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| **AI Use Case Risk Assessment–** This questionnaire is meant to assist staff in assessing the risk profile of an AI use case. The risk level will inform planning for the level of the risk mitigation efforts, estimated timeline for safety, quality and performance verification, and resources required. | |
| **WHAT & WHY?** | |
| 1. Describe the Congress.gov AI or ML use case being proposed, include information about what function will be enhanced or automated through AI, what improvements are expected, or what specific capability would be added? | |
| 1. What is motivating your team to introduce AI or ML into this process? (Check all that apply)   Directive from leadership.  To achieve a strategic or operational goal that is currently out of reach.  Hight volume of existing backlog of work or cases.  Improve overall quality of output or service.  Lower time of completion for an existing process (time saved)  Free up time for staff to focus on other work.  The enhancement could perform tasks that humans could not accomplish in a reasonable period of time. (scale)  Use of innovative approaches, want to try something new.  Opportunity to collaborate with internal or external partner.  Other (please specify): | |
| 1. Is the proposed enhancement in an area with an existing high degree of oversight, regulation, or litigation?   Yes ; I don’t know ;  No | 1. How will the proposed AI capability or service ultimately function?   Fully automatically with no human review or oversight.  Partially automated with review of all outputs.  Partially automated with review of a sample of outputs.  Other, describe: |
| 1. Human and AI tools both introduce error into workflows. What is the tolerance for error in this proposed use case?   Low tolerance for error ;  Some tolerance ;  High tolerance | 1. Is the capability operational in other systems internally or externally?   Yes ; I don’t know ; No ; If yes, where and what is it? |
| 1. What is the status of planning for the use case?   This is a new opportunity that we are exploring.  The use case is on a planning roadmap.  This enhancement is currently in development.  Other (please specify): | 1. What is the level of importance of the use case?   Would be nice to have.  Is a strategic investment or improvement.  Affects a critical function.  Affects a core function, only this org performs this function. |
| 1. What would the consequence of not deploying the case or enhancement be?   Service or enhancement could not be delivered at all.  Service or enhancement could not be delivered in a timely manner.  Service or enhancement costs would be too high.  Service or enhancement quality would not be as high.  Service or enhancement would not improve or meet expectations.  Other (please specify): | 1. How do you currently assure high quality outcomes or do quality review for this capability (or related task)?   We have expert staff review and written policies and/or standards for the capability.  We have expert staff review.  This is a new capability, so no review process exists yet.  None, outcomes from this workflow are not subject to review.  Other, describe: |
| 1. What is the cost or impact of mistakes or errors in this use case?   High ; Moderate ; Low | 1. Are the impacts resulting from the AI capability in the use case reversible?   Reversible ; Likely reversible ; Difficult to reverse |

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| **WHO?** | |
| 1. Who or what group will be ultimately responsible for the accuracy of the output of the AI system? Is it different than the group who will perform quality assessment and review for this use case? Please list all relevant people or groups. | |
| 1. Who are the stakeholders to include in testing, designing, developing, or acquiring support for this use case?   Impacted staff:  Impacted end users:  People depicted in data:  Organizational decision-makers:  Organizational partners:  Others: | |
| 1. If successfully implemented, could this enhancement have major impacts on staff, either in terms of their numbers or their roles?   Yes ;  I don’t know ; Maybe ; No | 1. What is the current level of skill or experience relevant staff have in AI or ML?   Highly experienced ; Moderately experienced  Novice ; Complete beginner |
| 1. Will end users directly interact with the AI or ML enhancement?   Yes ;  I don’t know ; No | 1. Are end users or those impacted by the enhancement particularly vulnerable?   Yes ;  I don’t know ; No |
| 1. Will the proposed capability create or exacerbate barriers for persons with disabilities?   Yes ;  I don’t know ; No | 1. Are there disclosure or permission-requesting requirements for using data that people are depicted in?   Yes ;  I don’t know ; No |
| 1. Will the AI enhancement impact the rights, wellbeing, or dignity of individuals?   Yes ;  I don’t know ; No | 1. Are people or groups who are potentially impacted by the proposed AI process represented in the training data set?   No ;  I don’t know ; Yes |
| **Data** | |
| 1. Will the enhancement use data that contains personal information at any point in the automated system?   Yes ;  I don’t know ; No | 1. Will the enhancement use copyrighted or otherwise restricted information at any point in the proposed AI system? Yes ;  I don’t know ; No |
| 1. Will your organization be supplying data to train, validate or fine tune the automated system? These data usually consist of machine-readable digital content with the accompanying metadata or labels at the granularity, specificity, or standard you want the model to recognize. For example, e-book files with their corresponding MARC catalog records would train a model to create MARC records from e-books.   Yes, we have it identified and ready to transfer.  Yes, but we still need to gather it.  Yes, but we don’t know how we will assemble it.  No, we will need to create training or validation data.  No, we will use a pre-trained system.  I don’t know if we have training data for this use case. Other, describe: | |
| 1. All data contains some type of bias or unbalance. Do you have a process to test or review datasets against biases or other unbalanced or unexpected outcomes?   Yes, we have a balanced dataset with documented biases for benchmarking performance.  Yes, we have expert staff review for bias and unbalanced outcomes and written policies and/or standards.  Yes, we have expert staff review.  No  Other, describe: | |