

Governance and monitoring records

Blank operational records for the recognition lifecycle. Templates are not issued recognition statements. Keep case IDs, scope versions, original evidence and authenticated authorizations traceable.

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Use indexed attachments and the continuation record for detailed evidence. Repeat templates as separately identified files; duplicated interactive field names may synchronize values.

Typed authorization fields are not cryptographic signatures. Retain authority and the adopted signature/authentication evidence.

F01 Intake and scope acceptance

ENTITY / SCOPE / CASE REFERENCE

CASE ID, APPLICANT LEGAL IDENTITY, CONTACT AND SUBMISSION VERSION

ELIGIBILITY, PROFILES/DOMAINS AND REQUESTED ENTITY/SITE/FAMILY BOUNDARY

SIX-MONTH HISTORY, THREE CASES/FAMILY/SITE, INTERNAL AUDIT AND REVIEW CHECKS

MISSING EVIDENCE, RESTRICTIONS, PRIVATE READINESS OR ACCEPTED ASSESSMENT ROUTE

AUTHORIZED CASE ACCEPTANCE, ASSIGNED ROLES, DATE AND APPLICANT NOTICE

F02 Competence and conflict clearance

ENTITY / SCOPE / CASE REFERENCE

CASE/ROLE/PERSON, INDUSTRIAL AND TECHNOLOGY COMPETENCE EVIDENCE

EMPLOYMENT, CONSULTANCY, OWNERSHIP AND COMMERCIAL TIES: PRIOR 36 MONTHS

OTHER CONFLICTS, RELATIONSHIPS, SAFEGUARDS AND INDEPENDENCE CONCLUSION

AUTHORIZED TASKS/LIMITS, INDEPENDENT REVIEW AND APPOINTMENT DATE

CHANGE/DECLARATION UPDATE AND WITHDRAWAL OR REASSIGNMENT DECISIONS

F03 Criteria and evidence review

ENTITY / SCOPE / CASE REFERENCE

SCOPE/VERSION, PSR EDITION AND ADDITIONAL IAF CRITERION TEXTS/STATUS

APPLICABILITY, EXCLUSIONS AND COMPLETE REQUIREMENT MAPS

EVIDENCE CHECKED, ORIGINALS, DATES, RESPONSIBLE OWNERS AND CONTRADICTIONS

MISSING/RESTRICTED RECORDS, CLAIMED SCOPE LIMITATIONS AND REQUIRED FOLLOW-UP

REVIEW CONCLUSION, REVIEWER COMPETENCE/INDEPENDENCE AND DATE

F04 Audit programme and duration calculation

ENTITY / SCOPE / CASE REFERENCE

CASE/SITE/FAMILY IDS, AUDIT TYPE, PERIOD AND CRITERION VERSIONS

CENTRAL/SITE DAY FLOORS, EFFECTIVE WORKFORCE AND EACH RISK ADDITION

TWO-AUDITOR TEAM, COMPETENCE, PHYSICAL DATES AND FULL OPERATING-DAY PRESENCE

CRITICAL PROCESS/RELEASE WITNESSES, HALF ON-SITE OBSERVATION TIME AND SHIFTS

AT LEAST THREE CASES PER FAMILY/SITE, POPULATION AND EXTRA ADVERSE/CHANGE SAMPLES

ACCESS, LIMITATIONS, INDEPENDENT PLAN APPROVAL AND ACTUAL TIME VARIANCES

F05 Witnessed audit and evidence trail

ENTITY / SCOPE / CASE REFERENCE

CASE/SITE/PROCESS/SHIFT, AUDITOR, DATE AND PERSONS INTERVIEWED

REQUIREMENT AND EXACT OPERATION, PRODUCT/CONFIGURATION AND SAMPLE SELECTED

