

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 PRODUCT/SERVICE FAMILIES

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

SELF-ASSESSMENT TEAM, TECHNICAL OWNERS AND ACCOUNTABLE EXECUTIVE

SDR/CONSTITUTION EDITIONS AND ADDITIONAL IAF ADOPTION MAP

ORIGINAL EVIDENCE INDEX, ACCESS LOCATIONS, PRIVACY AND LIMITATIONS

01 Legal identity and digital 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.

SDR-01.01 ACCOUNTABLE HOLDER - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-01.02 BOUNDED ACTIVITIES - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-01.03 PERMISSIONS AND OBLIGATIONS - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-01.04 CORPORATE VERSUS PRODUCT ASSURANCE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

02 Leadership and technical accountability

ENTITY / SCOPE / CASE REFERENCE

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

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

SDR-02.02 TECHNICAL STOP AUTHORITY - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

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

SDR-02.04 INDEPENDENCE OF CHALLENGE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

03 IAF adoption and implemented evidence

ENTITY / SCOPE / CASE REFERENCE

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

SDR-03.01 CONTROLLED ADOPTION - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-03.02 ADDITIONAL IAF CLAIMS - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-03.03 OPERATING HISTORY AND EVENTS - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-03.04 APPLICABILITY AND GAPS - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

04 People, competence 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.

SDR-04.01 ROLE-SPECIFIC COMPETENCE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-04.02 SUPERVISION AND CONTINUITY - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-04.03 LEARNING EFFECTIVENESS - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-04.04 INTEGRITY AND PROTECTED CHALLENGE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

05 Customer commitments and digital rights

ENTITY / SCOPE / CASE REFERENCE

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

SDR-05.01 CLEAR INTENDED USE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-05.02 COMMERCIAL TRANSPARENCY - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-05.03 RIGHTS AND PROVENANCE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-05.04 COMPLAINTS AND REMEDY - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

06 Risk, safety interfaces and assurance planning

ENTITY / SCOPE / CASE REFERENCE

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

SDR-06.01 CONSEQUENCE CLASSIFICATION - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-06.02 RISK AND THREAT ANALYSIS - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-06.03 ASSURANCE PLAN - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-06.04 UNACCEPTABLE RESIDUAL RISK - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

07 Requirements and traceability

ENTITY / SCOPE / CASE REFERENCE

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

SDR-07.01 VERIFIABLE REQUIREMENTS - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-07.02 BIDIRECTIONAL EVIDENCE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-07.03 INTERFACE CONTRACTS - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-07.04 CHANGE IMPACT - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

08 Architecture and resilient design

ENTITY / SCOPE / CASE REFERENCE

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

SDR-08.01 SEPARATION AND LEAST PRIVILEGE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-08.02 SAFE DEGRADED BEHAVIOUR - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-08.03 SECURE USABLE DEFAULTS - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-08.04 MAINTAINABILITY AND PORTABILITY - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

09 Development environments and access

ENTITY / SCOPE / CASE REFERENCE

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

SDR-09.01 SOURCE AND PRIVILEGED ACCESS - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-09.02 ENVIRONMENT INTEGRITY - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-09.03 SECRET LIFECYCLE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-09.04 REMOTE AND SUPPLIER ACCESS - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

10 Implementation and source 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.

SDR-10.01 CONTROLLED CODE CHANGE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-10.02 INDEPENDENT CODE REVIEW - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-10.03 DEFENSIVE IMPLEMENTATION - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-10.04 GENERATED CODE AND REUSE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

11 Software supply chain and component inventory

ENTITY / SCOPE / CASE REFERENCE

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

SDR-11.01 COMPONENT VISIBILITY - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-11.02 SUPPLIER CONTROL - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-11.03 DEPENDENCY CHANGE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-11.04 UNKNOWN AND ABANDONED COMPONENTS - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

12 Build, artifact and configuration integrity

ENTITY / SCOPE / CASE REFERENCE

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

SDR-12.01 SOURCE-TO-ARTIFACT PROVENANCE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-12.02 BUILD REPRODUCIBILITY - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-12.03 SIGNING AND TRUST LIFECYCLE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-12.04 CONFIGURATION IDENTITY - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

