



AF 9100:2026

Aerospace Quality Management System

CHECKLIST

Normative Annex, Required-Field and Release-Gate Checklist

AF-CL-9100-020

FIRST EDITION

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Use and document-control boundary

This companion implements the supplied AF 9100 requirement basis without changing the original standard. Its process allocation, examples, checklists and record design are authored implementation material. Actual mission or product limits, specialist procedures, permissions and genuine observations must be completed before consequential use. Applicable source minima and independent decision conditions cannot be reduced by this companion.

The printed edition date identifies the companion series; it is not evidence that later preparation, review or operational decisions occurred on that date. New support codes in this set are proposed allocations for controlled registration. Established AF-IG-9100-001, AF-FAQ-9100-001 and AF-TR-9100-001 identities are retained; earlier files, the corporate master list and ASTRA codes are not overwritten.

Equivalent combined or digital records are permitted when all required fields, relationships, authority and history remain intact. A completed PDF field or typed name is not evidence of an authenticated approval. Blank records in this delivery contain no invented applicant, signature, event or result.

Interactive fields are blank by default. Save a working copy, use continuation records where necessary and preserve raw supporting evidence outside the PDF through controlled references. Separate issued PDFs are the authoritative interactive copies; the combined reading edition is flattened.

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Select actual scope → complete application criteria → use the applicable procedure and technical book → capture authentic evidence → evaluate every applicable condition → obtain the required independent decision. Document availability does not establish implementation or conformity.

1 Checklist use and state definitions

Evaluate the whole source condition, including every joined sub-condition. Where different parts have different evidence, add separate continuation rows linked to the original identifier. Do not compress a compound requirement into a favorable summary.

Field state	Meaning
PASS	Conforming: valid evidence meets the approved applicable condition.
FAIL	Nonconforming: valid evidence demonstrates failure of the applicable requirement.
HOLD	Not yet demonstrated: applicability, criteria, evidence, validity, interpretation or authority remains unresolved.
N/A	Not applicable only with an approved absence-of-activity-and-responsibility rationale. Missing resources or access are not exclusions.

States in this companion map to the source’s requirement-status dictionary; operational record status and evidence validity remain separate. No prefilled state is supplied. A metric counts progress only and cannot override a mandatory failure.

Assessment / case / object / profile / evaluated version

Assessor / actual dates / route / sites / configuration / selected scope

Approved applicability and exclusions / continuation record location

2 Complete source-condition evaluation

A.1 — Required applicability process

A.1(a) | Source p. 50

The organization shall identify each product or service family, site and lifecycle role; assess the activities and effects below; select all triggered clauses and normative annexes; and record exclusions with evidence. A module applies when an activity is performed directly or when the organization retains responsibility for an externally performed activity.

Versioned activity matrix; product/site coverage; reasons for exclusions; technical approval; review triggers.

STATE

EVIDENCE / APPROVED N/A BASIS

REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

A.1(b) | Source p. 50

The matrix shall be approved by the management representative and relevant technical authorities. It shall be reviewed at least within management review and whenever scope, configuration, technology, suppliers or obligations materially change. Applicable legal and contractual obligations remain binding; AF tailoring shall not remove them.

Versioned activity matrix; product/site coverage; reasons for exclusions; technical approval; review triggers.

STATE

EVIDENCE / APPROVED N/A BASIS

REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

A.1(c) | Source p. 50

For a PER route, the individual scope record shall select Clause 26 and Annex AE, plus Annex AB for an assessor credential and the relevant technical competences from the job profile. The individual is not required to operate the organizational core. The scheme operator is assessed separately for its organizational and provider duties.

Versioned activity matrix; product/site coverage; reasons for exclusions; technical approval; review triggers.

STATE

EVIDENCE / APPROVED N/A BASIS

REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

A.2 — Minimum scope-record fields

A.2(a) | Source p. 51

Each matrix row shall contain entity, site, product or service, customer or mission, lifecycle responsibility, triggered clause, applicability decision, reason, evidence reference, accountable owner and approval date. Remote functions and critical suppliers shall be linked to the relevant row.

Completed matrix with each mandatory field and approved interface responsibilities.

STATE

EVIDENCE / APPROVED N/A BASIS

REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

A.2(b) | Source p. 51

An exclusion shall not be accepted when the activity is merely subcontracted. For a design exclusion, the record shall identify the actual design authority and demonstrate controls over supplied design data, change requests and escalation of errors.

