

IAF / TECHNICAL ASSURANCE WORKBOOK

Automotive Process & Compliance Standard

Assessment checklist

SOURCE-REFERENCED / INTERACTIVE PDF

Working Draft 0.1 | Editorial revision 13 September 2026
Technical review and pilot use; source adoption remains pending.

ORGANIZATION / CLIENT

ASSESSMENT REFERENCE

ASSESSMENT DATE / PERIOD

LEAD ASSESSOR / TEAM

SITE / LOCATION

ASSESSED OBJECT / SYSTEM / CONFIGURATION

ASSESSMENT PURPOSE AND CLAIMED SCOPE

261

check records

38

mapped sections

52

source pages

Scope, applicability & evidence rules

LEGAL ENTITY, SITES AND ACCOUNTABLE PROCESS OWNERS

PRODUCTS, SERVICES AND LIFECYCLE STAGES

APPLICABLE DOMAINS AND INTERFACES

MARKETS AND OBLIGATION-REGISTER REVISION

LIFECYCLE RELEASE-GATE / RISK-REGISTER REVISION

OUTSOURCED PROCESSES AND RESPONSIBILITY BOUNDARIES

APPLICABILITY REGISTER / EXCLUSIONS / APPROVING REVIEWER

STANDARD-SPECIFIC ASSESSMENT RULE

Connect obligations, process owners, lifecycle gates and cross-domain evidence. Assess product-specific engineering limits through the controlled technical dossiers referenced by the source.

HOW TO COMPLETE EACH CHECK

Pass	All applicable source conditions are met by identified evidence.
Fail	An applicable requirement or required protective gate is not met.
Not demonstrated	Evidence is absent, incomplete, invalid or inconclusive; this is not a pass.
Not applicable	The trigger is absent and the rationale and reviewer are recorded.

Source schedules, methods and record templates are assessed for correct application. For adverse conditions, verify prevention or effective closure. Do not treat illustrative values as mandatory limits. No result is preselected and no overall result is calculated.

Requirement map

Checklist identifiers are workbook record numbers. Source clause numbers, native requirement IDs and PDF page references are preserved separately. Several records may address one source clause.

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Requirement map - continued

Checklist identifiers are workbook record numbers. Source clause numbers, native requirement IDs and PDF page references are preserved separately. Several records may address one source clause.

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Source control & use of the workbook

CONTROLLED SOURCE

IAF_APCS_First_Edition_Corporate(3).pdf

Working Draft 0.1 | Editorial revision 13 September 2026
Source length: 52 pages. Checklist revision: 1.0, dated 15 September 2026.

SOURCE SHA-256

bd053b80647cabb16c441f2bb5caf64d8b68a6955cfca7e3458bdcd96be7e4e2

INTERPRETATION AND COVERAGE

This workbook reproduces source requirement text and source schedule entries as assessment criteria. Long clauses and schedules may have several separately numbered check records. A clause is not complete until every applicable record and required source condition has been dispositioned.

Read each record with its complete source clause, definitions, referenced methods, numerical rules and applicability conditions. The source document controls if an extraction, layout or interpretation issue is found. Record the discrepancy and resolve it before a positive conclusion.

Normative annexes in the source are included where applicable. Informative annexes are reading aids and do not independently create conformity obligations. Context-only main clauses and definitions without assessment duties are read with the requirements.

Assign responsibility for each applicable record in the controlled applicability register. Duties addressed to IAF or an assessment body must be reviewed against that role. They are not automatically duties of a manufacturer, operator or other applicant.

Record document/test IDs, revision, sample/configuration, measured result and limit where relevant. Explain every Fail, Not demonstrated and Not applicable result. Add a finding ID for any required action.

Text areas are sized for concise entries and limit input to reduce hidden content. Use the continuation sheet or an identified external evidence record for longer notes. Save a local copy, reopen it and check entered values before issuing the completed workbook.

Every Fail or unresolved critical gate requires the relevant scope to remain blocked. An observation is not a substitute for a failed requirement. A positive pilot conclusion is not certification, a product authorization or permission to use an IAF mark.

INFORMATIVE READING SUPPORT

Annex I, Annex J, Annex K, Annex L

Requirements & evidence

1 | Purpose and scope

CHECK 0001 | 1.1

Source p. 5

Purpose

The organization shall establish an integrated automotive process and compliance system that converts applicable obligations into controlled activities, verified outcomes and accountable decisions throughout the lifecycle. The system shall connect product safety, environmental and social responsibility, digital integrity and market obligations without allowing success in one domain to compensate for an unacceptable failure in another. Its intended result is a traceable explanation of what is required, who performs the control, which configuration is covered and why the available evidence supports the decision.

RESULT **FINDING / ACTION ID**

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0002 | 1.2

Source p. 5

Automotive ecosystem

The organization shall define its role in relation to road vehicles, trailers, components, materials, batteries, software, connected services, production equipment, charging or energy interfaces and aftermarket activities. Eligible roles include design, development, manufacture, testing, inspection, import, distribution, installation, operation, maintenance, repair, refurbishment, remanufacture and recovery. A claim shall name the actual roles and sites assessed. Road use interfaces of specialized or off road products may be included when explicitly defined; inclusion shall not imply coverage of unrelated operating environments.

RESULT **FINDING / ACTION ID**

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0003 | 1.3

Source p. 5

Lifecycle boundary

The system shall address concept selection, sourcing, development, validation, industrialization, market entry, delivery, operation, updates, repair, reuse and retirement for activities within the organization's responsibility. Outsourced work and shared services shall remain within the control boundary where their output can affect an in-scope obligation. For lifecycle stages performed by another party, the organization shall identify interfaces, information duties, risk transfer limitations and the responsible recipient. Responsibility shall not be treated as transferred solely because a purchase order or contract exists.

RESULT **FINDING / ACTION ID**

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0004 | 1.4

Source p. 5

Nature of conformity

Conformity with this document shall describe the assessed process and compliance system within a declared scope. It shall not be represented as a universal vehicle safety rating, a vehicle test result, permission to place a product on a market or proof of compliance with every law. Product specific limits, test methods, approvals and operational permissions shall be identified and fulfilled separately through the obligation register. This document prescribes how those requirements are controlled and evidenced; it does not supply every product-specific engineering limit.

RESULT

Select result

FINDING / ACTION ID**EVIDENCE / OBSERVED RESULT / N/A RATIONALE**

CHECK 0005 | 1.5

Source p. 5

Proportional application

Controls may be combined in a single workflow or record where every applicable requirement remains identifiable. The organization shall scale resources and assurance depth to consequence, complexity, exposure and uncertainty, rather than company size alone. A small organization undertaking a critical activity shall retain the corresponding independent review and release controls. Equivalent evidence arrangements may be used when their adequacy is demonstrated. A lighter documentation format shall not reduce the required outcome, traceability, independence or legal duty.

RESULT

Select result

FINDING / ACTION ID**EVIDENCE / OBSERVED RESULT / N/A RATIONALE**

CHECK 0006 | 1.6

Source p. 6

Domain applicability

The organization shall screen every domain in Clauses 11 to 24 and Annex A. An exclusion shall identify the precise activity or requirement, factual reason, affected interfaces, evidence supporting nonapplicability, approver and review trigger. Absence of an internal department, low purchasing volume or supplier assurance alone shall not justify exclusion. Where design is external, the organization shall still control specifications, acceptance, change notifications and field risk associated with the product it supplies. Core system requirements in Clauses 4 to 10 and 25 to 30 remain applicable to every scope.

RESULT

Select result

FINDING / ACTION ID**EVIDENCE / OBSERVED RESULT / N/A RATIONALE**

Requirements & evidence

2 | Application rules and document conventions

CHECK 0007 | 2.1

Source p. 6

Requirement language

In this document, shall indicates a requirement, should indicates a recommendation, may indicates permission and can indicates possibility. Clauses 1 to 30 and Annexes A to H are normative provisions of the proposed standard. Annexes I to L provide informative implementation support. Requirements stated in an informative example do not create additional obligations. Section numbers identify the requirement groups and shall be used in the organization's applicability and assessment records; compound provisions shall be checked in full.

RESULT **FINDING / ACTION ID** **EVIDENCE / OBSERVED RESULT / N/A RATIONALE**

CHECK 0008 | 2.2

Source p. 6

Self-contained requirements

No external publication is incorporated as a normative reference in this document. The organization shall nevertheless identify the actual laws, permits, contractual specifications and technical methods applicable to its own products and operations in its internal controlled records. The absence of named external references in this document shall not be interpreted as removing a binding obligation or restricting the use of competent technical knowledge and lawful test methods.

RESULT **FINDING / ACTION ID** **EVIDENCE / OBSERVED RESULT / N/A RATIONALE**

CHECK 0009 | 2.3

Source p. 6

Conflicting obligations

The organization shall distinguish mandatory legal obligations, binding customer obligations, voluntarily adopted commitments and internal targets. It shall evaluate conflicts by jurisdiction, activity, product, effective date and responsible legal entity. It shall obtain a competent determination and record the resolution before the affected activity proceeds. Choosing a nominally stricter requirement is acceptable only where the requirements can lawfully coexist. A risk acceptance, customer concession or management approval shall not authorize unlawful conduct or override an unwaivable safety requirement.

RESULT **FINDING / ACTION ID** **EVIDENCE / OBSERVED RESULT / N/A RATIONALE**

Requirements & evidence

CHECK 0010 | 2.4

Source p. 6

Temporal validity

The organization shall identify the date and configuration for which a requirement and its evidence are valid. New obligations, modifications, incidents and changed assumptions shall trigger an impact review even where a scheduled assessment remains current. Future scenarios in this document define preparedness duties where applicable; they are not predictions that a technology will be adopted or that a legal requirement will come into force. A draft requirement shall not be treated as an enacted obligation without verification.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0011 | 2.5

Source p. 7

Internal time limits

The review intervals and response limits specified in this working draft are proposed scheme requirements for technical validation. They shall not be described as universal legal deadlines. During application, an earlier applicable deadline or a shorter period needed to prevent harm shall take precedence. Time shall be measured from the recorded trigger, including outside business hours where the risk requires continuous coverage. The organization shall resource these limits and shall not reset the clock by reclassifying or transferring a case.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

3 | Terms and definitions

CHECK 0012 | 3.1

Source p. 7

System terms

Automotive process and compliance system means the governance, processes, people, controls and records used to achieve and demonstrate the outcomes required by this document. Organization means the legal entity or defined group of entities responsible for the declared scope. Process owner means the person accountable for process outcomes and control performance. Control means an action or mechanism that prevents, detects or corrects an unwanted condition. Obligation means a requirement binding on, or formally adopted by, the organization within a specified context.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0013 | 3.5

Source p. 8

Lifecycle terms

Traceability means the ability to reconstruct identity, history, location, configuration and responsible decisions across defined transitions. Service continuity means the maintained availability of functions and support needed for safe, lawful operation or an orderly transition. Second-life means a new use after an item's original use, whether its purpose changes or remains similar. Evidence freshness means continued validity relative to time, configuration, obligations and operating assumptions. Compliance debt means known incomplete work needed to establish, maintain or demonstrate an obligation; the term does not authorize postponing mandatory compliance.

RESULT **FINDING / ACTION ID**

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0014 | 3.6

Source p. 8

Abbreviations

IAF means International Automotive Federation. APCS means Automotive Process and Compliance Standard. AI means artificial intelligence. OTA means over the air. SBOM means software bill of materials. ODD means operational design domain, a specific form of operational envelope for driving automation. KPI means key performance indicator. V2X means communication between a vehicle and other vehicles, infrastructure or connected participants. V2G means bidirectional vehicle and grid energy interaction. These abbreviations shall not be used as substitutes for precise scope definitions.

RESULT **FINDING / ACTION ID**

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

4 | Context and system architecture

CHECK 0015 | 4.1

Source p. 8

Context register

The organization shall document the internal and external conditions that can affect fulfillment of obligations. The review shall address markets, customers, road users, workers, communities, technologies, climate exposure, infrastructure, supply concentration and financial or service dependencies. The register shall distinguish known facts, assumptions and unresolved questions and shall identify the owner of each material uncertainty. The context shall be reviewed at least annually and whenever a material market, business model, ownership, technology or operating change occurs.