13 Verification and validation

ENTITY / SCOPE / CASE REFERENCE

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

SDR-13.01 REPRESENTATIVE TESTING - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-13.02 ORIGINAL RESULT INTEGRITY - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-13.03 INDEPENDENT VALIDATION - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-13.04 DEFECT AND REGRESSION CONTROL - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

14 Digital tools, 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.

SDR-14.01 TOOL INFLUENCE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-14.02 MEASUREMENT VALIDITY - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-14.03 MODELS AND SIMULATIONS - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-14.04 FALSE-PASS PREVENTION - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

15 Release, deployment and acceptance

ENTITY / SCOPE / CASE REFERENCE

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

SDR-15.01 RELEASE GATES - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-15.02 DEPLOYMENT CONTROL - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-15.03 RECOVERY AND CONTAINMENT - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-15.04 CUSTOMER ACCEPTANCE AND LIMITS - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

16 Vulnerability and incident response

ENTITY / SCOPE / CASE REFERENCE

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

SDR-16.01 ACCESSIBLE VULNERABILITY INTAKE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-16.02 EXPOSURE-BASED TRIAGE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-16.03 CONTAINMENT AND CORRECTION - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-16.04 IAF NOTIFICATION - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

17 Data protection and information governance

ENTITY / SCOPE / CASE REFERENCE

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

SDR-17.01 PURPOSE AND AUTHORITY - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-17.02 MINIMISATION AND PRIVACY DESIGN - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-17.03 TRANSFER, RETENTION AND RIGHTS - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-17.04 INFORMATION SECURITY - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

18 AI, learning systems 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.

SDR-18.01 BOUNDED AI PURPOSE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-18.02 DATA AND MODEL PROVENANCE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-18.03 ROBUSTNESS AND HUMAN CONTROL - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-18.04 CHANGE, DRIFT AND GENERATED CONTENT - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

19 Live services and digital resilience

ENTITY / SCOPE / CASE REFERENCE

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

SDR-19.01 SERVICE OBJECTIVES - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-19.02 TENANT AND INTERFACE PROTECTION - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-19.03 OPERATIONAL CHANGE AND OBSERVABILITY - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-19.04 CONTINUITY AND RESTORE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

20 Support, obsolescence and responsible exit

ENTITY / SCOPE / CASE REFERENCE

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

SDR-20.01 PUBLISHED SUPPORT BOUNDARY - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-20.02 END-OF-SUPPORT PROTECTION - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-20.03 LEGACY AND CRYPTOGRAPHIC CHANGE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-20.04 SUSTAINABLE DIGITAL OPERATION - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

21 Performance, internal audit and 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.

SDR-21.01 DEFINED INDICATORS - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-21.02 INTERNAL AUDIT - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-21.03 MANAGEMENT REVIEW - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-21.04 CORRECTIVE EFFECTIVENESS - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

22 Assessment access 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.

SDR-22.01 EVIDENCE ACCESS - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-22.02 ACTUAL TECHNICAL DEMONSTRATION - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-22.03 INDEPENDENT RECOGNITION GATES - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-22.04 TRUTHFUL COOPERATION - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

23 Continuing scope 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.

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

SDR-23.02 MATERIAL CHANGE NOTICE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

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

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

24 Claims, marks and 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.

SDR-24.01 EXACT PUBLIC CLAIM - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-24.02 PRODUCT-FACING CONTEXT - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-24.03 LICENCE AND REMOVAL - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-24.04 CURRENT VERIFICATION - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

25 Fair process and programme assurance

ENTITY / SCOPE / CASE REFERENCE

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

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

SDR-25.02 PROTECTED COMPLAINTS - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-25.03 IAF OPERATOR EVIDENCE - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

SDR-25.04 CONTROLLED DEVELOPMENT - PRACTICE, EVIDENCE, EFFECTIVENESS AND GAP

Software/service profile supplement - repeat per profile

ENTITY / SCOPE / CASE REFERENCE

PROFILE/ENTITY/HUB/FAMILY 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/FAMILY, 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/FAMILY 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

EVENT POPULATIONS, ACTUAL RELEASES, CHANGES, FAILURES AND TARGET TRACEABILITY

ESCAPED DEFECTS, FAILED CHANGES, SERVICE QUALITY, DENOMINATORS AND DATA RECONCILIATION

COMPLAINTS, INCIDENTS, VULNERABILITIES, INVALID OUTPUTS AND VERIFIED 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/SDR 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