Completed matrix with each mandatory field and approved interface responsibilities.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

B.1 — Classification method
B.1(a) | Source p. 52

The organization shall classify functions, items, processes and evidence-producing tools by the highest credible consequence of their failure within the defined context. It shall consider exposure, combinations, common causes, detectability, recovery and uncertainty. Classification shall not be based only on financial value or a single multiplied risk score.

Classification record; hazard link; assumptions; reviewers; approval and change rationale.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

B.1(b) | Source p. 52

The classification shall be reviewed by competent technical personnel and approved by the assigned acceptance authority. Where the consequence is uncertain, the organization shall use a conservative provisional category or obtain the missing evidence before lowering assurance. An external mandatory classification shall remain applicable independently.

Classification record; hazard link; assumptions; reviewers; approval and change rationale.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

B.2 — No averaging across critical failures
B.2(a) | Source p. 52

A favorable average score shall not compensate for a missing critical control, failed mandatory criterion or unsupported residual-risk acceptance. The organization shall identify release-blocking conditions and apply them before considering aggregate maturity or performance measures.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

B.2(b) | Source p. 52

Quantitative safety or reliability objectives shall be derived from the applicable mission and authority basis. This annex does not prescribe universal probability targets. Evidence requirements shall consider uncertainty and the capability of the selected method to support the claimed objective.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

B.2(c) The C0-C3 category controls technical assurance and surveillance intensity; it does not relax the independent review and decision requirements for a third-party attestation in Annexes AA and AD.

Reference or explanatory condition: use for interpretation; this row is not a newly invented pass threshold.

C.1 — Gate governance and evidence package

C.1(a) | Source p. 54

For each gate, the program shall identify the decision authority, required specialists, independence, entry criteria, evidence package and permissible outcomes. Evidence shall correspond to the reviewed configuration. A gate package shall include open issues, dissent, assumptions and the limitations of analysis or testing.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

C.1(b) | Source p. 54

The decision record shall state pass, conditional progression or hold, with permitted downstream activity and conditions. Conditional progression shall not permit an irreversible action that depends on missing critical evidence. Closure shall be verified before the dependent activity occurs.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

C.2 — Iterative and emergency development

C.2(a) | Source p. 54

Incremental delivery shall define the assurance boundary of each increment and its compatibility with existing configurations. An increment shall not rely on a future increment to make current operation safe unless operation is explicitly restricted until that future control is verified.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

C.2(b) | Source p. 54

Emergency development shall preserve necessary technical authority and evidence. Compressed scheduling may change sequencing, but it shall not reclassify unknown performance as verified. Temporary deployment shall have limitations, monitoring, expiry and recovery arrangements.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

D.1 — Requirement-record integrity
D.1(a) | Source p. 55

Every controlled product or service requirement shall have an identifier, statement, source, owner, revision, rationale, applicability, verification method and acceptance criteria. Derived and safety-related requirements shall include their parent link and approving authority.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

D.1(b) | Source p. 55

The organization shall maintain traceability through allocation, implementation, verification, anomaly resolution and release. Traceability completeness shall be evaluated for meaning and validity, not only the presence of hyperlinks. Broken or circular links shall be investigated.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

D.2 — Identifiers, versioning and time
D.2(a) | Source p. 55

Identifiers shall remain unique within the defined repository and resolvable after migration. Revision and status shall be distinct; an approved obsolete version shall not appear current. Time records shall identify the relevant time basis and sequence sufficient to reconstruct events.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

D.2(b) | Source p. 55

Units, coordinate systems, reference frames and data encodings shall be explicit where misinterpretation could affect conformity. Imported supplier data shall be checked for mapping errors, truncated precision and semantic differences. Automated exchange shall retain validation results.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

D.3 — Evidence provenance and tamper indication

D.3(a) | Source p. 55

An evidence record shall identify the source system or person, acquisition method, processing, transformations and approvals. Cryptographic hashes or signatures may support integrity but shall not be treated as proof that the original observation was correct.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

D.3(b) | Source p. 55

Corrections shall preserve the prior evidence and explain why it changed. Access and modification logs shall be protected in accordance with consequence and obligations. Migration shall verify relationships as well as files; a readable PDF without its underlying configuration links may be insufficient. The filled chain demonstrates structure only. It deliberately does not supply a universal stopping-time value, load or speed; those values require a valid system-specific safety basis.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

J.1 — Qualification and approval decision

J.1(a) | Source p. 69

The organization shall define the supplied scope and determine criticality, technical capability, capacity, authenticity exposure and sub-tier dependencies. Qualification shall use evidence appropriate to those factors and may include document review, assessment, first article, process validation, trials or source surveillance.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

