AI Transparency Card Structure

Generative AI features are currently available as beta features in Esri products; however, we are including transparency cards for AI features now for early awareness and transparency for our customers to make responsible AI decisions with our products. Esri welcomes your feedback via SoftwareSecurity@Esri.com as we expand our AI Transparency card coverage across our product features over time. Individual ArcGIS AI feature Transparency Cards may be found within the ArcGIS Trust Center *Trusted AI* section.

This document provides detailed description information for each AI Transparency card field.

Section	Description
Product - Name	ArcGIS product name (links to doc) Example: *ArcGIS Online*, *Business Analyst*, …
Product - Certification	Security and/or privacy certification status of the ArcGIS Product. **Select One:** - **None** - **3rd Party Tested** (No certification in place, however a 3rd party has tested product) - **In-progress** (Provide timeline and certification name (e.g., ISO, SOC, FedRAMP)) - **Certified** (name of certification and scope)
Product - Deployment	Deployment model of the product **Select One**: - Software as a Service (**SaaS**) - Platform as a Service (**PaaS**) - Commercial off-the-shelf (**COTS) Self-contained** - Commercial off-the-shelf (**COTS) External Service**
All Sections from this point onward are specific to the AI Feature.	
Name	AI feature name in the product (links to doc) Example: *Business Analyst Assistant*, …
Purpose*	Actions AI feature is expected to perform within the product. Includes use cases and scenarios if/when applicable.
Release Status	Release status of AI feature (See Product Lifecycle Support Policy) **Select One**: - **Beta** (Incomplete, unsupported, limited privacy, limited security – See Beta FAQ) - **Production** (List initial release Month/Year or version)
Certification	Certification status of AI feature or its subprocessors. **Select One:** - **None** - **In-progress** (timeline and certification name (e.g., ISO, SOC, FedRAMP)) - **Certified** (certification name and scope)
Deployment	AI feature provided via what deployment model. **Select One**: - Software as a Service (**SaaS**) - Platform as a Service (**PaaS**) - Commercial off-the-shelf (**COTS) Self-contained** - Commercial off-the-shelf (**COTS) External Service**

Section	Description
Management	How AI feature can be enabled or disabled. Esri typically provides generative AI Features as an Opt-in option that can be controlled by your organization's administrator. **Select One or More:** - **Opt-in by AGO Administrator** (AI feature not made available to users unless the administrator enables it via the <u>ArcGIS Online Allow AI Assistants interface</u>) - **Opt-in by Install** (AI feature not installed by default) - **No Opt-in or Opt-out** (Rare)
Management – Feedback	How user AI feedback be enabled or disabled. **Select One:** - **Opt-in by Administrator** (Feedback not available as user option by default) - **Opt-in by User** (When feedback option is used by user, prompt/results may be stored) - **Not utilized**
Management - Telemetry	How AI telemetry data collection can be enabled or disabled. **Select One:** - **Opt-in by AGO Administrator** (See <u>Esri User Experience Improvement program</u>) - **Opt-out by AGO Administrator** - **Opt-in by User** (When feedback option is used by user, prompt/results may be stored) - **Required** (Telemetry data is collected) - **Not utilized** (No telemetry data collected)
Prompts or Responses Stored	Are prompts or responses submitted to the AI stored? **Select One:** - **No** (Not stored) - **Not by default*** (User can select an option such as feedback resulting in storage) - **Yes**, **Required*** (Stored) - **Yes, Opt-Out Available*** (List how to opt-out of storage) *If other than No is selected, specify retention time and purpose of storage (options below):* - **Retention time** (# of months stored by Esri) - **Storage Purpose** (Select one or more): - **User Recall** (User can select previous prompts to modify and re-execute) - **Specific Improvement:** Used to improve responses for the specific customer - **General Improvement:** Used for AI experience across all customers
Personal Data	Is personal data present in the training, testing, or validation datasets? **Select One:** - **No** - **Yes** (Provide details on where/how personal data is utilized)
Processing Location	Where data is processed across the product, feature, and LLM levels, including details on any subprocessors. **Provide a Separate Answer for Each Location Below**: - **Product:** Product processes data locally or leverages external infrastructure for processing - **Feature:** AI feature processes data locally, on-premises, or via cloud-based services. Specify subprocessors involved in this processing - **LLM:** Large Language Model processes data (eg. locally, cloud, or hybrid). Detail any subprocessors involved in model operations (eg. used for hosting or executing model)
Intended Users	Primary intended users of the AI feature **Examples**: *Administrator, GIS Analyst, Public, etc.*
Out of Scope Uses*	Applications outside intended domain or data that deviates from training conditions (Such as supported languages or other limitations).

