DAGS v1.0 Normative Standard

D5 — Operational Integration

Evidence Principles

1. Purpose

This document defines the evidence principles applicable to the Operational Integration domain of the Deployment AI Governance Standard (DAGS).

Its purpose is to:

- Specify acceptable categories of evidence demonstrating satisfaction of D5 requirements
- Preserve insurer and assessor legibility without prescribing procedures
- Ensure operational integration is demonstrable in practice, not asserted in theory

This document is normative.

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2. Evidence Scope

Evidence under D5 shall demonstrate that governance of the deployed AI system is integrated into real operational processes.

Evidence shall show that governance:

- Is embedded in day-to-day operations
- Persists beyond initial deployment
- Functions during change, escalation, and exception handling
- Is not isolated to policy, design, or oversight artifacts

3. Acceptable Evidence Categories

The following categories of evidence are acceptable for demonstrating compliance with D5 requirements.

3.1 Operational Process Integration Evidence

Evidence that governance controls are embedded within operational workflows, such as:

- Documented operational processes that explicitly incorporate AI system governance
- Operational procedures showing where AI governance decisions occur
- Evidence that governance actions are triggered by operational events

This evidence shall demonstrate integration, not parallel oversight.

3.2 Change and Update Integration Evidence

Evidence that AI governance is integrated into system change and update processes, such as:

- Records showing governance review or approval associated with deployed system changes
- Documentation linking system updates to operational change controls
- Evidence that post-deployment modifications are subject to governance constraints

Change governance shall be operational, not retrospective.

3.3 Escalation and Exception Handling Evidence

Evidence that governance is operational during abnormal conditions, such as:

- Defined escalation paths for AI-related incidents or anomalies
- Records demonstrating use of escalation mechanisms
- Documentation showing how exceptions are handled and resolved

Evidence shall demonstrate that escalation mechanisms are usable and used.

3.4 Role and Responsibility Execution Evidence

Evidence that assigned roles and responsibilities are exercised in practice, such as:

- Records of governance actions taken by designated roles
- Evidence linking operational decisions to accountable owners
- Documentation demonstrating authority exercised during operations

Assignment alone is insufficient without execution.

3.5 Operational Monitoring and Feedback Evidence

Evidence that governance incorporates operational feedback, such as:

- Records showing monitoring outputs reviewed by accountable roles
- Documentation of operational issues feeding into governance processes
- Evidence of corrective or adaptive actions taken in response to operational signals

Monitoring must inform governance, not merely observe behavior.

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4. Evidence Characteristics

All evidence presented for D5 requirements shall be:

- System-specific
- Traceable to the deployed operational environment
- Current and relevant to ongoing operations
- Sufficient to demonstrate actual integration

Evidence shall not rely solely on static documentation.

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5. Insufficient or Prohibited Evidence

The following are insufficient or prohibited as sole evidence of D5 compliance:

- High-level policies without operational linkage
- Organizational charts without execution records
- Statements of intent or future plans
- One-time deployment artifacts not connected to ongoing operations
- Assertions of integration without demonstrable operation

Operational integration must be observable.

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6. No Prescribed Methods

This document does not prescribe:

- Specific operational tools
- Workflow designs
- Documentation formats
- Testing or audit procedures

Organizations may satisfy D5 requirements using varied operational models, provided integration is demonstrable.

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7. Relationship to Other Domains

Evidence under D5 may reference or intersect with evidence used in other domains, but:

- D5 evidence shall specifically demonstrate operational integration
- Evidence used for other domains does not automatically satisfy D5 requirements

Operational integration is a distinct governance obligation.

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8. Burden of Demonstration

The burden of demonstrating compliance with D5 requirements rests with the organization asserting alignment.

Absence of demonstrable operational integration shall be treated as non-satisfaction.

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9. Status

This D5 Evidence Principles document is **normative**.

It is binding for DAGS v1.0 and all derivative artifacts unless explicitly superseded.

10. License & Authority

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