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**The CHAI Applied Model Card**

**Coalition for Health AI**

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## 1. Introduction

The applied model card describes an AI system focused on the application in a health use case. An AI system is a fully operational AI use case, including the model, technical infrastructure, and personnel in the workflow.

This model card supports meeting the criteria for HTI-1 for predictive DSIs defined as “…technology that supports decision-making based on algorithms or models that derive relationships from training data and then produce an output that results in prediction, classification, recommendation, evaluation, or analysis.” In addition, this model card provides transparency for all Five of CHAI’s Principles of Responsible AI (Transparency, Safety, Security & Privacy, Fairness & Bias, and Usefulness).

Individuals or teams completing the model card may include vendor or health organization developers of applied AI solutions (see appendix 5.3 for definitions). The primary intended use of this model card is for transparency purposes and may be used as part of transparency processes during procurement processes, or as internal transparency documentation for tracking or governance of AI solutions employed within a health organization (e.g. health systems, hospitals, or payers). The applied model card is intended for an applied **AI solution** in context, not an **AI model** outside of an intended use/purpose (e.g. general foundation models, or AI platforms used to build AI solutions/applications. This model card does not replace optional or requested external validation/evaluation of AI solutions by an independent evaluator such as a Quality Assurance Lab, but may include description of findings from such if used.

## 2. The Template

|  |  |
| --- | --- |
| **Name:**  **Developer:**  | **Inquires or to report an issue:** abc@abc.com or +1 (999) 999- 9999 |
| **Release Stage: Release Date: Version:** **Global Availability: Regulatory Approval, If applicable:**  |
| **Summary:****Keywords:** | **Uses and Directions:** * **Intended use and workflow:**
* **Primary intended users:**
* **How to use:**
* **Targeted patient population:**
* **Cautioned out-of-scope settings and use cases:**
 |
| **Warnings** |
| * **Known risks and limitations:**
* **Known biases or ethical considerations:**
* **Clinical risk level:**
 |
| **Trust Ingredients** |
| **AI System Facts:*** **Outcome(s) and output(s):**
* **Model type:**
* **Foundation models used in application, if applicable:**
* **Input data source:**
* **Output/Input data type:**
* **Development data characterization:**
* **Bias mitigation approaches:**
* **Ongoing Maintenance:**
* **Security and compliance environment practices or accreditations, if applicable:**
* **Transparency, Intelligibility, and Accountability mechanisms, if applicable:**

**Transparency Information:** * **Funding source of the technical implementation:**
* **3rd Party Information, If Applicable:**
* **Stakeholders consulted during design of intervention (e.g. patients, providers):**
 |
| **Key Metrics** |
|

|  |  |  |
| --- | --- | --- |
| **Usefulness, Usability, and Efficacy**  | **Fairness and Equity** | **Safety and Reliability** |
| **Goal of metric(s):**  | **Goal of metric(s):** | **Goal of metric(s):** |
| **Result:** | **Interpretation:** | **Result:** | **Interpretation:** | **Result:** | **Interpretation:** |
| **Test Type:** | **Test Type:** | **Test Type:** |
| **Testing Data Description:** | **Testing Data Description:** | **Testing Data Description:** |
| **Validation Process and Justification:** | **Validation Process and Justification:** | **Validation Process and Justification:** |

 |
| **Resources** |
| * **Evaluation References, If Available:**
* **Clinical Trial, If Available:**
* **Peer Reviewed Publication(s):**
* **Reimbursement status, if applicable:**
* **Patient consent or disclosure required or suggested:**
* **Stakeholders consulted during design of solution:**
 |

