

AI Vendor Review and Approval

Companion to the AI inventory workbook. Save one packet per service or materially different use. Enter shared details once here; they apply to all pages. Link the saved packet in workbook column C. Complete only applicable sections; explain items that do not apply.

Firm legal name

Review ID and review date

Vendor and specific service

Product, subscription and AI features

Responsible Officer name and role

Reviewer and business owner

AI purpose, intended users and information processed

AI use and privacy policies - findings and evidence references

Training, secondary use, sharing and AI subcontractors

Retention, deletion, security and incident notification

Reliability, human review, settings and change notification

Evidence sources or retained files, versions and dates accessed

Review Decision and Follow Up

Applies to the Firm and service identified on the first page. Published product-specific materials, terms and settings may be sufficient. A vendor questionnaire is optional when material questions remain. Vendor size or reputation alone does not establish approval.

Vendor AI determination

Select

Decision rationale and whether the evidence is sufficient

Is targeted vendor inquiry needed?

Select

Remaining questions, inquiry reference or reason no inquiry is needed

Permitted processing, restrictions and interim controls

Follow-up actions, owners, deadlines and closure evidence

Vendor procedure amendment and configuration verification references

Decision confirmed by Responsible Officer

Decision confirmation date

Next review date

Additional approver, if required

Tool and Use Approval

Complete before activation. A vendor determination does not itself approve the Firm's business use. This approval applies only to the service identified on the first page. Refer to the Firm's approved Election Form; do not re-enter its elections here.

Approved Election Form version and date

Requester name and request date

Does the proposed use fit the current approved elections?

Specific business use, users and permitted information

Required settings, access limits and integrations

Human review, supervisor, monitoring and records

Activity-specific controls and related WSP or vendor procedure references

Implementation decision

Conditions, owners, deadlines and implementation verification evidence

Decision confirmed by Responsible Officer

Decision confirmation date

Authorized activation date

Next review date for this use

Activate only after applicable conditions, reviews and procedure changes are complete. Retain evidence with this packet. For longer findings, attach a referenced record. Typed approvals are approval records, not certificate-based digital signatures.

Implementation and Tool Controls

Applies to the service identified on page 1. Complete before activation and update when controls change. Cite existing records rather than duplicating their contents. Mark nonapplicable controls and explain why. No approval overrides the Firm's current elections.

Features, defaults, enabled status, permissions and configuration evidence

Information exclusions, training or secondary-use restrictions and opt-outs

Accuracy verification, human review and qualified reviewer responsibilities

Communications content approval and retention procedure, if applicable

Recording notices or consent, access, retention and deletion, if applicable

Code, integrations or agents: testing, authorization, limits and stop controls

Client-facing AI scope, oversight, escalation and disclosures, if applicable

Monitoring method, frequency, supervisor and records location

Verified by and date; evidence reference

Conditions closed and activation authorized on

Supervisory Review and Reassessment

Use at least annually and when material changes are learned. This record concerns the service on page 1. Save a dated copy for each review. Firm-wide review evidence may be incorporated by reference. Use page 6 for investigation and corrective action.

Review trigger

Select

Review date or period

Reviewer name and title

Trigger details, sources reviewed and personnel inquiries

Inventory and actual use compared with elections, approvals and restrictions

Vendor AI and privacy changes, evidence sufficiency and reassessment

Settings, access, human review, monitoring and records checked; findings

Affected WSP and vendor procedures, communications and evidence references

Findings, actions, owners, due dates and interim restrictions

Review outcome

Select

Responsible Officer confirmation and date

Next review date

Exceptions and Corrective Action

Complete for unauthorized use or another identified exception involving the service on page 1. Record sensitive detail in restricted records and reference it here. Save a separate dated copy for each matter; no need to repeat Firm or vendor details.

Exception reference and date identified

Reported by and investigation owner

Issue, affected use or information and restricted incident record reference

Immediate containment, access restrictions and interim controls

Investigation findings, cause and response to any information exposure

Corrective actions, training or escalation; owners and deadlines

Approval, elections, configuration or procedure changes and communications

Status

Select

Closure date and verification evidence

Responsible Officer confirmation and date

Remaining follow-up, owner and due date, or None

Communication and Records

Record notice of the policy, elections and tool-specific restrictions to affected personnel. Retain a distribution list and acknowledgments or equivalent evidence. Existing training or compliance systems may supply the evidence; reference them instead of re-entering names.

Communication date

Communication or training owner

Policy or election version and approval or restriction changes communicated

Affected users or distribution list location and delivery method

Policy, risk disclosure, training and receipt evidence location

Outstanding responses or training, owners, deadlines and closure evidence

Compliance repository and applicable retention procedure reference

Current and superseded approvals, reviews and election records location

Responsible Officer confirmation and date

Further communication required by, or None

Use the workbook as the index. Keep current vendor determination and business-use approval distinct in the records. A favorable vendor determination alone does not authorize activation. Retain this packet and referenced evidence under the Firm's record retention procedures.

Procedure and Record Guide

Use this guide with the AI WSP chapter and approved Election Form. The packet records implementation and supervision; the elections determine the permitted scope. Complete only applicable sections. Retain referenced evidence and explain nonapplicable items.

Identification and review

Workbook inventory and pages 1 and 4: identify the product, subscription, embedded features, defaults, users, information and configuration. Keep unknown or disabled functions visible in the review record.

Vendor review and evidence

Page 1: evaluate AI and privacy policies, training and secondary use, sharing, subcontractors, security, retention, reliability and oversight. Record product-specific evidence and versions or access dates. Include service terms and contractual materials where relevant.

Follow-up and determination

Page 2: explain evidence sufficiency, whether targeted inquiry is needed, the determination, restrictions, actions and closure evidence. Published materials may suffice; do not require every vendor to complete a questionnaire.

Vendor-specific procedures

Pages 2 and 4: reference approved procedure amendments, actual settings, controls, supervisors, review frequency and implementation verification.

Approval of proposed uses

Page 3: capture the request, confirm alignment with the current approved elections, document the decision and conditions, and authorize activation only after prerequisites are met.

Activity controls and information protection

Page 4: document applicable human review, information restrictions, communications controls, recording practices, testing and automation limits, and client-facing safeguards.

Monitoring and exceptions

Page 5: annual and material-change review. Page 6: investigation, response, corrective action, escalation and closure. Repeat these pages as needed for additional reviews or matters.

Communication and documentation

Page 7: personnel notices and equivalent receipt evidence, follow-up, repository and retention references. The Election Form retains the Firm's scope and officer designation; do not copy those elections into each approval.