Section	Description
Key Function	Key capabilities and **how** the AI feature enhances workflows. **Select One**: - **Automate:** AI automates tasks and repeats them at scale - **Analyze:** AI provides actionable insights into data - **Augment**: AI enhances creative exploration and problem-solving
Model Type & Technique*	Specific architecture or algorithm that forms the foundation of the AI feature. **Examples**: - **Generative AI**: Transformer, Variational Autoencoders (VAE). - **Predictive Models**: Decision Trees, Random Forests, Logistic Regression. - **Classification Models**: Feedforward Neural Networks, Support Vector Machines (SVMs). - **Clustering Models**: K-Means, Hierarchical Clustering
Model Used	Specific AI model(s) used. (links to doc) **Examples**: - *Azure OpenAI, GPT-4(x), Mistral 7B, T5, custom-trained, etc.*
Model License*	License type of AI model backing the AI feature. **Select One**: - **Proprietary**: Developed by Esri - **Open Source**: Developed by a third party and publicly available - **Licensed**: Licensed for use from a third party - **Combination**: Contains both Esri and third-party components
Training Data Sources*	Data sources used for development of AI feature. This includes the data that was used to train the model that powers the AI feature. Discuss customer-specific data usage and conditions. **Select One or More**: - **Open Source**: Freely available data - **Customer Content**: Data provided by the customer - **Synthetic Data**: Generated data mimicking real data structure - **Commercial**: Data acquired under license - **Mix**: Multiple sources used - **Customer Trained**: Customer's proprietary data was used for training
Human-in-the-Loop	Indicate if users can review or modify AI-generated outputs before final action, emphasizing user control. **Select One**: - **Yes** (Include explanation how) - **No** (Explain why not)
Input and Output Format	Provide clear and concise information about the various input and output formats that AI feature can handle. **Examples**: - **Input format:** Image (JPEG, PNG, TIFF), Structured Data (CSV, JSON, XML) - **Output format:** Text (plain text, HTML), Generated Images (e.g., object categories such as animals or items)
Bias & Ethical Mitigations*	How biases are managed, especially in the data. Provide details if the data has been reviewed for bias before being integrated into the AI feature. **Examples**: Fairness Assessment, Ethical Impact Assessment, Bias Minimization Techniques, Data review

Section	Description
Security Mechanisms	Detail the security mechanisms and validations employed beyond encryption to protect data.
Guardrails	Technical measures, controls, or components are in place to protect AI and content. **Provide a Separate Answer for Each Guardrail Below**: - **LLM Integrated** (list what aspects/checks enabled or not) - **Adversarial Attack** (Separate mechanism from LLM - eg. Azure Prompt Shield) - **Objectionable Content** (Separate mechanism from LLM - eg. Azure AI Content Safety) - **Intellectual Property** (Separate mechanism from LLM – eg. Azure Protected Material)
Encryption at Rest	Is AES-256 or better used for at rest encryption? **Select One:** Yes, No, Configurable by customer
Encryption in Transit	Is TLS 1.2 or better utilized for encryption in transit? **Select One:** Yes, No, Configurable by customer
Adversarial Testing	Adversarial robustness tests / Protection against manipulation. **Examples**: Red Teaming, General holistic testing…
Key Metrics*	Performance metrics relevant to ArcGIS, like data and AI feature accuracy or business insight reliability. **Examples**: accuracy, precision, recall
Evaluation & Testing*	Testing methodologies and how Esri evaluates performance. **Examples**: A/B testing, holdout datasets
Provenance	A data mapping or architecture diagram has been conducted that tracks data from source to output, covering training, validation, and real-time data. - **Yes** (Include mapping or diagram) - **No** (Explain why not)
Best Practices	Links to tutorials, and best practices for using the AI feature effectively in ArcGIS.
Continuous Improvement	Improvement plans **Examples**: audits, bias checks, transparency…

*Section aligns with Hugging Face and FedRAMP AI Model card templates