

Self-assessment of actual operation and evidence

Describe implemented practice, original evidence, demonstrated effectiveness and gaps. Planned capability is not current competence. Complete the common sections and repeat selected-category/domain records for every relevant scope.

LEGAL BODY/PROJECT, ROUTE, CASE IDS AND REQUESTED SCOPE VERSION

CATEGORIES, TECHNICAL FAMILIES, DOMAINS, SITES AND INDEPENDENCE MODES

REPORTING PERIOD, COMPLETED-WORK POPULATION AND DATA CUTOFF

SELF-ASSESSMENT TEAM, TECHNICAL OWNERS AND ACCOUNTABLE EXECUTIVE

CAAR/CONSTITUTION/IMPLEMENTATION NOTICE VERSIONS AND REPORT AUTHORIZATION

EVIDENCE MANIFEST, CONFIDENTIAL ACCESS AND ORIGINAL-RECORD LOCATIONS

01 Legal identity, authority and accountable scope

BODY / PROJECT / CASE REFERENCE

State what actually happens and how it is verified. Identify evidence IDs, versions, owners and limitations. Use continuation for detailed explanations.

CAAR-01.01 LEGAL RESPONSIBILITY - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-01.02 CONTROLLED SCOPE - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-01.03 ACCOUNTABLE GOVERNANCE - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-01.04 MEMBERSHIP AND SCHEME UNDERTAKING - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

02 Impartiality and independence

BODY / PROJECT / CASE REFERENCE

State what actually happens and how it is verified. Identify evidence IDs, versions, owners and limitations. Use continuation for detailed explanations.

CAAR-02.01 RELATIONSHIP AND PRESSURE ANALYSIS - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-02.02 TRUTHFUL INDEPENDENCE MODE - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-02.03 CONSULTANCY AND CERTIFICATION SEPARATION - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-02.04 INDEPENDENT CHALLENGE - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

03 Ethics, confidentiality and fair access

BODY / PROJECT / CASE REFERENCE

State what actually happens and how it is verified. Identify evidence IDs, versions, owners and limitations. Use continuation for detailed explanations.

CAAR-03.01 INTEGRITY AND TRUTHFUL CONDUCT - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-03.02 CONFIDENTIALITY AND DISCLOSURE - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-03.03 FAIR AND ACCESSIBLE SERVICE - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-03.04 PERSONAL AND COMMERCIAL SENSITIVE DATA - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

04 Personnel and technical authorization

BODY / PROJECT / CASE REFERENCE

State what actually happens and how it is verified. Identify evidence IDs, versions, owners and limitations. Use continuation for detailed explanations.

CAAR-04.01 ROLE-SPECIFIC COMPETENCE - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-04.02 OBSERVED AUTHORIZATION - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-04.03 CURRENCY AND MONITORING - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-04.04 CAPACITY AND EXTERNAL PERSONNEL - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

05 Facilities, equipment and environmental controls

BODY / PROJECT / CASE REFERENCE

State what actually happens and how it is verified. Identify evidence IDs, versions, owners and limitations. Use continuation for detailed explanations.

CAAR-05.01 SUITABLE AND SAFE FACILITIES - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-05.02 EQUIPMENT FITNESS - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-05.03 TRACEABLE MEASUREMENT RESOURCES - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-05.04 MOBILE AND CUSTOMER LOCATIONS - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

06 Method and scheme control

BODY / PROJECT / CASE REFERENCE

State what actually happens and how it is verified. Identify evidence IDs, versions, owners and limitations. Use continuation for detailed explanations.

CAAR-06.01 DEFINED CRITERIA BEFORE WORK - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-06.02 VERIFICATION AND VALIDATION - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-06.03 CONTROLLED VERSIONS AND DEVIATIONS - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-06.04 UNCERTAINTY AND LIMITATIONS - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

07 Contract review and engagement planning

BODY / PROJECT / CASE REFERENCE

State what actually happens and how it is verified. Identify evidence IDs, versions, owners and limitations. Use continuation for detailed explanations.

CAAR-07.01 CAPABILITY AND AUTHORITY CHECK - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-07.02 RISK-BASED WORK PLAN - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-07.03 CHANGES AND CLIENT INFORMATION - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-07.04 RESPONSIBILITY AND COMMUNICATION - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

08 Sampling, identity and chain of custody

BODY / PROJECT / CASE REFERENCE

State what actually happens and how it is verified. Identify evidence IDs, versions, owners and limitations. Use continuation for detailed explanations.

