

CONTENT

APPROVAL PAGE	i
SELF DECLARATION AGAINST PLAGIARISM.....	ii
ABSTRACT	iii
DEDICATION	iv
ACKNOWLEDGMENT	v
CONTENT	vi
LIST OF TABLE	ix
LIST OF FIGURE	x
LIST OF TERMINOLOGY	xi
CHAPTER 1 INTRODUCTION.....	1
1.1 Background	1
1.2 Problem Statement	3
1.3 Objectives.....	4
1.4 Justification for Research	4
1.5 Scope and Limitations.....	5
1.6 Significance of the Study	6
1.7 Structure of the Thesis	7
CHAPTER 2 LITERATURE REVIEW	9
2.1 Introduction	9
2.2 Assurance Case Frameworks	10
2.2.1 Claims-Argument-Evidence (CAE)	11
2.2.2 Goal Structuring Notation (GSN).....	12
2.2.3 Structured Assurance Case Metamodel (SACM).....	14
2.2.4 Comparative Analysis of CAE, GSN, and SACM	16
2.3 Empirical Keyword Analysis.....	17
2.4 Assurance Methodology for Machine Learning Implementation: AMLAS... ..	19
2.5 Machine Learning Implementation in Autonomous Vehicle Systems.....	21
2.6 Summary	22
2.7 Positioning and Novelty.....	24
CHAPTER 3 RESEARCH METHODOLOGY.....	26
3.1 Overview of the Methodology	26
3.2 Research Flow and Process	26
3.2.1 Literature Review	27
3.2.2 Problem Definition	27
3.2.3 AMLAS and SACM Integration.....	28

3.2.4 ML Implementation	28
3.2.5 Evaluation and Analysis	29
3.3 Assurance-to-Simulation Flow	29
3.4 Research Activities Based on AMLAS Stages	32
3.4.1 System Safety Requirements	33
3.4.2 Stage 1: ML Safety Assurance Scoping	33
3.4.3 Stage 2: ML Requirements Assurance	34
3.4.4 Stage 3: Data Management Assurance	35
3.4.5 Stage 4: Model Learning Assurance	36
3.4.6 Stage 5: Model Verification Assurance.....	37
3.4.7 Stage 6: Model Deployment Assurance	38
3.4.8 Safety Case for ML Component	38
3.4.9 Mapping of AMLAS Stages to SACM Constructs	39
3.5 Simulation Setup	41
3.5.1 Simulation Platform	41
3.5.2 Vehicle Platform Configuration and Challenges.....	42
3.5.3 Hardware and Software Upgrades for Second Iteration	42
3.5.4 Test Scenarios and Execution	43
3.5.5 Data Collection and Logging.....	44
3.5.6 Smart Factory Simulation Scenario.....	44
3.6 Summary	45
3.7 Risk Identification and Mitigation in Simulation	46
CHAPTER 4 RESULTS AND DISCUSSION	48
4.1 Machine Learning Evaluation: Results of YOLOv8 Implementation	48
4.1.1 Dataset Overview	48
4.1.2 Model Performance Metrics	49
4.1.3 Training and Validation Loss	50
4.1.4 Analysis and Discussion	51
4.2 Smart Factory Simulation: Evaluation of ML-Based Object Recognition	52
4.2.1 Results of Object Recognition Simulation	54
4.2.2 SAE Automation Level Assessment	55
4.2.3 Operational Considerations and Implications	55
4.3 System-Level Safety Goals and Hazard Analysis	56
4.3.1 Hazard Identification (Preliminary Hazard Analysis – PHA).....	58
4.3.2 Operational Design Domain (ODD) Specification.....	58
4.4 Integration of SACM within the AMLAS Lifecycle.....	59
4.4.1 System Safety Requirements	59
4.4.2 Stage 1: ML Safety Assurance Scoping	62
4.4.3 Stage 2: ML Requirements Assurance	65
4.4.4 Stage 3: Data Management Assurance	68
4.4.5 Stage 4: Model Learning Assurance	71
4.4.6 Stage 5: Model Verification Assurance.....	73
4.4.7 Stage 6: Model Deployment Assurance	77
4.4.8 Safety Case for ML Component	81
4.4.9 Summary of SACM-Based AMLAS Assurance	85
4.5 Summary and Research Objectives Coverage	86
4.6 Benefits and Challenges of SACM in AMLAS	87

4.6.1 Traceability, Maintainability, and Scalability Analysis.....	88
4.6.2 Comparison to GSN and Specific Benefits of SACM	88
CHAPTER 5 CONCLUSION AND FUTURE WORK.....	90
5.1 Conclusion.....	90
5.2 Answer to Research Questions	90
5.3 Contributions of the Study	91
5.4 Limitations of the Study	92
5.5 Recommendations for Future Work.....	92
REFERENCES	94