OBSERVED STEPS, ORIGINAL RECORDS, SOURCE-DATA TESTS AND ACTUAL RESULTS

CONTRADICTIONS, ADVERSE EVIDENCE, TRACEABILITY AND EXPANDED COVERAGE

CONCLUSIONS, LIMITATIONS, FINDING LINKS AND AUDITOR AUTHORIZATION

F06 Group and external-operation assessment

ENTITY / SCOPE / CASE REFERENCE

APPLICANT, GROUP ENTITY OR PROVIDER AND ACTUAL SITE/RELATIONSHIP

DESIGN, PRODUCTION, RELEASE, OWNERSHIP AND FIELD-ACTION RESPONSIBILITY

APPLICANT CONTROLS, FLOW-DOWN, CHANGE, TRACEABILITY AND PERFORMANCE EVIDENCE

PHYSICAL/ORIGINAL-RECORD ACCESS COMPLETED AND UNRESOLVED RESTRICTIONS

CONCLUSION, BOUNDED CLAIM AND WHETHER ANOTHER ENTITY HAS SEPARATE RECOGNITION

F07 Finding and factual response

ENTITY / SCOPE / CASE REFERENCE

FINDING ID, REQUIREMENT, SITE/FAMILY AND EVIDENCE REFERENCES

OBJECTIVE FACTS, FAILED REQUIREMENT AND AFFECTED OUTPUT/SCOPE

MINOR/MAJOR/CRITICAL/PENDING; CONSEQUENCE AND CLASSIFICATION RATIONALE

IMMEDIATE CONTAINMENT, NOTIFICATION AND PRIOR-OUTPUT IMPACT

15-DAY FACTUAL RESPONSE, APPLICANT EVIDENCE AND RESOLVED DISAGREEMENT

ACTION/VERIFICATION DEADLINES, RESPONSIBLE PERSONS AND FINAL FINDING VERSION

F08 Corrective action and effectiveness verification

ENTITY / SCOPE / CASE REFERENCE

FINDING/CASE IDS, AFFECTED SCOPE AND CONTAINMENT CONFIRMATION

TECHNICAL, ORGANIZATIONAL AND ESCAPE CAUSES; CROSS-SITE/PRODUCT EFFECTS

ACTIONS, OWNERS, IMPLEMENTATION DATES AND NEW RISKS

PREDEFINED EFFECTIVENESS CRITERIA, NEW OPERATION AND VERIFICATION EVIDENCE

INDEPENDENT VERIFIER, OUTCOME, RESIDUAL LIMITS AND CLOSURE/REOPEN DATE

F09 Independent decision and votes

ENTITY / SCOPE / CASE REFERENCE

CASE, LEGAL ENTITIES, FINAL SCOPE VERSION AND COMPLETE EVIDENCE MANIFEST

THREE UNINVOLVED PANEL MEMBERS, COMPETENCE AND CONFLICT CLEARANCE

MEMBER 1 VOTE/REASONS; MEMBER 2 VOTE/REASONS; MEMBER 3 VOTE/REASONS

EVERY INITIAL GATE MET; CLOSURE, DISSENT AND COHERENT EXCLUSIONS

GRANT/DEFER/REFUSE/RESTRICT; REASONS, EFFECTIVE/EXPIRY AND MONITORING

AUTHENTICATED DECISION, APPLICANT NOTICE AND 30-DAY APPEAL DEADLINE

F10 Recognition record and mark licence

ENTITY / SCOPE / CASE REFERENCE

UNISSUED TEMPLATE: DECISION REFERENCE, RECOGNITION ID AND RECORD VERSION

LEGAL ENTITIES, NAMED SITES AND EXACT APPROVED PUBLIC SCOPE

CRITERION EDITION, EFFECTIVE/EXPIRY, RESTRICTIONS AND VERIFICATION ROUTE

APPROVED ARTWORK/VERSION, PERMITTED MEDIA AND SCOPE-LINKING CONDITIONS

NO PRODUCT-CERTIFICATION IMPLICATION; CORRECTION/STOP-USE DUTIES ACCEPTED

IAF AUTHORIZER AND ORGANIZATION ACCEPTANCE, DATES/AUTHENTICATED REFERENCES

F11 Annual surveillance and continuation

