

Governance and operational records

Twenty controlled templates support the full case lifecycle. They are blank records, not approval decisions or certificates. Keep case IDs, versions, evidence sources, responsible people and authorizations traceable.

- F01 Application screening and route decision
- F02 Impartiality and team authorization
- F03 Applicability and document review
- F04 Risk and case-file sampling plan
- F05 Physical site and witness plan
- F06 Witnessed technical activity
- F07 Case-file and output traceability review
- F08 REC project and output review
- F09 Finding and factual-response record
- F10 Corrective action and effectiveness verification
- F11 Independent decision panel record
- F12 Scope and certificate release verification
- F13 Annual monitoring and surveillance
- F14 Change, renewal and legal-entity review
- F15 Incident and retrospective output impact
- F16 Complaint and protected-report investigation
- F17 Independent appeal record
- F18 Report authentication and mark-use review
- F19 Status action, continuity and records custody
- F20 Programme assurance and acceptance review

Use indexed attachments for detailed evidence. Repeated templates should be separate uniquely identified files; copying interactive pages with identical field names may synchronize values.

Typed authorization fields are not cryptographic signatures. Apply the adopted signature/authentication method and keep the evidence of authority.

F01 Application screening and route decision

BODY / PROJECT / CASE REFERENCE

RECEIPT, ENTITY, MEMBERSHIP AND CONSTITUTION/SCHEME VERSIONS

REQUESTED ACC/REC ROUTE, CATEGORIES, DOMAINS AND SCOPE VERSION

COMPLETENESS, ACCESS, AUTHORITY AND INDEPENDENCE CHECKS

MISSING INFORMATION, OWNERS, DEADLINES AND APPLICANT NOTICE

ACCEPTED FOR ASSESSMENT / READINESS ONLY / OTHER REASONED OUTCOME

CASE MANAGER AUTHORIZATION AND DATE

F02 Impartiality and team authorization

BODY / PROJECT / CASE REFERENCE

PERSON, ROLE, COMPETENCE AND PROPOSED CASE SCOPE

THIRTY-SIX-MONTH EMPLOYMENT/CONSULTANCY HISTORY AND OTHER INTERESTS

THREAT ANALYSIS, EXCLUSIONS AND SAFEGUARDS; APPLICANT OBJECTIONS

TEAM COVERAGE AND SEPARATE DECISION/APPEAL ARRANGEMENTS

DECLARATION, INDEPENDENT CLEARANCE, AUTHORIZATION AND DATE

F03 Applicability and document review

BODY / PROJECT / CASE REFERENCE

SCOPE VERSION, SELECTED CORE/CATEGORY/DOMAIN/DIRECTIVE MODULES

REQUIREMENT MAPPING, OPERATOR/BODY RESPONSIBILITIES AND PROPOSED NA REASONS

DOCUMENTS, ORIGINAL RECORDS, ADVERSE CASES AND CONTRADICTIONS REVIEWED

PENDING EVIDENCE, TECHNICAL GAPS AND FOLLOW-UP QUESTIONS

VISIT READINESS, REVIEWERS AND AUTHORIZATION

F04 Risk and case-file sampling plan

BODY / PROJECT / CASE REFERENCE

CATEGORY/SITE/FAMILY STRATA, TWELVE-MONTH PERIOD AND POPULATION RECONCILIATION

N PER STRATUM AND MINIMUM N: ALL IF $N \leq 5$; OTHERWISE $\text{MAX}(5, \text{CEILING}(\text{SQRT}(N)))$

