

BROKEN LOOP DIAGNOSTIC

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THIS DIAGNOSTIC DOES NOT PROVE MOTIVE.
IT TESTS CONTROL.

Full Worksheet // A field artifact for testing whether human oversight, automation, and contestability still preserve meaningful control.

01 IDENTIFY Start with the Quick Diagnostic. Name the workflow, consequence, and risk tier.	02 TEST If any result is No or Unclear, run the Full Worksheet and gather evidence.	03 DECIDE Complete the Diagnostic Finding Sheet. Assign actions, owners, and review date.
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01 WORKFLOW IDENTIFICATION

WORKFLOW NAME	WORKFLOW OWNER
SYSTEM / TOOL INVOLVED	HUMAN ROLE INVOLVED
AUTOMATED ROLE INVOLVED	AFFECTED PARTY
DATE REVIEWED	
RISK TIER ☐ Low ☐ Medium ☐ High	CONSEQUENCE TYPE ☐ Draft ☐ Recommendation ☐ Routing ☐ Record change ☐ Communication ☐ Denial ☐ Enforcement ☐ Financial ☐ Rights-affecting ☐ Other

02 STATUS LEGEND

PRESENT / YES Function is assigned, reachable, evidenced, and usable.	WEAK Exists but is delayed, narrow, informal, overloaded, or hard to use.	MISSING / NO No practical actor, authority, path, or repair function is available.	UNCLEAR Evidence is insufficient. Treat as risk until verified.
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LOCATE CONTROL VERBS

Phase 01 // Locate actors, authority, and evidence for each control function.

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03A CONTROL VERB LOCATION TABLE

Part 1 of 2. Missing or unclear verbs move the workflow into the full diagnostic path.

VERB	WHAT IT MEANS	WHO HOLDS IT?	AUTHORITY / EVIDENCE	STATUS
STOP	Pause or halt action before consequence			☐ Present ☐ Weak ☐ Missing ☐ Unclear
REVERSE	Undo the action or outcome			☐ Present ☐ Weak ☐ Missing ☐ Unclear
AMEND	Correct a record, classification, output, or decision			☐ Present ☐ Weak ☐ Missing ☐ Unclear
COMPENSATE	Remedy material, procedural, financial, access, reputational, or rights-affecting harm where applicable			☐ Present ☐ Weak ☐ Missing ☐ Unclear

Compensate clarification: compensate means remedying material, procedural, financial, access, reputational, or rights-affecting harm where applicable. It is not limited to money.

LOCATE CONTROL VERBS

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Phase 01 continued // Complete the verb-location test before interpreting the break mode.

03B CONTROL VERB LOCATION TABLE

Part 2 of 2. Evidence should identify who can act, where authority sits, and whether the function is usable.

VERB	WHAT IT MEANS	WHO HOLDS IT?	AUTHORITY / EVIDENCE	STATUS
REFUSE	Reject, narrow, or block the system recommendation/action			☐ Present ☐ Weak ☐ Missing ☐ Unclear
ESCALATE	Move uncertainty or exception to authority			☐ Present ☐ Weak ☐ Missing ☐ Unclear
VERIFY	Check result against independent criteria or evidence			☐ Present ☐ Weak ☐ Missing ☐ Unclear
OWN	Carry explanation, repair, closure, and recurrence prevention			☐ Present ☐ Weak ☐ Missing ☐ Unclear

VERB-LOCATION EVIDENCE NOTES

IDENTIFY BREAK MODE

Phase 01 // Test inclusion without control.

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04 INCLUSION WITHOUT CONTROL

Complete this section if a human remains in the workflow.

WHAT DOES THE HUMAN ACTUALLY SEE?

WHAT DOES THE HUMAN NOT SEE?

FUNCTION	QUESTION	STATUS	EVIDENCE PROMPT
Review before consequence	Review happens before consequence?	☐ Yes ☐ No ☐ Unclear	
Refusal authority	Human can refuse?	☐ Yes ☐ No ☐ Unclear	
Repair authority	Human can reverse or amend?	☐ Yes ☐ No ☐ Unclear	
Escalation authority	Human can escalate uncertainty?	☐ Yes ☐ No ☐ Unclear	
Incentive check	Careful refusal is rewarded, not punished?	☐ Yes ☐ No ☐ Unclear	
Responsibility mismatch	Human responsible for system they cannot control?	☐ Yes ☐ No ☐ Unclear	
NO CLEAR BREAK	POSSIBLE	LIKELY	CONFIRMED

EVIDENCE PROMPTING THIS BREAK-MODE RESULT

IDENTIFY BREAK MODE

Phase 01 continued // Test removal without rebuilt contestability.

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05 REMOVAL WITHOUT REBUILT CONTESTABILITY

Complete this section if a human checkpoint has been removed, reduced, bypassed, or moved downstream.

WHAT HUMAN FUNCTION WAS REMOVED? 	WHY WAS IT REMOVED?
WHAT IMPROVED AFTER REMOVAL? 	WHAT NEW RISK APPEARED?
WHERE IS REFUSAL REBUILT? 	WHERE IS VERIFICATION REBUILT?
WHERE IS APPEAL REBUILT? 	WHERE IS ROLLBACK REBUILT?
WHERE IS REPAIR OWNERSHIP ASSIGNED? 	

FUNCTION	QUESTION	STATUS	EVIDENCE PROMPT
Affected-party challenge	Affected party can challenge outcome?	☐ Yes ☐ No ☐ Unclear	
NO CLEAR BREAK	POSSIBLE	LIKELY	CONFIRMED

TEST OPERATING GATES

Phase 02 // Test whether the system can act safely within known authority, logging, validation, rollback, and ownership boundaries.

