CHECKLIST: THE ESSENTIALS, SETTING UP GENERATIVE AI IN YOUR ORGANISATION

This checklist serves as a practical guide for organisations looking to implement Generative AI (GenAI) technologies. It summarises key points from the *"Guided Steps for Introducing Generative AI Within Your Practice"* section of the Guidance document. It is designed to complement the more detailed Guidance document, so please refer to that for further information. Whether you are integrating this at the clinician level or across your entire practice, this checklist covers the critical steps necessary to ensure a thorough and informed approach.

Preparation and Planning

☐ **Purpose identification:** Clarify why you want to use GenAI and what specific goals you aim to achieve. Ensure these goals align with your organisation's needs and values.

☐ **Research and select tool:** Research various GenAI tools, consult with colleagues about their experiences and evaluate whether the tool aligns with your intended purpose. Check if the tool has been clinically validated, understands medical context and language, its error rate, and whether it has been tested in New Zealand or trained on data reflecting your patient population's diversity.

☐ **Review contractual terms:** Examine the terms of service and privacy policy, focusing on data protection, data rights, and how the data is processed. Ensure the tool de-identifies patient data and stores it on servers in New Zealand or as the next best option, Australia. If the tool stores data elsewhere explicitly address this during the patient consent process.

☐ **Analysis costs:** Determine the total cost of the tool, including setup costs (e.g., microphones, IT support, training time and labour costs) and the ongoing expenses.

☐ **Conduct a trial:** Test the tool to ensure it meets your needs, functions as described, integrates with your workflows, and complies with our privacy laws.

Data Privacy and Security

☐ **Privacy, data protection, and legislative compliance:** Ensure the tool complies with relevant laws and regulations, such as the Privacy Act. Verify that the tool has strong data protection measures and handling.

☐ **Data Storage:** Understand what data is stored, the duration of storage, the location, and whether it is de-identified. Ensure that sensitive information is handled appropriately.

☐ **Vendor security:** Assess the vendor's security measures, including their data protection policies, security certifications, and encryption protocols. Ensure they have robust practices in place to safeguard data against breaches.

☐ **Privacy Impact Assessment (PIAs):** Conduct a privacy impact assessment or a brief privacy analysis of the tool. Assess the potential risks and how to mitigate those risks. Update this assessment periodically to reflect any changes or updates to the tool.

☐ **Be cautious:** Scrutinise free tools - understand why they offer this and how it might impact data privacy. Be cautious of tools that use patient data to train their algorithms. If the tool collects data for training purposes, ensure that it can be configured to use only de-identified data or that this feature can be disabled.

Risk Management

☐ **Evaluate the risks:** Identify and assess the potential risks associated with the tool, including data security and regulatory compliance. Update your risk assessment and privacy impact assessment regularly.

☐ **Human oversight:** All GenAI policies, processes and audits include the need for human oversight. All AI-generated work must be reviewed and, if necessary, edited by the appropriate personnel to ensure it is accurate, complete, and reflects the patient's care appropriately. Ensuring the tool compliments rather than replaces human decision-making.

☐ **Bias and accuracy:** Regularly monitor and audit the tool to identify any biases or inaccuracies in the information generated by the tool and amend accordingly. Provide feedback to the developer for necessary adjustments and updates to maintain accuracy.

☐ **Professional Responsibility:** Ensure users understand their professional responsibilities and provide training on how to use the tool responsibly. The tool does they do not replace the professional responsibility of all relevant staff members to ensure that records are accurate, up-to-date, and securely managed.

☐ **Cybersecurity measures:** Ensure your organisation has strong security measures in place to protect from data breaches. This includes understanding and being satisfied with the vendor's security protocols, particularly how they ensure the safeguarding of sensitive information.

☐ **Liability and insurance:** Evaluate the liability risks associated with using the GenAI tool and ensure you have appropriate insurance coverage. Confirm with your insurer that the tool is covered under your existing policy and outline how you will address consent and mitigate risks.

☐ **Business continuity:** Develop a plan for maintaining operations if the tool fails. Include backup procedures to ensure good continuity of service and care.

Implementation

☐ **Policy and audits:** Develop internal policies and procedures that govern the use of GenAI in the workplace. These should outline clear guidelines for the ethical and responsible use of GenAI, with a focus on data privacy, security, patient consent, and regular auditing processes.

☐ **Process**: Establish clear procedures for integrating GenAI tools into daily operations, including steps for onboarding, configuration, and maintenance. Develop protocols for troubleshooting and addressing issues that may arise during use.

☐ **Define roles and responsibilities:** Clearly outline the roles and responsibilities of staff members involved in using, managing, and overseeing GenAI tools. This includes who will be responsible for data entry, monitoring tool performance, and addressing any issues that arise.

☐ **Training:** Provide training for all relevant staff on tool usage, understanding outputs, and key functions. Include data privacy, risk mitigation strategies, and the specific protocols outlined in your internal GenAI policy. Integrate this into induction training, with regular refreshers to keep skills and knowledge current.

Patient Consent and Communication

☐ **Patient Communication:** Clearly inform patients about the use of GenAI tools, including how and when they are used. Use multiple channels such as verbal communication, updates on the practice's website and social media, and posters in the waiting room. Provide an FAQ sheet for common queries and include a clause about GenAI usage in enrolment forms for future patients.

☐ **Consent:** Obtain informed consent from patients when the tool involves their data or impacts their care. Use a layered approach with multiple checkpoints to ensure the patient fully understands and agrees to its use. Document consent in writing, in their patient record, and continue to seek consent each time until it becomes standard practice.

☐ **Transparency:** Be transparent with your patients about how the tool is being used and why. Explain how it manages patient data, where it is stored, and the measures taken to ensure privacy and confidentiality.

☐ **Consultation and feedback:** Gather feedback from your patients through engagement groups, patient surveys, or informal discussions to ensure the tool is culturally sensitive, inclusive and benefiting their needs.

Review and Continuous Improvement

☐ **Stay informed:** Regularly review the terms of service for your GenAI tools and stay updated on developments nationally, specifically any regulatory changes. Build this process into your internal GenAI policy and consider the need for more frequent reviews during the initial implementation phase.

☐ **Monitor and evaluate:** Periodically assess whether the GenAI tool still meets your practice's needs. Provide feedback to developers regarding errors or areas that need improvement. Have a process for collecting feedback from staff and patients through surveys or engagement groups, and use this input to make necessary adjustments, ensuring the tool remains effective and safe.

☐ **Update policies and procedures:** Continuously update your internal GenAI policies and procedures to reflect best practices and any new developments with the tool or legislation.