

Appendix 1: Sample Vendor Vetting Questionnaire

This is just an example of the kinds of questions you can send to any tech provider or software salesperson pitch before purchasing software for your firm. It's just an example, and you should tailor it to your own firm's specific needs and requirements:

# Vetting Question	Expected Compliant Answer
1 Does your tool or underlying foundation model officially adhere to the July 2025 GPAI Code of Practice ?	Yes. The provider should confirm adherence to provide a presumption of conformity under EU AI Office standards.
2 Where is our data hosted, and are our inputs used to train your models?	Data must remain within the EEA (European Economic Area) , and inputs must be strictly excluded from model training.
3 How does your software address transparency obligations for generative text?	The tool should provide clear indicators or watermarks distinguishing AI-generated content from human text.
4 Can you provide a clear framework detailing the risk classification of your tool under the EU AI Act?	The provider must explicitly state if their tool falls under Limited/Minimal Risk or if it triggers High-Risk parameters.
5 What mechanism does the software provide to allow for human oversight and auditability ?	The system must allow users to easily review, trace, correct, or override automated summaries and outputs.

Appendix 2: Staff Compliance Quiz

This is just an example of the kind of quiz questions you could administer after each staff member watches this video. Keep their signed, passing score papers on your compliance file as your formal training audit trail. Again, it's just an example of the questions you could ask them to test their understanding of Article 4 of the EU AI Act, and you should tailor it to your own firm's specific needs and requirements:

Name of Staff Member Tested: _____

Date of Test: _____

Required Pass Score: _____ / 10

1. Under Article 4 of the EU AI Act, who holds the legal responsibility to ensure staff AI literacy?

- A) The software vendor who sells the tool.
- B) The individual employee using the tool.
- C) The law firm deploying the tool within its business.

2. When did the legal obligation for mandatory employee AI literacy become applicable under EU law?

- A) 27 July 2026.
- B) 2 February 2025.
- C) It will not come into force until 2028.

3. What is an AI "hallucination"?

- A) A system crash caused by uploading too many large documents.
- B) When an AI model generates highly realistic but completely fabricated information, such as fake case names or non-existent citations.
- C) An encrypted security protocol used to mask client personal data.

4. Is a law firm permitted to use AI systems that engage in subliminal behavioural manipulation or exploit structural vulnerabilities?

- A) Yes, provided the client signs a comprehensive liability waiver.
- B) No, these are classified as Unacceptable Risks and are subject to a strict statutory ban.
- C) Yes, but only for internal administrative and scheduling workflows.

5. What did the Digital Omnibus on AI (Regulation 2026/1744) change for small and medium-sized law practices?

- A) It removed the requirement to train staff on AI literacy.
- B) It delayed all compliance dates and prohibited categories until 2030.
- C) It slashed heavy administrative documentation overhead while keeping basic literacy and bans strictly in force.

6. What does "an appropriate level of understanding" under Article 4 mean for daily law firm operations?

- A) Every lawyer and secretary must learn how to write code and build neural networks.
- B) Your required technical literacy scales directly with how much you rely on the AI system to perform your specific job.
- C) Merely reading the software's terms of service once a year.

7. If you use an unvetted AI semantic tool to automate an e-disclosure/discovery review of 40,000 pages without human sampling audits, what is the primary risk?

- A) The tool will breach copyright law by reading the documents.
- B) The tool may fail to flag privileged data due to format or signature nuances, resulting in an inadvertent waiver of client privilege that the court may refuse to claw back.
- C) The system will automatically delete the original source files from the server.

8. Why is it dangerous to rely entirely on an unvetted browser AI extension to translate cross-border statutory text or contracts (such as a German legal annex)?

- A) AI models understand syntax but can miss highly specialized jurisdictional terminology, completely altering liability burdens (e.g., shifting fault-based to strict liability).
- B) European courts completely ban the submission of any document that has been translated by a machine.
- C) The extension will automatically leak the data to competing law firms in the same region.

9. What does the principle of "Human Oversight" mean in daily legal workflows?

- A) Allowing an enterprise AI tool to draft and send routine correspondence directly to clients to save time.
- B) A mandatory manual review and validation of all AI outputs by a qualified professional before any file leaves the office.
- C) Checking the AI tool's output registry only if a client files a formal complaint.

10. If you copy sensitive client data into a free, public consumer AI tool, what is the primary risk?

- A) Your input could be integrated into the provider's public training database, breaching confidentiality, professional privilege, and the GDPR.
- B) The software will fail to format the text into proper paragraphs.
- C) The tool will immediately notify the data protection commissioner of your entry.

