### A and the Administrative State: Pulling Back the Curtain on the Use of AI in Mass Adjudications and Agency Decision-Making

AALS Clinical Conference, Baltimore, April 29, 2025

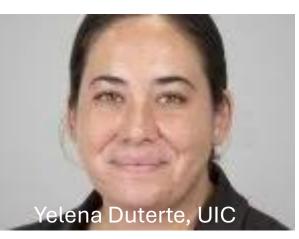






James Ridgway, GWU







### **Panelists**

- Jessica Wherry, University of Baltimore
- Morgan MacIsaac-Bykowski, Stetson
- Yelena Duterte, University of Illinois Chicago
- Hugh McClean, University of Baltimore
- James Ridgway, GWU, Bergmann & Moore

## **Overview:**

- Understanding AI in Adjudications
- Overview of Federal Guidance for Agencies
- How VA is Using AI in Adjudications
- Small Group Discussion Impact of AI on Teaching and Representation



# Understanding Al in Adjudication



## **Computers in Adjudication**

- Computers have been used in adjudication for decades.
- Adjudication is fundamentally information processing.
- Deciding cases is about gathering information and applying a set of rules to that information.





## Automation vs. Al

- "Artificial intelligence" is qualitatively different than automation.
- Think rules vs. standards.
- Automation is using a computer to process rules.
  - Does the veteran have wartime service?
  - Apply the dates of service to the legal definitions of when wars began and ended.



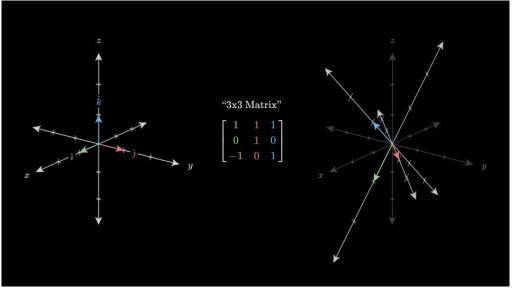
## **Al and Fuzziness**

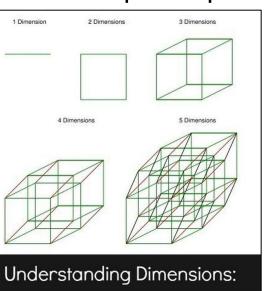
- Artificial Intelligence covers many things but generally involves actions that traditionally require subjective judgment rather than the mere application of objective rules.
- Beneath the hood, AI is using unimaginably complex matrix algebra to generate and find **statistical associations** between huge amounts of information to guess at an output that best **approximates** the **desired output** based upon examples and defined target criteria.
- Chatbots are guessing—usually word by word—what output to provide based upon the analysis of billions or trillions of examples.



## **Machine Learning Mathematics**

- Models are created by training on existing data to assign spatial coordinates to different values (like words).
- New data is analyzed using the values developed for the model to make predictions based upon proximity.





 CHAT GPT 3 WAS BASED UPON A SPACE WITH 12,228 DIMENSIONS.



## **AI Examples**

- After sufficient training on an appropriate data set, AI can:
  - **Search** a large body of information, locate relevant content, and provide a summary
    - This replaces human review of evidence.
  - Analyze images and provide an interpretation of what they represent.
    - This replaces human interpretation of handwriting and photographs.
  - Generate a decision based upon an analysis of evidence.
    - This replaces human analysis of evidence and application of judgment based upon fuzzy standards.
  - **Review decisions** drafted by humans and identify passages that have patterns indicative of analytical errors.
    - This replaces human quality review.



# Overview of Federal Guidance for Agencies



## Al Defined by Statute

### In August of 2018, the National Defense Authorization Act provides Congress' first definition of AI.

#### ARTIFICIAL INTELLIGENCE DEFINED.

- (1) Any artificial system that performs tasks under varying and unpredictable circumstances without significant human oversight, or that can learn from experience and improve performance when exposed to data sets.
- (2) An artificial system developed in computer software, physical hardware, or other context that solves tasks requiring humanlike perception, cognition, planning, learning, communication, or physical action.
- (3) An artificial system designed to think or act like a human, including cognitive architectures and neural networks.
- (4) A set of techniques, including machine learning, that is designed to approximate a cognitive task.
- (5) An artificial system designed to act rationally, including an intelligent software agent or embodied robot that achieves goals using perception, planning, reasoning, learning, communicating, decision making, and acting.

