## Complete the review checklist

The following questions are intended to guide peer reviewers through the assessment of the Algorithmic Impact Assessment and supporting documentation.

|  |  |
| --- | --- |
| **Accuracy and completeness of AIA** | |
| Have all of the questions been completed accurately? | Choose...  [provide additional comments here] |
| Does the documentation support the responses? | Choose...  [provide additional comments here] |
| Are there discrepancies from the above questions that would indicate a different impact level than what is captured?   * If so, does it change the peer review requirement? | Choose...  [provide additional comments here] |
| **Readiness to comply with the directive** | |
| Has the project prepared to meet all the requirements specific to the identified impact level? | Choose...  [provide additional comments here] |
| Will the timelines specified in the Directive be met? (e.g., publication of peer review and AIA prior to production)   * If not, has the department advised TBS of a plan to meet the requirements? | Choose...  [provide additional comments here] |
| Have the necessary consultations been planned or taken place from the concept stage? (e.g., with legal services) | Choose...  [provide additional comments here] |
| **Data quality** | |
| Has the testing and training data been assessed to ensure that it is of sufficient quality?[[1]](#footnote-2) | Choose...  [provide additional comments here] |
| Have the impacts of any remaining data quality issues been documented? | Choose...  [provide additional comments here] |
| Is data provenance well documented?   * Does the metadata capture context, history and ownership of data including sources, when and how data was collected, changes made to the data and by whom? | Choose...  [provide additional comments here] |
| Are the appropriate data governance roles, responsibilities and processes in place for the data used and generated by the system? | Choose...  [provide additional comments here] |
| Will data be managed in alignment with applicable federal, national or international standards? | Choose...  [provide additional comments here] |
| Are methods and decisions on data labelling, sampling, and collection appropriate? | Choose...  [provide additional comments here] |
| **Fairness** | |
| Have the appropriate internal and external stakeholders been engaged?   * Has feedback been addressed? | Choose...  [provide additional comments here] |
| Is the training and testing data representative of the clients being served? | Choose...  [provide additional comments here] |
| Is evidence of bias testing sufficient? | Choose...  [provide additional comments here] |
| Has the model been assessed for performance across different population groups? | Choose...  [provide additional comments here] |
| Are there mechanisms in place to monitor and address unfair outcomes or biases over time? | Choose...  [provide additional comments here] |
| Has the system been assessed to understand whether it would create barriers for persons with disabilities?   * If barriers have been identified, have measures to remove or address them been put in place? | Choose...  [provide additional comments here] |
| Does the Gender-Based Analysis Plus address how the system may impact different population groups? | Choose...  [provide additional comments here] |
| Will the department be able to provide a meaningful explanation of how and why a decision was made to the client?[[2]](#footnote-3) | Choose...  [provide additional comments here] |
| Are recourse options available for the client? | Choose...  [provide additional comments here] |
| **Privacy** | |
| Is personal information being collected and used in accordance with the Privacy Act and its related instruments? This could include:   * consultations with privacy officials * competition of a privacy notice statement * preparation or updating of a personal information bank * establishment of an information sharing agreement | Choose...  [provide additional comments here] |
| Has a privacy impact assessment been completed or is there one underway? | Choose...  [provide additional comments here] |
| Have privacy safeguarding initiatives been undertaken? This could include:   * data minimization * de-identification * anonymization * use of synthetic data | Choose...  [provide additional comments here] |
| Is there a plan to regularly review and update privacy deliverables and processes? | Choose...  [provide additional comments here] |
| **Security** | |
| Has the department undertaken a security assessment and authorization? | Choose...  [provide additional comments here] |
| Has an interim or full authority to operate (ATO) been issued? | Choose...  [provide additional comments here] |
| Is there a process to document and respond to cyber security events and incidents that aligns with the GC Cyber Security Event Management Plan? | Choose...  [provide additional comments here] |
| **Model development** | |
| Has model development been sufficiently documented? | Choose...  [provide additional comments here] |
| Does the evidence indicate that the selection of proxies and features is appropriate for the intended use? | Choose...  [provide additional comments here] |
| Have appropriate model evaluation and performance measurement metrics been chosen? | Choose...  [provide additional comments here] |
| Does the system perform at an acceptable level to meet client and operational needs? | Choose...  [provide additional comments here] |
| Has the model been compared to any similar ones in terms of benefits and drawbacks? | Choose...  [provide additional comments here] |
| **Risk management** | |
| Have risks been measured and accounted for at different stages of the system lifecycle? | Choose...  [provide additional comments here] |
| Have short and long-term harms been considered? | Choose...  [provide additional comments here] |
| Has the department adequately considered whether the benefits of the system exceed potential harms? | Choose...  [provide additional comments here] |
| Has feedback from consultations and prior reviews been incorporated? | Choose...  [provide additional comments here] |
| Does the project indicate alignment with the [GC Framework for the Management of Risk](https://www.tbs-sct.canada.ca/pol/doc-eng.aspx?id=19422), [Guide to Integrated Risk Management](https://www.canada.ca/en/treasury-board-secretariat/corporate/risk-management/guide-integrated-risk-management.html) or other similar instruments? | Choose...  [provide additional comments here] |
| **Governance** | |
| Has a clear accountability framework been developed to communicate roles and responsibilities, decision-making authorities and performance monitoring? (e.g., how often performance reports will be developed and by whom) | Choose...  [provide additional comments here] |
| Have specific human intervention points been identified during operation and monitoring? | Choose...  [provide additional comments here] |
| Has the department established an information management approach to document model versioning and decisions about the system? | Choose...  [provide additional comments here] |
| **Operational readiness** | |
| Is implementation monitoring in place to ensure the system continues to operate as expected? | Choose...  [provide additional comments here] |
| Will information on effectiveness and efficiency of the system in meeting program objectives be published? | Choose...  [provide additional comments here] |
| Will the system be updated regularly based on performance or user feedback? | Choose...  [provide additional comments here] |
| Is there evidence to support that the system has been adequately stress tested? (e.g., handling large request volumes without significant degradation in functionality) | Choose...  [provide additional comments here] |
| Has a decommissioning approach been incorporated into the product lifecycle? | Choose...  [provide additional comments here] |
| Has the department made training and documentation available to support employees in using the tools and outputs responsibly? | Choose...  [provide additional comments here] |
| Has the department identified system limitations that will be communicated to users? | Choose...  [provide additional comments here] |
| Has an approach been developed to communicate the use of these tools to impacted clients? | Choose...  [provide additional comments here] |

1. Refer to the [GC Guidance on Data Quality](https://www.canada.ca/en/government/system/digital-government/digital-government-innovations/information-management/guidance-data-quality.html) for dimensions of data quality. [↑](#footnote-ref-2)
2. This seeks to determine whether risks to procedural fairness are appropriately mitigated and may include evidence of model choice or audit trails to support explainability of system outputs and availability of recourse options.  [↑](#footnote-ref-3)