RESULT **FINDING / ACTION ID**

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0016 | 4.2

Source p. 8

Process architecture

The organization shall maintain an end-to-end map of its processes and their interfaces. For each process it shall define purpose, inputs, outputs, owner, decision authority, resources, obligations, critical controls, measures, escalation route and records. The map shall include outsourced operations, shared corporate functions, laboratories, cloud services and downstream handoffs. Interfaces shall state acceptance conditions and how a receiving process acknowledges deficiencies. An output with an unresolved critical deficiency shall not silently become an accepted input to a later process.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0017 | 4.3

Source p. 8

Obligation-to-evidence linkage

Every applicable obligation shall have a stable identifier linked to the affected processes, configurations, markets, control owner, verification method, evidence and decision. Where one control serves multiple obligations, the organization shall preserve each obligation's separate acceptance criteria. Where several controls jointly satisfy an obligation, their dependencies and combined sufficiency shall be demonstrated. Records shall support traversal in both directions, from an obligation to its evidence and from a released item to the obligations under which it was accepted.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0018 | 4.4

Source p. 9

Integrated assurance case

For each product or service family and each materially distinct release, the organization shall maintain an assurance case proportionate to risk. It shall explain safety, environmental, digital and regulatory claims, show relevant evidence, identify unsupported assertions and record conflicts between objectives. Reuse of a family case shall state the covered variants and the conditions that justify equivalence. A summary assertion or dashboard status alone shall not substitute for the underlying argument. Contrary evidence shall remain visible until resolved.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0019 | 4.5

Source p. 9

System availability

The organization shall make current instructions, acceptance criteria and relevant obligation information available where work occurs, in a language and form the intended users can understand. Where connectivity is unreliable, controlled offline access and subsequent synchronization shall be provided. Obsolete instructions shall be removed from use or clearly prevented from authorizing work. Essential information shall remain accessible during an incident, supplier failure or loss of a primary information platform.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

5 | Leadership and accountable decisions

CHECK 0020 | 5.1

Source p. 9

Leadership duties

Top management shall approve the scope, policy, risk criteria, resources and authority needed to implement this document. It shall review material unresolved obligations and control failures and shall record decisions with reasons. Commercial goals shall not create incentives to conceal defects, manipulate tests or defer mandatory remedies. Accountability for process and compliance outcomes shall remain with management even where specialist work is delegated. The policy shall apply to temporary workers, contractors and relevant controlled entities.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0021 | 5.2

Source p. 9

Decision authority and separation

The organization shall identify who may authorize design baselines, supplier acceptance, production release, software deployment, concessions, incident closure and public claims. It shall separate creation, verification and release approval for critical work. Where staffing prevents internal separation, a competent external reviewer may provide the independent check. The organization shall document conflicts of interest, reporting arrangements and safeguards against pressure. A tool may enforce a decision rule but shall not obscure the accountable natural person for a critical decision.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0022 | 5.3

Source p. 9

Stop and contain authority

Workers shall be able to stop or quarantine affected work when a credible critical issue is identified, without retaliation for a good faith report. The organization shall provide an always reachable escalation route for urgent product or operational hazards. Stopped work shall resume only after an authorized person confirms the affected boundary, containment effectiveness, disposition and required evidence. A schedule delay, revenue impact or absence of a reported injury shall not itself justify resumption.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0023 | 5.4

Source p. 10

Objectives and incentives

Objectives shall include outcome measures and control effectiveness across relevant domains. The organization shall define baselines, intended improvement, responsible owners, resources and review dates. Incentives shall consider defect escape, incident reporting quality, evidence integrity and remediation as well as output, cost and delivery. Efficiency or environmental objectives shall not authorize reduced safety margins, unlawful material substitution, excessive worker exposure or exclusion of vulnerable users. Potential conflicts between targets shall be reviewed before adoption.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0024 | 5.5

Source p. 10

Management review

Top management shall review the system at least once in every twelve months and after a material crisis or structural change. Inputs shall include obligation changes, assessment findings, field outcomes, supplier failures, open risks, resource adequacy, employee concerns, support commitments and effectiveness of previous actions. Outputs shall assign decisions, resources, owners and completion dates. The record shall identify rejected recommendations and their reasons, unresolved disagreements and the route for further escalation.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

6 | Obligations and market access

CHECK 0025 | 6.1

Source p. 10

Obligation register

The organization shall maintain a controlled obligation register with the minimum fields in Annex B. It shall cover product, operational, environmental, labor, digital, data, trade, consumer and contractual duties relevant to the scope. Each entry shall identify the authentic source and version, jurisdiction, affected entity and role, products, effective dates, applicability rationale, owner, controls, evidence, reporting duties and review trigger. Duplicated source material may be linked rather than copied if access, version identity and retention are assured.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0026 | 6.2

Source p. 10

Identification and monitoring

A competent owner shall monitor authoritative sources and subscribed customer changes on a frequency justified by risk and change rate. All active market profiles shall receive a documented completeness review at least quarterly. Automated alerts may assist discovery but shall not determine legal applicability without competent review. Pending proposals shall be tracked separately from binding requirements. The organization shall identify the affected inventory, products in service and upcoming releases when an obligation changes, including transition and grandfathering conditions where applicable.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0027 | 6.3

Source p. 10

Jurisdiction and role determination

The organization shall determine which entity acts as manufacturer, importer, distributor, service operator, data controller or other legally relevant role in each market. It shall evaluate country of manufacture, sale, installation, operation, processing and final recovery where those facts affect duties. Regional groupings shall not replace country-specific checks. Parallel requirements and cross-border conflicts shall be resolved in the register. An approval or authorization from one market shall not be assumed valid in another without verified acceptance.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0028 | 6.4

Source p. 11

Market access dossier

Before first supply or a material extension of supply, the organization shall assemble a dossier of applicable permissions, technical evidence, declarations, identification, labeling, instructions, responsible local parties and surveillance duties. It shall verify document scope, authenticity, configuration and expiration where relevant. The dossier shall include a release conclusion for each market and variant. Missing mandatory evidence, unresolved legal applicability or an invalid authorization shall block the affected market release.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0029 | 6.5

Source p. 11

Continuing obligations

The organization shall track obligations that continue after sale, including production consistency, change notifications, defect reporting, software support, consumer remedies, environmental reporting and recovery responsibilities. A calendar shall identify deadlines, required data, approvers and proof of submission. Missed or at risk deadlines shall be escalated early enough to permit corrective action. The organization shall preserve evidence of both submission and receipt where acknowledgment is available. A product's discontinuation shall not automatically close its continuing obligations.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0030 | 6.6

Source p. 11

Interpretation control

Material interpretations shall record the question, facts, consulted competence, reasoning, uncertainty, decision and review date. Where the interpretation determines safety or lawful market access, it shall receive independent review. Customer statements shall not be accepted as legal determinations without verification. If an ambiguity cannot be resolved and could permit prohibited supply or severe harm, the affected release shall remain blocked or restricted to a demonstrably lawful and safe scope until resolution.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

7 | Integrated risk and opportunity management

CHECK 0031 | 7.1

Source p. 11

Risk assessment method

The organization shall use a documented method that evaluates credible consequences, likelihood or exposure, detectability where useful, affected populations, reversibility and uncertainty. It shall consider severe but infrequent events, cumulative harms, vulnerable users, common-cause failures and interactions between safety, security and environmental controls. Numerical multiplication of ordinal ratings shall not be the sole basis for accepting a severe risk. Annex C provides minimum consequence and assurance rules; domain analyses shall add technically justified detail.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0032 | 7.2

Source p. 11

Risk ownership and treatment

Each material risk shall have an owner, existing controls, additional actions, verification criteria, due dates and residual risk decision. Treatment shall prioritize removal of hazards and inherent design improvements, then protective controls, then information and training where appropriate. The organization shall explain why a practicable higher order measure is not selected. A planned control shall not be credited as effective until implemented and verified. Residual risks shall be communicated to the parties whose decisions depend on them.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0033 | 7.3

Source p. 12

Interaction analysis

The organization shall examine how changes in one domain can worsen another, including lightweighting and crash behavior, energy saving and visibility, encryption and emergency access, battery reuse and thermal risk, automation and driver attention, and logging and privacy. Tradeoff decisions shall identify options, affected obligations, evidence and residual consequences. No tradeoff shall waive a binding duty or critical release criterion. Where objectives cannot be reconciled, the design, operating envelope or market scope shall be changed.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0034 | 7.4

Source p. 12

Uncertainty and emerging risks

The organization shall maintain a record of unvalidated assumptions, incomplete data and technology uncertainties that can affect a claim. Where evidence is limited, it shall apply conservative boundaries, additional review, restricted deployment or further testing proportionate to possible harm. Absence of known incidents shall not establish low-risk where exposure or reporting is inadequate. Unknowns relevant to a critical outcome shall be resolved or bounded by verified protection before unrestricted release.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0035 | 7.5

Source p. 12

Risk review and learning

Critical and high risks shall be reviewed at least quarterly and whenever new evidence, a material change or a relevant incident occurs. The review shall include whether control performance supports the assumed likelihood and whether new variants or uses remain covered. Closed risks shall be reopened when their assumptions cease to hold. Opportunity projects may improve efficiency, accessibility or resilience but shall pass the same obligation and release checks as other changes.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

8 | People and operational resources

CHECK 0036 | 8.1

Source p. 12

Competence

The organization shall define competence requirements for obligation interpretation, risk analysis, engineering, testing, audit, release, incident response and specialized field work. Qualification shall be based on demonstrated ability, relevant knowledge and supervised practice, rather than attendance alone. Personnel shall be reassessed after material process or technology changes and when performance indicates a gap. Records shall identify authorized tasks, limits, assessor and renewal conditions. Temporary cover shall preserve competence for critical duties.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0037 | 8.2

Source p. 12

Capacity and workload

The organization shall evaluate staffing, fatigue, language, shift coverage, time pressure and competing responsibilities where they can weaken controls. It shall provide sufficient capacity for independent reviews, field monitoring and urgent response throughout the supported life. Critical duties shall have trained deputies and handover arrangements. Backlogs shall be measured and escalated before they compromise a deadline or a release decision. Outsourcing shall not be used to conceal an unresolved capacity or competence deficiency.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0038 | 8.3

Source p. 13

Infrastructure and equipment

Facilities, equipment, networks and utilities shall be suitable for the processes they support. The organization shall identify infrastructure whose failure can invalidate testing, compromise product integrity or prevent emergency response. It shall define maintenance, environmental conditions, access restrictions, backup arrangements and recovery tests. Equipment status shall be visible at the point of use. Relocation, repair or abnormal operation shall trigger a suitability review before critical work resumes.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0039 | 8.4

Source p. 13

Tool confidence

Software and automated tools used to generate, transform, evaluate or approve compliance evidence shall be assessed for the consequence of undetected error. The organization shall validate relevant functions using known inputs and adverse cases, control versions and access, and retain verification records. Higher consequence uses shall receive independent result checks or a justified equivalent control. A supplier claim that a tool is intelligent, certified or widely used shall not establish its fitness for the organization's intended use.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0040 | 8.5

Source p. 13

Awareness and communication

Personnel shall understand their applicable obligations, critical characteristics, stop authority, reporting routes and consequences of falsification. Communications shall be accessible to intended users, including relevant contractors and remote sites. The organization shall verify understanding where an error could cause significant harm. External communications shall identify the authorized spokesperson and the technical review needed for claims about safety, environmental performance, autonomous capability or legal compliance.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

9 | Information and evidence integrity

CHECK 0041 | 9.1

Source p. 13

Evidence records

Evidence used for a conformity or release decision shall identify its creator, source, creation time, method, configuration, results, limitations, review status and retention requirement. Annex D specifies the minimum evidence fields. Raw data and failed or inconclusive results shall remain linked to summarized reports where necessary to reconstruct the conclusion. Records shall distinguish observation from inference and measurement from simulation. Editing shall preserve history; corrections shall state what changed, why, by whom and when.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0042 | 9.2

Source p. 13

Authenticity and access

The organization shall control access to create, modify, approve, export and delete records. It shall use authentication, integrity checks, approval identity and protected logs proportionate to risk. A cryptographic hash may demonstrate whether bytes changed but shall not alone prove accuracy, origin or validity. Evidence received from another party shall be checked for source, scope and relevance. Suspected fabrication or tampering shall trigger containment and review of other decisions relying on the same source.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0043 | 9.3

Source p. 14

Retention and disposal

Retention periods shall account for applicable duties, supported life, expected claim or incident investigation needs, environmental recovery and privacy limits. The organization shall document the rationale by record class and preserve readability through format or platform changes. Legal holds and incident preservation shall suspend scheduled deletion where required. Access shall be restricted to legitimate purposes. Disposal shall be controlled and recorded, including deletion from relevant service providers where feasible and required, without destroying information that must be retained.

RESULT **FINDING / ACTION ID**

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0044 | 9.4

Source p. 14

Evidence reuse and freshness

Evidence may be reused only after confirming compatible configuration, test conditions, method, acceptance criteria, jurisdiction, operating envelope and time validity. The reuse decision shall state the bridge between the original evidence and the new claim, with additional verification where needed. A material change shall mark affected evidence as under review until validity is reestablished. Historical evidence shall remain traceable. Freshness shall be governed by change triggers as well as scheduled dates; a recent timestamp alone shall not make evidence valid.

RESULT **FINDING / ACTION ID**

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0045 | 9.5

Source p. 14

Data transfer and interoperability

Shared evidence shall use documented identifiers, units, schemas, status values and version rules so that recipients can interpret it consistently. Exports shall include sufficient metadata to preserve traceability without unnecessary personal or proprietary data. The organization shall test import and export, detect missing relationships and reconcile conflicting versions. A recipient shall be able to verify provenance and current status through an agreed mechanism. No particular commercial platform, ledger technology or data carrier is required.

RESULT **FINDING / ACTION ID**

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0046 | 9.6

Source p. 14

Recovery and integrity testing

The organization shall back up essential evidence and periodically demonstrate restoration, readability, access and relationship integrity. At least annually it shall reconstruct one representative critical release from preserved records without relying solely on the original author. Failure to reconstruct the required basis shall be investigated as an evidence control failure. Storage migration, encryption key loss and service termination shall be included in recovery planning.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

10 | Planning and release gates

CHECK 0047 | 10.1

Source p. 14

Integrated plan

Before a new product, service, facility or material change proceeds, the organization shall prepare a plan linking milestones, obligations, risk activities, verification, resources and release authority. The plan shall identify long-lead evidence, supplier dependencies and post-release monitoring. Acceptance criteria shall be established before the results used to demonstrate acceptance are known. Changes to criteria shall be independently justified and shall not be made solely to convert a failed result into a pass.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0048 | 10.2

Source p. 15

Gate structure

The organization shall use the gate outcomes in Annex E: scope authorization, concept acceptance, design readiness, validation acceptance, operational readiness, release authorization, in service continuation and retirement closure. Gate names may be adapted to the business, and adjacent gates may be combined when all criteria remain explicit. For each gate, the organization shall record inputs, evidence status, unresolved matters, decision, constraints, approver and next review trigger. A software release or service change shall have equivalent gate controls even when no physical shipment occurs.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0049 | 10.3

Source p. 15

Blocking conditions

A gate shall not authorize the affected activity when a critical control is ineffective, mandatory market evidence is missing, a severe risk is unbounded, required tests have failed, evidence integrity is compromised or the released configuration cannot be identified. These blocking conditions shall be evaluated separately and shall not be averaged with successful controls. A limited internal experiment may proceed only within a separately authorized, contained test scope that prevents exposure of customers or the public to unaccepted risk and satisfies applicable duties.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0050 | 10.4

Source p. 15

Conditional decisions

A conditional decision may address a non-critical incomplete item only when the remaining activity is lawful, risk is acceptable and compensating controls are verified. It shall identify the precise condition, scope, quantity or population, duration, owner and closure evidence. It shall not be described as full conformity. Expired conditions shall automatically block further affected release until reviewed. Repeated conditional decisions for the same weakness shall trigger systemic corrective action and management review.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0051 | 10.5

Source p. 15

Release baseline

Every release shall preserve the exact product or service identity, hardware, software, calibration, material and model versions, market applicability, manufacturing or deployment location, approved suppliers, test evidence and authorized deviations. The release record shall identify who verified the baseline and who approved supply or activation. The organization shall demonstrate that delivered or activated items match the approved baseline. A release shall be revocable or containable to the extent required by the identified risk.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0052 | 10.6