SELECTED IDS, FAILURES, AMENDMENTS, OUTSOURCED AND HIGH-RISK ADDITIONS

COVERAGE GAPS, EXPANSION TRIGGERS AND WITNESS LINKAGE

INDEPENDENT SELECTION, ASSESSOR AND APPROVAL DATE

F05 Physical site and witness plan

BODY / PROJECT / CASE REFERENCE

CRITICAL PERMANENT SITES, FIELD WORK, CATEGORIES/FAMILIES AND SCOPE ROWS

SCHEDULE, REAL ACTIVITIES, PERSONNEL, TECHNICAL ASSESSORS AND DURATION RATIONALE

SAFETY, STOP CRITERIA, ACCESS, ORIGINAL SYSTEMS AND CONFIDENTIALITY

REMOTE SUPPLEMENTS, LIMITATIONS AND REQUIRED PHYSICAL FOLLOW-UP

APPLICANT COORDINATION, LEAD APPROVAL AND VERSION

F06 Witnessed technical activity

BODY / PROJECT / CASE REFERENCE

DATE/SITE, SCOPE ROW/FAMILY, METHOD/VERSION, OBJECT/CONFIGURATION AND PERSONNEL

ACTUAL SETUP, EQUIPMENT/TRACEABILITY, CONDITIONS AND READINESS

OBSERVED EXECUTION, ORIGINAL DATA, CONTROLS, ANOMALIES AND QUESTIONS

REVIEW/RELEASE/DECISION TRACE, COMPETENCE AND LIMITATIONS

REQUIREMENT FINDINGS, ASSESSOR CONCLUSION AND AUTHORIZATION

F07 Case-file and output traceability review

BODY / PROJECT / CASE REFERENCE

CASE/OUTPUT ID AND REVISION, DATES, ISSUER, SCOPE AND OBJECT/CONFIGURATION

CONTRACT, CRITERIA, METHOD, SAMPLING, RAW DATA AND CALCULATIONS TRACED

AUTHORIZED PERSONNEL, INDEPENDENT REVIEW/DECISION AND RELEASE

RESULTS, UNCERTAINTY, DECISION RULE, LIMITATIONS AND ENDORSEMENT ELIGIBILITY

CONTRADICTIONS, AFFECTED POPULATION AND FOLLOW-UP FINDINGS

F08 REC project and output review

BODY / PROJECT / CASE REFERENCE

PROJECT WINDOW, SCOPE, CRITERIA, MATERIAL STAGES AND RESPONSIBLE PARTIES

EVERY OUTPUT ID/REVISION, EVIDENCE MANIFEST AND RECOGNITION REQUESTED

WITNESSING/SOURCE CHECKS, LIMITATIONS AND INDEPENDENT REVIEW

APPLICABLE REQUIREMENT STATUS, CLOSURE AND EXCLUDED WORK

OUTPUT-SPECIFIC DECISION REFERENCES, RECOGNIZED REVISIONS AND WORDING

F09 Finding and factual-response record

BODY / PROJECT / CASE REFERENCE

FINDING ID, REQUIREMENT, EXACT FACTS, SOURCES AND AFFECTED SCOPE

MET/MINOR/MAJOR/CRITICAL/PENDING/NA, SEVERITY RATIONALE AND PROTECTION

DRAFT NOTIFICATION DATE, FIFTEEN-DAY RESPONSE DEADLINE AND RESPONSE

ASSESSOR DISPOSITION, CORRECTED FACTS, RETAINED REASONS AND FINAL VERSION

RESPONSIBLE REVIEWERS AND AUTHORIZATION

F10 Corrective action and effectiveness verification

BODY / PROJECT / CASE REFERENCE

FINDING, AFFECTED WORK, CONTAINMENT AND RETROSPECTIVE IMPACT

ROOT CAUSE, SYSTEMIC EXTENT, CORRECTION AND PREVENTIVE CHANGES

OWNER, DEADLINE, COMPLETED ACTION AND ORIGINAL EVIDENCE

INDEPENDENT CHALLENGE/RETEST/REVISIT AND EFFECTIVENESS RESULT

CLOSED/OPEN/RECLASSIFIED; RESIDUAL LIMITS AND REVIEWER AUTHORIZATION

F11 Independent decision panel record

BODY / PROJECT / CASE REFERENCE

ROUTE, LEGAL ENTITY, SCOPE VERSION, EDITION AND COMPLETE EVIDENCE MANIFEST

THREE PANEL MEMBERS, COMPETENCE, CONFLICTS AND SEPARATION FROM ASSESSMENT

COVERAGE, APPLICABLE REQUIREMENTS MET, VERIFIED CLOSURE AND EXCLUSIONS

INDIVIDUAL VOTES, DISSENT, REASONS AND DECISION

EFFECTIVE/EXPIRY OR PROJECT DATES, MONITORING, NOTICE AND APPEAL DEADLINE

AUTHORIZED SIGNATURES/AUTHENTICATED APPROVAL REFERENCES

F12 Scope and certificate release verification

BODY / PROJECT / CASE REFERENCE

DECISION ID, BODY/PROJECT IDS, LEGAL NAME AND APPROVED SCOPE VERSION

CATEGORIES, SITES, METHODS/RANGES, DOMAINS, INDEPENDENCE AND LIMITATIONS

EFFECTIVE/EXPIRY DATES, STATUS AND REQUIRED WORDING

CERTIFICATE/SCOPE DATA MATCHES DECISION; NO EXTRA AUTHORITY IMPLIED

REGISTRY PUBLICATION, VERIFICATION CONTACT AND RELEASE AUTHORIZATION

F13 Annual monitoring and surveillance

BODY / PROJECT / CASE REFERENCE