3. Instructions to Complete the Applied Model Card

Text in blue, including references, denote instructions only. All instructions, CFR referenced or not, support alignment with HTI-1 and CHAI’s five principle areas (Transparency, Usefulness, Fairness, Safety, Privacy & Security; see definitions in Appendix section 5.3)

|  |  |
| --- | --- |
| **Name:**   **Developer:** [45 CFR 170.315 (b)(11)(iv)(B)(1)(i)] | **Inquires or to report an issue:** [45 CFR 170.315 (b)(11)(iv)(B)(1)(i)]abc@abc.com or +1 (999) 999- 9999 |
| **Release Stage: Release Date: Version:** Model / Software Release Version **Global Availability: Regulatory Approval, If applicable:**  |
| **Summary:**Please provide a summary of the AI solution’s intended uses, key features, clinical workflow and key performance metrics.**Keywords:** | **Uses and Directions:** * **Intended use and workflow:** Please describe how the solution should be used in clinical practice, including the following details:
	+ Whether the solution is intended to inform, augment, or replace clinical management [45 CFR 170.315(b)(11)(iv)(B)(*2*)(iv)].
	+ Whether human oversight or a “human in the loop” is required to operate the solution, and any actions clinicians should take at certain steps of the clinical workflow.
	+ Specific use cases and/or diseases that this solution addresses.
* **Primary intended users:**
	+ Please specify the target users of the solution, including any necessary knowledge or expertise they should have prior to use.
	+ Please outline any inclusion or exclusion criteria based on patient population or other key variables, as applicable.
* **How to use:**
* **Targeted patient population:**
* **Cautioned out-of-scope settings and use cases:** [45 CFR 170.315(b)(11)(iv)(B)(*3*) (i-ii)]
	+ Please describe any tasks, situations, or patient populations where the use of this solution is cautioned or discouraged.
	+ Please provide all known risks, inappropriate settings or uses, and any limitations of the solution that users should be aware of.
 |
| **Warnings** |
| * **Known biases or ethical considerations:** 45 CFR 170.315(b)(11)(iv)(B)(*3*) (i-ii)]
	+ Please describe any tasks, situations, or patient populations where the use of this solution is cautioned or discouraged.
	+ Please provide all known risks, inappropriate settings or uses, and any limitations of the solution that users should be aware of.
* **Clinical risk level:** See resources in section 5.2 including ["Software as a Medical Device": Possible Framework for Risk Categorization and Corresponding Considerations](https://www.imdrf.org/sites/default/files/docs/imdrf/final/technical/imdrf-tech-140918-samd-framework-risk-categorization-141013.pdf)
 |
| **Trust Ingredients** |
| **AI System Facts:*** **Outcome(s) and output(s):** [45 CFR 170.315 (b)(11)(iv)(B)(1)(iv)]
	+ Please describe the type and value of the solution output. Specify whether the output is a prediction, classification, recommendation, evaluation, analysis, or another form of result.
* **Model type:**
	+ Please determine if this model is predictive or generative (as well as relevant subclass within the broader category), and describe how it interacts with any other systems, such as EHRs, medical devices, or any other integrated platforms.
* **Foundation models used in application, if applicable:**
	+ Please list any foundational models (with version information) utilized in the solution, such as ChatGPT 4, Claude 3, or others.
* **Input data source:**
	+ Please specify the source of data that is necessary as input into the AI solution.
* **Output/Input data type:** [45 CFR 170.315(b)(11)(iv)(B)(*4*) (i-iii)]
	+ Please specify the types of data used by the solution (e.g., EHR, waveform, imaging, etc.).