ENTITY / SCOPE / CASE REFERENCE

RECOGNITION ID, ANNUAL PERIOD, CURRENT SCOPE AND MONTHS 12/24 DUE DATE

EACH OPERATIONAL SITE PHYSICAL AUDIT, SUPPORT FUNCTIONS, SHIFTS AND ACTUAL COVERAGE

QUALITY/DELIVERY/FIELD/SUPPORT INDICATORS AND SOURCE RECONCILIATION

CHANGES, INCIDENTS, FINDINGS AND VERIFIED EFFECTIVENESS

INDEPENDENT CONTINUATION/RESTRICTION CONCLUSION, NEXT DATES AND AUTHORIZATION

F12 Change and renewal assessment

ENTITY / SCOPE / CASE REFERENCE

RECOGNITION/SCOPE IDS, CHANGE OR RENEWAL REQUEST AND NOTIFICATION DATES

OWNERSHIP/SITE/FAMILY/TECHNOLOGY/RESPONSIBILITY CHANGES AND AFFECTED SCOPE

HISTORY, CASES, COMPETENCE, PHYSICAL AUDIT AND EVIDENCE REQUIRED/COMPLETED

RENEWAL APPLICATION AT LEAST SIX MONTHS BEFORE EXPIRY; DECISION READINESS

INDEPENDENT OUTCOME, EFFECTIVE/EXPIRY, PUBLIC REVISION AND NOTIFICATIONS

F13 Serious incident and field-action record

ENTITY / SCOPE / CASE REFERENCE

INCIDENT ID, AWARENESS TIME, 48-HOUR IAF NOTICE AND BINDING EARLIER NOTICES

KNOWN FACTS/UNCERTAINTY, PRODUCTS/CONFIGURATIONS/SITES AND AFFECTED POPULATION

IMMEDIATE CONTAINMENT, SAFETY PROTECTION AND STATUS ACTION

CAUSE INVESTIGATION, REMEDY PLAN, OUTREACH AND VERIFIED COMPLETION

RESIDUAL RISK, OTHER AFFECTED SCOPES, INDEPENDENT DECISIONS AND FOLLOW-UP

F14 Protective status and restoration

ENTITY / SCOPE / CASE REFERENCE

RECOGNITION IDS AND EXACT AFFECTED/UNAFFECTED SCOPE

REASONS/EVIDENCE, URGENT AUTHORITY AND EFFECTIVE TIME

RESTRICTION/SUSPENSION/WITHDRAWAL; NOTIFICATIONS, MARKS AND PUBLIC UPDATE

RESTORATION CRITERIA, PHYSICAL VERIFICATION AND EFFECTIVENESS EVIDENCE

INDEPENDENT THREE-MEMBER DECISION/VOTES, ORIGINAL EXPIRY AND APPEAL NOTICE

F15 Complaint and protected-concern record

ENTITY / SCOPE / CASE REFERENCE

CASE, OPTIONAL CONFIDENTIAL REPORTER CONTACT, RECEIPT AND SAFE COMMUNICATION

CONCERN, SUPPORTING EVIDENCE, REQUESTED REMEDY AND IMMEDIATE HARM

CONFLICT CLEARANCE, CONFIDENTIALITY AND ANTI-RETALIATION SAFEGUARDS

INVESTIGATION, FAIR RESPONSE, ORIGINAL EVIDENCE AND FINDINGS

REASONED OUTCOME, PARTIES NOTIFIED, FOLLOW-UP AND REMAINING REVIEW ROUTE

F16 Appeal and determination

ENTITY / SCOPE / CASE REFERENCE

DECISION CHALLENGED, NOTIFICATION DATE, APPEAL DATE AND REQUESTED OUTCOME

GROUND, NEW EVIDENCE, COMPLETENESS AND CONTINUED PROTECTIVE MEASURES

THREE INDEPENDENT REVIEWERS, COMPETENCE AND CONFLICTS

REVIEW, FAIR RESPONSE AND REASONED CONCLUSION WITHIN TARGET 45 DAYS

AUTHORIZED DETERMINATION, STATUS EFFECT, NOTIFICATIONS AND LESSONS

F17 Registry event and verification record

ENTITY / SCOPE / CASE REFERENCE