Source p. 15

Continued release validity

Release authorization shall be reviewed when its supporting assumptions, obligations or evidence change. The organization shall define how it pauses shipments, disables further activation, restricts operation or initiates a remedy while protecting users from abrupt unsafe behavior. The review shall distinguish unsold stock, installed base, vehicles in operation and retired items. A prior satisfactory assessment shall not permit continued reliance on evidence known to be invalid.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

11 | Product development and engineering assurance

CHECK 0053 | 11.1

Source p. 16

Requirements definition

The organization shall translate customer needs, intended use, foreseeable misuse, obligations and lifecycle risks into measurable product and service requirements. Each requirement shall identify its origin, responsible owner, acceptance method, applicable variants and relevant interfaces. Ambiguous, inconsistent or untestable requirements shall be resolved before the affected design is released. The requirements baseline shall include reliability, maintainability, accessibility, durability, data protection and support needs where relevant, as well as performance and cost.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0054 | 11.2

Source p. 16

Architecture and interfaces

The organization shall define system boundaries and interactions among mechanical, electrical, electronic, software, material, human and infrastructure elements. It shall allocate requirements and controls to the elements that implement them and identify assumptions imposed on suppliers or operators. Interfaces shall specify units, timing, error handling, authority and degraded behavior. Shared power, clock, communication, cloud and sensing dependencies shall be analyzed for common-cause effects. An interface change shall require review by affected owners on both sides.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0055 | 11.3

Source p. 16

Design review

Multidisciplinary reviews shall examine requirements coverage, failure mechanisms, manufacturability, serviceability, environmental impacts, cybersecurity and regulatory constraints at planned stages. Reviews shall include competent representatives of downstream functions and independent specialists for critical questions. Decisions shall record evidence examined, unresolved objections and actions. Review attendance alone shall not demonstrate approval. Changes in assumptions, intended use, supplier capability or operating environment shall trigger renewed review of the affected design conclusions.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0056 | 11.4

Source p. 16

Verification and validation plan

The organization shall define which requirements are verified by analysis, inspection, simulation, bench testing, vehicle testing or operational evaluation, and why the selected combination is adequate. The plan shall identify configurations, boundary conditions, adverse cases, sample rationale, uncertainty and acceptance rules. Validation shall evaluate intended use and foreseeable misuse with representative users and environments. Correlation between virtual and physical results shall be demonstrated before simulation is used to replace relevant physical evidence.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0057 | 11.5

Source p. 16

Reliability and service life

The organization shall establish justified design life, duty cycles, degradation assumptions, maintenance needs and foreseeable storage or transport conditions. Reliability evidence shall account for interacting stresses, aging, latent defects and changes in usage. Accelerated testing shall explain its relationship to real exposure and its limitations. A service life claim shall not be extended solely by changing a label or warranty statement. Product information shall communicate operating limits, inspections and replacement conditions needed to maintain the intended level of performance.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0058 | 11.6

Source p. 17

Design transfer

Before industrialization or service deployment, engineering shall provide controlled specifications, critical characteristics, process limits, inspection criteria, approved configurations, service instructions and unresolved limitations to receiving functions. The receiving functions shall verify readiness and competence. Product characteristics that cannot be fully verified after manufacture shall receive validated process controls. The transfer record shall preserve the relationship between design intent and the production or service control that protects it.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

12 | Safety and human interaction

CHECK 0059 | 12.1

Source p. 17

Integrated safety analysis

The organization shall identify hazards involving crash protection, structural integrity, braking, steering, visibility, fire, electrical energy, pressure, chemicals, thermal effects, moving parts and human interaction as applicable. It shall distinguish hazards from malfunction, performance limitations, foreseeable misuse and deliberate interference while examining their combined effects. Analysis shall cover occupants, other road users, workers, emergency responders and vulnerable populations. Safety goals and acceptance criteria shall be technically justified for the product, activity and operating context.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0060 | 12.2

Source p. 17

Safety-related functions

For functions that prevent or mitigate harm, the organization shall define safe behavior, response time, fault detection, degradation, redundancy and independence needs. It shall analyze random and systematic failures and prevent unsupported assumptions about independent channels. Required integrity shall determine development rigor and verification depth. Fault injection and adverse interaction tests shall be used where necessary to demonstrate the specified response. Loss of a digital service shall not unexpectedly defeat an essential protective function.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0061 | 12.3

Source p. 17

Functional limitations

The organization shall identify situations where a correctly functioning system can still produce an unsafe outcome because perception, specification or intended behavior is insufficient. It shall evaluate environmental limits, unusual objects, sensor impairment, ambiguous road situations and human expectations. Unresolved limitations shall be controlled by validated restrictions, monitoring, fallback or further design work. Marketing and user instructions shall not imply a capability beyond the validated envelope or depend on users discovering hidden limitations through failure.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0062 | 12.4

Source p. 17

Human factors and accessibility

Safety relevant controls, alerts, interfaces and instructions shall be evaluated with representative users and foreseeable operating conditions. Assessment shall cover workload, comprehension, distraction, reach, visibility, hearing, language, physical ability, age related limitations and mode awareness where relevant. Warnings shall be distinguishable and actionable without creating an unreasonable burden. Accessibility changes shall be verified for their effect on safety. Essential safety functions shall not depend on deceptive interfaces, unnecessary consent or an unrelated subscription.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0063 | 12.5

Source p. 18

Emergency and rescue information

The organization shall provide accurate information for disabling hazards, stabilizing the item, rescue, recovery, transport and emergency handling where required by the product risk. Information shall reflect the actual configuration and relevant energy or material hazards. Emergency access mechanisms shall balance authorized response with resistance to misuse. Field changes affecting rescue information shall trigger an update and distribution review. The organization shall test whether intended recipients can locate and understand critical information under realistic conditions.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0064 | 12.6

Source p. 18

Safety acceptance

A competent reviewer independent of the critical design work shall examine the safety argument before release and after material changes. Acceptance shall address all identified severe hazards, test failures, field lessons, assumptions and residual risks. A lack of incidents, high process maturity or environmental benefit shall not substitute for this evidence. Any unresolved severe risk that lacks an effective protective boundary shall block the affected release. Safety decisions shall remain traceable to the configuration and operating envelope assessed.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

13 | Sustainability and responsible operations

CHECK 0065 | 13.1

Source p. 18

Lifecycle environmental assessment

The organization shall identify material environmental impacts from raw materials through manufacture, logistics, use, maintenance and recovery. It shall define the studied product, functional unit, system boundary, data period, geographic assumptions, allocation method, exclusions and uncertainty. Significant exclusions shall be justified and disclosed in related claims. Data shall distinguish measurement, supplier information and estimates. Comparisons shall use compatible boundaries and equivalent functions and shall avoid moving an impact outside the study boundary merely to improve a reported result.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0066 | 13.2

Source p. 18

Carbon, energy and efficiency

The organization shall quantify relevant direct and indirect greenhouse gas emissions and energy use with traceable activity data, conversion factors and assumptions. It shall report absolute values alongside meaningful intensity measures and retain separate information on gross emissions, reductions and any compensatory claims. Energy sourcing attributes shall be verified and shall not be double counted. Efficiency improvement shall be checked against changes in product mix, utilization, service level and rebound effects. Targets shall not be presented as achieved results.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0067 | 13.3

Source p. 18

Emissions and exposure

The organization shall identify applicable controls for exhaust, evaporation, brake and tire wear, noise, refrigerant leakage and relevant process emissions. Test and monitoring plans shall match product category, market, duty cycle and required method. It shall investigate abnormal results and deterioration during use rather than relying solely on initial measurements. Worker and community exposure shall be assessed where production or recovery creates material risks. A powertrain type shall not be treated as having zero environmental impact without a precisely bounded claim.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0068 | 13.4

Source p. 19

Water, waste and biodiversity

Operational controls shall address water withdrawal, discharge, scarcity, waste prevention, segregation, hazardous waste and impacts on sensitive locations where relevant. The organization shall establish permits, monitoring points, limits, emergency arrangements and responsible contractors. Treatment or disposal evidence shall demonstrate actual handling through a defined chain of custody. It shall evaluate important land use and biodiversity risks in its operations and high-risk sourcing. Outsourced disposal shall remain subject to due diligence and verification proportionate to consequence.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0069 | 13.5

Source p. 19

Materials and circular design

The organization shall maintain material composition and restricted substance information adequate to demonstrate applicable obligations and support safe repair and recovery. It shall evaluate recycled content, separability, durability, repairability, reuse and remanufacture at design stages. Recycled content claims shall distinguish physical content from allocation methods and shall include chain of custody and double counting controls. Substitution shall trigger assessment of safety, durability, emissions, chemical exposure and recovery compatibility before implementation.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0070 | 13.6

Source p. 19

Environmental claims

Public environmental claims shall identify the product, boundary, method, period, evidence and material limitations. General claims of neutrality, zero impact, circularity or superiority shall not be made where the evidence supports only a narrower statement. Future commitments shall identify scope and measurement plans without being represented as present performance. A reviewer independent of the claim's commercial author shall verify substantiation before publication. Changes to supporting data shall trigger correction or withdrawal of an affected claim.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

14 | Cybersecurity and digital integrity

CHECK 0071 | 14.1

Source p. 19

Asset and threat analysis

The organization shall identify vehicle, enterprise, production, cloud, diagnostic and service assets whose compromise can affect the scope. Threat analysis shall cover external connections, physical access, suppliers, insiders, malicious updates, diagnostic misuse and shared services. It shall consider confidentiality, integrity, availability, authenticity, privacy and safety consequences. Threat assumptions shall be reviewed as the product and attack environment change. A security boundary shall include relevant infrastructure dependencies rather than ending at the vehicle connector.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0072 | 14.2

Source p. 19

Secure development

Security requirements shall be integrated into architecture, implementation, code review, verification and release. The organization shall control source access, build environments, credentials, dependencies and artifacts. It shall use suitable analysis and adversarial testing to identify exploitable weaknesses and shall verify remediation. Production secrets shall not be embedded in publicly accessible artifacts or shared without necessity. Known severe exploitable weaknesses without effective containment shall block affected release, irrespective of whether a supplier plans a later fix.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0073 | 14.3

Source p. 20

Component inventories

The organization shall maintain an SBOM and associated hardware, firmware, model and service dependency inventories at the granularity necessary for vulnerability and change response. Records shall include identity, version, source, dependency, deployment location, support status and known vulnerabilities or restrictions. Inventory updates shall be linked to releases. The organization shall be able to identify affected products in service when a component issue is discovered. An inventory shall be checked against the delivered build rather than accepted solely as a planning list.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0074 | 14.4

Source p. 20

Identity and cryptography

The organization shall control device and user identity, credentials, keys, certificates, privileged access and revocation over the lifecycle. Cryptographic choices shall consider consequence, exposure and support duration. It shall maintain an inventory of cryptographic dependencies and a migration plan for obsolete or weakened mechanisms, including threats from future computing capability. Migration shall be tested for compatibility, performance, recovery and safe failure. The document does not mandate a named algorithm; technical selection shall be justified and kept current.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0075 | 14.5

Source p. 20

Vulnerability handling

A documented channel shall receive vulnerability reports and protect good faith reporting consistent with applicable duties. Reports shall be triaged by potential impact, affected population, exploitability and existing containment. The organization shall investigate, assign ownership, preserve evidence and coordinate corrections with relevant suppliers and operators. Disclosure timing shall balance user protection, remediation readiness and mandatory notification. An unresolved vulnerability shall remain tracked through verification of the remedy and coverage of the exposed population.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0076 | 14.6

Source p. 20

Digital resilience

Critical functions shall have defined behavior under denial of service, corrupted data, loss of time synchronization, compromised credentials and dependency failure. Network and trust boundaries shall limit propagation between convenience, business and safety functions. Monitoring shall detect material compromise without collecting unnecessary personal data. Recovery tests shall demonstrate restoration of trusted configurations. Security controls shall be checked for adverse effects on emergency operation, maintenance and accessibility.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

15 | Software updates and configuration change

CHECK 0077 | 15.1

Source p. 20

Update impact analysis

Every update affecting in-scope behavior shall be classified before deployment for its effect on safety, cybersecurity, environmental performance, legal status, user experience, interoperability and support. The analysis shall include hardware compatibility, calibration, model and data dependencies, market variants and features activated after sale. A label such as maintenance, hotfix or feature unlock shall not exempt a change from review. Any new permission, notification or product evidence required by the change shall be obtained before the affected deployment.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0078 | 15.2

Source p. 21

Package and delivery integrity

The organization shall verify the authorized origin and integrity of update content, destination eligibility and deployment instructions. It shall protect signing authority, distribution infrastructure and approval records. The receiving system shall reject unauthorized, corrupt or incompatible packages and shall record the result. Testing shall cover replay, downgrade, interrupted transfer, depleted power, storage limitations and mixed component versions where relevant. A deployment shall not proceed when its prerequisites cannot be reliably established.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0079 | 15.3

Source p. 21

Safe installation and recovery

The organization shall define safe conditions for installation, user notification, estimated interruption and behavior if installation fails. Recovery may use rollback, a trusted recovery image or another validated method that avoids reintroducing an unacceptable vulnerability or incompatible state. Essential functions shall remain available or transition to a justified safe condition. Users shall receive clear instructions when intervention is needed. The recovery design shall be tested on representative variants and failure conditions before rollout.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0080 | 15.4

Source p. 21

Staged deployment

Rollout stages shall define eligible populations, observation periods, monitoring, success thresholds, stop conditions and authority to expand or reverse deployment. Pilot populations shall not be exposed to unaccepted critical risks. Monitoring shall separate successful installation, successful activation and demonstrated functional health. A download percentage shall not be reported as remedy completion. Unexpected failures, safety signals or configuration mismatches shall pause the affected expansion pending investigation and an accountable decision.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0081 | 15.5

Source p. 21

Deployment records

Records shall connect each targeted item or justified group to the prior version, intended version, actual installed version, execution time, result, failure reason and subsequent action. Offline, unreachable and repeatedly failing items shall remain visible until an appropriate alternative remedy or disposition is completed. Customer communication shall state material functional changes and applicable support consequences. Deployment evidence shall update the released configuration baseline and relevant field monitoring population.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0082 | 15.6

