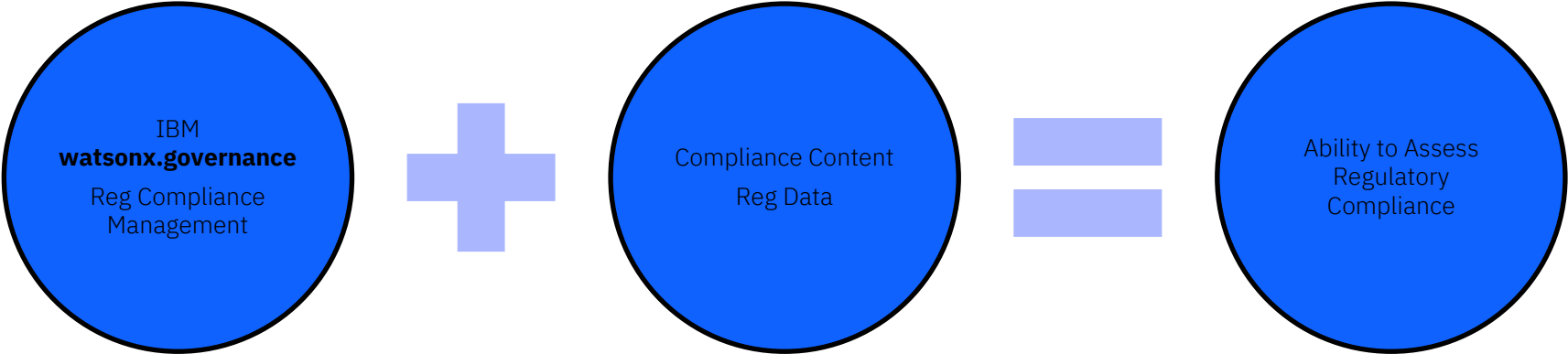
1. View level of compliance to one or more reg's/frameworks
2. Assess Compliance based on "Evidence" provided
3. Be notified of changes to or additional regs and requirements
4. Identify and respond to any requirements that are not being met at a use case level
5. Global: Author/ amend a set of obligations to meet one or more requirements across one or more regs/frameworks

Rahul: Use Case Owner



1. Record evidence for each obligation .
2. Have visibility of the compliance obligations for their given use case
3. Have visibility of the related regulatory requirements + mandates
4. Record Issues / or compliance gaps for remediation and define actions, timelines etc in line with wider organisation GRC policies

So to deliver Compliance



Introducing

watsonx.governance Compliance Accelerators



watsonx.governance

Compliance
Accelerators

Business Problem

- Rapid growth in AI Regulation & Frameworks
- Use Case Owners and Compliance need to understand and assess each use case against the regulatory responsibilities
- Compliance officers need to have oversight of the enterprise's compliance posture

Solution & Value

By integrating regulatory content (watsonx.governance compliance accelerators), enterprises enhance their **watsonx.governance**, solution to enable:

- Mapping AI use cases and projects to global regulations like the EU AI Act, ISO 42001, NIST AI RMF
- Improved Efficiency for Compliance teams (research and reporting)
- Enhanced Compliance Assessment process for Use Case Owners and Compliance teams alike with configurable compliance workflows

Availability & Structure

- Available April 2025 as a subscription part [data as a service]
- Can be leveraged by **watsonx.governance** console deployments (both Self Managed & SaaS)
- Tiered parts based on # of AI Use cases being assessed
- Content will have regular (Quarterly) updates

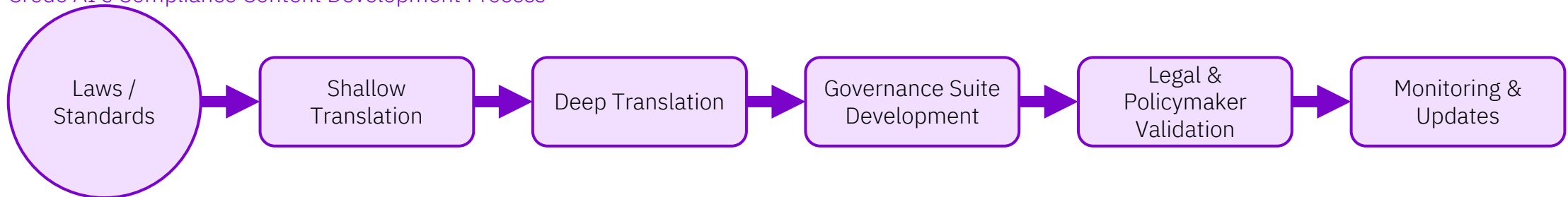


What's in the compliance accelerators?

