

DATA INNOVATION RISK ASSESSMENT TOOL

CHECKLIST



Rationale for the checklist: Large-scale social or behavioural data may not always contain directly identifiable personal data and/or may be derived from public sources. Nevertheless, its use could potentially cause harm to individuals.

Data use should be always assessed in light of its impact (negative or positive) on individual rights. This risk assessment tool (or checklist) outlines a set of minimum checkpoints, intended to help you to understand and minimize the risks of harms and maximize the positive impacts of a data innovation project (and is intended primarily for projects implemented within international development and humanitarian organizations).

How to use the checklist: The checklist should be considered before a new project is launched, when new sources of data or technology are being incorporated into an existing project, or when an existing project is substantially changed. In particular, this assessment should consider every stage of the project's data life cycle: data collection, data transmission, data analysis, data storage, and publication of results. If possible, the questions raised by the checklist should be considered by a diverse team comprised of the project leader as well as other subject matter experts, including – where reasonably practical – a representative of the individuals or groups of individuals who could be potentially affected. Consider consulting with data experts, data privacy experts, and legal experts so that they can assist with answering these questions and help to further mitigate potential risks, where necessary.

Note that the checklist was developed by Global Pulse as part of a more comprehensive Risk, Harms and Benefits Assessment, consisting of Two Steps: (I) Initial Assessment and (II) Comprehensive Risks, Harms and Benefits Assessment. This checklist is an Initial Assessment that should help to determine whether a more comprehensive Risk, Harms and Benefits Assessment should be conducted.

Nature of the checklist: This checklist is not a legal document, and is not based on any specific national law. It draws inspiration from international and regional frameworks concerning data privacy and data protection. The document provides only a minimum set of questions and guiding comments. The checklist and guiding comments are designed primarily as a general example for internal self-regulation. As this checklist offers only minimum guidance, you are encouraged to expand the list depending on the project's needs, risks, or specific context, or in response to the evolving data landscape.

Depending on the implementing organization (its legal status/nature) and applicable laws, the guiding principles, standards and basis for answering these questions may need to be changed.

The latest version of this checklist and the full version of the comprehensive assessment will be made available at a later stage (independently of this publication) and will be available at www.unglobalpulse.org/privacy. For more information or to provide input on the checklist, please contact dataprivacy@unglobalpulse.org. This checklist is a living document and will change over time in response to the evolving data landscape.

Instructions for completion

Please be sure to answer all of the questions by choosing at least one of the following answers: "Yes," "No," "Don't Know," or "Not Applicable." Please use the comments column to explain your decision where necessary.

For every "Not Applicable" answer, please provide an explanation in the comments. Every "Don't Know" answer should be automatically considered a risk factor that requires further consultation with a domain expert before a project is undertaken. Once you have properly consulted with an expert regarding the issue, please be sure to go back to the checklist and change your answer in the form to finalize your checklist.

A final decision based on the checklist should not be made if there is any answer marked "Don't Know."