JOHN S. MCCAIN NATIONAL DEFENSE AUTHORIZATION ACT FOR FISCAL YEAR 2019 (codified at 10 U.S.C. § 2358)



### **Congress Encourages Agencies To Use Al**

Under this same statute, Congress directed agencies to use AI in order to advance performance and maximize data.

#### §9462. Veteran's health initiative

(a) Purposes. The purposes of this section are to advance Department of Energy expertise in artificial intelligence and high-performance computing in order to improve health outcomes for veteran populations by—

(2) maximizing the impact of the Department of Veterans Affairs' health and genomics data housed at the National Laboratories, as well as data from other sources, on science, innovation, and health care outcomes through the use and advancement of artificial intelligence and high-performance computing capabilities of the Department;

NATIONAL ARTIFICIAL INTELLIGENCE INITIATIVE - 15 U.S.C. § 9401 (January 1, 2021)



### **Congress Outlines the Role of Al**

Congress directed the Executive Branch to give agencies some guidance regarding their use of AI.

#### Al in Government Act of 2020

- Aimed to ensure the use of AI in the federal government was effective, ethical, and accountable
- Created the AI Center of Excellence within the General Services Administration (GSA)
- Required the Office of Management and Budget (OMB) to issue a memorandum to federal agencies regarding:
  - the development of AI policies;
  - approaches for removing barriers to using AI technologies;
  - and best practices for identifying, assessing, and mitigating any discriminatory impact or bias and any unintended consequences of using AI.

Pub. L. No. 116-260, div. U, title 1, § 104 (codified at 40 U.S.C. § 11301 note)



### **Congress Encourages Agencies To Use Al**

Congress encouraged agency use of AI to "enhance the competitiveness of the United States" and "build on the strengths of the United States in innovation and entrepreneurialism."

#### **Advancing American Al Act**

- Congress required the Secretary of Homeland Security to create an approval process for the procurement and use of AI systems.
- Congress also required the Director of the OMB to
  - develop privacy and national security measures and guidance for agencies
  - require that agencies disclose any current or planned future use of AI
  - ensure the creation and maintenance of an online public directory in order to make agency AI use information available to the public

Pub. L. No. 117-263, div. G, title LXXII, subtitle B, §§ 7224(a), 7224(d)(1)(B), and 7225 (codified at 40 U.S.C. 11301 note)



### **OMB Sends Agencies a Memorandum**

As directed to by the AI in Government Act of 2020 and the Advancing American AI Act, OMB sent a memorandum to agencies.

#### March 28, 2024 OMB Memo M-24-10

- "establishes new agency requirements and guidance for AI governance, innovation, and risk management, including through specific minimum risk management practices for uses of AI that impact the rights and safety of the public."
- required agencies to compile an active inventory of how they are using AI, as well as identify, review, and meet risk
  management requirements for AI use cases deployed in sensitive contexts—designated as "safety and/or
  rights impacting" use cases.



### **Biden and Trump Issued Executive Orders**

- EO 13859 MAINTAINING AMERICAN LEADERSHIP IN ARTIFICIAL INTELLIGENCE (Feb 11, 2019) Trump
- EO 13960 PROMOTING THE USE OF TRUSTWORTHY ARTIFICIAL INTELLIGENCE IN THE FEDERAL GOVERNMENT (December 3, 2020) Trump
- EO 14110 SAFE, SECURE, AND TRUSTWORTHY DEVELOPMENT AND USE OF ARTIFICIAL INTELLIGENCE (October 30, 2023) Biden (Revoked by Trump through EO 14179)
- EO 14179 REMOVING BARRIERS TO AMERICAN LEADERSHIP IN ARTIFICIAL INTELLIGENCE (January 23, 2025) Trump



