

# Position and Experience

- Can you tell me more about you, your role at your company, and your academic and professional background?
  - Which AI stakeholder group most closely captures your role in this project?
    - What is your role or main focus? (e.g., leaders, designers, developers, deployers, end-users, and impacted communities, etc.)
    - Can you tell me a little bit about your role in the project?
  - How many years of experience do you have working with AI systems as a leader / developer / deployer / etc.?
  - What was the purpose of the AI system?
  - What is your impression of how AI is currently governed in your organization?
    - By this, I mean how is it decided what to build?
    - How to build an AI system?
    - How to evaluate an AI system?
    - Who has oversight?
    - Who takes accountability when something goes wrong?
  - In what ways can your organization improve its governance of the technology?

Here is the pre-reading document that was sent to you prior to the interview.

## ☰ Pre-Interview Reading Material

- Did you have the chance to read the document?
  - Do you have any questions?

# General Questions

**Note: these questions are asked to every participant in every stage of the AI lifecycle.**

**Note: we customized the protocol based on the people we were interviewing, and the project we were talking about. For example, if we were interviewing a less technical stakeholder, we would further define terms such as “Value Proposition” within the context of the specific project.**

- What do you think are the **key questions** someone in your role as a <stakeholder group> should consider at <stage of AI lifecycle>?
- How would you **describe** the responsibility assigned to your role as a <stakeholder group> in <stage of AI lifecycle> for <project name>?
  - What specific tools or processes did you use to discharge your responsibilities?
    - Are there any other tools or processes that you know of that you could use to discharge your responsibilities?
- How do you think responsibilities should be allocated to different stakeholder groups at <stage of AI lifecycle>?

- How would you change what was done in <stage of AI lifecycle> for <project name>?
- Who do you think should do the work in <stage of AI lifecycle>?
- Who do you think should take ownership of any of the key decisions made in <stage of AI lifecycle>?
- Who do you think should be involved in <stage of AI lifecycle>?

## (Stakeholder, Stage)-Specific Questions

A “Main Question” is asked if they are not already touched upon by the participant in the answers to the above questions. A “Follow-up and Optional Question” is asked if time permits.

### Value Proposition and Problem Formulation

#### Leaders

- Main Question: Did you formally assess the value of this AI system?
- Follow-up and Optional Questions
  - If yes, can you describe that process?
- Main Question: In deciding to move forward with this AI system, can you describe some of the benefits and risks you considered (or will consider)?
- Follow-up and Optional Questions
  - Did you consider the technical feasibility and resources required for the AI system?
    - If yes → what aspects did you consider?
  - What are some non-AI alternatives that you considered?
  - Which stakeholders did you talk to during value proposition and problem formulation?
    - How did you take their opinion into account?
  - Did you consider how the AI system would fit into existing organizational contexts and existing practices?
    - If yes → what aspects did you consider?
- Main Question: Can you describe how you have documented all the processes in value proposition and problem formulation?
- Follow-up and Optional Questions
  - What was the purpose?
  - What impact did you expect?
  - How did (will) you assess this impact?
  - How did (will) you consider risks and benefits?
  - Why did you decide to begin to work on an AI system for homelessness?
  - Did you decide that the AI system provides a net benefit?
    - If yes, how did you come to this conclusion?

## Designers

- Main Question: Please describe how the real-world problem that the AI system addresses was explored, understood, and documented.
- Main Question: How did you translate the real-world problem into an AI problem?

## Data Collection and Processing

### Leaders

- Main Question: Can you describe how you determined what your data needs and requirements were / are for the AI system?
- Main Question: Can you describe how you assess whether the data use is complying with legal, regulatory, and ethical requirements?
- Main Question: Can you describe your plan to respond to any data breaches or unauthorized use of the data?
- Main Question: Can you describe how you decided who the data will be made accessible to others and to what extent?
- Main Question: How do you (plan to) assess the suitability of the data sources used to create this AI system?
- Follow-up and Optional Questions
  - What data sources do you use for this model?
    - How did you decide which data sources to use for this project?
    - Was any data collected specifically collected for the purpose of this AI system?
  - Can you describe if there are any data quality checks in place?
    - Why are the tools you use the ones you use?
  - What processes are in place to store, update, and use datasets?

### Designers

- Main Question: Can you describe how you determine whether the data you have is suitable for the problem at hand?
- Main Question: Describe how the data was stored, maintained, and updated and why you made those decisions.
  - Who was storing, maintaining, and updating the data?
- Main Question: Which stakeholders did you talk to during data collection and processing?
- Follow-up and Optional Questions
  - How did you take their opinion into account?
- Main Question: How have you documented all the processes in data collection and processing?
- Follow-up and optional questions
  - How do you determine if and when you will need to acquire additional data sources?

- If yes, what is this process?
- What are the tradeoffs that are explored in this process?
- Can the model lead to data drift?
  - If yes, how do you plan on addressing this?

