# Information and records AI Checklist

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| **Submitted by** |  |
| **Submitted to** |  |
| **Project Name** |  |
| **Date Submitted** |  |

## 1. New concept to explore

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| 1.1 - Purpose | |
| Questions/steps | Considerations |
| Describe the problem the AI is trying to solve |  |
| The scale of the problem, inequities, how many people it impacts |  |
| The impact for Māori, and current solutions/management | Link to the standard -Te Tiriti o Waitangi/The Treaty of Waitangi –  The standard supports the rights of Māori, under the Treaty of Waitangi/Te Tiriti o Waitangi to access, use and reuse information and records that are taonga. Organisations should ensure that information and records about Māori are accessible. |
| Digital Public Service  [public sector system leaders’ guidance for use of generative AI (Gen-AI)](https://www.digital.govt.nz/standards-and-guidance/technology-and-architecture/interim-generative-ai-guidance-for-the-public-service/managing-the-risks-of-genai-to-the-public-service/)  Te Tiriti o Waitangi, & Data Sovereignty  *Digital.govt.nz – about Māori Data*  [Māori Data Sovereignty Network](https://www.temanararaunga.maori.nz/) |
| Why is AI appropriate in addressing this problem? |  |
| Describe the context/ settings in which the AI will be used | AI & Public Records considerations-  Record evidence of what the AI application will be used for and how it will be used |
| Link to standard - Principle 2 – Information and records management supports business.  2.3 – Information and records management must be design components of all systems and service environments where high risk/ high value business is undertaken (e.g. document and maintain systems design and configuration). |

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| 1.2 – Describe the use of AI in practice | |
| Questions/ steps | Considerations |
| How would the use of the AI fit into **[your business]** workflow? | AI & Public Records considerations-  Record evidence of what the AI application will be used for and how it will be used |
| Link to standard - Principle 2 – Information and records management supports business.  2.3 – (as above) |
| Describe the operational input of data into the AI and the outputs |  |
| Are there likely to be any concerns or barriers to safe use by **[your business]** /staff?  Can these be mitigated? Will staff training be needed? | Link to standard – Principle 1 – Organisations are responsible for managing information and records.  1.6 – Staff and contractors must understand the information and records responsibilities of their role. They must understand relevant policies and procedures.  1.7– Information and records management responsibilities must be identified and addressed in all outsourced and service contracts, instruments and arrangements. |
| What human oversight is needed in relation to the operation of AI and the output? | Link to standard - Principle 1 – Organisations are responsible for managing information and records  1.2 – Information and records management must be the responsibility of senior management. Senior management must provide direction and support to meet business requirements as well as relevant laws and regulations  1.3 – Responsibility for the oversight of information and records management must be allocated to a designated role (the Executive Sponsor). |
| Where will accountability lie for the decisions to AI and the proper management of the output? | Link to standard - Principle 1 – Organisations are responsible for managing information and records  Sections 1.2 and 1.3 (as above) |
| Are the records about the use of AI and its outputs covered by existing disposal authorisation?  Can the records about the use of AI and its outputs be captured in disposal implementation plans and information asset registers? | Link to standard - Principle 3: Information and records are well managed  3.6 Information and records must be kept for as long as needed for business, legal and accountability requirements.  Ensure policies, business rules and procedures identify how the disposal of information and records is managed.  Ensure information and records are sentenced (a decision is made about whether to keep, destroy or transfer them).  Dispose of information and records regularly, and in line with authorised disposal authorities.  Transfer information and records of archival value to Archives New Zealand, or to an approved repository, or to a local authority archive (when authorised).  3.7 Information and records must be systematically disposed of when authorised and legally appropriate to do so.  Ensure policies, business rules and procedures set out how to manage the disposal of information and records (including metadata).  Ensure disposal is in line with authorised disposal authorities.  Document any disposal of information and records. |

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| 1.3 Describe the development process | |
| Questions/ steps | Considerations |
| Describe your development, configuration and procurement processes, including any ethical principles underpinning design and development. | Link to standard - Principle 1 - Organisations are responsible for managing information and records  1.5 - Business owners and business units must be responsible for ensuring that information and records management is integrated into business processes, systems and services.  Principle 2 – Information and records management supports business.  2.3 – Information and records management must be design components of all systems and service environments where high risk/ high value business is undertaken (e.g. document and maintain systems design and configuration). |

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| 1.4 Describe the team | |
| Questions/ steps | Considerations |
| Who is designing, developing, and procuring the AI within your organisations (including both internal and vendor/ supplier) | Link to standard - Principle 1 – Organisations are responsible for managing information and records.  1.7 - – Information and records management responsibilities must be identified and addressed in all outsourced and service contracts, instruments, and arrangements. |
| Do they have the necessary knowledge and expertise? |
| What is their relationship (if any) with **[your organisation]**, e.g., internal staff or contractor? |

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| 1.5 Describe the engagement of consumers and their perspectives –This applies to both internal and external vendor/supplier | |
| Questions/ steps | Considerations |
| How have consumers been engaged with in the design/development of AI? | Principle 2 – Information and records management supports business.  2.3 – Information and records management must be design components of all systems and service environments where high risk/ high value business is undertaken (e.g. document and maintain systems design and configuration). |
| What evidence is there that the use of AI in this context will be acceptable to the consumers? |
| What are the potential risks and benefits to consumers? |

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| 1.6 Describe Māori engagement and perspectives | |
| Questions/ steps | Considerations |
| How will you engage with Māori stakeholders in the process? | Link to standard - Te Tiriti o Waitangi/The Treaty of Waitangi  The standard supports the rights of Māori, under the Treaty of Waitangi/Te Tiriti o Waitangi to access, use and reuse information and records that are taonga. Organisations should ensure that information and records about Māori are accessible. |
| Te Tiriti o Waitangi partnership, & Data Sovereignty -  Digital.govt.nz – about Māori Data  Te Mana Raunga – [Māori Data Sovereignty Network](https://www.temanararaunga.maori.nz/) |
| How will/have Māori perspectives be/been imbedded in design/development/ testing/ implementation? |

