Sample Online AI Control Plan

LIMRA and LOMA AI Governance Group

LIMRA LOMA

Navigate With Confidence

Sample Online AI Control Plan

_____'s AI governance and usage policy ("Policy") requires that requestors of certain AI systems or predictive models submit a control plan as part of the AI request process. The purpose of the control plan is to give the requestor, who has ultimate responsibility for the AI system or predictive model according to the Policy, the opportunity to create a plan for avoiding or mitigating any potentially negative impacts on the _____'s members or workers. Additionally, the control plan provides the requestor with an opportunity to establish a standard for measuring the value of the proposed AI system or predictive model in the future by providing a benchmark for identifying strengths, weaknesses, and opportunities created by the AI system or predictive model and the requestor's use.

Please complete the questions below using the provided space. For further information, please see the Policy on our company-specific site or contact vendor management at _____.

I.   Please list the name of the AI system or predictive model below.

II.   Is the AI system or predictive model provided by a third-party?
      Yes   No

III. Is there currently a contract governing the relationship between _____ and the third party?

IV.   Give a brief description of the AI system or predictive model.

V.   Provide a description of the anticipated use case(s) for the AI system or predictive model.

VI.   Provide a description of the nature of the decisions being made, informed, or supported by the AI system or predictive model.

VII.   Provide a description of the extent to which   will rely on those decisions and the extent to which humans will be involved in the decision-making process.

VIII.   Will there be any Personal Information (PI) of members or workers input into the AI system or predictive model?

IX.   If PI is input into the AI system or predictive model, please list what kind of PI will be used.

X.   If PI is input into the AI system or predictive model, please list whether there is a potential for an adverse consumer or worker impact, as defined in the Policy.

XI.   If the AI system or predictive model does not have access to consumer or worker PI, is there still a possibility for a consumer or worker impact based on a consumer's or worker's interaction with the product (e.g., interactive chatbot on public website giving bad advice)?

XII. Is the information accessed or created by the AI system or predictive model internal and available only to
, or is it shared with the vendor or another third party?

XIII. Is the information entered into the AI system or predictive model used to train the vendor's model?

XIV. Please note any additional pertinent information not described above.

CONTROL PLAN: LIFE INSURANCE INSIGHT ANALYZER

Using the answers listed above, please complete the narrative control plan. The control plan should describe in detail the concerns and actionable steps the requestor will take to audit usage of the AI system or predictive model and ensure compliance with the Policy. The control plan should be periodically reviewed and updated as necessary.

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