Source p. 21

Emergency updates

Urgency may shorten administrative sequencing but shall not remove essential impact analysis, integrity verification, critical testing or accountable approval. The organization shall define minimum emergency evidence in advance and preserve the reason for the emergency route. Deferred non-critical activities shall have owners and deadlines and shall be completed promptly. An emergency update shall be examined for unintended effects, including effects on authorizations, safety behavior and other protective controls.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

16 | Artificial intelligence and automated decisions

CHECK 0083 | 16.1

Source p. 22

AI inventory and classification

The organization shall identify AI used in vehicles, factories, inspection, design, customer services and compliance decisions. Each use shall record purpose, owner, provider, model version, inputs, outputs, affected persons, operational limits and consequence of error. Classification shall distinguish advisory assistance from automated actions that change a product, reject a safety item, interpret an obligation or authorize release. AI embedded in a purchased service shall remain subject to the same consequence based controls.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0084 | 16.2

Source p. 22

Data and model provenance

The organization shall establish lawful access and appropriate quality for training, tuning, validation and operational data. It shall record provenance, labeling methods, relevant populations, known gaps, transformations and separation of evaluation data from development use. Synthetic data shall be identified and its representativeness demonstrated for the claimed purpose. Model records shall preserve version, dependencies, configuration and relevant training or provider information. Missing provider detail shall lead to additional assurance or a restricted use consistent with the remaining uncertainty.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0085 | 16.3

Source p. 22

Performance and robustness

AI acceptance criteria shall reflect task specific harms, false-positive and false-negative consequences, rare but severe cases, subpopulation differences and distribution shift. Evaluation shall cover adversarial or corrupted inputs, sensor degradation and out-of-scope requests as relevant. Aggregate accuracy shall not conceal unacceptable failures in critical conditions or affected groups. Confidence values shall be checked for their interpretation and limitations. Critical uses shall include independent challenge of both the evaluation method and results.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0086 | 16.4

Source p. 22

Generative and agentic systems

Generated code, legal interpretations, technical calculations, test conclusions and compliance statements shall receive competent verification before they influence a critical decision. The organization shall prevent generated content from being represented as measured or observed evidence. Agents with access to tools shall have explicit permissions, transaction limits, protected credentials, action logs and tested stop mechanisms. Untrusted inputs shall not be allowed to redefine system authority or release criteria. A generative system shall not be the sole approver of critical conformity or product release.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0087 | 16.5

Source p. 22

Operational monitoring and change

The organization shall monitor relevant AI performance, drift, incidents and unexpected behavior after deployment. It shall define thresholds, affected populations, investigation routes and fallback behavior. Retraining, provider model replacement, prompt or retrieval changes and altered data pipelines shall be screened as configuration changes. Online learning that can affect critical behavior shall operate only within a validated adaptation boundary with traceable changes and effective protection against unsafe learning. Behavior outside that boundary shall require controlled review before use.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0088 | 16.6

Source p. 23

Human oversight and contestability

Persons responsible for oversight shall receive sufficient information, training, time and authority to challenge or stop an automated action. The organization shall evaluate automation bias and the practicality of intervention. Decisions materially affecting customers, workers or suppliers shall have an appropriate review and correction route, subject to applicable duties. Explanations shall be proportionate to consequence and shall disclose material uncertainty. A nominal human approval that cannot meaningfully examine the basis shall not satisfy critical independent review.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

17 | Data protection and connected services

CHECK 0089 | 17.1

Source p. 23

Data lifecycle map

The organization shall identify personal, operational and commercially sensitive data collected, generated, inferred, transmitted and retained by in-scope products and services. It shall record purpose, applicable lawful basis, recipients, processing locations, retention, security controls and responsible parties. Collection shall be limited to what is necessary for defined purposes. Vehicle identifiers, location, voice, images, biometrics and driver behavior shall be evaluated for the risks created by combination and inference, not only by individual field labels.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0090 | 17.2

Source p. 23

User choice and transparency

Users shall receive understandable information about relevant data uses, available choices and consequences of refusal where applicable. Consent mechanisms, where required, shall be specific, demonstrable and withdrawable without deceptive design. Essential safety functions shall not be unnecessarily conditioned on unrelated data collection. Shared vehicles, rentals, fleet use and multiple occupants shall receive appropriate controls for profile separation and privacy. The organization shall test whether ordinary users can find and exercise applicable rights.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0091 | 17.3

Source p. 23

Transfers and providers

Before data transfer or third-party access, the organization shall verify legal conditions, contractual duties, technical controls and incident responsibilities. It shall assess cross-border restrictions and onward transfers where relevant. Provider access shall be limited, logged and revoked when no longer needed. The organization shall define exit, export and deletion arrangements and verify that service changes do not silently expand purposes or recipients. Confidentiality commitments shall not be used to prevent legitimate evidence examination through suitable safeguards.

RESULT **FINDING / ACTION ID**

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0092 | 17.4

Source p. 23

Rights and ownership transitions

Processes shall address applicable access, correction, portability, objection, restriction and deletion requests, with identity verification proportionate to risk. Vehicle sale, lease return, rental handover, repair and retirement shall trigger appropriate account unlinking, credential revocation and personal data removal. Required safety or incident evidence shall be preserved under a documented lawful retention basis with restricted access. Removing a user profile shall not accidentally erase required product configuration or recall information.

RESULT **FINDING / ACTION ID**

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0093 | 17.5

Source p. 24

Connected service continuity

The organization shall identify functions that depend on connectivity, accounts, licenses or a service provider and communicate material dependencies before use. It shall define and validate behavior during degraded connection, service interruption or provider withdrawal. Critical safety outcomes shall not depend on an unprotected commercial service assumption. Users shall receive accurate support information, migration options and safe operating restrictions where needed. Changes to subscriptions or entitlements shall be assessed for their effect on previously supplied safety and compliance functions.

RESULT **FINDING / ACTION ID**

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

18 | Batteries, energy and new propulsion

CHECK 0094 | 18.1

Source p. 24

Technology characterization

The organization shall identify hazards, performance limits and obligations for each energy storage or propulsion technology in-scope. The assessment shall cover chemistry, construction, voltage, pressure, fuel properties, charge or fill limits, thermal behavior and foreseeable deterioration. Novel chemistry or fuel shall not inherit an existing safety conclusion without a justified equivalence assessment. Interfaces with vehicle control, infrastructure, emergency handling and recovery shall be included. Technical acceptance limits shall be established using competent engineering and applicable product obligations.

RESULT FINDING / ACTION ID EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0095 | 18.2

Source p. 24

Battery identity and history

Battery records shall link the pack and relevant subassemblies to manufacturing origin, chemistry, configuration, test status, material information, installation, significant service events and changes of use. The organization shall preserve history at the granularity needed for defect containment and safe reuse. Repackaging or repair shall create a traceable successor identity while retaining the relationship to prior records. Public, commercial and restricted data views shall be separated appropriately; the use of a digital passport shall not require disclosure of unnecessary personal information.

RESULT FINDING / ACTION ID EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0096 | 18.3

Source p. 24

Safety and state assessment

Assessment shall address electrical isolation, thermal propagation, mechanical damage, water exposure, overcharge, internal defects and applicable transport conditions. State of health or residual value estimates shall state the method, measured quantities, assumptions and uncertainty. A single capacity estimate shall not be treated as proof of safety. Abnormal temperature, impact or flood history shall trigger defined inspection and quarantine decisions. Acceptance for continued use shall be tied to the specific use, configuration and validated limits.

RESULT FINDING / ACTION ID EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0097 | 18.4

Source p. 24

Charging and bidirectional energy

The organization shall verify electrical, communication, thermal and control compatibility between vehicles, energy equipment and relevant services. Testing shall cover interrupted sessions, incorrect identification, communication failure, billing or meter integrity where relevant and safe disconnect. Bidirectional operation shall additionally evaluate authorization, grid interface conditions, battery aging, user availability needs and safe response to command conflict. An optimization service shall not exceed validated battery limits or override necessary user safety protections.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0098 | 18.5

Source p. 25

Hydrogen and other fuels

Where applicable, the organization shall control fuel quality, contamination, leakage, pressure relief, ventilation, ignition, material compatibility, filling conditions and maintenance competence. It shall define safe isolation, storage, recovery and emergency information. Changes in fuel blend, sourcing or dispensing equipment shall receive an impact assessment. Energy or emissions claims shall account for their stated lifecycle boundary and shall not assume that a fuel's point of use behavior establishes its total environmental performance.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0099 | 18.6

Source p. 25

Second-life and recovery

Before repurposing, remanufacturing or recycling an energy system, the organization shall determine the condition, remaining hazards, applicable role, new intended use and need for renewed conformity evidence. The new use shall have an identified responsible entity and validated integration. Unsafe or uncharacterized units shall be quarantined until an appropriate disposition is established. Discharge, dismantling, transport and material recovery shall use competent personnel and controlled procedures. Records shall prevent duplicate claims of recovery or recycled content.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

19 | Automated mobility and infrastructure interfaces

CHECK 0100 | 19.1

Source p. 25

Operational envelope

For automated driving or other safety-relevant mobility services, the organization shall define the supported roads, geography, speeds, weather, lighting, traffic, infrastructure, users and operational support. It shall specify how the system detects departure from the validated envelope and the safe response. Marketing, sales and deployment tools shall enforce the same limits. Expansion of geography, speed, road type or operational role shall be treated as a material change requiring supporting evidence.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0101 | 19.2

Source p. 25

Scenario-based validation

Validation shall use a structured set of nominal, boundary, rare and adverse scenarios linked to identified hazards and intended functions. The organization shall justify scenario selection, coverage, representativeness and exposure assumptions. Physical and simulated results shall be distinguishable, and model limitations shall be stated. Incident and near-miss data shall update the scenario set. Distance traveled, scenario count or simulation volume alone shall not establish safety without a demonstrated relationship to the relevant risks.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0102 | 19.3

Source p. 25

Fallback and remote assistance

The organization shall define minimum risk behavior, transition conditions and responsibilities during system limitation, failure or emergency. A driver or remote operator shall not be assigned an intervention that cannot reasonably be performed within the available time and information. Remote assistance shall address latency, communication loss, authentication, workload, authority and simultaneous incidents. The distinction between advice and direct control shall be explicit. Fallback behavior shall be tested under relevant combined failures and degraded infrastructure.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0103 | 19.4

Source p. 26

Cooperative interfaces

V2X and infrastructure dependent functions shall address message authenticity, freshness, timing, location confidence, contradictory inputs and interoperability. The organization shall establish behavior for unavailable, malicious, stale or incompatible messages. A vehicle shall not treat all infrastructure data as inherently trustworthy. Changes in infrastructure providers, protocol implementations or service coverage shall be screened for impact. Interface tests shall include representative counterpart implementations and recorded limitations.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0104 | 19.5

Source p. 26

Service operation

Fleet or mobility operators shall verify vehicle readiness, permitted operating area, support capacity and maintenance status before service. They shall define incident handling for passengers, pedestrians and other affected persons, including accessible assistance and safe stopping or evacuation where applicable. Service monitoring shall preserve sufficient event evidence while controlling privacy. Utilization and demand targets shall not exceed the validated operational capacity, maintenance limits or emergency response resources.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

20 | Supply chain integrity and responsible sourcing

CHECK 0105 | 20.1

Source p. 26

Supplier classification

The organization shall classify suppliers by the consequence of failure, uniqueness, complexity, traceability, substitutability, location and access to sensitive systems or data. Due diligence shall include actual production or service capability and relevant integrity risks. Critical subtiers shall be identified where feasible and necessary; lack of visibility shall be recorded as a risk with compensating controls. Supplier size, reputation or an unrelated approval shall not replace evidence of competence for the contracted scope.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0106 | 20.2

Source p. 26

Contract and interface controls

Purchasing requirements shall specify technical and compliance criteria, evidence, configuration, traceability, change notification, incident cooperation, support periods and rights of examination proportionate to risk. The organization shall establish responsibility for customer and market duties that involve several parties. Subcontracting shall not silently weaken agreed controls. Critical evidence shall remain obtainable if a supplier changes ownership, ceases trading or terminates a service, through appropriate contractual or technical arrangements.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0107 | 20.3

Source p. 26

Approval and ongoing monitoring

Supplier approval shall be based on verified capability and representative output. Monitoring shall consider defects, delivery changes, incidents, integrity concerns, support performance and unresolved findings. Critical suppliers shall be reviewed at least annually and on material change. The method may combine audits, inspections, testing and performance evidence according to risk. Poor performance shall trigger escalation, containment and a decision on continued supply rather than repeated acceptance without an effective improvement plan.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0108 | 20.4

Source p. 27

Origin and counterfeit prevention

The organization shall establish source authenticity and chain of custody for materials and parts where substitution or counterfeit supply could affect safety or compliance. Controls shall address authorized sourcing, identity checks, markings, documentation, suspicious pricing or behavior, returned items and mixed inventories. Suspect parts shall be quarantined and investigated before use or resale. Traceability shall identify the affected population without relying solely on an unverified supplier declaration. Disposal shall prevent rejected critical parts from reentering legitimate supply.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0109 | 20.5

Source p. 27

Human rights and environmental due diligence

The organization shall identify material risks of forced labor, child labor, abusive recruitment, unsafe work, serious environmental harm and unlawful sourcing in its supply chain. It shall prioritize by severity and likelihood and use credible evidence, worker input or other suitable checks. Where harm is found, the response shall address prevention, cessation and remediation within the organization's role and influence. Disengagement shall consider foreseeable harm and applicable duties. Unsupported declarations shall not close a substantiated concern.

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0110 | 20.6

Source p. 27

Supply continuity and substitution

The organization shall identify single sources, critical capacity, long-lead items, geographic concentration and support dependencies. Alternative supply, emergency sourcing and material substitutions shall receive technical and obligation review before use. A shortage shall not justify unapproved changes to a critical characteristic. Continuity plans shall include evidence transfer, inventory integrity and requalification after restart. The organization shall evaluate whether a substitute creates new safety, environmental, digital or market access risks.

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

21 | Production, testing and measurement

CHECK 0111 | 21.1

Source p. 27

Production control plan

The organization shall translate approved product requirements into controlled manufacturing instructions and a control plan identifying process steps, critical characteristics, equipment, limits, measurement, sampling and reaction actions. Personnel shall verify the correct revision, tooling and material before work begins. Controls shall cover setup, changeover, maintenance, restart, rework and abnormal conditions. Process records shall link the output to the actual settings and acceptance results needed to reconstruct critical conformity.