	+ Please indicate whether the data is real-world data or synthetic data.
	+ Please outline exclusion and inclusion criteria that influenced the training data set.
	+ Please clarify the use of following variables as input features: race, ethnicity, language, sexual orientation, gender identity, sex, date of birth, social determinants of health elements ([USCDI v3)](https://www.healthit.gov/isp/united-states-core-data-interoperability-uscdi#uscdi-v3), and health status assessments ([USCDI v3)](https://www.healthit.gov/isp/united-states-core-data-interoperability-uscdi#uscdi-v3).
	+ Please describe the demographic representativeness based on race, ethnicity, language, sexual orientation, gender identity, sex, date of birth, social determinants of health elements (USCDI v3), and health status assessments (USCDI v3).
* **Development data characterization: [4**5 CFR 170.315(b)(11)(iv)(B)(*4*) (i-iv)]
	+ Please provide details on the data used to train the solution, including Exclusion and inclusion criteria that influenced the training dataset.
	+ Use of the variables as identified in [USCDI v3](https://www.healthit.gov/isp/united-states-core-data-interoperability-uscdi#uscdi-v3):
		- Race, Ethnicity, Language, Sexual Orientation, Gender identity, Sex, Date of Birth, Social determinants of health data, Health status assessment data
	+ Description of the demographic representativeness of the data, including demographic distribution as identified in [USCDI v3](https://www.healthit.gov/isp/united-states-core-data-interoperability-uscdi#uscdi-v3)
		- Race, Ethnicity, Language, Sexual Orientation, Gender identity, Sex, Date of Birth, Social determinants of health data, Health status assessment data
	+ Description of relevance and alignment of training data to the intended deployment setting.
* **Bias mitigation approaches:** [45 CFR 170.315(b)(11)(iv)(B)(5) (i-ii)]
	+ Please describe the approach the developer(s) took to ensure the output is fair.
	+ Please describe the approaches to manage, reduce, or eliminate bias.
* **Ongoing Maintenance:** Update Schedules, Monitoring, and Response Approach including fairness performance
* **[**45 CFR 170.315(b)(11)(iv)(B)(*8*) (i-iv) & 45 CFR 170.315(b)(11)(iv)(B)(9) (i-ii)]
	+ Please provide the following details regarding to the ongoing maintenance and monitoring of the AI solution:
		- **Monitoring Validity**: Describe the process and frequency for monitoring the solution’s validity over time, including its validity when applied to local data.
		- **Monitoring Fairness:** Outline the process and frequency for assessing the solution’s fairness, both in general and when applied to local data.
		- **Update Process**: Explain the process and frequency for updating the solution to ensure continuous improvement.
		- **Risk Correction:** Describe how often the solution’s performance is corrected when risks related to validity or fairness are identified.
		- **Monitoring Tools**: List any built-in monitoring tools or functionalities provided by the developer or quality assurance lab.
		- **Anticipated Improvements**: Note any anticipated changes or improvements based on ongoing monitoring and evaluation efforts.
* **Security and compliance environment practices or accreditations, if applicable:**
	+ Please provide a list of accreditations or practices adhered to with respect to security and compliance. E.g., S*OC2 Type 2, ISO, NIST, Fed Ramp, etc.*
* **Transparency, Intelligibility, and Accountability mechanisms, if applicable:**
	+ Please provide descriptions on the implemented features or mechanisms regarding transparency, intelligibility, and accountability, such as providing saliency maps, confidence indicators as part of the system output, and feedback channels.