## Developers

- Main Question: Can you describe how you determined what your data needs and requirements were / are for the AI system?
- Main Question: Are there specific measures or metrics you use to assess data quality? And can you describe how you chose them?
- Follow-up and Optional Questions
  - Do you look at the representativeness of different groups?
    - If yes, what groups do you look at?
  - Why do you believe that there is a causal relationship between your data and the target of prediction?
- Main Question: What data cleaning and engineering processes did you use?
- Follow-up and Optional Questions
  - Why did you choose to use these processes?
  - How did you handle missing values?
  - How did you handle outliers?
  - How did you handle redundant instances?

## Statistical Modeling

### Developers

- Main Question: Describe how you processed the data and why you made those decisions.
- Main Question: Can you describe the process you used to select the metrics to evaluate your model on?
- Main Question: Describe how the development team chose the model and related training procedures?
- Main Question: Which stakeholders did you talk to during statistical modeling?
- Follow-up and Optional Questions
  - How did you take their opinion into account?
- Main Question: How have you documented all the processes in statistical modeling?
- Follow-up and Optional Questions
  - Why did you choose the model you chose?
    - Why not a different model (maybe one that is more interpretable)?
  - How did you train your model?
  - What is the objective function of the model?
  - How much improvement over existing benchmarks does the AI system perform?
  - How does the model perform across different groups?

- How do you measure performance?
- Why do you choose to measure performance in this way?
- How generalizable is the model?
  - How did you measure generalizability?
  - Why did you choose to measure generalizability in this way?

## Testing and Validation

### Developers

- Main Question: Can you describe what metrics and measures you use to evaluate the trained model in real-world contexts?
- Follow-up and Optional Questions
  - How did you decide to use those metrics?

### Deployers

- Main Question: Can you describe how you determine who benefits and who is harmed by the AI system in real-world usage?
- Main Question: Which stakeholders did you talk to during testing and validation?
- Follow-up and Optional Questions
  - How did you choose those stakeholders?
  - How did you take their opinion into account?
- Main Question: How have you documented all the processes in testing and validation?

## Deployment and Monitoring

### Leaders

- Main Question: How much improvement over existing baselines does the AI system perform?
- Follow-up and Optional Questions
  - What are the existing baselines?
  - How do you measure improvement?
    - Why did you choose to measure improvement this way?
- Main Question: Can you describe how you ensure that someone is accountable for monitoring the AI system?
- Follow-up and Optional Questions
  - Who is monitoring the AI system?
  - What would cause you to shut the AI system down?
  - How do you track and manage incidents involving this AI system?
  - How are impact assessments performed?
    - How often are they performed?
  - What are the risk thresholds that are in place?

## Designers

- Main Question: Can you describe how you design and document the integration of the new AI system into larger workflows and systems?
- Main Question: Can you describe the guidance you provided to the end-user about how to use the AI system?
- Follow-up and Optional Questions
  - Is the documentation stored anywhere?
  - How is the output of your model used?
    - Why do you choose to use the output in this way?
  - How do you measure the success of your model / the model-human collaboration?
    - What are the criteria that define success?
    - Why do you choose to measure success in the way that you measure it?

## Deployers

- Main Question: Based on the evaluations you did, can you describe how you determined that this model can be moved to the stage of deployment?
- Follow-up and Optional Questions
  - Were you in the rollout plan (e.g. staged rollout)?
  - How did you train the end-users to use the model?
- Main Question: What was your process for ensuring compliance with relevant regulatory requirements?
- Main Question: Can you describe how you are monitoring the performance of the model?
- Follow-up and optional questions
  - What metrics are you using?
    - Why are you using these metrics?
    - Can you describe how you chose these metrics?
  - How do you know when to update the model?
- Main Question: Can you describe the primary, secondary, and unintended uses of the model? How did you consider them during model deployment?
- Main Question: How do you know when to roll back the model?
- Main Question: How do you decide how much of the methodology, datasets, code, and impact measurements can be made publicly available?
- Main Question: Which stakeholders did you talk to during deployment and monitoring?
- Follow-up and Optional Questions
  - How did you take their opinion into account?
- Main Question: How have you documented all the processes in deployment and monitoring?

## End-Users

- Main Question: How do you use the output of the model to make a decision?

- Follow-up and Optional Questions
  - Can you describe how the model integrates into your daily workflow?
  - Were you involved in the design, field-testing and trial-runs surrounding the model? If so, how?

## Impacted Communities

**Note: Impacted community members may have less familiarity with the model; thus, we ask the following questions that are not specific to any stage of the AI lifecycle.**

### General Questions

- Main Question: How do you think this model can impact you?
- Main Question: What role do you play in assessing the impact of the model in your community?
- Follow-up and Optional Questions
  - How can you provide input about the model to <your organization>?