CAAR-08.01 SAMPLING DESIGN - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-08.02 OBJECT AND CONFIGURATION IDENTITY - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-08.03 HANDLING AND PRESERVATION - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-08.04 CUSTODY TRANSFER AND DIGITAL EVIDENCE - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

09 Performance and contemporaneous records

BODY / PROJECT / CASE REFERENCE

State what actually happens and how it is verified. Identify evidence IDs, versions, owners and limitations. Use continuation for detailed explanations.

CAAR-09.01 RECONSTRUCTABLE TECHNICAL RECORDS - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-09.02 CONTROLLED EXECUTION - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-09.03 CALCULATIONS AND TRANSFERS - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-09.04 ORIGINAL EVIDENCE ACCESS - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

10 Validity assurance and technical comparisons

BODY / PROJECT / CASE REFERENCE

State what actually happens and how it is verified. Identify evidence IDs, versions, owners and limitations. Use continuation for detailed explanations.

CAAR-10.01 INTERNAL QUALITY ASSURANCE - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-10.02 EXTERNAL PERFORMANCE CHALLENGE - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-10.03 ADVERSE PERFORMANCE RESPONSE - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-10.04 SCOPE-WIDE COVERAGE - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

11 Review, decisions and reporting

BODY / PROJECT / CASE REFERENCE

State what actually happens and how it is verified. Identify evidence IDs, versions, owners and limitations. Use continuation for detailed explanations.

CAAR-11.01 COMPETENT REVIEW BEFORE RELEASE - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-11.02 INDEPENDENT CERTIFICATION AND ASSURANCE DECISIONS - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-11.03 COMPLETE AND BOUNDED OUTPUTS - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-11.04 AMENDMENTS AND CONTRADICTION EVIDENCE - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

12 External providers and network delivery

BODY / PROJECT / CASE REFERENCE

State what actually happens and how it is verified. Identify evidence IDs, versions, owners and limitations. Use continuation for detailed explanations.

CAAR-12.01 PROVIDER SELECTION AND CONTROL - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-12.02 TRANSPARENT EXTERNAL WORK - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-12.03 BRANCHES, AGENTS AND FRANCHISES - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-12.04 PURCHASES AND REFERENCE INPUTS - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

13 Digital integrity and future technology

BODY / PROJECT / CASE REFERENCE

State what actually happens and how it is verified. Identify evidence IDs, versions, owners and limitations. Use continuation for detailed explanations.

CAAR-13.01 ACCESS AND SECURE OPERATION - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-13.02 AUTOMATION AND ARTIFICIAL INTELLIGENCE - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-13.03 VIRTUAL AND SOFTWARE-DEFINED EVIDENCE - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-13.04 PORTABLE VERIFIABLE RECORDS - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

14 Nonconforming work and risk containment

BODY / PROJECT / CASE REFERENCE

State what actually happens and how it is verified. Identify evidence IDs, versions, owners and limitations. Use continuation for detailed explanations.

CAAR-14.01 IMMEDIATE CONTROL OF INVALID WORK - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-14.02 RETROSPECTIVE IMPACT - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-14.03 CORRECTIVE ACTION AND EFFECTIVENESS - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-14.04 SERIOUS INCIDENT NOTICE - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

15 Management system and improvement

BODY / PROJECT / CASE REFERENCE

State what actually happens and how it is verified. Identify evidence IDs, versions, owners and limitations. Use continuation for detailed explanations.

CAAR-15.01 CONTROLLED DOCUMENTS AND RECORDS - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-15.02 INTERNAL AUDIT - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-15.03 MANAGEMENT REVIEW - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-15.04 MEASURED IMPROVEMENT - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

16 Complaints, appeals and protected reporting

BODY / PROJECT / CASE REFERENCE

State what actually happens and how it is verified. Identify evidence IDs, versions, owners and limitations. Use continuation for detailed explanations.

CAAR-16.01 ACCESSIBLE COMPLAINT HANDLING - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-16.02 APPEALS AGAINST BODY DECISIONS - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-16.03 PROTECTED ESCALATION AND EXTERNAL COOPERATION - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-16.04 LEARNING AND CLOSURE - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

17 IAF approval obligations and public claims

BODY / PROJECT / CASE REFERENCE

State what actually happens and how it is verified. Identify evidence IDs, versions, owners and limitations. Use continuation for detailed explanations.