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0112 | 21.2

Source p. 27

Process validation and capability

Processes whose output cannot be fully verified afterward shall be validated before use and after relevant change. The organization shall define acceptable operating windows and demonstrate stable performance under representative conditions. Statistical capability measures shall be used only where their assumptions are justified, including adequate measurement and process stability. Universal capability thresholds shall not be assumed across unrelated characteristics. Where capability is insufficient, the organization shall prevent escape through effective control while correcting the underlying process.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0113 | 21.3

Source p. 28

Measurement confidence

Measurement systems shall be suitable for the intended decision in range, resolution, repeatability, reproducibility, bias and uncertainty where relevant. Equipment shall have identified status and a justified calibration or verification interval with traceability appropriate to the measurand. Acceptance rules shall address uncertainty near a limit. If equipment is found unfit, the organization shall assess prior results since the last known valid condition and contain affected product or evidence. Merely recalibrating the device shall not close the impact assessment.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0114 | 21.4

Source p. 28

Laboratory and test integrity

Testing shall be performed by competent personnel using controlled methods, identified specimens, suitable equipment and specified environmental conditions. Records shall include raw results, deviations, uncertainty where relevant and the configuration tested. The laboratory shall prevent commercial pressure from altering results or suppressing failures. External reports shall be checked for authenticity and scope. A technically invalid or inconclusive result shall not be reported as a pass; retesting shall preserve the original result and explain the reason and disposition.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0115 | 21.5

Source p. 28

Nonconforming output

Suspect or nonconforming output shall be identified, segregated physically or electronically and prevented from unintended use. Disposition shall distinguish rework, repair, return, controlled concession and scrap. Reworked items shall undergo the required verification, and repaired items shall be evaluated for continued fulfillment of applicable obligations. A concession shall not waive a binding legal or critical safety requirement. Scrapped critical items shall be rendered unsuitable for unauthorized return to supply where necessary.

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0116 | 21.6

Source p. 28

Industrial automation

Robotics, machine vision, autonomous material movement and automated inspection shall have defined authority, safe limits, validation and manual recovery. Changes to models, programs, recipes or sensor arrangements shall receive configuration control. The organization shall check false acceptance and false rejection under representative production conditions. Safety barriers, interlocks and emergency functions shall be protected from convenience overrides. Remote access to production systems shall be authorized, restricted and traceable.

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

22 | Logistics, aftermarket and recovery networks

CHECK 0117 | 22.1

Source p. 28

Preservation and transport

The organization shall define packaging, handling, storage, shelf life, environmental and dangerous goods controls appropriate to the item. Records shall preserve identity and status through consolidation, splitting, cross-docking and returns. Temperature, humidity, shock or other monitoring shall be used where required by risk. An excursion shall trigger a documented suitability decision before release. Loss of traceability or uncertain storage history for a critical item shall prevent unrestricted supply until resolved.

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0118 | 22.2

Source p. 29

Distribution and online channels

Distributors and digital marketplaces within scope shall verify item identity, authorized sourcing, market eligibility, instructions and accurate claims. Listings shall distinguish new, used, refurbished, remanufactured and imitation or compatible products without misleading customers about origin or suitability. The organization shall prevent sale of known recalled, unsafe, counterfeit or unlawfully supplied items. Channel records shall support rapid identification of recipients and affected listings when a defect or compliance issue emerges.

RESULT

Select result

FINDING / ACTION ID**EVIDENCE / OBSERVED RESULT / N/A RATIONALE**

CHECK 0119 | 22.3

Source p. 29

Installation, repair and calibration

Service personnel shall use suitable instructions, competence, parts, equipment and configuration information. Safety relevant work shall include verification of installation, fastening, alignment, calibration, software pairing and functional performance as applicable. Substituted parts or altered software shall receive a compatibility and obligation check. Customers shall receive accurate information on material changes and remaining restrictions. Completion records shall connect the work, parts and evidence to the serviced item and responsible personnel.

RESULT

Select result

FINDING / ACTION ID**EVIDENCE / OBSERVED RESULT / N/A RATIONALE**

CHECK 0120 | 22.4

Source p. 29

Returns and remanufacture

Returned items shall be classified and inspected before reentry into supply. Remanufacturing and refurbishment shall use defined acceptance criteria, traceable component disposition and validation of the resulting configuration. The organization shall not infer full suitability from cosmetic condition alone. Reused critical components shall have evidence appropriate to their history and intended service. Product claims shall accurately state the process performed and performance warranted; a changed identity shall not conceal prior defect or recall history.

RESULT

Select result

FINDING / ACTION ID**EVIDENCE / OBSERVED RESULT / N/A RATIONALE**

Requirements & evidence

CHECK 0121 | 22.5

Source p. 29

Recovery chain

End of life routing shall identify authorized recipients, residual hazards, required data removal, depollution, dismantling and material destinations. The organization shall verify transfer and treatment evidence where it claims collection, recovery or recycling performance. Mass balances shall identify inputs, outputs, losses and stored inventory using consistent periods. A transfer to a collector shall not automatically be counted as completed recycling. Unexplained gaps or suspicious routing shall trigger investigation.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

23 | Business conduct, labor and trade

CHECK 0122 | 23.1

Source p. 29

Integrity controls

The organization shall prohibit falsification, bribery, concealed conflicts of interest and interference with independent testing or assessment. It shall establish proportionate controls for gifts, intermediaries, procurement, public claims and decisions involving improper influence. Personnel shall have confidential reporting routes and protection against retaliation for good faith reports. Investigations shall preserve evidence, respect applicable rights and assign corrective action. A commercial or seniority relationship shall not prevent examination of a credible concern.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0123 | 23.2

Source p. 30

Workforce protection

The organization shall identify and control occupational hazards, including machinery, chemicals, high voltage, lifting, repetitive work, fatigue and thermal exposure. It shall provide appropriate training, protective arrangements and emergency response. Worker consultation and accessible grievance routes shall inform control effectiveness. Employment and contractor arrangements shall be checked against applicable working time, remuneration, age and freedom of employment duties. Recorded low incident rates shall be examined alongside reporting accessibility and possible underreporting.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0124 | 23.3

Source p. 30

Trade and restricted transactions

The organization shall identify applicable import, export, customs, origin, classification, restricted party, sanctions and end use controls for relevant goods, software, data and services. Screening shall use current authoritative requirements and account for changes in ownership, destination and transaction purpose. Ambiguities shall be resolved before a prohibited or potentially unlawful transaction proceeds. A commercial intermediary shall not be used to bypass an applicable restriction. Decisions and supporting facts shall be retained at the required level of detail.

RESULT **FINDING / ACTION ID** **EVIDENCE / OBSERVED RESULT / N/A RATIONALE**

CHECK 0125 | 23.4

Source p. 30

Fair dealing and competition

Customer and supplier communications shall be truthful about capability, price conditions, conformity, product origin, remedy and support. Collaborative initiatives shall protect confidential information and avoid unlawful exchange or coordination. The organization shall distinguish technical interoperability cooperation from competitively sensitive discussions. It shall evaluate contractual commitments that could obstruct safety reporting, legitimate repair or mandatory remedies. Complaints shall receive an impartial review with traceable conclusions and suitable correction where justified.

RESULT **FINDING / ACTION ID** **EVIDENCE / OBSERVED RESULT / N/A RATIONALE**

CHECK 0126 | 23.5

Source p. 30

Incident reporting culture

Reporting channels shall accept technical, ethical, environmental and worker concerns and route them to competent owners without requiring the reporter to select a legal category. The organization shall monitor retaliation concerns and barriers to access. Anonymous information shall be assessed on its substance where investigation is feasible. Reports indicating immediate harm shall enter the urgent response process. Aggregated reporting trends shall inform management review without unnecessarily exposing reporter identity.

RESULT **FINDING / ACTION ID** **EVIDENCE / OBSERVED RESULT / N/A RATIONALE**

Requirements & evidence

24 | Resilience and continuity of support

CHECK 0127 | 24.1

Source p. 30

Critical dependency analysis

The organization shall identify processes and dependencies whose interruption can cause severe harm, unlawful operation or loss of essential support. Scenarios shall include power loss, cyberattack, natural hazards, climate extremes, pandemic effects, transport interruption, financial failure and loss of key competence. The analysis shall identify maximum tolerable disruption, recovery objectives, minimum resources and safe interim behavior. Recovery objectives shall reflect product and user consequences rather than only business revenue.

RESULT **FINDING / ACTION ID**

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0128 | 24.2

Source p. 31

Continuity plans

Plans shall define activation triggers, authority, communications, alternative capacity, protected evidence, supplier coordination and orderly restoration. At least annually, the organization shall exercise a representative critical disruption and verify the ability to carry out essential actions. Exercises shall include failure of a relevant external provider where such dependency is material. Lessons shall lead to assigned actions and retesting of failed protections. A plan that relies on unavailable resources shall not be considered effective.

RESULT **FINDING / ACTION ID**

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0129 | 24.3

Source p. 31

Climate adaptation

The organization shall evaluate relevant exposure to heat, cold, flooding, fire, water scarcity and other physical climate hazards over the anticipated product and facility life. It shall examine effects on vehicle use, storage, batteries, materials, infrastructure and supplier continuity. Adaptation measures shall be tested or justified for the relevant conditions. A scenario used for design shall state its assumptions and limitations. Updating a climate assumption shall trigger review of affected validation and support commitments.

RESULT **FINDING / ACTION ID**

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0130 | 24.4

Source p. 31

Support commitment

Before supply, the organization shall define and communicate the support period or determination method for safety-relevant software, services, parts and information. Commitments shall consider expected use, applicable duties, security exposure and realistic resources. Shortening a commitment shall require an obligation and impact review, appropriate notice and effective protective arrangements. The organization shall not treat contract expiry as sufficient grounds to abandon a continuing product safety or legal duty.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0131 | 24.5

Source p. 31

Provider exit and stranded products

The organization shall plan for insolvency, acquisition, service closure, lost licensing and unavailable cloud infrastructure. Measures may include transferable records, escrow where suitable, alternative services, offline functions, controlled migration or orderly retirement. The chosen arrangement shall be technically tested and legally usable. Users shall not be left with an undisclosed loss of essential safety capability. Where continued safe operation cannot be maintained, the organization shall define and implement the required restriction or remedy with accountable communication.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

25 | Integrated change control

CHECK 0132 | 25.1

Source p. 31

Change identification

The organization shall capture planned and unplanned changes to design, material, software, models, equipment, processes, suppliers, sites, data, operating envelopes, markets and services. It shall define who may propose, assess, approve and implement each class of change. A temporary change, deviation or administrative relabeling shall undergo the same impact screening as a permanent change when its consequences are equivalent. Unauthorized changes shall be contained and investigated.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0133 | 25.2

Source p. 31

Cross-domain impact review

Every material change shall be screened against the domain matrix in Annex A and the record in Annex F. The review shall identify affected obligations, risks, evidence, installed populations and downstream decisions. It shall assess interactions, necessary retesting, customer and authority notifications, support implications and recovery arrangements. A finding of no impact shall include a reasoned basis. Independent review shall be required where the change affects a critical characteristic, control or market release conclusion.

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0134 | 25.3

Source p. 32

Implementation control

Approved changes shall specify effective configuration, affected lots or vehicles, sites, deployment sequence, training, documentation and acceptance evidence. The organization shall prevent incompatible mixing of old and new configurations and shall account for stock, work in progress and products in service. Implementation shall be verified at the point of use. Obsolete material and instructions shall be dispositioned. A planned effective date shall not substitute for confirmation that the change actually occurred.

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0135 | 25.4

Source p. 32

Deviation and compliance debt register

Noncritical temporary deviations and incomplete improvement work shall be visible in a controlled register with owner, affected obligations, consequence, compensating controls, expiry and closure evidence. Mandatory legal duties and critical blocking conditions shall not be deferred through this mechanism. Repeated extensions shall receive escalating independent review and management attention. The organization shall measure aging and recurrence without rewarding administrative closure that leaves the underlying condition unchanged.

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0136 | 25.5

Source p. 32

Post-change verification

After implementation, the organization shall confirm that the change achieved its intended outcome without unacceptable new effects. The review shall compare representative production or field evidence with predeclared criteria and shall update risks, instructions and the assurance case. Unexpected behavior shall enter incident or corrective action processes. A successful pilot shall not automatically justify broader use where the expanded population or conditions differ materially from the tested scope.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

26 | Monitoring and performance evaluation

CHECK 0137 | 26.1

Source p. 32

Measurement plan

The organization shall establish a measurement plan that links important obligations and controls to valid outcome and process indicators. Each indicator shall define purpose, owner, population, numerator, denominator where applicable, unit, source, frequency, baseline, target, uncertainty and response threshold. Annex G gives minimum indicators and calculation rules. Comparisons shall use compatible populations and time periods. Missing, delayed or poor quality data shall be shown explicitly rather than silently treated as satisfactory performance.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0138 | 26.2

Source p. 32

Mandatory visibility

The system shall visibly report critical control effectiveness, release gate completeness, obligation evidence coverage, overdue actions, affected field populations, incident response and evidence integrity. Relevant environmental, workforce and service outcomes shall be monitored separately. A combined dashboard may be used for navigation, but no aggregate score shall hide a failed mandatory requirement. Management shall be able to trace an indicator to source records and explain changes in the population or calculation method.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0139 | 26.3

Source p. 32

Data validation

The organization shall validate data collection, transformation, aggregation and reporting at a level proportionate to the decisions made. It shall control automated queries and changes to metric definitions. Duplicate records, missing exposure, inconsistent units and excluded populations shall be checked. Estimates shall be labeled and bounded. Material restatements shall preserve the original report, explain the correction and assess any decisions made using the incorrect figure.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0140 | 26.4

Source p. 33

Trends and effectiveness

The organization shall analyze trends, variation, recurring failures, early warnings and the practical effect of controls. Low incident counts shall be interpreted alongside exposure and reporting completeness. Increased reporting after improving access shall not automatically be treated as worse safety. Statistical evidence shall disclose assumptions and uncertainty. Corrective actions shall be judged by demonstrated prevention or reduction of the targeted failure, not simply by completion of training or revision of a procedure.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0141 | 26.5

Source p. 33

Field evidence feedback

Complaints, warranty, maintenance, telemetry, returns, near misses and recovery findings shall feed the relevant engineering and control owners. The organization shall assess whether information from one model, market or supplier indicates risk elsewhere. Privacy and data quality limits shall be considered in interpretation. Monitoring shall extend through the supported life and continuing obligations. Discontinued products shall remain included where a relevant field duty persists.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

27 | Incidents corrective action and remedies

CHECK 0142 | 27.1

Source p. 33

Detection and triage

The organization shall maintain an incident process covering safety, digital, environmental, labor, integrity and regulatory events. A credible potential critical event shall trigger immediate protective action where feasible and accountable triage without delay. Critical triage shall be recorded within twenty-four hours of awareness as an internal maximum, unless a shorter period is required by risk or obligation. This period is not permission to postpone an emergency response or external notification. Uncertain severity shall receive conservative provisional treatment.

