Socio-technical nature of AI, Algorithmic and Autonomous systems means that the human is embedded in the equation, often through the use of Personal Data, equally as often impact humans through outcome. The risk arising from AAA systems are unique/ multidisciplinary skill sets to handle them appropriately and timely efforts and require Diverse Inputs and Multiple Stakeholders Feedback.

To illustrate the roles of various committees , we are providing a brief guidance on the broader roles and responsibilities of these committees along the lifecycle of AI, algorithmic or autonomous systems.

There are five key committees (Data Management Committee, Algorithmic Risk Committee, Ethics Committee, Childrens Data Oversight Committee and Testing & Evaluation Committee).

This document provides an overview of illustrative responsibilities of each of these committees through the lifecycle.

The following are guidance provided to understand the responsibility of the specific committees and their interrelationships. These are illustrative and not exhaustive, (especially in respect to specific audit criteria).

Data Management Committee

Phase	**Process Stage**	**Illustrative responsibilities**
Development	Data Collection	Assess risks associated with data collection including appropriateness, relevance and representativeness. Report the risks along with recommendations to ARC as part of Data management report
Development	Data Labeling	Assess risks associated with data labeling including data quality and information quality. Report the risks along with recommendations to ARC as part of Data management & information management report
Development	Data Cleaning	Assess risks associated with data preprocessing . Report the risks along with recommendations to ARC as part of Data management & information management report
Development	Data transformation & reduction	

Development	Training, test and validation split	
Development	Model design	Assess risks associated with the model including the data quality and info quality of model data and pipeline data. Report the risks along with recommendations to ARC as part of Data management & information management report
Development	Model testing and validation	Assess risks associated with the model including the data quality and info quality of model data and pipeline data. Report the risks along with recommendations to ARC as part of Data management & information management report
Deployment	Human in the loop / on the loop	Assess risks associated with the adequacy and appropriateness of data and its related processing provided to the HTL for action including the issues associated with risk of cognitive bias contributed by the outcome data representation to the HTL. Report the risks along with recommendations to ARC as part of Data management & information management report

Algorithmic Risk Committee

Phase	**Process Stage**	**Illustrative responsibilities**
Design	Scope-Nature-Concept-Purpose design	Appropriateness of the design and approving processing of personal data. No reports at this stage. Feedback provided to business/ data science teams as appropriate.
Design	Necessity & Proportionality	Review and approve the reports. No reports at this stage
Development	Data Collection	Assess risks associated with privacy and bias with DI&MSF, mitigate risks, ensure that residual risks are within risk tolerance. Include inputs as part of the Data transparency report. Report the risks, treatment and residual risk management as part of

		ARA.
Development	Data Labeling	Assess risks associated with privacy, bias, data governance, data & information quality with DI&MSF, mitigate risks, ensure that residual risks are within risk tolerance. Include inputs as part of Data transparency report. Report the risks, treatment and residual risk management as part of ARA. Consider reports including ERA, TEC At-risk, Data Management and Info management and CDOC recommendations in this regard
Development	Data Cleaning	
Development	Data transformation & reduction	
Development	Training, test and validation split	
Development	Model design	
Development	Model testing and validation	
Development	Model tuning	
Deployment	Model deployment	
Deployment	Model integration / interface	Assess risks associated with data and information quality during integration, interface connectivity. Report all risks as part of the Deployment Release Report. Consider reports including ERA, TEC At-risk, Data Management and Info management and CDOC report in this regard
Deployment	Human in the loop / on the loop	Assess risks, mitigate risks, ensure that residual risks are within risk tolerance. Include inputs as part of the Data Transparency Report. Report the risks, treatment and residual risk management as part of ARA. Consider reports including ERA, TEC At-risk, Data Management and Info management and CDOC report in this regard
Deployment	Model health, fitness & monitoring	
Deployment	Post market insights/ feedback	Assess risks (including potential harms, adverse events, emergent risks), mitigate risks, ensure that residual risks are within risk tolerance. Consider inputs from AIRS, Blackbox and other insights from TEC.

Decommissioning	Model decommissioning	Assess risks associated with data sharing consent, unplanned data loss, disaster recovery and BCP. Provide and implement appropriate related risk controls. Maintain / update in AAA inventory list.

Testing & Evaluation Committee

Phase	**Process Stage**	**Illustrative responsibilities**
Development	Data Labeling	Assess risks associated with data quality (specifically data labeling) and information quality including the risks arising from the associated processes or systems used for the said purpose. Report the risks, treatment and residual risks as part of TEC At-Risk report
Development	Data Cleaning	Assess risks associated with data quality (specifically data pre-processing) and information quality including the risks arising from the associated processes or systems used for the said purpose. Report the risks, treatment and residual risks as part of TEC At-Risk report
Development	Data transformation & reduction	
Development	Training, test and validation split	
Development	Model design	Assess risks associated with safety, security, accountability, governance and accessibility in the model design stage with DI&MSF. Report the risks, treatments and residual risks as part of TEC AT-Risk Report
Development	Model testing and validation	Assess risks associated with bias, safety, security, accountability, governance, transparency, explainability and accessibility in the model testing and validity stage with DI&MSF. Report the risks, treatments and residual risks as part of TEC AT-Risk Report
Development	Model tuning	Assess risks associated with bias, diversity, accountability, explainability. Report the risks, treatment, residual risks as part of TEC AT-risk report.