BODY, ANNIVERSARY, ANNUAL REPORT DATE AND PERIOD

OUTPUT VOLUMES/DENOMINATORS, STAFF/SITES, COMPARISONS AND CHANGES

COMPLAINTS, INCIDENTS, CORRECTED REPORTS AND ADVERSE TRENDS

PHYSICAL VISITS, FAMILY/SITE COVERAGE, WITNESSES AND EXPANDED SAMPLES

FINDINGS, PROTECTED CONTINUATION, ACTIONS AND STATUS RECOMMENDATION

REVIEWER AND INDEPENDENT DECISION REFERENCE WHERE REQUIRED

F14 Change, renewal and legal-entity review

BODY / PROJECT / CASE REFERENCE

REQUESTED CHANGE/RENEWAL, AFFECTED ROWS, EFFECTIVE DATES AND APPLICANT

ADMINISTRATIVE VERSUS TECHNICAL CHANGE, RISKS AND CURRENT AUTHORITY

REQUIRED EVIDENCE, PHYSICAL ASSESSMENT, WITNESSES AND COMPETENCE

EXISTING OUTPUTS, CLIENTS, STATUS/ID HISTORY AND TRANSITION TREATMENT

INDEPENDENT DECISION, REVISED SCOPE, NOTICE AND AUTHORIZATION

F15 Incident and retrospective output impact

BODY / PROJECT / CASE REFERENCE

AWARENESS TIME, REPORTER, ISSUE, FORTY-EIGHT-HOUR NOTICE AND URGENT PROTECTION

EVIDENCE PRESERVATION, INDEPENDENT INVESTIGATORS AND AFFECTED SCOPE

EARLIEST AFFECTED DATE, POPULATION, CAUSAL LINKS AND UNCERTAINTY

AFFECTED OUTPUT IDS, CORRECTION/WITHDRAWAL, RECIPIENTS AND NOTIFICATIONS

CORRECTIVE EFFECTIVENESS, RECOVERY DECISION AND PUBLIC STATUS

F16 Complaint and protected-report investigation

BODY / PROJECT / CASE REFERENCE

CONCERN, RECEIPT/ACKNOWLEDGEMENT, CONTACT CONFIDENTIALITY AND PROTECTION

TRIAGE, URGENCY, CONFLICTS AND INDEPENDENT INVESTIGATOR

EVIDENCE, FAIR RESPONSE, FINDINGS AND AFFECTED WORK

REASONED OUTCOME, REMEDY, COMMUNICATION AND FURTHER REVIEW ROUTE

VERIFIED CLOSURE, SYSTEMIC LESSONS AND AUTHORIZATION

F17 Independent appeal record

BODY / PROJECT / CASE REFERENCE

CHALLENGED DECISION, NOTICE/APPEAL DATES, GROUNDS AND REQUESTED REMEDY

THREE UNINVOLVED PANEL MEMBERS, COMPETENCE AND CONFLICT CLEARANCE

EVIDENCE CONSIDERED, HEARING/RESPONSE OPPORTUNITY AND ANALYSIS

VOTES, REASONS, UPHeld/VARIED/REMITTED OUTCOME AND PROTECTIVE ACTION

NOTIFICATION, IMPLEMENTATION, TARGET TIMING AND AUTHORIZATION

F18 Report authentication and mark-use review

BODY / PROJECT / CASE REFERENCE

ISSUER/OUTPUT/REVISION, RECEIVED FILE AND INDEPENDENT VERIFICATION SOURCE

INTEGRITY/SIGNATURE/HASH CHECKS AND UNRESOLVED AUTHENTICITY LIMITS

HISTORICAL AND CURRENT SCOPE/STATUS; PERFORMANCE AND ISSUE DATES

OBJECT/CONFIGURATION, METHOD, CONCLUSION AND INTENDED-USE LIMITATIONS

WORDING/MARK PLACEMENT, MIXED-SCOPE DISCLOSURES AND CORRECTION NEEDED

CONFIRMED/CONTRADICTED/UNRESOLVED CHECKS AND REVIEWER

F19 Status action, continuity and records custody

BODY / PROJECT / CASE REFERENCE

AFFECTED BODY/ROWS/OUTPUTS, REASON AND EFFECTIVE STATUS DATES

PROTECTIVE DECISION, DUE PROCESS, NOTICES AND PUBLIC PUBLICATION TIME

PRIOR-OUTPUT IMPACT, CLIENT COMMUNICATION AND ENDORSEMENT CESSATION

RECORDS CUSTODIAN, RETENTION/HOLDS, PENDING REMEDIES AND VERIFICATION

RESTORATION/WITHDRAWAL/EXPIRY OUTCOME AND INDEPENDENT AUTHORIZATION

F20 Programme assurance and acceptance review

BODY / PROJECT / CASE REFERENCE

EDITION/ADOPTION, ACCOUNTABLE ROLES, CONTACTS AND IMPLEMENTATION STATUS

PILOT/CALIBRATION RESULTS, ANNUAL AUDIT AND FOUR-YEAR INDEPENDENT EVALUATION

REGISTRY/RECOVERY TESTS, INTEGRITY INDICATORS AND UNRESOLVED WEAKNESSES

ACTUAL ACCEPTANCE PARTY, GEOGRAPHY, PURPOSE, SCOPE, DATES AND LIMITS

FUTURE MODULES, PROSPECTIVE TRANSITIONS, ACTIONS AND AUTHORIZATION

Continuation and supporting detail

BODY / PROJECT / CASE REFERENCE

PARENT FIELD, REQUIREMENT OR RECORD ID / CONTINUATION NUMBER

FULL RESPONSE, SOURCE REFERENCES, RATIONALE AND LIMITATIONS

PREPARED BY / ROLE / DATE / AUTHORIZATION