RECOGNITION/ENTITY/SITE/SCOPE IDS AND PREVIOUS/NEW VERSIONS

AUTHORIZED EVENT, EFFECTIVE/PUBLICATION TIMES AND DECISION SOURCE

IDENTITY, AUTHENTICITY, ENTITY/SITE, SCOPE/DATES AND APPLICABILITY CHECKS

PUBLIC/MANUAL RESPONSE, RETRIEVAL TIME, OUTAGE OR UNRESOLVED LIMITS

ACCESS, HISTORY, CORRECTION, RECOVERY AND CUSTODIAN AUTHORIZATION

F18 Programme assurance and transition

ENTITY / SCOPE / CASE REFERENCE

PROGRAMME EDITION, GOVERNING AUTHORITY AND PROPOSED EFFECTIVE DATE

ROLES, INDEPENDENCE, RECORDS, VERIFICATION AND APPEAL READINESS

FOUR PILOT PROFILES, FAILED/CONTESTED CASE AND AUDIT-DURATION VALIDATION

WEAKNESSES, CORRECTION, COMPETENCE AUTHORIZATION AND LAUNCH DECISION

ANNUAL AUDIT, THREE-YEAR INDEPENDENT REVIEW, CONSULTATION AND TRANSITION

F19 Executive undertaking and participation terms

ENTITY / SCOPE / CASE REFERENCE

LEGAL ENTITY, AUTHORIZED EXECUTIVE AND EVIDENCE OF SIGNING AUTHORITY

IAF CONSTITUTION EXACT VERSION AND PSR EDITION ACCEPTED

TRUTHFUL SCOPE/EVIDENCE, ADVERSE DISCLOSURES, ACCESS AND INDEPENDENT DECISIONS

ANNUAL SURVEILLANCE, 48-HOUR SERIOUS NOTICE, CHANGES AND MARK DUTIES ACCEPTED

CONFIDENTIALITY, FAIR PROCESS, CUSTOMER RESPONSIBILITY AND ORDERLY EXIT

SIGNATURE/AUTHENTICATED AUTHORIZATION, DATE, PLACE AND SUBMISSION VERSION

F20 Evidence manifest and controlled access

ENTITY / SCOPE / CASE REFERENCE

CASE/SCOPE/VERSION, EVIDENCE OWNER AND AUTHORIZED REVIEWERS

EVIDENCE IDS, EXACT TITLES/VERSIONS/DATES AND MAPPED REQUIREMENTS

ORIGINAL LOCATION, PROVENANCE, CORRECTION HISTORY AND CHAIN OF CUSTODY

CONFIDENTIAL/PERSONAL DATA, LAWFUL ACCESS, REDACTIONS AND TRANSFER LIMITS

RETENTION CLOCKS, HOLDS, RECOVERY AND AUTHORIZED DISPOSITION

F21 Quality and trust performance dictionary

ENTITY / SCOPE / CASE REFERENCE

ENTITY/SITE/FAMILY, REPORTING PERIOD AND ACCOUNTABLE DATA OWNER

INDICATOR NAMES, NUMERATOR/DENOMINATOR, UNIT, POPULATION AND EXCLUSIONS

SOURCE SYSTEMS, RECONCILIATION, UNCERTAINTY AND DEFINITION CHANGES

TARGETS/ALERTS, ACTUAL RESULTS, SEVERITY AND DISAGGREGATED TRENDS

ACTIONS, OWNERS, EFFECTIVENESS AND AUTHORIZED CUSTOMER/PUBLIC DISCLOSURE

F22 Acceptance arrangement and bounded public claim

ENTITY / SCOPE / CASE REFERENCE

PARTIES, AUTHORIZED CONTACTS AND ARRANGEMENT REFERENCE/DATE

ACTUAL PURPOSE, GEOGRAPHY, SCOPE AND RECOGNIZED ACTIVITIES

EVIDENCE/RELIANCE CHECKS, LIMITATIONS AND RESPONSIBILITIES RETAINED

APPROVED PUBLIC WORDING, NO UNIVERSAL ACCEPTANCE CLAIM AND REVIEW DATE

AUTHORIZED ACCEPTANCE, CHANGES, TERMINATION AND HISTORICAL RECORD

F23 Traceability and continuity exercise

ENTITY / SCOPE / CASE REFERENCE