RESULT **FINDING / ACTION ID** **EVIDENCE / OBSERVED RESULT / N/A RATIONALE**

CHECK 0143 | 27.2

Source p. 33

Containment and notification

Containment shall identify affected configurations, lots, vehicles, users, sites, markets and dependent services and shall prevent further exposure without creating a greater hazard. The organization shall preserve evidence and determine applicable notification duties, recipients, content and deadlines separately for each relevant jurisdiction or contract. Messages shall distinguish confirmed facts, uncertainty, interim protection and next steps. Lack of a final root cause shall not delay a required protective action or notification.

RESULT **FINDING / ACTION ID** **EVIDENCE / OBSERVED RESULT / N/A RATIONALE**

CHECK 0144 | 27.3

Source p. 33

Investigation

A competent investigation shall examine the initiating event, contributing conditions, control escape, organizational causes and related populations. It shall preserve relevant data, specimens and decision records with suitable chain of custody. Alternative explanations and contradictory evidence shall be evaluated. The team shall identify whether incentives, workload, supplier interfaces or tool errors contributed. Blaming an individual or labeling an event human error shall not close the need to examine the system that permitted the failure.

RESULT **FINDING / ACTION ID** **EVIDENCE / OBSERVED RESULT / N/A RATIONALE**

Requirements & evidence

CHECK 0145 | 27.4

Source p. 33

Corrective action

Actions shall address immediate correction, root causes, escape causes and prevention of recurrence where applicable. Each action shall have an owner, due date, verification criterion and assessment of unintended consequences. Changes shall pass relevant release controls. Closure shall require evidence that the action was implemented and effective over an appropriate exposure or observation period. Similar products and processes shall be reviewed for shared causes. Ineffective actions shall be reopened and escalated.

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0146 | 27.5

Source p. 34

Recall and field remedy

When a field remedy is needed, the organization shall determine affected population, remedy suitability, parts or software capacity, customer communication, service instructions and completion verification. It shall distinguish identification, contact, appointment, installation and confirmed remedy completion. Unreachable or unresolved items shall remain visible with continued action according to risk and duty. Remedy effectiveness and unintended effects shall be monitored. A campaign shall not be closed solely because an announcement or update package was issued.

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0147 | 27.6

Source p. 34

Learning and disclosure

Material lessons shall update risk analyses, requirements, tests, supplier controls, training and relevant assumptions. The organization shall communicate useful preventive information to affected parties while respecting lawful confidentiality and privacy. Public statements shall be accurate, timely and supported by reviewed facts. Known material errors shall be corrected. Incident records shall preserve reasons for key decisions, including a decision that no field action is required.

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

28 | Future technology readiness

CHECK 0148 | 28.1

Source p. 34

Technology horizon review

At least annually, the organization shall review emerging technologies and operating models that could materially affect its scope during the anticipated product and support life. The review shall consider AI-driven engineering, software-defined vehicles, new energy systems, distributed manufacturing, advanced connectivity, cryptographic transition and changing ownership models where relevant. Each material scenario shall identify assumptions, possible benefits, harms, competence gaps and a trigger for action. A scenario shall not be presented as a certain forecast.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0149 | 28.2

Source p. 34

Controlled experimentation

Novel technologies shall progress through a documented evidence plan with bounded experiments, measurable acceptance criteria and escalation conditions. The organization shall identify what existing evidence can legitimately be reused and what needs new validation. Public road or customer exposure shall require the applicable permissions and validated protections. Commercial urgency shall not justify open ended experimentation on users. The organization shall retain negative findings and discontinue or redesign an experiment when its protective assumptions fail.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0150 | 28.3

Source p. 34

Digital twins and automated compliance

A digital twin or machine-executable obligation model used for a critical decision shall identify its physical or legal counterpart, source data, model version, update frequency, validation and uncertainty. Rules shall be tested with compliant, noncompliant and ambiguous cases and reviewed when source obligations change. Simulated compliance shall not be reported as observed physical conformity. The organization shall retain a competent interpretation and an auditable explanation for consequential automated conclusions.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0151 | 28.4

Source p. 35

Distributed and additive manufacturing

Where production is distributed, on-demand or additive, the organization shall control design file integrity, authorized machines, material provenance, process windows, post processing and local competence. Equivalence between sites or machines shall be demonstrated for relevant properties rather than assumed from identical files. Changes in powder, feedstock, build orientation, energy input or post treatment shall trigger risk-based revalidation. The resulting product shall retain traceability and applicable market evidence.

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0152 | 28.5

Source p. 35

Adaptive and cooperative systems

Self modifying, learning or cooperative systems shall have a validated boundary for permitted adaptation and interaction. The organization shall analyze collective behavior, conflicting objectives, cascading failures and dependence on other participants. Protective mechanisms shall remain effective when a participant behaves unexpectedly or maliciously. Changes beyond the validated boundary shall require controlled approval. A claim that behavior emerges from multiple systems shall not remove accountability for the organization's contribution and interface controls.

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0153 | 28.6

Source p. 35

Long horizon resilience

The organization shall assess future loss of cryptographic strength, obsolete components, unavailable software environments, changed data access and infrastructure withdrawal. It shall select migration or replacement strategies appropriate to expected life and consequence and periodically verify feasibility. New technology adoption shall include a support and exit plan. Annex K provides scenarios for application; it does not establish adoption dates, universal performance thresholds or entitlement to claim future-proof performance.

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

29 | Internal assessment and system improvement

CHECK 0154 | 29.1

Source p. 35

Assessment programme

The organization shall plan internal assessments covering all applicable requirements and declared sites, roles and domains within each twelve month period. Frequency and depth shall increase with risk, change and poor performance. Assessments shall examine implementation and effectiveness through records, observation, interviews and representative traceability exercises. A central policy review shall not substitute for evidence of local execution. Remote methods may be used where they provide adequate evidence, with limitations recorded and further examination arranged when necessary.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0155 | 29.2

Source p. 35

Assessor competence and independence

Assessors shall demonstrate knowledge of this document, the assessed activity, relevant technical risks, evidence evaluation and interviewing. They shall not assess their own work or be rewarded for a favorable result. Specialist support shall be used for competence gaps, while the lead assessor remains responsible for integrating conclusions. Conflicts shall be declared before assignment and controlled. Management shall protect access to information and the ability to report findings without alteration for commercial reasons.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0156 | 29.3

Source p. 36

Sampling and trace tests

The assessment plan shall justify sampling by population, variation, risk, sites, shifts, suppliers, changes and history. It shall include recent releases, a material change, a closed action and a field issue where such records exist. For a net-new system without operational history, that limitation shall be stated and implementation claims restricted accordingly. Critical control designs and blocking conditions shall all be examined, while transaction sampling shall be expanded when an exception suggests a systemic problem.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0157 | 29.4

Source p. 36

Findings and follow up

Findings shall state the requirement, objective evidence, affected scope and consequence using Annex H classifications. The organization shall acknowledge findings without being required to agree with an unsupported conclusion and may seek independent review. Disputed findings shall not suspend urgent protective action. Corrective action deadlines shall be justified by risk and applicable duties. Closure shall be verified by a competent person independent of the action where critical or major findings are involved.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0158 | 29.5

Source p. 36

Improvement programme

The organization shall prioritize improvements using risk, user outcomes, recurrence, resource needs and achievable benefit. It shall assign owners, measures and review dates and evaluate unintended consequences. Lessons shall update common controls and interfaces across the scope. Improvement targets shall not be used to recategorize mandatory requirements as optional. Management shall examine whether the system remains usable and whether duplicated records or unclear authority are contributing to errors.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

30 | Conformity decisions and permitted claims

CHECK 0159 | 30.1

Source p. 36

Assessment boundary

A conformity assessment shall identify the legal entities, sites, roles, product or service families, domains, markets, lifecycle stages, exclusions, evidence period and edition assessed. The report shall describe the assessment method, sampling, personnel and limitations. A site or activity not examined shall not be silently included in the conclusion. Annex A applicability and Annex H decision rules shall be completed before a final determination.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0160 | 30.2

Source p. 36

Decision criteria

A conforming conclusion shall require fulfillment of every applicable requirement, verified effectiveness of all applicable critical controls and closure of all nonconformities affecting the claimed scope. No critical failure or unresolved major or minor nonconformity shall be offset by an average score. Where evidence is insufficient, the result shall be "not demonstrated". Where a requirement is not fulfilled, the result shall be nonconforming. A readiness review or conditional release shall not be labeled full conformity.

RESULT **FINDING / ACTION ID**

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0161 | 30.3

Source p. 36

Independent decision

For an independent external assessment, the final decision maker shall be competent and separate from the assessment activity and from the assessed organization's consulting work. The decision shall examine evidence sufficiency, finding closure, exclusions and scope consistency. Any material disagreement shall be resolved through a recorded technical review. Commercial fees or membership shall not determine the result. This working draft does not establish or authorize an operational certification programme.

RESULT **FINDING / ACTION ID**

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0162 | 30.4

Source p. 37

Statement content

A permitted statement shall identify the organization, scope, assessed edition, decision date, evidence period, assessment type, exclusions and conditions affecting continued validity. Self declarations, customer assessments and independent assessments shall be clearly distinguished. The statement shall not imply government approval, universal legal compliance, a vehicle safety rating or coverage of an unassessed product. Use of an IAF mark shall require separate written authorization and applicable mark rules; this document alone grants no mark license.

RESULT **FINDING / ACTION ID**

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0163 | 30.5

Source p. 37

Continued validity and reassessment

An assessment statement shall identify the conditions that invalidate or require review of its conclusion. Material scope changes, critical incidents, evidence falsification and failed critical controls shall trigger immediate review and appropriate restriction, suspension or withdrawal of the affected claim. Continued claims shall be subject to reassessment at least annually where a scheme adopts this draft's continuing conformity model. This interval shall not delay event-triggered action or create a fixed product certificate life.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0164 | 30.6

Source p. 37

Complaints, appeals and corrections

The organization or assessment operator shall provide accessible complaint and appeal arrangements with competent, impartial review by persons not responsible for the disputed decision. Records shall identify the issue, evidence, response and outcome while protecting confidentiality. Appeals shall not permit continued misleading claims or suspend urgent safeguards. Incorrect statements shall be corrected or withdrawn promptly and affected recipients informed where necessary. Changes to published conclusions shall preserve an auditable history.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

Annex A | Applicability and domain matrix

CHECK 0165 | Annex A | part 1/17

Source p. 38

Applicability and domain matrix

The organization shall record a decision for every row below and map it to the detailed requirements in the cited clauses. An applicable domain does not require an organization to perform every lifecycle activity itself; it requires control of the activities and interfaces for which it is responsible. A domain marked not applicable shall satisfy Clause 1.6. Partial applicability shall identify the precise excluded provisions and retained interface duties. The assessor shall verify the factual basis rather than accept the organization's label alone.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0166 | Annex A | source schedule row | part 2/17

Source p. 38

Core governance and evidence

Domain: Core governance and evidence

Applicability trigger: Every declared scope

Primary clauses: 4 to 10 and 25 to 30

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0167 | Annex A | source schedule row | part 3/17

Source p. 38

Engineering

Domain: Engineering

Applicability trigger: Specification, design, integration or acceptance of technical output

Primary clauses: 11

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0168 | Annex A | source schedule row | part 4/17

Source p. 38

Product and operational safety

Domain: Product and operational safety

Applicability trigger: Any item or activity capable of harming persons or property

Primary clauses: 12

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0169 | Annex A | source schedule row | part 5/17

Source p. 38

Environment and circularity

Domain: Environment and circularity

Applicability trigger: Material environmental impacts or environmental claims

Primary clauses: 13

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0170 | Annex A | source schedule row | part 6/17

Source p. 38

Cybersecurity

Domain: Cybersecurity

Applicability trigger: Digital assets, software, networks or connected dependencies

Primary clauses: 14

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0171 | Annex A | source schedule row | part 7/17

Source p. 38

Updates

Domain: Updates

Applicability trigger: Post baseline software, calibration, model or digital feature change

Primary clauses: 15

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0172 | Annex A | source schedule row | part 8/17

Source p. 38

Artificial intelligence

Domain: Artificial intelligence

Applicability trigger: AI influences product behavior, work or decisions

Primary clauses: 16

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0173 | Annex A | source schedule row | part 9/17

Source p. 38

Data and services

Domain: Data and services

Applicability trigger: Personal data or externally dependent connected functionality

Primary clauses: 17

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0174 | Annex A | source schedule row | part 10/17

Source p. 38

Batteries and propulsion

Domain: Batteries and propulsion

Applicability trigger: Energy storage, supply, charging, fuels or associated service

Primary clauses: 18

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0175 | Annex A | source schedule row | part 11/17

Source p. 38

Automated mobility

Domain: Automated mobility

Applicability trigger: Driving automation, remote operation or cooperative infrastructure

Primary clauses: 19

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0176 | Annex A | source schedule row | part 12/17

Source p. 38

Supply chain

Domain: Supply chain

Applicability trigger: Externally provided materials, products, data or services

Primary clauses: 20

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0177 | Annex A | source schedule row | part 13/17

Source p. 38

Production and testing

Domain: Production and testing

Applicability trigger: Manufacture, process control, inspection or test evidence

Primary clauses: 21

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0178 | Annex A | source schedule row | part 14/17

Source p. 38

Aftermarket and recovery

Domain: Aftermarket and recovery

Applicability trigger: Transport, distribution, repair, reuse or recovery

Primary clauses: 22

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0179 | Annex A | source schedule row | part 15/17

Source p. 38

Conduct labor and trade

Domain: Conduct labor and trade

Applicability trigger: Every entity; individual trade controls depend on activity

Primary clauses: 23

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0180 | Annex A | source schedule row | part 16/17

Source p. 38

Resilience and support

Domain: Resilience and support

Applicability trigger: Every scope with operational or continuing support duties

Primary clauses: 24

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0181 | Annex A | part 17/17

Source p. 38

Applicability and domain matrix

The applicability record shall also name legal entity, site, role, family, market, lifecycle stage, critical interfaces, responsible owner, approval date and next review trigger. New markets, outsourced activities and new technology adoption shall reopen the relevant determination. An exclusion that removes a control needed to fulfill another applicable requirement shall be rejected.

