DAGS

DEPLOYMENT AI
GOVERNANCE STANDARD

**DAGS v1.0 Normative Standard**

# D4 — Ethics and Responsible Use

## Evidence Principles

## 1. Purpose

This document defines the evidence principles applicable to the Ethics and Responsible Use domain (D4) of the Deployment AI Governance Standard (DAGS) v1.0.

Its purpose is to:

- Specify the nature and category of evidence required to demonstrate satisfaction of D4 requirements
- Ensure ethical commitments are operationally grounded and enforceable
- Prevent substitution of aspirational statements for deployment-layer controls

This document is normative.

## 2. General Evidence Standard

Evidence for D4 requirements shall demonstrate that ethical and responsible-use constraints exist and are enforced at the deployment layer.

Evidence shall be:

- Documented and durable

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**Status:** Published

- Attributable to the declared system scope
- Sufficient to demonstrate enforcement capability
- Current with respect to the deployed system

Ethical intent without operational artifacts is insufficient.

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# 3. Constraint Definition Evidence

Evidence demonstrating defined ethical and responsible-use constraints shall establish:

- Explicit articulation of permissible and prohibited uses
- Alignment of constraints with the system's operational context
- Accessibility of constraints to those governing the system

Acceptable evidence categories include:

- Responsible-use policies specific to the system
- System-level ethical constraint documentation
- Governance records defining ethical boundaries

Generic organizational ethics statements are insufficient.

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# 4. Accountability Evidence

Evidence of ethical accountability shall demonstrate:

- Assignment of responsibility for defining and enforcing constraints
- Persistence of accountability across system changes
- Clear linkage between accountable roles and the deployed system

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Acceptable evidence categories include:

- Role designations or accountability matrices
- Governance documentation linking ethical responsibility to the system
- Records demonstrating continuity of ethical oversight

Diffuse or implied accountability is not acceptable.

# 5. Enforcement Mechanism Evidence

Evidence supporting enforcement shall demonstrate:

- Existence of mechanisms to enforce ethical constraints
- Ability to prevent or limit prohibited uses
- Operational integration of enforcement controls

Acceptable evidence categories include:

- System control documentation enforcing use constraints
- Configuration records implementing ethical boundaries
- Governance procedures supporting enforcement

Policy statements without enforcement mechanisms are insufficient.

# 6. Misuse Detection and Response Evidence

Evidence of misuse detection shall demonstrate:

- Mechanisms to identify foreseeable misuse

- Defined response or mitigation pathways
- Assigned responsibility for handling misuse

Acceptable evidence categories include:

- Misuse monitoring or detection documentation
- Incident response procedures tied to ethical breaches
- Records of misuse handling processes

Detection without response capability is insufficient.

# 7. Oversight and Review Evidence

Evidence of oversight and review shall demonstrate:

- Ongoing monitoring of adherence to constraints
- Defined review processes triggered by material changes
- Governance oversight of ethical compliance

Acceptable evidence categories include:

- Oversight role definitions
- Review records or governance procedures
- Change management documentation referencing ethical constraints

Ad hoc or discretionary review is not acceptable.

# 8. Prohibited Evidence Substitutions

The following shall not be accepted as evidence for D4 requirements:

- Corporate ethics codes without system linkage
- Public-facing statements of principles
- Marketing claims of responsibility
- Training materials without enforcement relevance

Such materials do not demonstrate deployment-layer ethical governance.

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# 9. Status

This Evidence Principles document is **normative**.

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

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# 10. License & Authority

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