CAAR-17.01 PRECISE APPROVED WORDING - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-17.02 REPORT ENDORSEMENT CONTROLS - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-17.03 MONITORING AND CHANGE - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-17.04 SUSPENSION, WITHDRAWAL AND EXPIRY - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

18 Continuity, retention and liability

BODY / PROJECT / CASE REFERENCE

State what actually happens and how it is verified. Identify evidence IDs, versions, owners and limitations. Use continuation for detailed explanations.

CAAR-18.01 RESOURCES AND LIABILITY ARRANGEMENTS - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-18.02 CONTINUITY AND SAFE RECOVERY - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-18.03 RETENTION AND LEGAL HOLDS - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

CAAR-18.04 CLOSURE AND TRANSFER - PRACTICE, EXACT EVIDENCE, EFFECTIVENESS AND GAP

Selected category supplement - repeat for each category

BODY / PROJECT / CASE REFERENCE

CATEGORY, LEGAL ENTITY, SITES, TECHNICAL FAMILIES AND SCOPE ROWS

CATEGORY REQUIREMENTS 01-02: IMPLEMENTED CAPABILITY, EVIDENCE AND GAPS

CATEGORY REQUIREMENTS 03-04: IMPLEMENTED CAPABILITY, EVIDENCE AND GAPS

CATEGORY REQUIREMENTS 05-06: IMPLEMENTED CAPABILITY, EVIDENCE AND GAPS

CATEGORY REQUIREMENTS 07-08: IMPLEMENTED CAPABILITY, EVIDENCE AND GAPS

Selected automotive overlay - repeat for each domain

BODY / PROJECT / CASE REFERENCE

DOMAIN, CATEGORY/FAMILY, CONFIGURATIONS, INTENDED USE AND SCOPE ROWS

DOMAIN REQUIREMENT 01: ACTUAL PRACTICE, EVIDENCE AND LIMITATIONS

DOMAIN REQUIREMENT 02: ACTUAL PRACTICE, EVIDENCE AND LIMITATIONS

DOMAIN REQUIREMENT 03: ACTUAL PRACTICE, EVIDENCE AND LIMITATIONS

DOMAIN REQUIREMENT 04: ACTUAL PRACTICE, EVIDENCE AND LIMITATIONS

CROSS-DOMAIN RISKS, UNRESOLVED CAPABILITY AND TECHNICAL AUTHORIZATION

Internal directives and IAF-facing obligations

BODY / PROJECT / CASE REFERENCE

IR01-IR02: ROUTE, SCOPE, CATEGORY, INDEPENDENCE AND CHANGE CONTROLS

IR03-IR04: ORIGINAL EVIDENCE, PHYSICAL/WITNESS ACCESS, RESPONSE AND CLOSURE

IR05-IR06: MONITORING, DATES, REPORT TRUST, MARKS AND STATUS DUTIES

IR07-IR08: RECORDS, PLATFORM INTERFACES, PROTECTED ACCESS AND IMPLEMENTATION

IAF OPERATOR CONTROLS ASSESSED SEPARATELY; OPERATOR ASSURANCE REFERENCE

Performance data and corrective improvement

BODY / PROJECT / CASE REFERENCE

COMPLETED WORK BY CATEGORY/SITE/FAMILY; FAILURES, AMENDMENTS AND EXTERNAL WORK

COMPARISON RESULTS, COMPLAINTS, INCIDENTS, OVERDUE WORK AND DENOMINATORS

INTERNAL AUDIT/MANAGEMENT REVIEW FINDINGS AND VERIFIED EFFECTIVENESS

OPEN GAPS, CONTAINMENT, CAUSE, ACTION OWNER, DEADLINE AND VERIFICATION

Evidence index and report authorization

BODY / PROJECT / CASE REFERENCE

EVIDENCE IDS, EXACT FILE/VERSION/DATE, LOCATION, OWNER AND MAPPED REQUIREMENTS

ORIGINAL-RECORD ACCESS, REDACTION RATIONALE, PRIVACY AND RETENTION

ACCURACY AND DISCLOSURE STATEMENT BY ACCOUNTABLE EXECUTIVE AND TECHNICAL LEADS

AUTHORIZED SIGNATURES/AUTHENTICATED APPROVALS AND DATES

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