**Proposal for the Development, Validation, or Implementation of a new AI**

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| **Principal Investigator/Lead** |  |
| **Clinical Lead** |  |
| **Project Name** |  |
| **Date Submitted** |  |

Purpose

*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. Why is AI appropriate in addressing this problem? Describe the context/settings in which the AI will be used.*

Describe the team

*Who designed/developed the AI? What are their qualifications/expertise? What is their relationship (if any) with Te Whatu Ora?*

Describe the engagement of consumers and their perspectives

*How have consumers been engaged with in the design/development of the AI? What evidence is there that the use of AI in this context will be acceptable? What are the potential risks and benefits to consumers?*

Describe Māori engagement and perspectives

*Are any Māori involved in the team or been engaged to date? If not, are there plans to engage with Māori? How will/have Māori perspectives be/been embedded in design/development/testing/ implementation e.g. data sovereignty?*

Equity and fairness issues and mitigations

*Are there likely to be any issues arising from the use of this AI for any specific groups? How will these be mitigated? What is your approach to identifying bias in the AI?*

Describe the AI algorithm/model

*Describe the methods used, data and features. Has this been/will it be published or made available?*

Describe the development process

*Describe your development process, including any ethical principles underpinning design and development. Describe training data used and its representativeness.*

Describe the use of the AI in practice

*How would the use of the AI fit into the clinical workflow? Describe any clinical/operational input. Are there likely to be any concerns or barriers to use by clinicians/other staff? Can these be mitigated? Will training be needed? Is human oversight intended? Where will accountability lie?*

Describe the testing and validation process

*How will/has the AI been tested and validated? What data has it been tested with? What were the outcomes of any testing/validation already conducted? Was it tested for bias? Does it need to be further validated with data from our health service? What is the availability of the necessary data in our system, if known?*

Describe the implementation plan

*Is there a change management plan and/or communications and training plan for implementation of the AI in practice?*

Describe the monitoring and audit plan

*How will you continue to monitor/audit the AI? Outline roles and responsibilities for this. Will the AI be retrained?*

Other approvals

*Is ethics approval required? Are there likely to be any privacy or security issues that require approvals?*

References

It is recommended that proposers read the following to assist in answering these questions as needed:

*NEAC Standards chapters 12 and 13 -* [*https://neac.health.govt.nz/national-ethical-standards/part-two/12-health-data/*](https://neac.health.govt.nz/national-ethical-standards/part-two/12-health-data/)

*Data Protection and Use Policy -* [*https://dpup.swa.govt.nz/*](https://dpup.swa.govt.nz/)

*WHO guidance Ethics and Governance of Artificial Intelligence for Health -*[*https://www.who.int/publications/i/item/9789240029200*](https://www.who.int/publications/i/item/9789240029200)

*NHSX -* [*https://www.nhsx.nhs.uk/ai-lab/explore-all-resources/adopt-ai/a-buyers-guide-to-ai-in-health-and-care/*](https://www.nhsx.nhs.uk/ai-lab/explore-all-resources/adopt-ai/a-buyers-guide-to-ai-in-health-and-care/)

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

*Towards Ethical AI at Waitematā*

*WHO Guidance on Ethics and Governance of Artificial Intelligence for Health -*[*https://www.who.int/publications/i/item/9789240029200*](https://www.who.int/publications/i/item/9789240029200)

*AI and How to Get it Right – NHS England -* [*https://transform.england.nhs.uk/ai-lab/explore-all-resources/understand-ai/artificial-intelligence-how-get-it-right/*](https://transform.england.nhs.uk/ai-lab/explore-all-resources/understand-ai/artificial-intelligence-how-get-it-right/)

*National Ethical Standards for Health and Disability Research and Quality Improvement 2019 particularly Chapters 12 & 13 -* [*https://neac.health.govt.nz/national-ethical-standards/*](https://neac.health.govt.nz/national-ethical-standards/)

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

*The Algorithm Charter for Aotearoa New Zealand (July 2020) -* [*https://data.govt.nz/assets/data-ethics/algorithm/Algorithm-Charter-2020\_Final-English-1.pdf*](https://data.govt.nz/assets/data-ethics/algorithm/Algorithm-Charter-2020_Final-English-1.pdf)

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

*The Privacy Act 2020 and the Health Information Privacy Code 2020 -* [*https://www.privacy.org.nz/assets/New-order/Privacy-Act-2020/Codes-of-practice/Health-information-privacy-code-2020/Health-Information-Privacy-Code-2020-website-version.pdf*](https://www.privacy.org.nz/assets/New-order/Privacy-Act-2020/Codes-of-practice/Health-information-privacy-code-2020/Health-Information-Privacy-Code-2020-website-version.pdf)

*The HISO 10064:2017 Health Information Governance Guidelines -*[*https://www.health.govt.nz/publication/hiso-100642017-health-information-governance-guidelines*](https://www.health.govt.nz/publication/hiso-100642017-health-information-governance-guidelines)

*The FAIR data principles -* [*https://www.go-fair.org/fair-principles/*](https://www.go-fair.org/fair-principles/)

*The Emerging Health Technology Introductory Guidance for algorithms in healthcare -*[*https://www.health.govt.nz/system/files/documents/pages/introductory\_guidance\_-\_algorithms\_v0.4\_-\_web.pdf*](https://www.health.govt.nz/system/files/documents/pages/introductory_guidance_-_algorithms_v0.4_-_web.pdf)

*Hauora: Report on Stage One of the Health Services and Outcomes Kaupapa Inquiry -*[*https://forms.justice.govt.nz/search/Documents/WT/wt\_DOC\_152801817/Hauora%20W.pdf*](https://forms.justice.govt.nz/search/Documents/WT/wt_DOC_152801817/Hauora%20W.pdf)

*Te Ara Tika Guidelines for Māori research ethics -* [*https://www.hrc.govt.nz/resources/te-ara-tika-guidelines-maori-research-ethics-0*](https://www.hrc.govt.nz/resources/te-ara-tika-guidelines-maori-research-ethics-0)

*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*](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)*.*

*Artificial Intelligence (AI) Use in Waitematā -* [*https://www.waitematadhb.govt.nz/patients-visitors/your-safety-in-hospital/ai-use-waitemata/*](https://www.waitematadhb.govt.nz/patients-visitors/your-safety-in-hospital/ai-use-waitemata/)

*The proposed AI Act in the European Union -* [*https://artificialintelligenceact.eu/*](https://artificialintelligenceact.eu/)

*The lessons learned from governance of Covid algorithms paper in JRSNZ -*[*https://www.tandfonline.com/doi/full/10.1080/03036758.2022.2121290*](https://www.tandfonline.com/doi/full/10.1080/03036758.2022.2121290)