### VA's Use of Al

### Ways we have seen VA use AI:

#### Veterans Benefits Administration

- Determine when a medical exam or medical opinion is required
- Review claims files, military personnel files, and service
   treatment records
- Track claim processing
- Detect fraudulent direct deposit requests
- Automate workflow

### Veterans Health Administration

- Assist with providing clinical diagnoses, treatment plans
- Conducting drug-addiction and suicide risk assessments
- Automate workflow in benefits claims processing



### VA's Use of Al

VA | Artificial Intelligence

Home About Al Inventory Engage Trustworthy Al

#### VA Artificial Intelligence

#### **Vision Statement**

The Department of Veterans Affairs (VA) artificial intelligence (AI) vision is to improve outcomes and experiences for our Veterans by developing trustworthy AI capabilities in support of the agency's mission.

#### **Mission Statement**

The Department of Veterans Affairs will build robust capabilities in Al to develop and apply innovative Al solutions and transform the VA by facilitating a learning environment that supports the delivery of world-class benefits and services to our Veterans.

	Case Identifiers									Is the Al use case righ
Case	Use Case Name 🗸	Agency	Bureau	Use Case Topic Ar	Other (Use Case Topic Area) 👻	Is the AI use case found in the below list of general commercial AI products and services?	What is the intended purpose and expected benefits of the AI?	Describe the AI system's output	Stage of Developme-*	impacting, safety- impacting, both, or
		VA	VHA: Veterans Health			Creating visual representations of data sets for reports and presentations usin				
		VA	OIT: Office of Informa	Mission-Enabling (internal a	gency support)	Improving the quality of written communications using AI tools.	Administrative efficiency for VA employees			
		VA	VHA: Veterans Health			Searching for information using Al.	A search function in a security video surveill-			
	CareCentra Next Level Personalized AI Health Coach		VHA: Veterans Health			None of the Above	This is an evidence based, randomized control			
		VA	VHA: Veterans Health			Creating visual representations of data sets for reports and presentations usin				Both
		VA	VHA: Veterans Health			Creating visual representations of data sets for reports and presentations usin				Both
		VA		Mission-Enabling (internal a	gency support)	Transcribing and summarizing a recorded meeting or interview using Al.	Assist staff with knowledge based recomme			
		VA	VHA: Veterans Health			Searching for information using Al.	Video search function inside a physical secu			
		VA	VHA: Veterans Health			Creating visual representations of data sets for reports and presentations usin			Operation and Maintenance	
		VA		Government Services (inclu	des Benefits and Service I		to allow for better self service options to vet			
		VA	VHA: Veterans Health			Searching for information using Al.	To be able to search the data repository with			
		VA	VHA: Veterans Health			Creating visual representations of data sets for reports and presentations usin				
		VA	VHA: Veterans Health			None of the Above	A machine learning and natural language pro			Rights-impacting
		VA	VHA: Veterans Health			Creating visual representations of data sets for reports and presentations usin			Operation and Maintenance	Both
	Enterprise Precision Scanning and Indexing (EPSI) Ne		VHA: Veterans Health			Summarizing the key points of a lengthy report using Al.		The output generates a summary of the patie		
	Nursing Proficiency Coach & Nurse Proficiency Evalu			Education & Workforce		None of the Above	Two custom GPTs have been created: Nurs			
		VA	VHA: Veterans Health			Creating visual representations of data sets for reports and presentations usin				
		VA			des Benefits and Service I	Searching for information using Al.	The AIDV Dev/Test environment will provide			
		VA	VHA: Veterans Health			None of the Above	FDA-cleared medical device to assist clinici-			
		VA	VHA: Veterans Health			Transcribing and summarizing a recorded meeting or interview using Al.	The PCSIP AI is intended to improve the acc			
		VA	VHA: Veterans Health			None of the Above	The intended purpose of the AI is to support			
	ScienceLogic Artificial Intelligence Operations (AIOP:		OIT: Office of Informa			None of the Above	Performance monitor of cloud applications			
		VA	VHA: Veterans Health	Health & Medical		None of the Above	This software aids with interpretation of clini			
544		VA	OIT: Office of Informa	Health & Medical		None of the Above	To deliver additional timely options for paties			
359		VA	VHA: Veterans Health	Health & Medical		None of the Above	FDA-cleared medical device to assist clinici-	Described in FDA documentation for this der	Operation and Maintenance	Both
708	Ambient Al scribe	VA	VHA: Veterans Health	Health & Medical		Transcribing and summarizing a recorded meeting or interview using AI.	Human scribes have been effective toward d	The system produces written summaries of o	Initiated	Both
