Identity and Purpose Checklist

AI/ML Constituent Requirements Capture

Safety Requirements Allocated to AI/ML Constituent

- Has the applicant captured performance requirements for the AI/ML constituent?

  ○ Yes / No

- Has the applicant captured reliability requirements for the AI/ML constituent?

  ○ Yes / No

- Has the applicant captured resilience requirements for the AI/ML constituent?

  ○ Yes / No

Information Security Requirements Allocated to AI/ML Constituent

- Has the applicant captured information security requirements for the AI/ML constituent?

  ○ Yes / No

Functional Requirements Allocated to AI/ML Constituent

- Has the applicant captured functional requirements for the AI/ML constituent?

  ○ Yes / No

- Are the functional requirements related to AI/ML constituent ODD monitoring and performance monitoring?

  ○ Yes / No

- Are the functional requirements related to detection of OoD input data and data-recording requirements?

  ○ Yes / No

Operational Requirements Allocated to AI/ML Constituent

- Has the applicant captured operational requirements for the AI/ML constituent, including:

  ○ AI/ML constituent ODD monitoring and performance monitoring
  ○ Detection of OoD input data and data-recording requirements
  ○ Scalability?
  ○ Interface requirements?
  ○ Yes / No

Other Non-Functional Requirements Allocated to AI/ML Constituent

- Has the applicant captured other non-functional requirements for the AI/ML constituent, such as:

  ○ Reliability?
  ○ Resilience?
  ○ Interoperability?
  ○ Yes / No

AI/ML Constituent ODD Definition

Parameters Pertaining to AI/ML Constituent ODD

- Has the applicant defined a set of parameters pertaining to the AI/ML constituent ODD?

  ○ Yes / No

- Are the parameters traceable to corresponding parameters in the OD when applicable?

  ○ Yes / No

DQRs for AI/ML Constituent

Data Relevance

- Is the data relevant to support the intended use of the AI/ML constituent?

  ○ Yes / No

Origin of Data

- Can the origin of the data be determined?

  ○ Yes / No

Annotation Process

- Are requirements related to the annotation process defined?

  ○ Yes / No

Format, Accuracy, and Resolution of Data

- Is the format of the data defined?

  ○ Yes / No

- Is the accuracy of the data defined?

  ○ Yes / No

- Is the resolution of the data defined?

    ○ Yes / No

Traceability of Data

- Can the data be traced from its origin to its final operation through the whole pipeline of operations?

    ○ Yes / No

Mechanisms for Ensuring Data Integrity

- Are mechanisms ensuring that the data will not be corrupted while stored, processed, or transmitted over a communication network defined?

    ○ Yes / No

Completeness and Representativeness of Data Sets

- Is the completeness of the data sets defined?

    ○ Yes / No

- Is the representativeness of the data sets defined?

    ○ Yes / No

Independence between Training, Validation, and Test Data Sets

- Are the training, validation, and test data sets independent from each other?

    ○ Yes / No