The compliance accelerators is populated with content sourced from various partners such as Credo AI that is converted to a set of Compliance Plans

Compliance Plans are sets of Obligations authored to assist in compliance with regulations, laws or standards related to AI systems. They assist Compliance Teams and Use case owners in understanding compliance obligations, providing of evidence and evaluating compliance positions.

Credo AI's Compliance Content Development Process

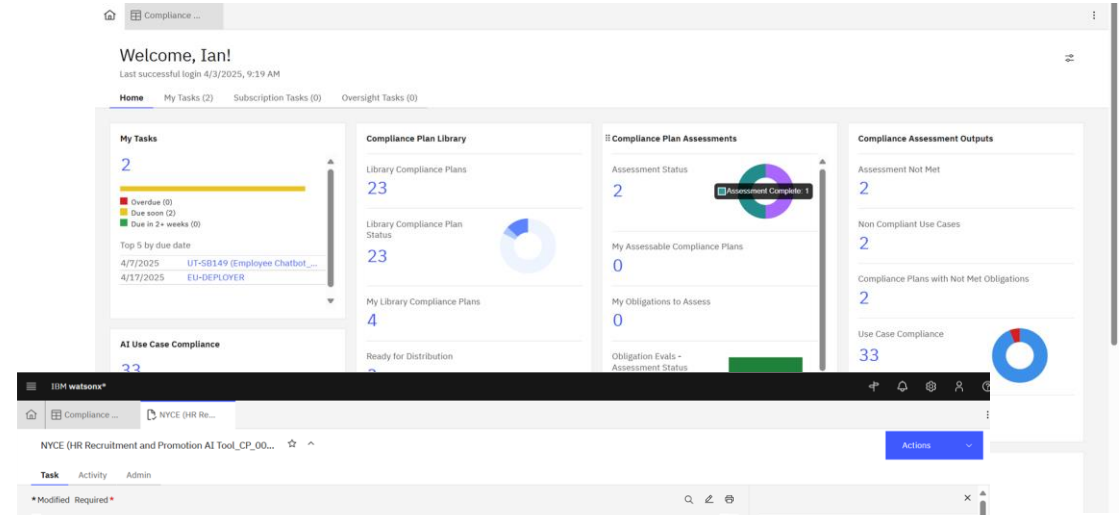




Map AI use cases and projects to global regulations

Compliance plans identify which regulations apply to each use case and region

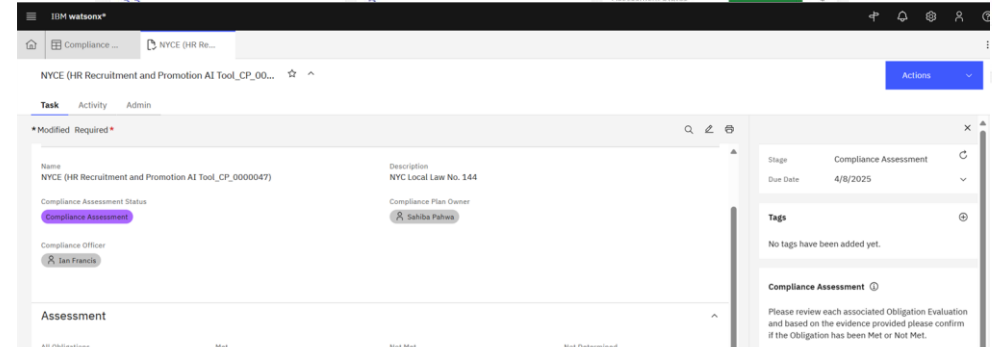
- Speed up compliance review and approval process to deploy AI
- Map to global regulations like EU AI Act, ISO 42001, NIST AI RMF