790	Pension Optimization Initiative (POI)	VA	VBA: Veterans Benef	Government Services (inclu	des Benefits and Service (	None of the Above	VBA's POI is a transformative effort that se	The following is high-level scenarios describe	Operation and Maintenance	Rights-impacting
913	Limited Use of Azure Speech Services in PETALS Pla	VA	VHA: Veterans Health	Health & Medical		None of the Above	We have specific and limited use of Azure Sp	Audio verbalization (speak-aloud during telep	Acquisition and/or Developm	e Neither
954	Medallia SaaS - VSignals and ESignals	VA	VEO: Veterans Experis	Other	Medallia is a customer er	None of the Above •	Medallia is a customer experience managerr	See above	Operation and Maintenance	Safety-impacting
069	AGFA Dose Monitor system	VA	VHA: Veterans Health	Health & Medical		None of the Above	FDA-cleared medical device to assist clinici-	Described in FDA documentation for this der	Operation and Maintenance	Both
114		VA	VHA: Veterans Health	Health & Medical		None of the Above	FDA-cleared medical device to assist clinici-	Described in FDA documentation for this der	Operation and Maintenance	Both
159	Identity Governance and Administration (IGA)	VA	OIT: Office of Informa	Mission-Enabling (internal a	gency support)	Identifying unusual patterns in system logs from a single incident report using A				e Neither
200	VET-HOME Contact Center Al	VA	OIT: Office of Informa	Health & Medical		Searching for information using Al.	We're looking to explore the use of AI to give	We'd like to train custom co-pilots on data us	Initiated	Neither
237	Beckam Coulter DxH 800	VA	VHA: Veterans Health	Health & Medical		None of the Above	FDA-cleared medical device to assist clinici.			Both
323	UIP ath Document Understanding	VA	VHA: Veterans Health	Mission-Enabling (internal a	gency support)	None of the Above	The tool enables Optical Character Recogni	UiPath's Document Understanding will provid	Operation and Maintenance	Neither
360	Potential Fraud or Waste	VA		Mission-Enabling (internal a		None of the Above	The Purchase Card dashboards are a suite c			Neither
442	Roche Digital Pathology	VA	VHA: Veterans Health			None of the Above	To aid pathologists in diagnosing pathology			Both
475	Activity recognition using wearable sensors for use in	VA	VHA: Veterans Health	Health & Medical		None of the Above	To accurately recognize/classify a number of			
		VA		Mission-Enabling (internal a	gence support)	Searching for information using Al.	The Network Support VCA & PPMS ChatBo			
		VA	VHA: Veterans Health			None of the Above	FDA-cleared medical device to assist clinici-			
		VA	VHA: Veterans Health			None of the Above	Educational informational app that uses a R.			
		VA	VHA: Veterans Health			None of the Above	Persyst EEG Review and Analysis Software		Operation and Maintenance	
	Computer Aided Detection (CADe) of Neoplasia duri		VHA: Veterans Health	Health & Medical		None of the Above	GI Genius™, a commercial product distribute			
		VA	VHA: Veterans Health			None of the Above	Behavioral prediction model used to create			
	TrueFidelity CT Deep Learning Image Reconstruction	VA	VHA: Veterans Health			None of the Above	Decreases noise in CT images	,,	Operation and Maintenance	
		VA	VHA: Veterans Health	Health & Medical		None of the Above	Develop predictive model for chronic diseas	Output will be identification of chronic diseas		
		VA	VHA: Veterans Health			None of the Above	FDA-cleared medical device to assist clinici			
		VA	VHA: Veterans Health					Output is based on Veteran profiles utilizing d		
	Analytics, Data, and Decision Support Unified Platfor		OALC: Office of Acqu		Data Analusis	None of the Above	Using Allenhancements, this tool can guickly			
		VA	VHA: Veterans Health			None of the Above	FDA-cleared medical device to assist clinici-			
	VA Section 508 Office URL Ownership Prediction Mo			Mission-Enabling (internal a	dence support)	None of the Above	Purpose of the Al system is to predict the ac			
		VA	VHA: Veterans Health		action subbourd	None of the Above	This software is for improving efficiency in p			
	National Cemetery Administration (NCA) Automated				der Rene®r and Service (	Inputting large amounts of data from paper forms into a digital system using AL				
		VA	VHA: Veterans Health		ass patients and pervice t	Inputting large amounts or data from paper forms into a digital system using AL None of the Above		Results contain 0 for no evidence of adenom		Hights-Impacting Neither
		VA		Mission-Enabling finternal a	acces current)	None of the Above	Using VA-provided procedural reference mat			
	National Training Team   Schools — FAQ Dashboard			Mission-Enabling (internal a		None of the Above	The 1.0 dashboard clusters thousands of sut		Implementation and Assessm	
	National Training Team   Schools – FAQ Dashboard National Training Team   Schools – FAQ Dashboard			Mission-Enabling (internal a		None of the Above	The model should classify thousands of suc			
:200	mational maining ream pochools - FRQ Dashboard	v.e	TDA: Veterans Benef	renssion-chapling (internal a	gency support)	Note of the Above	The model should classify thousands of que	ciassincation, list or questions, answers to q	Acquisition and/or Developmi	e mercher



