Identity and Purpose Checklist

Configuration Management (CM)

- Has all configuration items been identified for the AI/ML constituent life-cycle data? ●☐
- Is versioning being used to track changes to the AI/ML constituent? ●☐
- Have baselines been established for the AI/ML constituent? ●☐
- Is change control in place for the AI/ML constituent? ●☐
- Can the AI/ML constituent be reproducibly developed, tested, and deployed? ●☐
- Are problem reports being tracked for the AI/ML constituent? ●☐
- Is archiving and retrieval of AI/ML constituent data in place? ●☐
- What is the retention period for AI/ML constituent data? ●☐

Anticipated MOC CM

- Has training, validation, and test data sets used for the frozen model been managed as configuration items? ●☐
- Are all tooling used during the transformation of data being managed as configuration items? ●☐

Quality and Process Assurance (QA)

- Is independence level required for quality assurance applied to AI-based system development? ●☐
- Have quality assurance principles been applied to the development of the AI/ML constituent? ●☐

Reuse of AI/ML Models

- Are previously developed AI/ML constituents or ML models being replaced or modified? ⇄
- Is data quality ensured when reusing AI/ML models? ●☐
- Is change management in place for reused AI/ML models? ●☐
- Can the explainability of reused AI/ML models be demonstrated? ●☐
- Is scalability ensured when reusing AI/ML models? ●☐

Requirements Capture

- Have all requirements necessary to design and implement the AI/ML constituent been captured? ●☐
- Are safety requirements allocated to the AI/ML constituent being tracked? ●☐
- Are information security requirements allocated to the AI/ML constituent being tracked? ●☐
- Are functional requirements allocated to the AI/ML constituent being tracked? ●☐
- Are operational requirements allocated to the AI/ML constituent, including ODD monitoring and performance monitoring, being tracked? ●☐
- Are other non-functional requirements allocated to the AI/ML constituent being tracked? ●☐
- Are interface requirements for the AI/ML constituent being tracked? ●☐

AI/ML Constituent ODD

- Has a precise characterization of the AI/ML constituent ODD been defined? 🔑

- Are parameters pertaining to the AI/ML constituent ODD being traced to corresponding parameters in the OD when applicable? 🔑