

Implemented practice, evidence and effectiveness

Describe actual implementation and evidence, not intended policy alone. Include adverse facts and gaps. This dossier supports review; it does not replace audit or independently grant recognition.

LEGAL ENTITY / INCLUDED HUBS / SCOPE VERSION / CASE ID

PROFILES, TECHNOLOGY MODULES AND PROFESSIONAL DISCIPLINES

AT LEAST SIX MONTHS OF OPERATION; EVIDENCE PERIOD AND DATA CUTOFF

SELF-ASSESSMENT TEAM, TECHNICAL OWNERS AND ACCOUNTABLE EXECUTIVE

PPR/CONSTITUTION EDITIONS AND ADDITIONAL IAF ADOPTION MAP

ORIGINAL EVIDENCE INDEX, ACCESS LOCATIONS, PRIVACY AND LIMITATIONS

01 Legal identity and professional scope

ENTITY / SCOPE / CASE REFERENCE

State what happens, who owns it and how it is verified. Identify original evidence, versions, operating results and unresolved limitations.

PPR-01.01 ACCOUNTABLE PRACTICE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-01.02 BOUNDED PROFESSIONAL SERVICES - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-01.03 PERMISSION AND PROTECTED TITLES - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-01.04 INDIVIDUAL VERSUS CORPORATE ASSURANCE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

02 Practice governance and responsibility

ENTITY / SCOPE / CASE REFERENCE

State what happens, who owns it and how it is verified. Identify original evidence, versions, operating results and unresolved limitations.

PPR-02.01 EXECUTIVE RESPONSIBILITY - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-02.02 TECHNICAL AUTHORITY - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-02.03 DISTRIBUTED PRACTICE CONTROL - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-02.04 SOLO-PRACTICE SAFEGUARDS - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

03 IAF adoption and demonstrated implementation

ENTITY / SCOPE / CASE REFERENCE

State what happens, who owns it and how it is verified. Identify original evidence, versions, operating results and unresolved limitations.

PPR-03.01 CONTROLLED QUALITY BASIS - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-03.02 REQUIREMENT EVIDENCE MAPPING - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-03.03 ACTUAL PRACTICE HISTORY - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-03.04 EVIDENCE INTEGRITY - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

04 Independence, objectivity and ethical conduct

ENTITY / SCOPE / CASE REFERENCE

State what happens, who owns it and how it is verified. Identify original evidence, versions, operating results and unresolved limitations.

PPR-04.01 OBJECTIVE PROFESSIONAL OPINION - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-04.02 CLIENT PRESSURE AND INCENTIVES - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-04.03 INTEGRITY AND PROHIBITED CONDUCT - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-04.04 PROTECTED CHALLENGE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

05 Conflicts and independence determinations

ENTITY / SCOPE / CASE REFERENCE

State what happens, who owns it and how it is verified. Identify original evidence, versions, operating results and unresolved limitations.

PPR-05.01 ASSIGNMENT CONFLICT SCREENING - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-05.02 PROHIBITED SELF-REVIEW - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-05.03 SAFEGUARDS AND DISCLOSURE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-05.04 CONTINUING MONITORING - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

06 Competence and individual role authorisation

ENTITY / SCOPE / CASE REFERENCE

State what happens, who owns it and how it is verified. Identify original evidence, versions, operating results and unresolved limitations.

PPR-06.01 VERIFIED COMPETENCE BASIS - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-06.02 INDEPENDENT LEAD ELIGIBILITY - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-06.03 ROLE AND SIGNATURE LIMITS - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-06.04 REASSESSMENT AND LOSS OF CAPABILITY - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

07 Professional development and knowledge

ENTITY / SCOPE / CASE REFERENCE

State what happens, who owns it and how it is verified. Identify original evidence, versions, operating results and unresolved limitations.