**Transparency Information:** * **Funding source of the technical implementation:** [45 CFR 170.315 (b)(11)(iv)(B)(1)(ii)]
	+ Please provide information regarding the funding source of the technical implementation for the solution’s development
* **3rd Party Information, If Applicable:**
	+ Please provide name, product, contact information for third parties integrated into the overall solution.
* **Stakeholders consulted during design of intervention (e.g. patients, providers):**
 |
| **Key Metrics** |
|

|  |  |  |
| --- | --- | --- |
| **Usefulness, Usability, and Efficacy**  | **Fairness and Equity** | **Safety and Reliability** |
| **Goal of metric(s):**  | **Goal of metric(s):** | **Goal of metric(s):** |
| **Result:** | **Interpretation:** | **Result:** | **Interpretation:** | **Result:** | **Interpretation:** |
| **Test Type:** | **Test Type:** | **Test Type:** |
| **Testing Data Description:** | **Testing Data Description:** | **Testing Data Description:** |
| **Validation Process and Justification:** | **Validation Process and Justification:** | **Validation Process and Justification:** |

[45 CFR 170.315(b)(11)(iv)(B)(*6*) (i-iv) & 45 CFR 170.315(b)(11)(iv)(B)(*7*) (i-v)]For each of the principle areas above (definitions provided in Appendix Section 5.3), describe the **specific metric and goal** of the metrics selected, the **quantitative results** of performance relevant to those principle areas, the **interpretation** of the quantitative results, the **type of test** used, the **description of the data used** to conduct the test, and the **validation process and justification as it relates to the AI solution.** See relevant additional information below to help with scoping of this information. * **External Validation Process and Measures of Performance**
	+ Description of the data source, clinical setting, or environment where an intervention’s validity and fairness has been assessed other than training data source
	+ Party that conducted the external testing
	+ Description of the external validation process
	+ Description of validation impact metrics
* **Quantitative Measures of Performance**
	+ Validity of intervention in test data derived from same source as initial training data
	+ Fairness of intervention in test data derived from same source as initial training data
	+ Validity of intervention in data external to or from a different source than the initial training data
	+ Fairness of the intervention in data external to or from a different source than the initial training data
	+ References to evaluation of use of the intervention on outcomes including, bibliographic citations or hyperlink to how well the intervention reduced morbidity, mortality, length of stay, or other outcomes
* **Fairness & Equity**
	+ Describe fairness and equity across notable subgroups such as but not limited to national origin, race, color, ethnicity, disability, legal and self-reported sex, age, relevant social determinants of health as applicable
	+ In the Validation Process & Justification, please describe what was and was not considered and why.

**Test Type Definitions:*** + Internal as defined as validation set that comes from the same population as the training set (e.g. cross validation, train-test split)
	+ External as defined as validation set that comes from a different population
	+ Local as defined as validation set from data sourced from the same healthcare system or institution
	+ Prospective as defined as validation set that evaluates performance before it is used in real-world implementation
 |
| **Resources** |
| * **Evaluation References, If Available:**
* **Clinical Trial, If Available:**
* **Peer Reviewed Publication(s):** Please indicate the status of each (e.g., peer-reviewed, abstract, or under review)
* **Reimbursement status, if applicable:**
* **Patient consent or disclosure required or suggested:**
	+ Please indicate if the developer recommends obtaining patient informed consent or providing disclosure for the use of the solution.
* **Stakeholders consulted during design of solution:**
	+ Please indicate pertinent stakeholder groups or individuals consulted during the design of the solution. Include specific names where possible.
		- E.g., patient advocacy groups, coalitions, physician groups, individual clinicians, etc.
 |

## 5. Appendix

### 5.1 References

1. AI Nutrition Facts by Twilio. nutrition-facts.ai. <https://nutrition-facts.ai/>
2. MD GL. It’s Time For “Nutrition Labels” In Artificial Intelligence. *Forbes*. <https://www.forbes.com/sites/greglicholai/2023/11/21/its-time-for-nutrition-labels-in-artificial-intelligence/>. Published November 21, 2023.
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5. Mitchell M, Wu S, Zaldivar A, et al. *Model Cards for Model Reporting*.; 2019. <https://arxiv.org/pdf/1810.03993>
6. [CHAI Draft Assurance Standards Guide](https://chai.org/wp-content/uploads/2024/07/CHAI-Assurance-Standards-Guide-6-26-2024.pdf)
7. CHAI Draft Assurance Standards Checklists: [Planning Checkpoint](https://chai.org/wp-content/uploads/2024/06/Initial-Planning-Checkpoint-CHAI-Reporting-Checklist.docx.pdf), [Checkpoint 1](https://chai.org/wp-content/uploads/2024/06/Assurance-Checkpoint-1-CHAI-Reporting-Checklist.docx.pdf), [Checkpoint 2](https://chai.org/wp-content/uploads/2024/06/Assurance-Checkpoint-2-CHAI-Reporting-Checklist.docx.pdf), [Checkpoint 3](https://chai.org/wp-content/uploads/2024/06/Assurance-Checkpoint-3-CHAI-Reporting-Checklist.docx.pdf)
8. [HTI-1 Final Rule](https://www.federalregister.gov/documents/2024/01/09/2023-28857/health-data-technology-and-interoperability-certification-program-updates-algorithm-transparency-and)
9. [FDA 510K Pre-Market Submission](https://www.fda.gov/medical-devices/premarket-submissions-selecting-and-preparing-correct-submission/premarket-notification-510k.)