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06 SAFE-TO-ACT CHECK

FUNCTION	QUESTION	STATUS	EVIDENCE PROMPT
Action class	What kind of action can the system take?	☐ Yes ☐ No ☐ Unclear	
Authority boundary	What is the system allowed to do?	☐ Yes ☐ No ☐ Unclear	
Prohibited actions	What is the system forbidden to do?	☐ Yes ☐ No ☐ Unclear	
Blast radius	Who or what can be affected?	☐ Yes ☐ No ☐ Unclear	
Logging	Is action logged in a useful way?	☐ Yes ☐ No ☐ Unclear	
Validation	Is there an independent check?	☐ Yes ☐ No ☐ Unclear	
Escalation	What happens under uncertainty?	☐ Yes ☐ No ☐ Unclear	
Rollback	Can the action be undone?	☐ Yes ☐ No ☐ Unclear	
Contestability	Can affected parties challenge outcomes?	☐ Yes ☐ No ☐ Unclear	
Owner	Who owns consequence and recurrence prevention?	☐ Yes ☐ No ☐ Unclear	
SAFE WITHIN BOUNDS		SAFE WITH REVIEW / LIMITS	NOT SAFE YET
			ACTION CLASS UNCLEAR

EVIDENCE SUPPORTING SAFE-TO-ACT RESULT

TEST REPAIR CAPACITY

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Phase 02 continued // No agent should act beyond the institution's capacity to repair.

07 SAFE-TO-REPAIR CHECK

FUNCTION	QUESTION	STATUS	EVIDENCE PROMPT
Explain	Can the organization explain what happened?	☐ Yes ☐ No ☐ Unclear	
Reverse	Can it undo the outcome?	☐ Yes ☐ No ☐ Unclear	
Amend	Can it correct records or classifications?	☐ Yes ☐ No ☐ Unclear	
Compensate	Can it remedy harm where applicable?	☐ Yes ☐ No ☐ Unclear	
Restore access	Can it restore service, status, eligibility, or opportunity?	☐ Yes ☐ No ☐ Unclear	
Notify	Can it notify affected parties clearly?	☐ Yes ☐ No ☐ Unclear	
Escalate	Can it move unresolved cases to authority?	☐ Yes ☐ No ☐ Unclear	
Prevent recurrence	Can it change the system to prevent repeat failure?	☐ Yes ☐ No ☐ Unclear	
Own closure	Is there a named owner for resolution?	☐ Yes ☐ No ☐ Unclear	
CAPACITY MATCHES ACTION	CAPACITY WEAK	CAPACITY MISSING	ACTS BEYOND REPAIR CAPACITY

FIELD RULE: NO AGENT SHOULD ACT BEYOND THE INSTITUTION'S CAPACITY TO REPAIR.

TEST AFFECTED-PARTY REACH

Phase 02 continued // Test whether the affected party can understand, challenge, pause, reverse, amend, and receive closure.

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08 AFFECTED-PARTY CHECK

FUNCTION	QUESTION	STATUS	EVIDENCE PROMPT
Notice	Does the affected party know automation shaped the outcome?	☐ Yes ☐ No ☐ Unclear	
Explanation	Can they understand the reason?	☐ Yes ☐ No ☐ Unclear	
Evidence	Can they see or request relevant evidence?	☐ Yes ☐ No ☐ Unclear	
Challenge	Can they contest the outcome?	☐ Yes ☐ No ☐ Unclear	
Authority	Can they reach someone who can change the result?	☐ Yes ☐ No ☐ Unclear	
Suspension	Can harm pause during review where appropriate?	☐ Yes ☐ No ☐ Unclear	
Reversal	Can the outcome be undone?	☐ Yes ☐ No ☐ Unclear	
Amendment	Can the record be corrected?	☐ Yes ☐ No ☐ Unclear	
Remedy	Can harm be remedied where applicable?	☐ Yes ☐ No ☐ Unclear	
Closure	Does the affected party receive resolution?	☐ Yes ☐ No ☐ Unclear	
FUNCTIONAL	WEAK	MOSTLY SYMBOLIC	NO MEANINGFUL CONTESTABILITY

EVIDENCE SUPPORTING AFFECTED-PARTY RESULT

DECIDE AND ASSIGN REPAIR

Phase 03 // Convert diagnostic evidence into classification, interpretation, owners, and next actions.

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09 DIAGNOSTIC RESULT LABELS

GREEN Control Functions Located ☐ Select	YELLOW Control Functions Weak or Unclear ☐ Select	ORANGE Broken Loop Risk ☐ Select	RED Broken Loop Confirmed ☐ Select
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FINAL CLASSIFICATION RATIONALE

10 INTERPRETATION NOTES / REPAIRS

IF STOP IS MISSING If stop is missing: create pause, kill-switch, or pre-action gate.	IF REVERSE IS MISSING If reverse is missing: define rollback before deployment.
IF AMEND IS MISSING If amend is missing: assign correction authority and evidence requirements.	IF COMPENSATE IS MISSING If compensate is missing: define remedy path for material or rights-affecting consequences.
IF REFUSE IS MISSING If refuse is missing: give reviewers real rejection authority and protect its use.	IF ESCALATE IS MISSING If escalate is missing: define exception thresholds and authority path.
IF VERIFY IS MISSING If verify is missing: add independent checks, tests, source access, or sampling.	IF OWN IS MISSING If own is missing: assign named ownership for explanation, repair, closure, and recurrence prevention.

11 NEXT ACTIONS

NEXT ACTIONS

IMMEDIATE HALT / PAUSE NEEDED 	VERBS TO ASSIGN
EVIDENCE TO GATHER 	OWNER TO NAME
REVIEW DATE 	DECISION OWNER