EXERCISE ID, SCOPE, INDEPENDENTLY SELECTED CASE AND RESPONSIBLE TEAM

PRE-SET RETRIEVAL/RECOVERY OBJECTIVES, ASSUMPTIONS AND RISK BASIS

BACKWARD/FORWARD TRACE, QUANTITIES, RECIPIENTS AND ELAPSED TIME

DISRUPTION, SAFE RESTART, ORIGINAL-DATA RECOVERY AND CUSTOMER SUPPORT

GAPS, CONTAINMENT, CORRECTIVE ACTIONS AND VERIFIED EFFECTIVENESS

F24 Supplier qualification and customer acceptance

ENTITY / SCOPE / CASE REFERENCE

FAMILY/SITE/CUSTOMER, PRODUCT IDENTITY AND COMPLETE DOSSIER VERSION

APPROVAL BASIS, REQUIRED AUTHORITY AND EXACT CUSTOMER/INTERNAL DISPOSITION

REQUIREMENTS, RISK, VALIDATION, PROCESS, CAPACITY AND ORIGINAL EVIDENCE CHECKED

DELIVERED-CASE TRACE, CONDITIONS, CONCESSIONS AND UNRESOLVED RELEASE HOLDS

ASSESSOR CONCLUSION, BOUNDED CAPABILITY, FINDINGS AND INDEPENDENT REVIEW

F25 Engineering and supply change authorization

ENTITY / SCOPE / CASE REFERENCE

CHANGE IDENTITY/REASON, OLD/NEW BASELINE AND AFFECTED SCOPE/CUSTOMERS

TECHNICAL RISK, VALIDATION, SOURCE AUTHENTICITY AND LIFECYCLE IMPACT

REQUIRED CUSTOMER APPROVALS, IAF NOTICE AND ACTUAL AUTHORIZATIONS

STOCK/CONFIGURATION SEGREGATION, CUT-IN IDENTITY AND TRACEABILITY

EFFECTIVENESS, ADVERSE OUTCOMES, FOLLOW-UP AND CLOSURE AUTHORITY

F26 Critical sub-tier and genealogy review

ENTITY / SCOPE / CASE REFERENCE

CUSTOMER/PRODUCT CHARACTERISTIC AND ACTUAL SUB-TIER OPERATION/SITE

RISK, FLOW-DOWN DUTIES, COMPETENCE AND DIRECT-EVIDENCE ACCESS

ORIGINAL PROCESS/TEST RECORDS, UPSTREAM/DOWNSTREAM IDENTITY AND QUANTITIES

CONTRADICTIONS, CHANGES, SECRECY LIMITS AND AFFECTED-CUSTOMER EXPOSURE

APPLICANT CONTROL CONCLUSION, FINDINGS AND NO AUTOMATIC SOURCE RECOGNITION

F27 Obsolescence, support and exit continuity

ENTITY / SCOPE / CASE REFERENCE

PRODUCT/SOFTWARE/TOOL/SOURCE AT RISK AND COMMITTED CUSTOMER SUPPORT PERIODS

DISCONTINUATION EVIDENCE, DEADLINES, CAPACITY AND REMAINING-LIFE ASSUMPTIONS

QUALIFIED ALTERNATIVES, LAST-TIME SUPPLY AND CUSTOMER APPROVAL OBLIGATIONS

DATA/TOOL/KEY/IP ACCESS, LAWFUL TRANSFER, RECOVERY TESTS AND RESIDUAL GAPS

CUSTOMER NOTICES, ACCOUNTABLE OWNERS, MILESTONES AND VERIFIED COMPLETION

F28 Authenticity concern and coordinated response

ENTITY / SCOPE / CASE REFERENCE

SUSPECT IDENTITY, SOURCE, LOT/SERIAL/SOFTWARE AND REASON FOR CONCERN

QUARANTINE, CHAIN OF CUSTODY, PRESERVED EVIDENCE AND IMMEDIATE PROTECTION

PROVENANCE/TECHNICAL INVESTIGATION AND SCREENING LIMITATIONS

AFFECTED RECIPIENTS, SOURCE/CUSTOMER NOTIFICATIONS AND FIELD-ACTION LINKS

LAWFUL DISPOSITION, CAUSE CORRECTION, EFFECTIVENESS AND AUTHORIZATION

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