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

Annex B | Obligation register and market profile

CHECK 0182 | Annex B | part 1/16

Source p. 39

Obligation register and market profile

Each obligation record shall contain the following information, either directly or through a persistent link. One source may create several obligation records where duties, deadlines, entities or acceptance conditions differ. Entries shall use controlled status values and preserve revision history.

RESULT	Select result	FINDING / ACTION ID	
EVIDENCE / OBSERVED RESULT / N/A RATIONALE			

CHECK 0183 | Annex B | source schedule row | part 2/16

Source p. 39

Identity and source

Field group: Identity and source

Minimum content: Stable obligation ID; authentic source identifier and version; retained access or copy; source language; verification date

RESULT	Select result	FINDING / ACTION ID	
EVIDENCE / OBSERVED RESULT / N/A RATIONALE			

CHECK 0184 | Annex B | source schedule row | part 3/16

Source p. 39

Applicability

Field group: Applicability

Minimum content: Jurisdiction; responsible legal entity and role; affected product or service; site; market; lifecycle stage; scope rationale

RESULT	Select result	FINDING / ACTION ID	
EVIDENCE / OBSERVED RESULT / N/A RATIONALE			

CHECK 0185 | Annex B | source schedule row | part 4/16

Source p. 39

Timing

Field group: Timing

Minimum content: Publication or agreement date; effective date; transition conditions; recurring deadline; event-triggered deadline; next review

RESULT	Select result	FINDING / ACTION ID	
EVIDENCE / OBSERVED RESULT / N/A RATIONALE			

Requirements & evidence

CHECK 0186 | Annex B | source schedule row | part 5/16

Source p. 39

Requirement

Field group: Requirement

Minimum content: Specific duty; acceptance condition; mandatory or voluntarily adopted status; competent interpretation; unresolved questions

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0187 | Annex B | source schedule row | part 6/16

Source p. 39

Control linkage

Field group: Control linkage

Minimum content: Process; owner; criticality; control IDs; verification method; escalation and blocking rule

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0188 | Annex B | source schedule row | part 7/16

Source p. 39

Evidence and decision

Field group: Evidence and decision

Minimum content: Evidence IDs; covered configurations; evidence status; reviewer; conclusion; restrictions; review trigger

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0189 | Annex B | source schedule row | part 8/16

Source p. 39

Communication

Field group: Communication

Minimum content: Required recipients; submission method; deadline; approval; proof of submission or receipt; confidentiality conditions

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0190 | Annex B | part 9/16

Source p. 39

Obligation register and market profile

The register shall distinguish identified, applicability under review, applicable, not applicable, superseded and withdrawn states. Fulfillment status shall be recorded separately as demonstrated, not demonstrated or not fulfilled. An applicable obligation may remain not demonstrated; it shall not be changed to not applicable merely because evidence is missing.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0191 | Annex B | source schedule row | part 10/16

Source p. 39

Product eligibility

Market profile field: Product eligibility**Required determination:** Category, use, configuration, new or used status and intended market entry route

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0192 | Annex B | source schedule row | part 11/16

Source p. 39

Responsible actors

Market profile field: Responsible actors**Required determination:** Manufacturer, importer, distributor, service and data roles as applicable

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0193 | Annex B | source schedule row | part 12/16

Source p. 39

Entry evidence

Market profile field: Entry evidence**Required determination:** Permissions, declarations, tests, labels, language and local representation requirements

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0194 | Annex B | source schedule row | part 13/16

Source p. 39

Continuing duties

Market profile field: Continuing duties

Required determination: Production consistency, reporting, changes, field remedies, environmental and support obligations

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0195 | Annex B | source schedule row | part 14/16

Source p. 39

Cross border issues

Market profile field: Cross border issues

Required determination: Data transfers, customs, origin, trade restrictions and recovery movements where relevant

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0196 | Annex B | source schedule row | part 15/16

Source p. 39

Readiness conclusion

Market profile field: Readiness conclusion

Required determination: Specific variants permitted; blocked items; evidence date; decision maker; change triggers

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0197 | Annex B | part 16/16

Source p. 39

Obligation register and market profile

Market profiles shall be created for every actual destination or operating jurisdiction relevant to the duty. A list of regions such as Europe, North America, Asia, Africa, Latin America or Oceania shall serve only as an inventory aid and shall not be treated as completed legal analysis. Unknown or unsettled requirements shall remain visible with an owner and resolution action.

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

Annex C | Criticality and risk acceptance

CHECK 0198 | Annex C | part 1/6

Source p. 40

Criticality and risk acceptance

The following internal categories determine minimum assurance effort. They are not product safety integrity levels and shall not be presented as equivalent to any external classification. The organization shall use domain-specific severity and exposure analysis in addition to this screening.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0199 | Annex C | source schedule row | part 2/6

Source p. 40

C1 Critical

Category: C1 Critical

Consequence or condition: Credible fatal or permanently disabling harm; widespread severe harm; unlawful release under a mandatory block; material evidence fabrication; uncontrolled compromise of a safety function

Minimum assurance: Explicit blocking control; independent technical review; validated protection; accountable release decision

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0200 | Annex C | source schedule row | part 3/6

Source p. 40

C2 High

Category: C2 High

Consequence or condition: Serious reversible harm; major environmental or data harm; substantial compliance breach; failure of a key protective control with exposure bounded

Minimum assurance: Documented risk analysis; verified treatment; competent review separate from action owner; enhanced monitoring

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0201 | Annex C | source schedule row | part 4/6

Source p. 40

C3 Moderate

Category: C3 Moderate

Consequence or condition: Limited recoverable impact with effective containment and no unresolved critical consequence

Minimum assurance: Defined acceptance criteria; verified implementation; representative monitoring

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0202 | Annex C | source schedule row | part 5/6

Source p. 40

C4 Low

Category: C4 Low

Consequence or condition: Minor consequence within established controls and applicable duties

Minimum assurance: Proportionate documented control and periodic review

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0203 | Annex C | part 6/6

Source p. 40

Criticality and risk acceptance

Classification shall use the most severe credible consequence and shall not be reduced solely by low estimated occurrence where the estimate lacks adequate evidence. The organization shall consider exposure, common-cause effects and cumulative harm. A numerical rating may support prioritization but shall not substitute for the acceptance argument. Acceptance shall answer six questions: what can go wrong; who or what may be harmed; how the consequence and exposure were determined; which implemented controls prevent or mitigate it; what evidence shows that those controls work; and why the remaining risk is acceptable within the applicable obligations. A negative or unresolved answer relevant to a critical outcome shall block unrestricted release. The risk record shall preserve initial classification, treatment, verification, residual risk, independent review where required, decision authority, communication and trigger for reassessment. Only verified controls may reduce residual risk. Warnings and contractual exclusions shall not be credited as removing a hazard unless their real protective effect is demonstrated.

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

Annex D | Evidence record and exchange requirements

CHECK 0204 | Annex D | part 1/11

Source p. 41

Evidence record and exchange requirements

Evidence shall be uniquely identifiable and retrievable throughout its required retention period. The organization may implement the structure in documents, databases or other controlled systems. Format choice shall preserve the semantics below.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0205 | Annex D | source schedule row | part 2/11

Source p. 41

Record identity

Element: Record identity

Minimum information: Evidence ID, revision, record class and title

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0206 | Annex D | source schedule row | part 3/11

Source p. 41

Origin

Element: Origin

Minimum information: Creator or provider, creation time with time basis, source location and authenticity check

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0207 | Annex D | source schedule row | part 4/11

Source p. 41

Object covered

Element: Object covered

Minimum information: Product, process or service identity; site; configuration; lot or population; operating envelope

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0208 | Annex D | source schedule row | part 5/11

Source p. 41

Method

Element: Method

Minimum information: Procedure and revision; equipment or tool version; conditions; units; sampling basis; deviations

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0209 | Annex D | source schedule row | part 6/11

Source p. 41

Result

Element: Result

Minimum information: Raw record link; observations; calculated results; pass, fail or inconclusive conclusion; uncertainty and limitations

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0210 | Annex D | source schedule row | part 7/11

Source p. 41

Review

Element: Review

Minimum information: Reviewer identity and competence; date; approval status; linked findings and corrections

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0211 | Annex D | source schedule row | part 8/11

Source p. 41

Claim linkage

Element: Claim linkage

Minimum information: Obligation IDs; control IDs; assurance claim; decision and market scope

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0212 | Annex D | source schedule row | part 9/11

Source p. 41

Validity

Element: Validity

Minimum information: Assumptions; time validity where relevant; invalidation events; superseding evidence

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0213 | Annex D | source schedule row | part 10/11

Source p. 41

Protection

Element: Protection

Minimum information: Integrity mechanism; access class; retention rule; legal hold; transfer and disposal controls

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0214 | Annex D | part 11/11

Source p. 41

Evidence record and exchange requirements

Exchange shall preserve the evidence ID and revision, intended recipient, access rights, essential metadata, integrity check and acknowledgment where needed. The recipient shall verify readability and relationship integrity. Redaction may protect unrelated confidential information but shall not hide material limitations or prevent a competent assessment of the claimed result. Where full disclosure is restricted, a controlled examination arrangement shall provide adequate assurance or the claim shall remain not demonstrated. The organization shall perform an evidence chain exercise on a representative critical claim: start at a released item, identify the current configuration, recover the relevant obligation and criterion, retrieve the original evidence, confirm its source and validity, and reconstruct the approval. Any broken link that prevents the conclusion shall be treated as a control deficiency and assessed for wider impact.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

Annex E | Lifecycle gates and blocking conditions

CHECK 0215 | Annex E | part 1/10

Source p. 42

Lifecycle gates and blocking conditions

All gate decisions shall name the scope and configuration, reviewed evidence, open issues, restrictions, decision maker and timestamp. Gate sequencing may be adapted, but no required acceptance element may be omitted. Only the affected scope may proceed; a gate approval shall not extend implicitly to other markets or variants.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0216 | Annex E | source schedule row | part 2/10

Source p. 42

G0 Scope authorization

Gate: G0 Scope authorization

Required evidence: Role and boundary; market inventory; applicability screening; accountable owner

Blocking example: Undefined responsibility for a critical interface

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0217 | Annex E | source schedule row | part 3/10

Source p. 42

G1 Concept acceptance

Gate: G1 Concept acceptance

Required evidence: Intended use; initial obligations; hazards; feasibility and support assumptions

Blocking example: Unbounded severe risk or unresolved lawful route

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0218 | Annex E | source schedule row | part 4/10

Source p. 42

G2 Design readiness

Gate: G2 Design readiness

Required evidence: Requirements baseline; architecture; allocated controls; verification plan

Blocking example: Critical requirement has no control or acceptance method

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0219 | Annex E | source schedule row | part 5/10

Source p. 42

G3 Validation acceptance

Gate: G3 Validation acceptance

Required evidence: Representative results; limitations; independent critical review; resolved failures

Blocking example: Failed mandatory criterion or invalid critical evidence

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0220 | Annex E | source schedule row | part 6/10

Source p. 42

G4 Operational readiness

Gate: G4 Operational readiness

Required evidence: Production or service controls; supplier readiness; competence; traceability; response capability

Blocking example: No effective means to prevent release of suspect output

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0221 | Annex E | source schedule row | part 7/10

Source p. 42

G5 Release authorization

Gate: G5 Release authorization

Required evidence: Final configuration; market dossier; all required approvals; support and remedy readiness

Blocking example: Missing mandatory permission or unknown released configuration

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0222 | Annex E | source schedule row | part 8/10

Source p. 42

G6 In service continuation

Gate: G6 In service continuation

Required evidence: Field results; current risks and obligations; change and incident decisions

Blocking example: Credible critical failure without adequate containment

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0223 | Annex E | source schedule row | part 9/10

Source p. 42

G7 Retirement closure

Gate: G7 Retirement closure

Required evidence: Residual obligations; safe disposition; data handling; support transfer or closure evidence

Blocking example: Continuing duties abandoned or uncontrolled residual hazards

RESULT **FINDING / ACTION ID**

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0224 | Annex E | part 10/10

Source p. 42

Lifecycle gates and blocking conditions

Gate records shall separately answer whether each applicable critical control is effective, required market evidence is valid, all required tests meet acceptance, the configuration is traceable and remaining conditions are lawful and acceptable. A single negative answer shall block the affected authorization. Administrative evidence completeness shall not by itself demonstrate technical suitability. Where a limited non-critical condition is allowed under Clause 10.4, the decision shall identify the activity that may proceed and the activity that remains prohibited. The condition shall have a verified protective basis, expiry and closure owner. A condition affecting full conformity shall remain visible in the assessment record until resolved.

RESULT **FINDING / ACTION ID**

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

Annex F | Integrated change impact record

CHECK 0225 | Annex F | part 1/10

Source p. 43

Integrated change impact record

The organization shall retain a change record containing the origin and reason, prior and proposed baselines, affected populations, requested date, responsible owner and approval authority. It shall screen each domain below and state impact, no impact with rationale or unresolved. An unresolved critical impact shall block implementation outside an authorized contained evaluation.