Compliance position reporting

Identify potential compliance gaps based on associated content across the enterprise

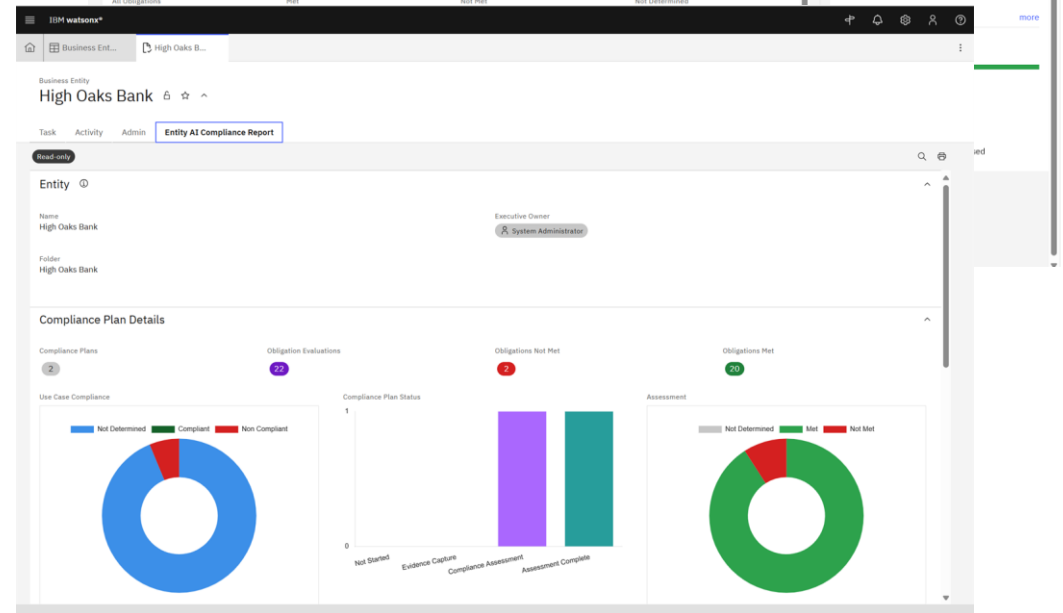
- Reduce time associated with compliance when applicable regulations change
- Reduce risk of noncompliance



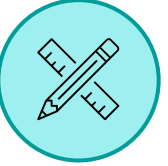
Enhanced compliance assessment

Improved compliance assessment cycle with configurable workflows

- Efficient process for both AI use case owners and compliance professionals
- Expedited research and reporting



Library Maintenance



As part of the content onboarding, Compliance officers will have the ability to:

- Review the details
- Personalise content for their organisation
- Add new obligations (if required)

The screenshot shows the IBM Watsonx Compliance interface. At the top, there's a navigation bar with 'IBM watsonx' and a search bar. Below that, the current context is 'EU-DEPLOYER' with a star icon and an 'Action' dropdown menu. The main content area is titled 'Obligations' and shows a table with columns for 'Provider' and 'Number of Obligations'. The provider is 'Credo AI' and there are 22 obligations. A 'New Obligation' button is visible. Below the table, four obligation cards are displayed, each with the following details:

Obligation ID	Evidence Type	Name	Description	Distribution Status	Last Modification Date	Attestation Required
OBL-EU-DEPLOYER.C1-EV001	Text	OBL-EU-DEPLOYER.C1-EV001	Provide evidence that measures have been taken to ensure a sufficient level of AI literacy.	Library Maintenance	Apr 2, 2025 7:28:22 AM EDT	No
OBL-EU-DEPLOYER.C2-EV001	Text	OBL-EU-DEPLOYER.C2-EV001	Provide evidence of technical and organizational measures in place to ensure the AI system is used in accordance with	Library Maintenance	Apr 2, 2025 7:28:23 AM EDT	No
OBL-EU-DEPLOYER.C2-EV002	Text	OBL-EU-DEPLOYER.C2-EV002	Provide evidence that there are individuals with the necessary competence, training, authority and support to implement the	Library Maintenance	Apr 2, 2025 7:28:24 AM EDT	No
OBL-EU-DEPLOYER.C2-EV003	Text	OBL-EU-DEPLOYER.C2-EV003	Provide evidence that the input data is relevant and sufficiently representative in view of the intended purpose of the high-	Library Maintenance	Apr 2, 2025 7:28:24 AM EDT	No

On the right side, there's a sidebar with a 'Compliance Plan' section. It shows the current stage as 'Compliance Plan Review' with a due date of '4/17/2025'. Below that, it says 'No tags have been added yet.' and 'Review and Edit Obligations as needed or create new Obligations using the "New Obligation" button.'

Capturing Evidence

Use Case owners are requested to provide evidence to meet Obligations within a compliance plan

Evidence types vary and can include , Files, Screenshots, Evaluated Metrics, Attestations, Tables and Text.

watsonx.governance can support all evidence types

The end-to-end process is supported by configurable workflows

The screenshot displays the IBM Watsonx Governance interface for recording evidence. The top navigation bar includes the IBM Watsonx logo and tabs for 'Compliance ...', 'NYCE (HR Re...', and '*OE_0000490'. The main content area is titled 'OE_0000490' and has tabs for 'Task', 'Activity', and 'Admin'. A 'Documentation Evidence' section is active, containing a 'Documentation Guidance' box with instructions: 'Complete the Evidence provided field or attach/ Link to any Files that can be used for Evidence. Screenshots can also be inserted directly to the 'Evidence Provided' field'. Below this is a 'Required Documentation Description' field with the text: 'Provide a description of the AEDT.' The 'Evidence Provided' section features a rich text editor with a toolbar and a text area containing the following text: 'Users will interact with the system through a web-based portal with role-specific interfaces. Recruiters will access a dashboard displaying candidate pipelines, automated screening results, and recommended actions. They can adjust matching parameters, review AI-generated assessments, and incorporate their professional judgment when making candidate advancement decisions. Hiring managers will have a simplified view focused on candidate comparisons and interview preparation. Candidates will experience the system through a user-friendly application portal and optional skill assessments. The system will maintain transparency by clearly indicating when interactions are AI-assisted and providing explanations for recommendations when appropriate.'

On the right side, a 'Record Evidence' panel is visible, showing the 'Stage' as 'Record Evidence' and the 'Due Date' as '4/9/2025'. Below this, a 'Tags' section indicates 'No tags have been added yet.' A 'Review and Provide the Required Evidence' section contains a list of instructions: 'Evidence Requirements Section - For each evidence category indicating "Yes", review the corresponding Description field (if applicable)', 'Provide the evidence in the corresponding Evidence section', and 'Attach or link documentation evidence in the section provided'. At the bottom of the interface, there are sections for 'Associated Regulatory Content' and 'Prior Evaluations'. A 'Files' section at the bottom left shows a search bar and a table with columns for 'Name', 'Description', 'Document Type', 'Last Modification Date', and 'Tags', currently displaying 'No results'.



Metric Evidence

Metric Guidance

Associate to metrics as evaluated within watsonx.governance using the Associate to Metric button

Required Metric Description
Calculate the demographic parity ratio in relationship to "race/ethnicity."