Deployment	Model deployment	Assess risks associated with model interpretability & drift as part of governance and explainability. Report the risks, treatment, residual risks as part of TEC At-Risk report
Deployment	Model integration / interface	Assess risks associated with model integration, interfaces in terms of privacy, cybersecurity, transparency, accountability, accuracy, auditability, integrity. Report these risks, treatments, and residual risks as part of TEC-AT - Risk Report.
Deployment	Human in the loop / on the loop	Assess risks associated with HTL including effectiveness of HTL as part of Governance with DI&MSF. Report the risks, treatments and residual risks as part of TEC AT-Risk Report. Also include the process and mitigatable risks or residual risks as part of the HTL integration report.
Deployment	Model health, fitness & monitoring	Assess risks associated with bias, safety, security, accountability, governance, transparency, explainability and accessibility in the model monitoring stage with DI&MSF (including inputs from AIRS, Stress testing, edge case testing etc). Report the risks, treatments and residual risks as part of TEC AT-Risk Report. Include guidance as part of interpretability report
Deployment	Post market insights/ feedback	Assess risks associated with the model based on inputs from AIRS. Report the risks, treatments and residual risks as part of TEC AT-Risk Report. Contribute with insights and mitigatable risks or residual risks as part of a Post deployment model management report prepared by ARC.
Decommissioning	Model decommissioning	Assess risks associated with AAA , its integration and interface loss/ absence. Assess risks related to partial/ full data unavailability to other systems/ operations. Appropriate risk mitigation controls will be communicated to ARC as part of the Decommissioning Report.

Ethics Committee

Responsibilities (illustrative) of committees in AI lifecycle

Phase	Process Stage	Illustrative responsibilities
Design	Scope-Nature-Concept-Purpose design	Appropriateness and inclusion of ethics in design. No reports at this stage. Feedback provided to business/ data science teams as appropriate
Development	Data Collection	Assess ethical issues in the data including bias and ethical use of the data. Recommend mitigations/ suggestions to the ethical risks to ARC as part of ERA.
Development	Data Labeling	Assess ethical issues in the data including bias, representativeness and compliance with other aspects covered under Code of Data Ethics. Recommend mitigations/ suggestions to the ethical risks to ARC as part of ERA.
Development	Data Cleaning	
Development	Data transformation & reduction	
Development	Training, test and validation split	
Development	Model design	Assess ethical issues associated with the model including accessibility and human agency (HTL & overseer) and other relevant aspects covered as part of Code of Data Ethics. Recommend mitigations/ suggestions to the ethical risks to the ARC as part of ERA
Development	Model testing and validation	
Development	Model tuning	
Deployment	Model deployment	
Deployment	Model integration / interface	Assess the ethical issues of nudging, appropriateness of data use in the context of accountability and governance and highlight these risks along with mitigations/ suggestions to ARC as part of ERA
Deployment	Human in the loop / on the loop	Assess adequacy and appropriateness of HTL in the process and highlight ethical issues along with recommended mitigations/ suggestions to ARC as part of ERA
Deployment	Model health, fitness & monitoring	Assess risks associated with ethics based on mitigatable risks or residual risks identified during the KRI monitoring. Ethics risks along with recommendations/ suggestions are reported to ARC as part of ERA.

Deployment	Post market insights/ feedback	Accumulate and report risks reported as part of the post market insights . ERC will assess related ethical risks and propose appropriate risk mitigation controls into AAA system where applicable to ARC.
Decommissioning	Model decommissioning	Assess risks associated with data transparency, unplanned data subject loss, disaster recovery and BCP with respect to subjects. Provide and implement appropriate related risk controls to ARC. Maintain / update in AAA inventory list.

Children's Data Oversight Committee

Phase	**Process Stage**	**CDOC**
Design	Scope-Nature-Concept-Purpose design	Appropriateness of considerations for children in the design. No reports at this stage. Feedback provided to business/ data science teams as appropriate
Development	Data Collection	Assess issues in the children's data including age appropriateness, ethical use of the data and other childrens data collection issues (eg. geolocation). Highlight risks along with recommendations to ARA and EC as appropriate in form of CDOC report.
Development	Data Labeling	Assess issues in the children's data including age appropriateness, ethical use of the data and other childrens data collection issues (eg. geolocation). Highlight risks along with recommendations to ARA and EC as appropriate in form of CDOC report.
Development	Data Cleaning	
Development	Data transformation & reduction	
Development	Training, test and validation split	
Development	Model design	Assess risks associated with processing of childrens data (aligned with age appropriate design guidelines). Highlight risks along with recommendations to ARA and EC as appropriate in form of CDOC report
Development	Model testing and validation	
Development	Model tuning	
Deployment	Model deployment	

Deployment	Human in the loop / on the loop	Assess risks associated with parental controls and oversight as relevant for children. Highlight risks along with recommendations to ARA and EC as appropriate in form of CDOC report
Deployment	Post market insights/ feedback	Assess risks associated with processing of childrens data (aligned with age appropriate design guidelines). Consider inputs from AIRS as part of the process as applicable. Highlight risks along with recommendations to ARA and EC as appropriate in form of CDOC report