RESULT	Select result	FINDING / ACTION ID	
EVIDENCE / OBSERVED RESULT / N/A RATIONALE			

CHECK 0226 | Annex F | source schedule row | part 2/10

Source p. 43

Safety

Review area: Safety

Questions to resolve: New hazards, changed margins, human behavior, emergency information and fallback effects

RESULT	Select result	FINDING / ACTION ID	
EVIDENCE / OBSERVED RESULT / N/A RATIONALE			

CHECK 0227 | Annex F | source schedule row | part 3/10

Source p. 43

Environment

Review area: Environment

Questions to resolve: Energy, emissions, material composition, circularity, claimed performance and recovery effects

RESULT	Select result	FINDING / ACTION ID	
EVIDENCE / OBSERVED RESULT / N/A RATIONALE			

CHECK 0228 | Annex F | source schedule row | part 4/10

Source p. 43

Digital systems

Review area: Digital systems

Questions to resolve: Threats, vulnerabilities, dependencies, privileges, update integrity and service availability

RESULT	Select result	FINDING / ACTION ID	
EVIDENCE / OBSERVED RESULT / N/A RATIONALE			

Requirements & evidence

CHECK 0229 | Annex F | source schedule row | part 5/10

Source p. 43

AI and data

Review area: AI and data

Questions to resolve: Model behavior, provenance, evaluation validity, privacy purposes and processing locations

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0230 | Annex F | source schedule row | part 6/10

Source p. 43

Product and process

Review area: Product and process

Questions to resolve: Specifications, special characteristics, tools, methods, capacity, validation and measurement

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0231 | Annex F | source schedule row | part 7/10

Source p. 43

Supply and aftermarket

Review area: Supply and aftermarket

Questions to resolve: Supplier capability, origin, replacement compatibility, stock, repair and spare parts

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0232 | Annex F | source schedule row | part 8/10

Source p. 43

Market and duty

Review area: Market and duty

Questions to resolve: Permissions, labels, notifications, local roles, continuing obligations and claim scope

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0233 | Annex F | source schedule row | part 9/10

Source p. 43

Continuity

Review area: Continuity

Questions to resolve: Support period, migration, fallback, provider exit, rollback or trusted recovery

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0234 | Annex F | part 10/10

Source p. 43

Integrated change impact record

The approval package shall identify invalidated evidence, required new evidence, regression scope, operational restrictions, stakeholder notices, implementation verification and post-change monitoring. The organization shall preserve both the prior and approved resulting configuration. Withdrawal of a change shall include disposition of partially implemented populations and restoration of consistent records.

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

Annex G | Performance indicators and calculation rules

CHECK 0235 | Annex G | part 1/15

Source p. 44

Performance indicators and calculation rules

The organization shall calculate the indicators below where the related activity exists. It shall document a reason for any activity dependent indicator marked not applicable. Core obligation, critical control, gate, change and corrective action indicators remain mandatory. These measures support decisions and do not replace examination of individual requirements.

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0236 | Annex G | source schedule row | part 2/15

Source p. 44

Obligation evidence coverage

Indicator: Obligation evidence coverage

Calculation or measure: Applicable obligations with valid verified evidence divided by all applicable obligations in the assessed scope, multiplied by 100

Decision rule: Full conformity requires every applicable obligation addressed by the system to be demonstrably controlled; percentage alone does not establish legal compliance

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0237 | Annex G | source schedule row | part 3/15

Source p. 44

Critical control effectiveness

Indicator: Critical control effectiveness

Calculation or measure: Effective applicable critical controls divided by all applicable critical controls, multiplied by 100

Decision rule: Every critical control required for a release shall be effective; one failure blocks the affected release

RESULT FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0238 | Annex G | source schedule row | part 4/15

Source p. 44

Gate evidence completeness

Indicator: Gate evidence completeness

Calculation or measure: Required gate evidence items accepted as valid divided by all required items for that gate, multiplied by 100

Decision rule: All mandatory gate items shall be accepted before unrestricted release

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0239 | Annex G | source schedule row | part 5/15

Source p. 44

Evidence freshness

Indicator: Evidence freshness

Calculation or measure: Valid current evidence records divided by all evidence records required for the measured active scope, multiplied by 100

Decision rule: Invalid critical evidence triggers review of dependent decisions

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0240 | Annex G | source schedule row | part 6/15

Source p. 44

Change review completion

Indicator: Change review completion

Calculation or measure: Implemented material changes with completed required impact review divided by all implemented material changes, multiplied by 100

Decision rule: Unauthorized material change triggers containment and investigation

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0241 | Annex G | source schedule row | part 7/15

Source p. 44

Corrective action timeliness

Indicator: Corrective action timeliness

Calculation or measure: Actions verified closed by the approved due date divided by actions due in the period, multiplied by 100

Decision rule: Overdue critical protection shall never be excused by an average completion rate

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0242 | Annex G | source schedule row | part 8/15

Source p. 44

Containment time

Indicator: Containment time

Calculation or measure: Elapsed time from first awareness to verified effective containment; report distribution and worst unresolved case

Decision rule: Compare with risk-based response target and applicable deadlines

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0243 | Annex G | source schedule row | part 9/15

Source p. 44

Field remedy completion

Indicator: Field remedy completion

Calculation or measure: Affected items with verified remedy completion divided by the defined affected population, multiplied by 100

Decision rule: Keep unreachable and unresolved items in the population unless a justified disposition is separately recorded

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0244 | Annex G | source schedule row | part 10/15

Source p. 44

Supplier evidence coverage

Indicator: Supplier evidence coverage

Calculation or measure: Critical suppliers with current required accepted evidence divided by active critical suppliers, multiplied by 100

Decision rule: Missing evidence requires a supply risk decision and relevant restrictions

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0245 | Annex G | source schedule row | part 11/15

Source p. 44

Trace retrieval performance

Indicator: Trace retrieval performance

Calculation or measure: Completed trace exercises within the justified target; elapsed retrieval time; number and significance of broken links

Decision rule: Failed critical reconstruction requires impact review

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0246 | Annex G | source schedule row | part 12/15

Source p. 45

Environmental outcomes

Indicator: Environmental outcomes

Calculation or measure: Absolute impacts and intensity per defined functional or production unit with boundary and period

Decision rule: Report limitations and compare only equivalent boundaries

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0247 | Annex G | source schedule row | part 13/15

Source p. 45

Safety and workforce outcomes

Indicator: Safety and workforce outcomes

Calculation or measure: Relevant events by severity and exposure; near misses; reporting completeness indicators

Decision rule: A zero count without adequate exposure and reporting evidence is not proof of safety

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0248 | Annex G | source schedule row | part 14/15

Source p. 45

Service continuity

Indicator: Service continuity

Calculation or measure: Relevant interruptions, affected functions and populations, restoration time and unresolved support gaps

Decision rule: Breach of critical support conditions triggers protective action

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0249 | Annex G | part 15/15

Source p. 45

Performance indicators and calculation rules

For every percentage, the organization shall preserve the actual numerator and denominator. A zero denominator shall be reported as not applicable with an explanation, not as 100 percent. Denominator changes shall be reconciled, including new obligations, population corrections and removed items. A closed record shall remain open for metric purposes if the required verification is incomplete. Rounding shall not convert an incomplete gate or failed control into an apparently complete result. For response time indicators, the start event and end event shall be precisely defined and recorded on a consistent time basis. Reporting shall include unresolved cases and shall not exclude weekends or supplier handoffs where exposure continues. For event rates, the organization shall justify exposure units and note uncertainty where counts are low. For environmental intensity, absolute change and activity change shall be shown together.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

Annex H | Assessment and conformity decision protocol

CHECK 0250 | Annex H | part 1/12

Source p. 46

Assessment and conformity decision protocol

Assessment shall use the following sequence: confirm scope and competence; validate applicability; review system design; examine operational evidence and critical controls; perform trace exercises; record findings; verify corrections; conduct the required independent decision; issue an accurately bounded statement. The assessment operator shall retain sufficient records to reconstruct its conclusion.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0251 | Annex H | source schedule row | part 2/12

Source p. 46

Critical nonconformity

Finding: Critical nonconformity

Classification test: Immediate or credible severe exposure; failed critical protection; unlawful release under a mandatory block; intentional material evidence fabrication

Required disposition: Immediate protective escalation; affected claim or release blocked; scope of impact investigated; independent closure verification

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0252 | Annex H | source schedule row | part 3/12

Source p. 46

Major nonconformity

Finding: Major nonconformity

Classification test: A required process is absent or systematically ineffective; significant recurring failure; evidence cannot support an important requirement

Required disposition: Correct the system and verify effectiveness before conformity for the affected scope

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0253 | Annex H | source schedule row | part 4/12

Source p. 46

Minor nonconformity

Finding: Minor nonconformity

Classification test: An isolated requirement failure with no demonstrated systemic or critical breakdown

Required disposition: Correct and verify closure before an unqualified conforming conclusion

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0254 | Annex H | source schedule row | part 5/12

Source p. 46

Not demonstrated

Finding: Not demonstrated

Classification test: Available evidence is insufficient to determine fulfillment

Required disposition: Obtain adequate evidence; no conforming conclusion for the unresolved requirement

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0255 | Annex H | source schedule row | part 6/12

Source p. 46

Observation

Finding: Observation

Classification test: A potential improvement with no established requirement failure

Required disposition: Consider improvement; do not use to dilute an actual nonconformity

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0256 | Annex H | part 7/12

Source p. 46

Assessment and conformity decision protocol

Every finding shall cite the requirement group and specific unmet provision, objective evidence, affected scope, classification rationale and necessary immediate protection. Several related minor findings shall be assessed for a systemic major weakness. Any critical consequence shall override a lower administrative classification. Evidence falsification shall trigger review beyond the sampled record.

RESULT

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0257 | Annex H | source schedule row | part 8/12

Source p. 46

Conforming

Decision: Conforming

Necessary basis: Every applicable requirement fulfilled; findings closed and verified; critical controls effective; scope and evidence adequate

Permitted description: Conformity within the stated scope and assessed edition

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0258 | Annex H | source schedule row | part 9/12

Source p. 46

Nonconforming

Decision: Nonconforming

Necessary basis: At least one applicable requirement is not fulfilled

Permitted description: Nonconformity with specified findings and affected scope

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0259 | Annex H | source schedule row | part 10/12

Source p. 46

Not demonstrated

Decision: Not demonstrated

Necessary basis: Required evidence is insufficient for a reliable conclusion

Permitted description: Evidence incomplete with stated limitations and open actions

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

CHECK 0260 | Annex H | source schedule row | part 11/12

Source p. 46

Readiness review

Decision: Readiness review

Necessary basis: Evaluation of preparation or planned controls without complete operational demonstration

Permitted description: Readiness or gap review only

RESULT

Select result

FINDING / ACTION ID

EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Requirements & evidence

CHECK 0261 | Annex H | part 12/12

Source p. 46-47

Assessment and conformity decision protocol

The following are mandatory critical checks: accountable stop authority; current market release basis; traceable released configuration; valid critical safety evidence; effective critical digital protection where relevant; controlled changes; functioning urgent response; integrity of decision evidence; and continuity of essential protection within the claimed support scope. Assessors shall determine additional critical controls from the actual hazards and obligations. Sampling shall be justified in the plan and shall not be presented as full population testing. It shall cover meaningful variation and include adverse or failed cases. Where the sample reveals an exception, the assessor shall determine its possible population and expand examination accordingly. Confidential evidence may be examined under controlled access; if access remains insufficient, the relevant outcome shall be "not demonstrated". An appeal shall be reviewed by a competent person not involved in the original finding or decision. The record shall show the evidence considered and reasons for the outcome. Continuing conformity claims shall follow Clause 30.5; this protocol does not grant a certification mark or establish a certification operator.

RESULT	Select result	FINDING / ACTION ID	
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EVIDENCE / OBSERVED RESULT / N/A RATIONALE

Findings & corrective action

Use one record per finding. Link every affected checklist ID and source clause. Add identified continuation records for further findings. Preserve the original result and document retest evidence before closure.

CORRECTIVE ACTION RECORD 1

FINDING ID

CHECK / CLAUSE IDS

SOURCE SEVERITY / GATE

OBSERVATION, REQUIREMENT AND OBJECTIVE EVIDENCE

IMMEDIATE CONTAINMENT / AFFECTED CONFIGURATIONS

ROOT CAUSE AND CORRECTIVE ACTION

RESPONSIBLE OWNER / DUE DATE

RETEST EVIDENCE / REVIEWER / CLOSURE DATE

CORRECTIVE ACTION RECORD 2

FINDING ID

CHECK / CLAUSE IDS

SOURCE SEVERITY / GATE

OBSERVATION, REQUIREMENT AND OBJECTIVE EVIDENCE

IMMEDIATE CONTAINMENT / AFFECTED CONFIGURATIONS

ROOT CAUSE AND CORRECTIVE ACTION

RESPONSIBLE OWNER / DUE DATE

RETEST EVIDENCE / REVIEWER / CLOSURE DATE

Assessment conclusion & review

Summarize the assessed scope and source-specific decision. Counts are manual cross-checks and do not override an unresolved requirement, critical gate, score cap or mandatory evidence condition.

APPLICABLE CHECKS

PASS

FAIL

NOT DEMONSTRATED

NOT APPLICABLE

OPEN CRITICAL GATES / BLOCKED CONFIGURATIONS / REASSESSMENT TRIGGERS

ASSESSMENT LIMITATIONS, EXCLUSIONS AND UNRESOLVED EVIDENCE

SOURCE-SPECIFIC CONCLUSION AND SUPPORTING DECISION RECORD

- ☐ All applicable check records and source dependencies have been reviewed.
- ☐ No unresolved critical failure is being accepted through averaging or a general pass count.
- ☐ The conclusion is restricted to the identified scope, configuration, evidence and draft status.

ASSESSOR NAME / ROLE

INDEPENDENT REVIEWER NAME / ROLE

ASSESSOR SIGN-OFF (TYPED NAME)

REVIEWER SIGN-OFF (TYPED NAME)

DATE

DATE

Sign-off fields accept typed names; they are not cryptographic digital-signature fields. Apply the organization's approved signing process where a formal signature is required. Final conformity, certification or label authorization remains subject to the source scheme and its adoption controls.

Continuation & additional evidence

Identify every continuation record and its parent checklist or finding. Additional sheets may be retained as separately identified evidence; preserve the link in the parent field.

CHECK / FINDING ID AND CONTINUATION REFERENCE

ADDITIONAL EVIDENCE, MEASUREMENTS, RATIONALE OR VERIFICATION

CHECK / FINDING ID AND CONTINUATION REFERENCE

ADDITIONAL EVIDENCE, MEASUREMENTS, RATIONALE OR VERIFICATION

CHECK / FINDING ID AND CONTINUATION REFERENCE

ADDITIONAL EVIDENCE, MEASUREMENTS, RATIONALE OR VERIFICATION