Metrics

🔍 Search

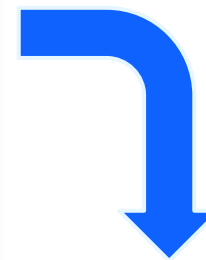


Associate

Name	Evaluation Category	Description	Value	Value Date	Breach Status	Tags
------	---------------------	-------------	-------	------------	---------------	------

No results

16



Evidence compliance by associating
Obligation directly to the evaluated metric
automatically calculated within
watsonx.governance

Associate

2 Total (Obligation Evaluation -> Use Case -> Metric X)

Name	Evaluation Category	Description	Value	Value Date	Breach Status	Tags
MET_00001 High Oaks Bank > Corporate > Human Resources	Fairness	watsonx.governance fairness metric for 'Age'	0.878	11/27/2021	Not Determined	
✓ watsonx.governance fairness metric for 'Ethnicity' (MET_00002) High Oaks Bank > Corporate > Human Resources	Fairness	watsonx.governance fairness metric for 'Ethnicity'	0.596	11/27/2021	Not Determined	

Cancel Done

Compliance Progress Tracking



Interactive charts and views allow the Compliance Team to track and manage the compliance process

IBM watsonx®

NYCE (HR Recruitment and Promotion AI Tool_CP_00...

Task Activity Admin

Modified Required

Name: NYCE (HR Recruitment and Promotion AI Tool_CP_0000047)
Description: NYC Local Law No. 144
Compliance Assessment Status: Compliance Assessment
Compliance Plan Owner: Sahiba Pahwa
Compliance Officer: Ian Francis

Assessment

All Obligations	Met	Not Met	Not Determined
20	1	0	19

Percentage of Evidence Submitted: 100%
Percentage Obligations Assessed: 5%
Percentage Obligations Met: 5%

Progress

- Not Started
- Evidence Capture
- Compliance Assessment
- Awaiting Compliance Assessment
- Assessment Complete

Assessment

- Not Determined
- Met
- Not Met

Stage: Compliance Assessment
Due Date: 4/8/2025

Tags: No tags have been added yet.

Compliance Assessment ⓘ
Please review each associated Obligation Evaluation and based on the evidence provided please confirm if the Obligation has been Met or Not Met.

Select an action to validate

All Key Items (3)

- Type
- Percentage Obligations Met
- Percentage Obligations Assessed



Compliance ...

Welcome, Ian!

Last successful login 4/3/2025, 9:19 AM

Home My Tasks (2) Subscription Tasks (0) Oversight Tasks (0)

My Tasks

2

Overdue (0)
Due soon (2)
Due in 2+ weeks (0)

Top 5 by due date

4/7/2025	UT-SB149 (Employee Chatbot_...
4/17/2025	EU-DEPLOYER

AI Use Case Compliance

33

Category	Count
Not Determined	33
Compliant	0
Non Compliant	1

Compliance Plan Library

Library Compliance Plans: 23

Library Compliance Plan Status: 23

My Library Compliance Plans: 4

Ready for Distribution: 3

Compliance Plan Assessments

Assessment Status: 2

Assessment Complete: 1

My Assessable Compliance Plans: 0

My Obligations to Assess: 0

Obligation Evals - Assessment Status: 22

Compliance Assessment Outputs

Assessment Not Met: 2

Non Compliant Use Cases: 2

Compliance Plans with Not Met Obligations: 2

Use Case Compliance: 33

Regulatory Data

AI Applicability Assessments

Model Inventory

Model Use Cases by Risk Level

Use Case EU AI Risk Ratings

33

Maintain the Compliance Plan library directly from the Homepage

Manage the Compliance assessment program

Overview Results of the Compliance Assessment

Report Views



Report Views allow the enterprise to have an overview of compliance across the AI Use Case estate.

The screenshot displays the IBM watsonx interface for a Business Entity named "High Oaks Bank". The main navigation bar includes "Task", "Activity", "Admin", and "Entity AI Compliance Report". A "Read-only" status is indicated in the top right of the report area.

Entity Information:

- Name: High Oaks Bank
- Folder: High Oaks Bank
- Executive Owner: System Administrator
- Count: 19

Compliance Plan Details:

- Compliance Plans: 2
- Obligation Evaluations: 22
- Obligations Not Met: 2
- Obligations Met: 20

Use Case Compliance: A donut chart showing the distribution of compliance status: Not Determined (blue), Compliant (green), and Non Compliant (red).

Compliance Plan Status: A bar chart showing the status of compliance plans across four stages: Not Started, Evidence Capture, Compliance Assessment, and Assessment Complete.

