DAGS v1.0 Normative Standard

Auditability and Traceability

1. Purpose

This document defines the cross-cutting requirements for auditability and traceability that apply across all domains of the Deployment AI Governance Standard (DAGS) v1.0.

Its purpose is to:

- Ensure governance controls can be independently examined and verified
- Enable attribution of decisions, changes, and outcomes
- Support defensible review under regulatory, legal, and insurance scrutiny
- Prevent reliance on opaque or irreproducible governance claims

This document is normative.

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2. Principle of Auditability

Governance under DAGS shall be auditable.

Auditability requires that:

- Governance controls are documented and reviewable
- Evidence supporting requirements can be examined independently
- Records are sufficient to reconstruct governance-relevant events

Claims that cannot be audited are not acceptable.

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3. Traceability Requirement

Traceability shall exist across the lifecycle of a deployed AI system.

Traceability requires the ability to link:

- Requirements to controls
- Controls to evidence
- Decisions to accountable roles
- Changes to authorization and timing
- Outcomes to system behavior

Traceability shall be continuous and system-scoped.

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4. Traceable Artifacts

Traceable artifacts **shall exist** for governance-relevant activities, including:

- Assignment of ownership and accountability
- Authorization of system changes
- Governance decisions affecting deployed behavior
- Detection and handling of incidents or misuse

Artifacts shall be attributable to identifiable roles and timestamps.

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5. Change Traceability

All material changes to deployed AI systems shall be traceable.

Traceability of change shall include:

- The nature of the change
- The authority that approved the change
- The time at which the change occurred
- The system scope affected

Untraceable changes are prohibited.

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6. Decision Traceability

Governance-relevant decisions shall be traceable to accountable roles or functions.

Traceability shall support determination of:

- Who decided
- Under what authority
- Based on what information
- With what intended effect

Decisions without traceable accountability are not acceptable.

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7. Outcome Traceability

Where AI system behavior produces outcomes with governance relevance, traceability shall exist sufficient to:

- Attribute outcomes to system behavior
- Connect outcomes to configuration or change state
- Support investigation and review

Outcome traceability does not require explainability of model internals.

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8. Evidence Traceability

Evidence used to demonstrate satisfaction of DAGS requirements shall be traceable to:

- Specific requirements
- Declared system scope
- Applicable version of the standard

Evidence disconnected from requirements or scope is not acceptable.

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9. Retention and Availability

Audit and traceability artifacts shall be retained for a period sufficient to support review, investigation, or dispute resolution.

Artifacts shall be:

- Protected against unauthorized alteration

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- Available upon reasonable request
- Maintained in a durable form

Ephemeral or transient records are insufficient.

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10. Prohibited Conditions

The following are explicitly prohibited:

- Governance claims without traceable evidence
- Decisions without identifiable authority
- Changes without recorded approval
- Outcomes that cannot be attributed to system behavior

Such conditions invalidate governance assertions.

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11. Authority of This Requirement

This document governs interpretation of auditability and traceability across all DAGS domains.

In the event of conflict or ambiguity, these requirements prevail.

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12. Status

This Auditability and Traceability document is **normative**.

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

13. License & Authority

The Deployment AI Governance Standard (DAGS) is a publicly available governance standard made available for reference and implementation.

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