

Here is the checklist for the author and reviewer:

Requirements Management

ET-01: Ethics-based trustworthiness assessment

- Has an ethics-based trustworthiness assessment been performed?
☐ Yes / No

ET-02: Risk of creating over-reliance or manipulating user behavior

- Does the AI-based system have a risk of creating over-reliance or manipulating user behavior?
☐ Yes / No
- If yes, what measures are in place to mitigate this risk?

ET-03: Compliance with data protection regulations

- Has national and EU data protection regulations (e.g. GDPR) been complied with?
☐ Yes / No
- Is the Data Protection Officer (DPO) involved?
☐ Yes / No
- Have consultations been made with National Data Protection Authority?
☐ Yes / No

ET-04: Avoidance of unfair bias

- Has creation or reinforcement of unfair bias in the AI-based system been avoided?
☐ Yes / No
- Are both data sets and trained models considered?
☐ Yes / No

ET-05: End-user awareness

- Are end-users aware that they interact with an AI-based system?
☐ Yes / No
- Is personal data recorded by the system, if applicable?
☐ Yes / No

ET-06: Environmental impact analysis

- Has an environmental impact analysis been performed to identify and assess potential negative impacts on the environment and human health throughout the life cycle?
☐ Yes / No
- Are measures defined to reduce or mitigate these impacts?
☐ Yes / No

ET-07: Identification of new competencies needed for users and end-users

- Have new competencies been identified as needed for users and end-users to interact with and operate the AI-based system?
☐ Yes / No
- Are training gaps mitigated through a training needs analysis and subsequent training activity?
☐ Yes / No

ET-08: Risk assessment of de-skilling of users and end-users

- Has an assessment been performed of the risk of de-skilling of users and end-users?
☐ Yes / No
- Are measures defined to mitigate this risk through a training needs analysis and subsequent training activity?
☐ Yes / No

AI Assurance

DA-01: Proposed learning assurance process

- Is a proposed learning assurance process described, considering each step in Sections C.3.1.2 to C.3.1.14, as well as the interface and compatibility with development assurance processes?
☐ Yes / No

DA-02: Minimum requirements for AI/ML constituent

- Are the following minimum requirements captured for the AI/ML constituent:
 - ☐ Safety requirements
 - ☐ Information security requirements
 - ☐ Functional requirements
 - ☐ Operational requirements (including OOD monitoring and performance monitoring, detection of OoD input data, and data-recording requirements)
 - ☐ Other non-functional requirements
 - ☐ Interface requirements?
 - ☐ Yes / No