PPR-07.01 DEVELOPMENT PLANNING - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-07.02 DEMONSTRATED LEARNING - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-07.03 CURRENT TECHNICAL INFORMATION - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-07.04 KNOWLEDGE CONTINUITY - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

08 Engagement acceptance and terms

ENTITY / SCOPE / CASE REFERENCE

State what happens, who owns it and how it is verified. Identify original evidence, versions, operating results and unresolved limitations.

PPR-08.01 DEFINED QUESTION AND INTENDED USE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-08.02 FEASIBILITY AND RESOURCES - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-08.03 TRANSPARENT COMMERCIAL TERMS - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-08.04 INSTRUCTION CHANGES - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

09 Assignment planning and risk

ENTITY / SCOPE / CASE REFERENCE

State what happens, who owns it and how it is verified. Identify original evidence, versions, operating results and unresolved limitations.

PPR-09.01 EVIDENCE PLAN - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-09.02 CONSEQUENTIAL-OUTPUT CLASSIFICATION - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-09.03 SAFE FIELDWORK PLANNING - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-09.04 MILESTONES AND HOLD POINTS - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

10 Physical evidence and observations

ENTITY / SCOPE / CASE REFERENCE

State what happens, who owns it and how it is verified. Identify original evidence, versions, operating results and unresolved limitations.

PPR-10.01 IDENTITY AND CUSTODY - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-10.02 OBSERVATION PROVENANCE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-10.03 DESTRUCTIVE AND ALTERING ACTIVITY - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-10.04 EVIDENCE LIMITATIONS - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

11 Digital evidence and data provenance

ENTITY / SCOPE / CASE REFERENCE

State what happens, who owns it and how it is verified. Identify original evidence, versions, operating results and unresolved limitations.

PPR-11.01 LAWFUL DIGITAL ACCESS - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-11.02 ORIGINAL PRESERVATION - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-11.03 TIME AND CONFIGURATION CONTEXT - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-11.04 SOURCE AUTHENTICITY AND MANIPULATION - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

12 Methods, measurement and model validity

ENTITY / SCOPE / CASE REFERENCE

State what happens, who owns it and how it is verified. Identify original evidence, versions, operating results and unresolved limitations.

PPR-12.01 FIT-FOR-PURPOSE METHOD - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-12.02 MEASUREMENT FITNESS - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-12.03 MODELS AND SIMULATIONS - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-12.04 REPRODUCIBILITY AND SOFTWARE CHANGE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

13 Analysis, uncertainty and professional judgment

ENTITY / SCOPE / CASE REFERENCE

State what happens, who owns it and how it is verified. Identify original evidence, versions, operating results and unresolved limitations.

PPR-13.01 EVIDENCE-TO-CONCLUSION REASONING - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-13.02 UNCERTAINTY AND CONFIDENCE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-13.03 CAUSATION AND ATTRIBUTION - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-13.04 BALANCED COMMUNICATION - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

14 Independent technical review

ENTITY / SCOPE / CASE REFERENCE

State what happens, who owns it and how it is verified. Identify original evidence, versions, operating results and unresolved limitations.

PPR-14.01 REVIEW BEFORE CONSEQUENTIAL ISSUE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-14.02 REVIEW DEPTH - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-14.03 DISAGREEMENT AND RESOLUTION - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-14.04 REVIEW INDEPENDENCE OVER TIME - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

15 Report issue, reliance and correction

ENTITY / SCOPE / CASE REFERENCE

State what happens, who owns it and how it is verified. Identify original evidence, versions, operating results and unresolved limitations.

PPR-15.01 COMPLETE PROFESSIONAL REPORT - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-15.02 AUTHENTICATED ISSUE AND VERSION - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-15.03 RELIANCE AND ONWARD USE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-15.04 MATERIAL CORRECTION AND WITHDRAWAL - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

16 Client, public and professional protection

ENTITY / SCOPE / CASE REFERENCE

State what happens, who owns it and how it is verified. Identify original evidence, versions, operating results and unresolved limitations.