# How VA is Using Al in Adjudication



## **VA Programs**

- Veterans Benefits Management System (VBMS)
  - VBMS Core An electronic claims file where documents are stored
  - VBMS R A suite of tools to help staff gather evidence and make decisions.
- Office of Automated Benefits Delivery
  - Has been moving beyond automation to using AI in building tools.
  - New chatbot generates answers to questions from rating staff.



## **VBMS 2.0 File Review**

- Within a day of a claim being filed, AI will review the claim file and:
  - (1) decides what benefit is being sought and what theory of entitlement claimed (if applicable)
  - (2) automatically retrieve records from the military and VA hospitals
    - Al scrubs VA records of entries deemed duplicative.
  - (3) create and Automated Review Summary Document (ARSD)
    - This is a PDF summary of the file.



## **Automated Review Summary Documents**

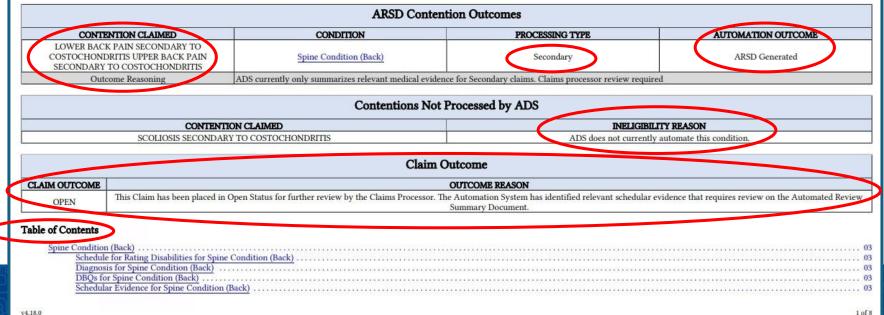
VA

- Here is a sample of a Veteran's ARSD.
- The top of the screen contains basic info about a Veteran.
- The middle tells you exactly what happened with the automation.
- The bottom shows a table of contents.

**BALT** 100

U.S. Department of Veterans Affairs	EVIDENCE REVIE	W SUMMARY	
	Veteran's Name:		
	File Number:		
	Date of Evidence Review:	11/22/2024	
	The second second		
	Claim ID		
	Date Of Claim	11/21/2024	
	IIF	N/A	
	EP	020	

Claims Processors: This document summarizes data in the Veteran's record related to military service and disability evaluation criteria.



