

Part I: Planning and designing a model that serves the public good

What is the question you are trying to answer?

- After considering the purpose and context of this work, the chosen approach is appropriate and warranted.
- Time has been put aside to regularly assess aims and return to your question.
- Any foreseen tensions between aims and uncontrollable factors have been clearly communicated and are expected.

What is the user need?

- A range of users have been engaged with and their requirements have been considered.

What ethical and legal issues do you need to consider?

- For models using personal data. The data subject's identity (whether person or organisation) is protected, information is kept confidential and secure, and the issue of consent is considered appropriately. No data subject should be unfairly disadvantaged by the model.
- The model and data used in the model are consistent with legal requirements such as [Data Protection Legislation](#), the [Human Rights Act 1998](#), the [Statistics Registration and Service Act 2007](#) and the [common law duty of confidence](#).
- When working with data you are clear what legal role you have in its use and comply with the requirements under the [GDPR](#).
- Safeguards have been put in place to allow checks for model fairness.

Are the roles and responsibilities clear?

- A clear chain of model accountability has been established with clear roles and responsibilities at every level, including the role of the senior leader.

If the developing and implementing teams are the same:

- There is clarity of roles and sufficient resilience and skill within the team to build and manage the ongoing maintenance of the model

If the developing and implementing teams are different:

- Handover of knowledge, risks and limitations is given full priority when it is needed, and the skills needed to maintain the model are considered prior to handover.

Does your team have the right skills?

The team:

- has the knowledge and skills needed to develop the model (if appropriate).
- has the knowledge and skills needed to manage and maintain the model.
- has the knowledge and skills needed to successfully communicate the model and its outputs.
- has access to continuous development and learning.
- The benefits of building capability beyond the current work have been considered.

Is resource sufficiently prioritised?

- The amount of resource required to implement the model has been estimated.
- The benefits outweigh the investment in resources to set it up and maintain.
- The required resource can be allocated to meet the project aims.
- Any reprioritisation required has been communicated.

Part II: Developing and using a model that serves the public good

Is there data of suitable quality?

- It is known where the data came from, how it was collected and any limitations it has.
- Data suppliers and operational staff know how the data will be used and the level of quality required.
- Methods used to clean data have been made clear.
- Any limitations and inequalities that exist in the data are clearly communicated and their implications discussed.

What is the right type of model?

- Reasons for model selection have been made clear.
- Any limitations and inequalities that exist in the model design are clearly communicated and their implications discussed.
- The users' needs for model explainability are known.
- It is known how the model is reaching its outcome or decision, and the result is reproducible.

OR

- If the model cannot be fully explained, the model is interpretable and fully quality assured.
- It is clear how changes to the inputs affect the outputs.
- It is clear to users that the model cannot be fully explained and reasons have been given as to why.

Are there opportunities for collaboration?

- Methods have been exposed to a wide professional audience to ensure appropriateness and opportunity for independent challenge.
- Similar models have been sought and/or considered to avoid duplication of effort.

Is the model clear and accessible?

- The documentation is sufficient to allow all types of users to understand the model and statistics or data produced.
- The model code, data and documentation have been made available and accessible to all (where appropriate).
- If the model code and/or outputs cannot be made available and accessible to all, an explanation has been given as to why.

How will model quality and performance be measured?

- Quality criteria used is clear and suitable to test model performance.
- The quality assurance process has been fully explained (including data used).
- The model has been assessed against the groupings that will be affected by the output and those of interest to the public.
- There is sufficient human oversight to consider the risks and impacts of the outputs from a social perspective.
- It is clear how the output from the model can be challenged and time is allowed for this process to happen.