PPR-16.01 SERIOUS-RISK ESCALATION - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-16.02 IAF SERIOUS-INCIDENT NOTICE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-16.03 PROFESSIONAL LIABILITY RESOURCES - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-16.04 CLIENT PROPERTY AND FUNDS - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

17 Confidentiality, privacy and information control

ENTITY / SCOPE / CASE REFERENCE

State what happens, who owns it and how it is verified. Identify original evidence, versions, operating results and unresolved limitations.

PPR-17.01 PURPOSE AND MINIMISATION - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-17.02 SECURE ACCESS - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-17.03 PROPORTIONATE RETENTION - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-17.04 BREACH RESPONSE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

18 External specialists and technical suppliers

ENTITY / SCOPE / CASE REFERENCE

State what happens, who owns it and how it is verified. Identify original evidence, versions, operating results and unresolved limitations.

PPR-18.01 PROVIDER QUALIFICATION - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-18.02 CONTRACTED TECHNICAL INTERFACES - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-18.03 RECEIVED EVIDENCE REVIEW - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-18.04 CONTINUITY AND EXIT - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

19 Digital products and responsible automation

ENTITY / SCOPE / CASE REFERENCE

State what happens, who owns it and how it is verified. Identify original evidence, versions, operating results and unresolved limitations.

PPR-19.01 DELIVERABLE BOUNDARIES - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-19.02 AI ACCOUNTABILITY - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-19.03 VALIDATION AND MONITORING - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-19.04 TRANSPARENCY AND INTELLECTUAL PROPERTY - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

20 Continuity and resilient professional practice

ENTITY / SCOPE / CASE REFERENCE

State what happens, who owns it and how it is verified. Identify original evidence, versions, operating results and unresolved limitations.

PPR-20.01 CRITICAL DEPENDENCIES - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-20.02 WORKLOAD AND DELIVERY INTEGRITY - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-20.03 TESTED RECOVERY - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-20.04 ORDERLY CESSATION - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

21 Performance, internal audit and review

ENTITY / SCOPE / CASE REFERENCE

State what happens, who owns it and how it is verified. Identify original evidence, versions, operating results and unresolved limitations.

PPR-21.01 MEANINGFUL PERFORMANCE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-21.02 INDEPENDENT INTERNAL AUDIT - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-21.03 CORRECTIVE ACTION - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-21.04 MANAGEMENT REVIEW - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

22 Assessment participation and independent decision

ENTITY / SCOPE / CASE REFERENCE

State what happens, who owns it and how it is verified. Identify original evidence, versions, operating results and unresolved limitations.

PPR-22.01 COMPLETE SUBMISSION - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-22.02 HONEST ASSESSMENT ACCESS - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-22.03 FINDING RESPONSE AND CLOSURE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-22.04 DECISION SEPARATION - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

23 Continuing scope, roster and status

ENTITY / SCOPE / CASE REFERENCE

State what happens, who owns it and how it is verified. Identify original evidence, versions, operating results and unresolved limitations.

PPR-23.01 ANNUAL SURVEILLANCE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-23.02 MATERIAL CHANGES - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-23.03 RENEWAL AND EXPIRY - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-23.04 RESTRICTION AND RESTORATION - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

24 Claims, marks and public verification

ENTITY / SCOPE / CASE REFERENCE

State what happens, who owns it and how it is verified. Identify original evidence, versions, operating results and unresolved limitations.

PPR-24.01 EXACT CORPORATE CLAIM - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-24.02 PROFESSIONAL BIOGRAPHIES - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-24.03 MARK LICENCE AND CONTEXT - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-24.04 VERIFICATION AND MISUSE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

25 Fair process and programme improvement

ENTITY / SCOPE / CASE REFERENCE

State what happens, who owns it and how it is verified. Identify original evidence, versions, operating results and unresolved limitations.