## **Automated Review Summary Documents**

Schedule for Rating Disabilitie	s for Spine Condition	Autor	<b>lition: Spine Condition (Back)</b> Processing Type: Secondary mation Outcome: ARSD Generated ecfr.gov/current/title-38/chapter-I/pa	rt-4/subpart-B/subject-group-ECFF	Rd3005f7d828ea7b/section-4.71a			
Diagnosis for Spine Condition (Back)								
NAME	ICD CODE	DATE	DOCUMENT	PAGE NUMBER(S) / EVENT ID(S)	DOCUMENT ID			
	None of the ICD co	odes associated with this o	condition were identified in the VA Healthca	are records reviewed by automation				
DBQ for Spine Condition (Back)								
TYPE OF DBQ VBMS RECEIPT DATE			DOCUMENT         PAGE NUMBER(S) / EVENT ID(S)         DOCUMENT ID           dentify any DBQs for this condition within the records reviewed.         DOCUMENT ID         DOCUMENT ID					
	3	Automation did not ident	ity any Doos for this condition within the r	ecorus revieweu.				
	Sched	ular Evidence for S	Spine Condition (Back) Within t	the Review Period				
EVIDENCE		OBSERVATION DATE	DOCUMENT	PAGE NUMBER(S) / EVENT ID(S)	DOCUMENT ID			
Scoliosis		11/21/2024	VA 21-526EZ, Fully Developed Claim (Compensation)	3	b0c7f35c-a208-4b66-9168-d321dbc33			

 The main document is divided into sections that identify (1) medical diagnoses, (2) DBQs, (3) "schedular evidence," and (4) other evidence.



## **Evidence Summaries**

No Pain With Oxtension) Active Thoracic Oxtonsion Active Thorado Axtenalon Activo Thoracio Extansion	9/17/2013	JLV/MTF	291	ed8542e9-7d50-41fb-9dc6-55a20f4d8776
Srrr	7/25/2013	Medical Treatment Record - Government Facility	7	511368f2-e2c4-45d3-be91-6de978a5244f
Srrr	7/25/2013	JLV/MTF	329	ed8542e9-7d50-41fb-9dc6-55a20f4d8776
Weakness	5/2/2012	JLV/MTF	755	ed8542e9-7d50-41fb-9dc6-55a20f4d8776
No Soft Tissue Swelling	5/1/2012	JLV/MTF	761	ed8542e9-7d50-41fb-9dc6-55a20f4d8776

- One of the terms in the medical records that AI thinks may be relevant to rating the severity of this condition is "Srrr."
- Note that the summary provides dates for all the records, but the AI needs only 80% confidence in the accuracy of that date to display it without any notation that it could be wrong.



## **VBMS 2.0 Outcomes**

- Automated review can lead to one of five states:
  - (1) Stop after ARSD.
  - (2) Designate a case for drafting an order for a medical opinion.
  - (3) Draft a recommended order for a medical exam.
  - (4) Designate a case as ready for decision.
  - (5) Draft a recommended decision for approval.



## Some Top Concerns

- Automation favors agency evidence that contains structured data.
- Al misunderstands pro se submissions that use legal terms inaccurately or imprecisely.
- Al summaries miss evidence that does not conform to expected patterns.
- Al summaries provide dates for evidence as definitive even when only 80% confident that the date is accurate.
- Links to relevant law in evidence summary may not reflect law applicable when claim was decided.
- Al misidentifies records in duplication analysis (in both ways).
- AI Chatbot may hallucinate laws and policies without transparency.



# **SMALL GROUP DISCUSSION**

# (but first, check-in questions)



## **DISCUSSION QUESTIONS**



- How does the audience (AI) and broader rhetorical situation change?
- How should clinicians account for these changes in assessment and teaching?





- Understanding how AI is used in agency decision-making
- Overview of Federal Regulations
- Impact of AI on teaching and representation





