|  |  |  |  |
| --- | --- | --- | --- |
| Project Name: | | Project #: | Sources: [Cabrini Artificial Intelligence (AI) Usage Policy](file:///\\HAYDEN\InstituteCHREC$\ETHICS\AI%20-%20Artificial%20Intelligence\AI%20Usage%20Research%20Checklist\Artificial%20Intelligence%20(AI)%20Usage%20Policy);  WHO [Ethics and Governance of Artificial Intelligence for Health](https://www.who.int/publications/i/item/9789240029200);  [NSW Artificial Intelligence Assurance Framework](https://www.digital.nsw.gov.au/policy/artificial-intelligence/nsw-artificial-intelligence-assessment-framework#:~:text=Its%20primary%20aim%20is%20to,and%20mitigating%20AI%2Dspecific%20risks.);  [OVIC – Artificial Intelligence – Understanding Privacy Obligations](https://ovic.vic.gov.au/privacy/resources-for-organisations/artificial-intelligence-understanding-privacy-obligations/);  [TGA Artificial Intelligence (AI) and medical device software](https://www.tga.gov.au/how-we-regulate/manufacturing/manufacture-medical-device/manufacture-specific-types-medical-devices/artificial-intelligence-ai-and-medical-device-software) |
| Principle Investigator Name:  Contact Email: | |  | |
| *This form supports Cabrini researchers to innovate with AI technology, while ensuring it is used safely and securely, with clear accountability and transparency for the use of the AI systems. This form and the project protocol must first be submitted to the Cabrini Research Governance Office (CRGO) via* [*researchgovernance@cabrini.com.au*](mailto:researchgovernance@cabrini.com.au) *for pre-screening to determine the appropriate review pathway and to ascertain if the proposal is appropriate for IT review.*  ***Cabrini Researchers must not use AI Systems to submit Cabrini intellectual property, confidential information, sensitive information or personal information to any AI Systems, such as patient, employee, donor, or student information, including commercially sensitive contractual or legal documents.***  *Exception:*  *(a) The AI System is a Closed-Source AI System; and*  *(b) The proposed use is compliant with all Cabrini Data Privacy and Security Policies; and*  *(c) The proposed use is an acceptable use specified in the Responsible and Ethical Use Section of* [Cabrini Artificial Intelligence (AI) Usage Policy](file:///C:\Users\167774\AppData\Local\Microsoft\Windows\INetCache\Content.Outlook\R6HCAEKT\Artificial%20Intelligence%20(AI)%20Usage%20Policy)*; and*  *(d) Cabrini Personnel can account for the accuracy of the output; and*  *(e)This AI usage Form and acknowledgement form has been submitted to the Chief Information Officer and has been approved; and*  *(f) The Cyber Security Manager has conducted a third-party security review and deems the review to be satisfactory; and*  *(g) Cabrini Legal has reviewed and approved the terms of any agreement that relates to the provision of AI services.* | | | |
| **QUESTION** | | | **RESPONSE** |
| 1. | What AI system(s) will be used? How will you access it? | |  |
| 2. | What is the intended purpose and anticipated outcomes of using AI? | |  |
| 3. | What are the desired benefits of using AI? | |  |
| 4. | What are the sources of data?  Will real-time data or retrospective data be used? | |  |
| 5. | What evidence of quality is available? (e.g. peer reviewed publication or testing results confirming the quality of the chosen AI system) | |  |
| 6. | What are the potential types of risks and harm associated with using this AI system? Could use of the AI System result in secondary harms\*? | |  |
| 7. | What is the cost of the AI system and who holds the licence? | |  |
| 8. | Is the AI system regulated by TGA or is it eligible for exclusion?  <https://www.tga.gov.au/sites/default/files/my-software-regulated.pdf> | |  |
| 9. | How were consumers engaged in decisions about the development of this project, including its use of AI, and its implications for the community? | |  |
| 10. | What other non-AI systems were considered to achieve the same outcome? | |  |
| 11. | Have participants been fully informed within the Participant Information Consent Form that their information will be used within an AI system(s), along with the potential risk and harm? Alternately, has a waiver of consent has been granted by an NHMRC-certified Human Research Ethics Committee (HREC)? | |  |
| 12. | What skills do the operators/researchers have to interpret and critique AI generated outcomes? *(Training must include the ability to critically query insights generated, and to understand the limitations of the AI system)* | |  |
| 13. | What mechanism (e.g. process, person or review body) is available to appeal the outcome informed by the AI system(s)? | |  |
| 14. | How will the researcher or an independent person with appropriate expertise ensure accurate output and monitoring of the AI system? | |  |
| 15. | Does the project have a legal agreement in place? Has it been reviewed by CRGO and Cabrini Legal? | |  |

|  |  |
| --- | --- |
| **IT AUTHORISATION** | |
| I have read the research protocol and approve the use of the AI system for the purposes discussed. | |
| Chief Information Officer - Name: | |
| Signature: | Date |
| I have conducted a third-party security review of the proposed AI system to be used for this project and deem the AI system to be satisfactory. | |
| Cyber Security Manager - Name: | |
| Cyber Security Manager Signature: | Date |
| **DATA GOVERNANCE AUTHORISATION** | |
| I have read the research protocol and approve the use of the AI system for the purposes discussed. | |
| Chair (or delegate) of Data Governance Committee - Name: | |
| Signature: | Date |

\**Secondary harm means any adverse effects experienced by an individual (or organisation) not directly engaged with the AI system, or a subsequent harm identified after an initial harm is experienced by an individual (or organisation) engaged with the AI system. (NSW Artificial Intelligence assurance framework).*