Assessment: A donut chart showing the distribution of assessment results: Not Determined (grey), Met (green), and Not Met (red).

Additional Information

Frequently Asked Questions

Where can I use the compliance accelerators?

The compliance accelerators can be leveraged inside of watsonx.governance console. A customer must have entitlement the RCM module.

Do I need specific configuration?

A set of user profiles and supporting configuration will be required. Initially these are a set loader files to be deployed before the client can leverage the compliance accelerators. These can be made available by IBM. Future releases in Q3 will have this configuration included as part of the initial deployment of watsonx.governance console.

How is the data provided to a customer?

Once subscribe a client will be provided with a secure , temporary download link. An IBM ID is required to download.

How frequently are updates made?

IBM will make the content available on a Quarterly basis with any changes. Clients may request the download link outside of this cycle if needed.

Does IBM indemnify a company's compliance if they use our compliance plans

No – The compliance plans are indicative and will rely on the customer operating specific controls. IBM cannot be accountable for this compliance

Part Structure

- The part is a data as a service subscription.
- To effectively use the data there is a dependency on the **watsonx.governance** Reg Compliance Module
- Additional configuration files will be made available.

4 x parts . A client will subscribe to an access/instance (Qty of 1). The selection of the correct part should be based on the expected number of AI Use Cases that an organisation will be assessing

- IBM **watsonx.governance** Compliance accelerators Starter - (0-25 Use Cases) *
- IBM **watsonx.governance** Compliance accelerators Basic - (0-99)
- IBM **watsonx.governance** Compliance accelerators Premium - (99-500)
- IBM **watsonx.governance** Compliance accelerators Unlimited - (500+)

* Can only be used for 1 year, then client must transition to the Basic

Coverage at as March 2025

If a regulation or framework you require is not currently available, please contact IBM product management and they will work with their partners to assess potential inclusion

Compliance Plans	Regulation
Colorado AI Act High-Risk Deployers	Colorado AI Act
Colorado AI Act High-Risk Developers	Colorado AI Act
Colorado SB21-169 (Governance Regulation for Life Insurers)	Protecting Consumers from Unfair Discrimination in Insurance Practices
DIU Responsible AI Guidelines	U.S. Department of Defense Defense Innovation Unit Responsible AI Guidelines
Data & Trust Alliance Algorithmic Bias Safeguards for Workforce	Data & Trust Alliance Algorithmic Bias Safeguards for Workforce
EU AI Act High-Risk AI System Deployers	EU AI Act
EU AI Act General Purpose AI Model Providers	EU AI Act
EU AI Act High-Risk AI System Providers	EU AI Act
EU AI Act Transparency Requirements	EU AI Act
EU AI Act Technical Documentation	EU AI Act
EU Digital Services Act (DSA) - Algorithmic System Requirements	EU-DSA
AI Management System (Core Requirements)	ISO/IEC 42001
ISO/IEC 42001 Risk Treatment (use case level)	ISO/IEC 42002
NIST AI Risk Management Framework (Govern Function)	NIST AI Risk Management Framework
NIST AI Risk Management Framework (Manage Function)	NIST AI Risk Management Framework
NIST AI Risk Management Framework (Map Function)	NIST AI Risk Management Framework
NIST AI Risk Management Framework (Measure Function)	NIST AI Risk Management Framework
NYC Local Law No. 144	NYC LL 144/2021: Automated Employment Decision Tools
OMB Requirements for Safety-Impacting AI	OMB Guidance
OMB Requirements for Rights-Impacting AI	OMB Guidance
U.S. Federal Reserve Supervisory Guidance on Model Risk Management (SR 11-7) - Model Development Requirements	U.S. Federal Reserve Supervisory Guidance on Model Risk Management (SR 11-7)
U.S. Federal Reserve Supervisory Guidance on Model Risk Management (SR 11-7) - Organizational Requirements	U.S. Federal Reserve Supervisory Guidance on Model Risk Management (SR 11-7)
Utah AI Policy Act (SB-149)	UT SB-149

High Level Ingestion Flow