Tested Staff Member's Signature: _____

Date of Test Marking: _____

Score Achieved: _____ / 10 (*Required Pass score: /10*)

Name of Principal / Compliance Partner / Head of Risk & Compliance:

Signature of Abovenamed Principal / Compliance Partner / Head of Risk & Compliance:

Appendix 3: Sample Regulatory & Insurer Compliance Cover Letter Template

This formal type document could serve as part of your firm's official audit trail. Opportunities might arise where presenting something like this may prove useful if & when needed to PI insurers or data protection regulators to formally demonstrate compliance with Article 4. Again, it's just an example, and you should tailor it to your own firm's specific needs and requirements:

[LAW FIRM / COMPANY LETTERHEAD]

Date:

To: [Name of Professional Indemnity Insurer / Regulatory Authority / Compliance Auditor]

Reference: Compliance re Article 4 AI Literacy Mandate

To Whom It May Concern,

This letter serves as formal declaration and verifiable documentation that we **[Insert Law Firm Name]** have successfully implemented and fulfilled the mandatory AI Literacy requirements enacted under Article 4 of the European Union Artificial Intelligence Act (Regulation (EU) 2024/1689), as aligned with the simplifying updates of the Digital Omnibus on AI (Regulation (EU) 2026/1744).

As a "deployer" of AI systems operating within the legal sector, our firm has established an active, role-specific educational training programme rather than relying on passive policy disclosures. On [Insert Completion Date], all practicing solicitors, partners, and legal support staff completed a comprehensive, 1-hour internal training module detailing:

1. The underlying mechanics, token prediction behaviours, and structural flaws (including hallucination vectors) of Large Language Models (LLMs);
2. The specific intersection of generative AI with GDPR compliance, client confidentiality, and data sovereignty boundaries;
3. The four-tier risk classification architecture under EU law, focusing specifically on prohibited legal tech applications and vendor alignment with the July 2025 General Purpose AI (GPAI) Code of Practice;
4. Firm-mandated protocols for absolute human oversight, data cordoning, and source document auditability.

To maintain a comprehensive compliance trail, all personnel have completed and passed a verified 10-question technical competency examination. Signed examination papers, alongside our internal "Approved AI Tool Registry," are securely maintained within our firm's risk management archives for regulatory compliance inspection.

Should your office require copies of our internal training syllabus, test samples, or software screening records, please do not hesitate to contact our designated Compliance Officer for Legal Practice.

Yours faithfully,

[Name of Principal / Compliance Partner]
[Title, e.g., Head of Risk & Compliance /
Principal / Compliance Partner]

Appendix 5: Course Takeaways

In the training video, we began & ended with this core fundamental question – in your practice, if a data breach occurs or a flawed AI output compromises a client matter, if you are the principal or compliance partner - are you in a position to answer “YES, HERE IT IS” to the following very first question the LSRA and your professional indemnity insurers will ask you for every staff member in your office.....and that question is: *'Where is the documented proof that this specific employee was trained to understand the risks of that system?'*

In summary, following this online training session, everyone should now understand:

- a. their own exact Article 4 AI Literacy obligations
- b. what is & who maintains the relevant Firm-Approved AI Tool Registry and keeps it up to date
- c. at any moment in time, who has and has not received this mandatory workforce training on Article 4 AI Literacy obligations
- d. why the office is obliged by law to maintain an active, documented record how everyone in the office was trained to understand the risks of the technology your office deploys, and
- e. how to recognise tool mechanics, navigate risks & biases, and implement human oversight.

As lawyers, you'll understand that neither this 1-hour training session, and indeed no single standalone training session, constitutes an exclusive, exhaustive, or comprehensive, definitive, final training course on Article 4 AI Literacy obligations, simply because your office's compliance file is akin to, for example, any Health & Safety Assessment – it's a living file that evolves with your practice on a daily basis, and must be similarly assessed and updated accordingly.

Hopefully this training course serves as a helpful guide, and just one of your chosen tools to ensure your office's ongoing compliance with your Article 4 obligations Under the EU AI Act going forward.

Your course takeaways, and indeed starting point from today?– In your firm, from the top down, everyone should now know themselves what they're expected to know. The bottom line, and indeed starting point, is that the principal or partners must take active measures to ensure that all personnel involved in operating, prompting, or relying on AI systems possess an appropriate level of AI literacy, a practical, hands-on competency tailored precisely to their evolving role within your firm. And if their role changes, so also does their appropriate level of required AI literacy.

At all times, on a daily basis, everyone must attain and maintain the mandated understanding of the office AI-systems' capabilities, limitations and risks, matching their own specific daily operational responsibilities within the firm.