### 5.2 Resources

* [HTI-1 Final Rule](https://www.healthit.gov/topic/laws-regulation-and-policy/health-data-technology-and-interoperability-certification-program)
	+ [HTI-1 Final Rule Overview 2024-01-18](https://www.healthit.gov/sites/default/files/facas/2024-01-18_HTI-1_Final_Rule_Overview_508.pdf) (slides)
	+ [Link to Regulation](https://www.ecfr.gov/current/title-45/part-170/section-170.315#p-170.315(b)(11)(iv)(B))
	+ [ONC HTI-1 Decision-Support Interventions Fact Sheet](https://www.healthit.gov/sites/default/files/page/2023-12/HTI-1_DSI_fact%20sheet_508.pdf)

[ARC 1.4.3 Population Impact Evaluation Tool (page 12)](https://chai.org/wp-content/uploads/2024/06/Assurance-Checkpoint-3-CHAI-Reporting-Checklist.docx.pdf) (To assist with population impact assessment)

Assessment criteria/guidance for clinical/device risk level:

 [See Draft Medical Device Software: Considerations for Device and Risk Characterization](https://www.imdrf.org/sites/default/files/2024-02/IMDRFSaMD%20WGN81%20DRAFT%202024%2C%20Medical%20Device%20Software%20Considerations%20for%20Device%20and%20Risk%20Characterization%20-%20final%20draft.pdf) (IMDRF, 2024)

See levels described in detail in ["Software as a Medical Device": Possible Framework for Risk Categorization and Corresponding Considerations” by IMDRF Software as a Medical Device (SaMD) Working Group (2014).](https://www.imdrf.org/sites/default/files/docs/imdrf/final/technical/imdrf-tech-140918-samd-framework-risk-categorization-141013.pdf)

### 5.3 Terms Defined

Definitions provided here are taken directly from the [CHAI Assurance Standards Guide Draft](https://chai.org/wp-content/uploads/2024/07/CHAI-Assurance-Standards-Guide-6-26-2024.pdf), which includes source references. They will be further modified to address their scope within the specific model card requirements.

**AI solution:** A shorthand for the AI model, algorithm , or system and required technical infrastructure (hardware, software, data warehousing, etc.).

**AI model:** A conceptual or mathematical representation of phenomena captured as a system of events, features, or processes. In computationally-based models used in AI, phenomena are often abstracted for mathematical representation, which means that characteristics that cannot be represented mathematically may not be captured in the model. Often used synonymously with “algorithm,” though it may be conceptually distinct, prior to the transformation of inputs to outputs.