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| 1.7 Equity and fairness issues and mitigations | |
| Questions/ steps | Considerations |
| Are there likely to be any issues arising from the use of this AI for any specific groups?  If so, how will these be mitigated? | AI & Public Records considerations-  Record evidence of what the AI application will be used for and how it will be used |
| What is your approach to identifying and addressing bias in the AI? | Link to standard - Principle 3: Information and records are well managed.  Effective management underpins trustworthy information and records are accessible, usable, shareable and maintained  This management extends to information and records in all formats (and associated metadata), business environments, types of systems and locations.  3.2 – Information and records must be reliable and trustworthy |

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| 1.8 Other approvals | |
| Questions/ steps | Considerations |
| Are there any other ethical considerations that require approval? |  |
| Are there likely to be any privacy or security issues that require approvals? | (Privacy Act 2020) |

## 2. At the point of requesting access to data for pre-processing or model development

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| 2.1 Describe the development process | |
| Questions/ steps | Considerations |
| Describe training data and its representativeness and suitability.  Is the Data to be used of sufficient scale and quality? | AI & Public Records considerations-  Record evidence of what the AI application or system is and how it was used |
| Link to the standard – Principle 3. Information and records are well managed  Effective management underpins trustworthy and reliable information and records that are accessible, usable, shareable and maintained.  This management extends to information and records in all formats (and associated metadata), business environments, types of systems and locations.  3.2 – Information and records must be reliable and trustworthy |

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| 2.2 Describe the AI algorithm/model | |
| Questions/ steps | Considerations |
| How will the AI been tested and validated? | AI & Public Records considerations-  Record evidence of what the AI application or system is and how it was used |
| What data has it been tested with? |
| What were the outcomes of any testing/validation already conducted? |
| Was it tested for bias? | Link to the standard – Principle 3. Information and records are well managed (as above)  3.1 – Information and records must be routinely created and managed as a part of normal business practice…Identify, resolve and document any exceptions to normal business processes that affect information integrity, usability or accessibility  3.2 – Information and records must be reliable and trustworthy |
| Does it need to be further validated with data from  **[your business]?** |
| What is the availability of the necessary data for further validation in our system, if known? |

## 3. At the point of validation or implementation

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| 3.1 Describe the implementation plan | |
| Questions/ steps | Considerations |
| Is there a change management plan for implementation of the AI in practice? | Link to standard - Principle 1 – Organisations are responsible for managing information and records.  1.6 – Staff and contractors must understand the information and records responsibilities of their role. They must understand relevant policies and procedures.  1.7– Information and records management responsibilities must be identified and addressed in all outsourced and service contracts, instruments, and arrangements. |
| Is there a communications and training plan for implementation of the AI in practice? |

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| 3.2 Describe the monitoring and audit plan | |
| Questions/ steps | Considerations |
| Describe the monitoring and audit plan | Link to standard - Principle 1 – Organisations are responsible for managing information and records.  1*.*6 – Staff and contractors must understand the information and records responsibilities of their role. They must understand relevant policies and procedures.  1.8 Information and records management must be monitored and reviewed to ensure that it is accurately performed and meets business needs. |
| Outline roles and responsibilities for this |
| Will the AI be retrained? | If the AI is retrained, re-visit considerations outlined in this checklist and ensure that key information is recorded. |

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| **Sign off/ Approved by** |  |
| **Name/ Role** |  |
| **Date** |  |
| **Signature** |  |



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## References

**Some resources to assist in answering the questions above as needed.**

Archives New Zealand guidance- [Artificial Intelligence and Public Records](https://www.temanararaunga.maori.nz/tutohinga)

Archives New Zealand – [Information and records management standard](https://www.archives.govt.nz/manage-information/how-to-manage-your-information/key-obligations-and-the-standard/information-and-records-management-standard)

Māori Data Sovereignty - [Charter and principles](http://ttps:/www.temanararaunga.maori.nz/tutohinga)

Digital.govt.nz - [Managing the risks of GenAI and the Public Service](https://www.digital.govt.nz/standards-and-guidance/technology-and-architecture/interim-generative-ai-guidance-for-the-public-service/managing-the-risks-of-genai-to-the-public-service/)

Trustworthy AI in Aotearoa: [AI Principles 2020](https://aiforum.org.nz/wp-content/uploads/2020/03/Trustworthy-AI-in-Aotearoa-March-2020.pdf)

Statistics NZ - [Algorithm Charter for Aotearoa New Zealand](https://data.govt.nz/toolkit/data-ethics/government-algorithm-transparency-and-accountability/algorithm-charter/)

Privacy Commissioner and Stats NZ - [Principles for the Safe and Effective Use of Data and Analytics](https://www.stats.govt.nz/assets/Uploads/Data-leadership-fact-sheets/Principles-safe-and-effective-data-and-analytics-May-2018.pdf)

Privacy Commissioner’s [expectations around AI & its use](https://www.privacy.org.nz/news/media-releases/privacy-commissioner-outlines-expectations-around-ai-use/)

Ngā Tikanga Paihere: [a framework guiding ethical and culturally appropriate data use](https://data.govt.nz/assets/data-ethics/Nga-Tikanga/Nga-Tikanga-Paihere-Guidelines-December-2020.pdf#:~:text=Ng%C4%81%20Tikanga%20Paihere%20is%20a%20framework%20and%20tool,%E2%80%A2%20ensures%20data%20practices%20occur%20in%20good%20faith.)