

Analytic Risk Survey Form

This form is designed to enable Trinity personnel seeking to utilize a predictive tool to determine the level of risk associated with the tool and what kind of approval is required. Any use of a predictive tool requires approval by the Vice President over the department in which it will be used, and some tools require approval by the Compliance Committee and the Executive Planning Group (EPG). Be aware that depending on the risk level and whether approval by the Compliance Committee and EPG are required, the approval process may take 1-2 months.

Directions: Respond to the questions below and submit this form to the Vice President over your department.

I. Proposal Primary Contact:		
Department:	Position:	
II. Proposed Implementation Date:	Date Submitted:	
Purpose of the Analytic Tool (1 sentence):		
III. Possible Risks (Select "Yes" for all that apply)		
Potential Damage		
Could Trinity use the tool to exclude people from programs or services?	<input type="checkbox"/> NO	<input type="checkbox"/> YES
Could Trinity use the tool to punish or sanction people?	<input type="checkbox"/> NO	<input type="checkbox"/> YES
Might the subjects of the tool feel harmed by the outcome?	<input type="checkbox"/> NO	<input type="checkbox"/> YES
Potential for Bias		
Does the tool use data about people's demographics, behavior, or attitudes/beliefs ?	<input type="checkbox"/> NO	<input type="checkbox"/> YES
Lack of Transparency		
Are the data points used in the tool unknown or not fully disclosed to Trinity? (i.e., Is the recipe a secret sauce?)	<input type="checkbox"/> NO	<input type="checkbox"/> YES
Will the subjects of the tool be unaware of how their data is being used?	<input type="checkbox"/> NO	<input type="checkbox"/> YES
Agency		
Does the tool make recommendations that the subjects of the tool can choose whether or not to use ?	<input type="checkbox"/> NO	<input type="checkbox"/> YES
Will the tool's end users be able to access non-recommended options ?	<input type="checkbox"/> NO	<input type="checkbox"/> YES

Risk Categories:

- **High Risk:** "Yes" to any Potential Damage question
- **Medium Risk:**
 - "Yes" to the Potential for Bias question and "Yes" to either Lack of Transparency question
 - "Yes" to the Potential for Bias question and "No" to either Agency question
- **Low Risk:** "Yes" to the Potential for Bias question and "Yes" to both Agency questions
- **Negligible Risk:** "No" to all Potential Damage and Potential for Bias questions

IV. Directions: The Proposer will answer each of the following questions, attaching any supporting documents. If a question is not relevant to the proposal, write N/A. Do not leave any questions blank.

1. All Proposals: What are the benefits of implementing the tool?

[Type response here]

2. All Proposals: What are the risks of using the tool? What is the worst-case scenario that could occur if this tool were used in a way that is not consistent with Trinity's values?

[Type response here]

3. All Proposals: What is your plan for verifying that the tool produces accurate results and testing the tool before deployment?

[Type response here]

4. Low, Medium, and High-Risk Proposals: What is your plan for monitoring the outcomes of the tool, including a methodology and schedule for evaluation?

[Type response here]

5. Medium and High-Risk Proposals: Who will have access to the tool and its results? How will you ensure that only appropriate parties have access?

[Type response here]

6. Medium and High-Risk Proposals: What is your plan for training parties who have access to the tool in its appropriate use? How will this training address the potential shortcomings of the tool and how to monitor for bias?

[Type response here]

V. Vice President Approval

	Vice President: Determine the level of risk associated with the proposed tool and either approve use of the tool if the risk level is negligible or low or elevate the tool to the Compliance Committee and EPG for their approval if the risk level is medium or high.	Date Reviewed:
Risk Assessment		
<input type="checkbox"/>	Negligible Risk: “No” to all Potential Damage and Potential for Bias questions	
<input type="checkbox"/>	Low Risk: “Yes” to the Potential for Bias question and “Yes” to both Agency questions	
	Medium Risk:	
<input type="checkbox"/>	“Yes” to the Potential for Bias question and “Yes” to either Lack of Transparency question	
<input type="checkbox"/>	“Yes” to the Potential for Bias question and “No” to either Agency question	
<input type="checkbox"/>	High Risk: “Yes” to any Potential Damage question	
VP	[Enter comments here]	

VI. Compliance Committee Approval

<input type="checkbox"/>	Compliance Committee: The Compliance Committee ascertains whether any legal obligations arise from use of the tool and works with the department to develop a plan to meet them, if applicable.	Date Reviewed:
CC	[Enter comments here]	

VII. Executive Planning Group Approval

This completed form and all proposal documents have been reviewed and the proposed tool has been approved:

<input type="checkbox"/>	Executive Planning Group	Date:	<input type="checkbox"/> NO	<input type="checkbox"/> YES
EPG	[Enter comments here]			