**Usefulness, Usability, and Efficacy**. To be useful, an AI solution must provide a specific benefit to patients and/or healthcare delivery, and it must prove to be not only valid and reliable but usable and effective. The benefit of an AI solution can be measured based on its effectiveness in achieving intended outcomes, as well as its impact on overall health resulting from both intended and potentially unintended uses, as appropriate. An assessment of benefit should consider the balance between positive effects and adverse effects or risks. The usefulness of an AI solution also depends on the cost of its deployment and the capacity of personnel to act as a result of its output or guidance. Relatedly, an effective AI solution can be shown to achieve the intended improvement on health compared to existing standards of care, or it can improve existing workflows and processes; for example, an AI solution intended to increase the efficiency of a workflow can be associated with reduced costs or shorter times to complete tasks. The robustness and reliability of an AI system can be demonstrated by its ability to maintain its level of performance under a variety of circumstances. The solution’s testability is more encompassing, demonstrating the extent to which its performance can be verified as meeting best practices for trustworthy AI including safety, equity, transparency, privacy, and security. The usability of an AI solution connotes the quality of the user’s experience, including effectiveness, efficiency, and satisfaction with the technology. In this context, an engaged human-centered development and deployment process entails understanding, expressing and prioritizing the needs, preferences and goals of end users and other stakeholders, as well as considering related implications throughout the AI lifecycle. Similarly, an accessible development and deployment process ensures that stakeholder access and engagement is a core feature of each stage of the AI lifecycle and governance. Additionally, an adaptive accountability framework ensures continuous learning and improvement, providing ongoing information on the results of the AI solution.

**Fairness and Equity.** To be considered fair and equitable, AI solutions may demonstrate (1) parity, meaning that common measures of algorithmic performance are equal across protected subgroups; (2) calibration, meaning that outcomes are independent of protected characteristics (or class) – such as race, gender, or their proxies; and (3) anti-classification, meaning that protected characteristics are not explicitly used to make decisions. Fairness applies beyond diagnostic accuracy to equitable allocation of resources, access to care, and outcomes. Following from that, the ultimate indicator of fairness goes beyond these measures and may include measures of equity. Equity is the absence of systematic disparities in health outcomes between groups with different levels of underlying social advantage or disadvantage – that is, wealth, power, prestige, or other social determinants of health.

**Safety and Reliability:** A safe AI solution does not endanger human life, health, property, or the environment. In healthcare, this translates to the avoidance, prevention, and amelioration of AI-related adverse outcomes affecting patients, clinicians, and health systems. Harms, or a diminishment of safety may occur due to misuse or model deterioration because of factors like drifts and shifts. An AI system therefore proves reliable to the extent that it can perform as required without failure, incorporating backup plans that ensure continuity, resilience, communication, accountability, and responsive action in the event of any issues.

**Transparency, Intelligibility, and Accountability.** In this context, transparency is the extent to which information about an AI solution (e.g., capabilities, limitations, and purpose) and its output is available to all relevant stakeholders. Intelligibility is the extent to which the AI system can be understood by relevant stakeholders, often through a representation of the mechanisms underlying an algorithm’s operation and through the meaning of its output in the context of its designed functional purposes. The principle of intelligibility addresses the question of whether humans can understand and make sense of the AI solution, encompassing the principles of explainability and interpretability. Explainability is the ability to provide insight into why and how the AI model is generating outputs – the observation of the inner mechanics of the AI/ML method, along with the factors and features that influence the system’s decision-making process. Explainability addresses the question of why an AI system made a specific decision. Interpretability, by contrast, is the ability to understand the cause and effect of the AI model’s output in human terms, serving as a risk mitigation strategy. It involves making the model structure, parameters, and relationship between inputs and outputs understandable. Observability, then, connotes the ability to observe inputs, outputs, impact, and consequences of model predictions. In applications designed to augment human decisions, a human-machine teaming model should explicitly specify the interface for interaction between the AI solution and the human use. This specification lays out the details needed for the user to operate the model safely, which finally supports the principle of accountability: the responsibility and liability for minimizing harm throughout all stages of the AI lifecycle.

**Security and Privacy:**  The principle of security conveys the extent to which AI systems can maintain confidentiality, integrity, and availability through administrative, technical, and physical safeguards. Privacy is the extent to which AI systems can maintain predictability, manageability, and dissociability through administrative, technical, and physical safeguards that prevent problematic data actions for individuals (including at the group and societal level). In this context, risk is the composite measure of an event’s probability of occurring and the magnitude or degree of consequences resulting from the corresponding event. Risk management is a term that signifies coordinated activities to direct and control an organization with regard to risk.

References for Principle Area Definitions and Descriptions:

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