PPR-25.01 FACTUAL RESPONSE AND APPEAL - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-25.02 COMPLAINTS AND REMEDY - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-25.03 OPERATOR ASSURANCE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

PPR-25.04 CONTROLLED REVISION AND ACCEPTANCE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

Professional profile supplement - repeat per profile

ENTITY / SCOPE / CASE REFERENCE

PROFILE/ENTITY/HUB/DISCIPLINE IDS AND APPLICABLE SCOPE ROWS

REQUIREMENTS 01-02: IMPLEMENTED CONTROLS, EVIDENCE AND GAPS

REQUIREMENTS 03-04: IMPLEMENTED CONTROLS, EVIDENCE AND GAPS

INDEPENDENT CHECKS, EFFECTIVENESS AND RESPONSIBLE TECHNICAL AUTHORIZATION

Technology supplement - repeat per domain

ENTITY / SCOPE / CASE REFERENCE

DOMAIN/ENTITY/HUB/DISCIPLINE, CONFIGURATIONS AND INTENDED USE

REQUIREMENT 01: ACTUAL CONTROLS, EVIDENCE, LIMITATIONS AND GAP

REQUIREMENT 02: ACTUAL CONTROLS, EVIDENCE, LIMITATIONS AND GAP

REQUIREMENT 03: ACTUAL CONTROLS, EVIDENCE, LIMITATIONS AND GAP

REQUIREMENT 04: ACTUAL CONTROLS, EVIDENCE, LIMITATIONS AND GAP

CROSS-DOMAIN RISKS, VALIDATION BOUNDARY AND TECHNICAL AUTHORIZATION

Internal directives and additional IAF claims

ENTITY / SCOPE / CASE REFERENCE

IR01-IR02: ADOPTION, ELIGIBILITY, NAMED SCOPE AND HUB/DISCIPLINE COVERAGE

IR03-IR04: AUDIT ACCESS, HISTORY/CASES, FINDINGS AND INDEPENDENT DECISIONS

IR05-IR06: CLAIMS, MARKS, VERIFICATION, FAIR PROCESS AND CONFIDENTIALITY

IR07-IR08: RETENTION, INTEGRITY, PROPORTIONATE ACCESS AND TRANSITION

SEPARATE IAF OPERATOR-ASSURANCE REFERENCE; APPLICANT DECLARATION IS INSUFFICIENT

ADDITIONAL IAF TEXTS: COMPLETE CLAUSE-LEVEL MAPS AND SEPARATE DECISIONS

Performance, adverse facts and corrective actions

ENTITY / SCOPE / CASE REFERENCE

CASE POPULATIONS, ISSUED REPORTS, CHANGES, FAILURES AND TRACEABILITY

REPORT CORRECTIONS, COMPLAINTS, REVIEW EFFECTIVENESS, DENOMINATORS AND DATA RECONCILIATION

COMPLAINTS, SERIOUS RISKS, REPORT WITHDRAWALS AND VERIFIED AFFECTED-USER REMEDIES

INTERNAL AUDIT/REVIEW, OPEN FINDINGS, CONTAINMENT AND EFFECTIVENESS EVIDENCE

Evidence index and executive authorization

ENTITY / SCOPE / CASE REFERENCE

EVIDENCE IDS, TITLES/VERSIONS/DATES, OWNER, SOURCE AND MAPPED REQUIREMENTS

MISSING/RESTRICTED EVIDENCE, JUSTIFIED EXCLUSIONS AND UNSUPPORTED FUTURE CAPABILITY

ACCURACY AND ADVERSE-DISCLOSURE DECLARATION BY EXECUTIVE AND TECHNICAL OWNERS

ACCEPTED CONSTITUTION/PPR VERSIONS, SIGNATURES/AUTHENTICATED APPROVALS AND DATES

Continuation and supporting detail

ENTITY / SCOPE / CASE REFERENCE

PARENT FIELD, REQUIREMENT OR RECORD ID / CONTINUATION NUMBER

FULL RESPONSE, SOURCE REFERENCES, RATIONALE AND LIMITATIONS

PREPARED BY / ROLE / DATE / AUTHORIZATION