**Health data and new technologies supplementary form**

Note to researchers: This form is in development and may not be the final version. We would appreciate any feedback you have on how easy it is to complete the form and whether it covers all the appropriate areas.

This form is to be used when algorithmic or AI tools will used or developed as part of a research project. This form should be completed with reference to [Chapter 13 of the NEAC National Ethical Standards on health data and new technologies](https://neac.health.govt.nz/national-ethical-standards/part-two/13-health-data-and-new-technologies).

**1 Role in the research**

1.1 During the project will you be developing or validating AI? YES NO

1.2 During the project will you be implementing an AI product? YES NO

*If you answered Yes to 1.1. please complete the ‘Developing AI’ questions. If you answered Yes to 1.2, please complete the ‘Implementing AI’ questions. Please put ‘Not Applicable’ for any questions which do not apply to your project.*

**2 Description**

(Refer Standards 13.1, 13.13, 13.14, 13.15, 13.17)

*Developing AI*

2.1 What is the problem that the AI is being developed to address? What other solutions have been considered?

2.2 Describe the methods used, data and features. Will it be published or made available?

2.3 What are the potential commercial implications of any model or algorithm developed by this research?

2.4 Describe your development process, including any ethical principles underpinning design and development.

2.5 Describe training data already used / intended to be used and its representativeness.

2.6 What is the availability of the necessary data for testing and validation?

*Implementing AI*

2.7 Why is the AI appropriate to address the problem being studied?

2.8 How will you monitor/audit the AI? Outline roles and responsibilities for this.

2.9 Will the AI be retrained over the course of the study?

**3 Expertise**

(Refer Standard 13.16)

*Developing AI*

3.1 Who will be developing the AI? What are their qualifications/expertise?

*Implementing AI*

3.2 Who designed/developed the AI? How have you ensured that they had sufficient expertise to develop it?

**4 Describe the engagement of consumers and their perspectives**

(Refer Standard 13.7)

4.1 What evidence is there that the use of AI in this context will be acceptable?

4.2 What are the potential risks and benefits to individuals whose data will be included? (Refer NEAC Standard 13.9)

4.3 How have or will end-users of the AI be engaged in the design/development of the AI?

**5 Describe Māori engagement and perspectives**

(Refer Standard 13.6)

5.1 Has Māori consultation been undertaken regarding the AI in this study?

5.2 How have or will Māori perspectives be embedded in design/development/testing? e.g. consideration of [Māori algorithmic sovereignty](https://www.temanararaunga.maori.nz/resources-copy).

**6 Equity and fairness issues and mitigations**

(Refer Standards 13.4, 13.5, 13.17)

6.1 Are there likely to be any issues arising from the use of this AI for any specific groups? How will these be mitigated?

6.2 What is your approach to identifying bias in the AI?

6.3 How does the developer of the AI benefit from its development or use? What processes are there to share these benefits with the those whose data was used to develop the AI?

**7 Expert peer review**

7.1 Provide an expert independent peer review of the AI component of the study.