J.1(b) | Source p. 69

The approval decision shall state approved scope, status, conditions, limitations and surveillance. A certificate may be considered as one input, but its issuer, validity, site and scope shall be verified. Approval shall not extend to a new process or location without review.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

J.2 — Minimum contractual flow-down

J.2(a) | Source p. 69

Purchasing information shall include the applicable elements in Table J-2. The organization shall identify the edition and effectivity of technical data and shall require the supplier to resolve ambiguity before work. Any alternative supplier proposal shall be approved before implementation.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

J.2(b) | Source p. 69

Flow-down shall be proportionate to the work but shall not omit a requirement needed to protect a critical characteristic or evidence chain. Confidentiality restrictions shall be addressed through authorized access arrangements rather than by silently removing verification rights.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

J.2(c) | Source p. 69

The flow-down review shall include Annex AF and Clause 27. Conditional supplier development is distinct from a positive SUB attestation; the decision and claim shall state which status applies.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

J.3 — Surveillance and delegated verification

J.3(a) | Source p. 70

The organization shall monitor conformity, delivery, escape events, change discipline and corrective-action effectiveness. Thresholds and actions shall be defined according to risk. A deteriorating trend shall trigger review before a serious failure occurs.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

J.3(b) | Source p. 70

Delegated verification shall identify authorized people, methods, limits, records and oversight. The organization shall periodically compare delegated decisions with independent evidence and shall suspend authority when confidence is lost. Delegation does not transfer ultimate contractual responsibility.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

K.1 — Planning and trigger assessment

K.1(a) | Source p. 71

The organization shall define when a full or partial first article verification is required, based on new product, new process, design change, source transfer, tooling change, interruption or evidence that prior verification is no longer representative.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

K.1(b) | Source p. 71

The verification plan shall identify the production-representative item, route, design baseline, material, tooling, software and all applicable characteristics. A partial verification shall list the changed portion and justify the continuing validity of the remainder.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

K.2 — Characteristic completion rules

K.2(a) | Source p. 71

Each applicable drawing, model, specification and interface characteristic shall be accounted for. Results shall be numeric where the criterion is numeric, or use a defined attribute evaluation with traceable evidence. "Pass" without the required actual result shall not be accepted for a variable characteristic requiring retained measurement.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

K.2(b) | Source p. 71

The organization shall verify that material and special-process evidence relate to the actual first article. Unverified characteristics shall remain open. A sample selected for excellent appearance shall not replace a representative production article.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

K.3 — Production-readiness conclusion

K.3(a) | Source p. 71

The readiness conclusion shall consider process stability, tooling, inspection capability, operator competence, supplier readiness and closure of nonconformities, not only one conforming item. Where data are insufficient for capability inference, the limitation and compensating verification shall be recorded.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

K.3(b) | Source p. 71

First article acceptance shall not remove continuing process controls, surveillance or the obligation to reassess after change. The organization shall define any enhanced monitoring for initial production and objective criteria for returning to normal control.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

L.1 — Qualification strategy

L.1(a) | Source p. 72

The organization shall define the qualified process, scope, materials, geometries, equipment, site, personnel, essential variables and intended outputs. Qualification shall establish a technically justified operating window and the evidence needed to demonstrate repeatable performance.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

L.1(b) | Source p. 72

The plan shall identify representative test articles, worst-case or bounding conditions, measurement methods, acceptance criteria, sampling rationale and independent review. A supplier's generic capability statement shall not replace a scope-specific qualification.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

L.2 — Excursion and production disposition

L.2(a) | Source p. 72

An excursion outside the approved process window shall identify the affected population from the last demonstrated valid state. The organization shall hold affected outputs and assess the technical consequences using qualified expertise.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

L.2(b) | Source p. 72

Additional inspection may support disposition only when it can detect the relevant effects. If the characteristic is inherently hidden or the inspection is not capable, a favorable inspection shall not erase the excursion. Repair, concession or scrap shall follow authorized technical decisions.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

L.3 — Requalification triggers

L.3(a) | Source p. 72

Triggers shall include relevant changes in material, source, geometry, equipment, software, location, essential parameters, preparation, consumables or inspection method, as well as adverse trends and significant interruption.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

L.3(b) | Source p. 72

A partial requalification shall identify which prior evidence remains valid and why. The approval shall specify effectivity and any initial-production surveillance. Qualification certificates shall not be used beyond the process scope and conditions they actually establish.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

M.1 — Verification-method and acceptance planning

M.1(a) | Source p. 73

The organization shall identify the requirement, method, configuration, conditions, equipment, data, uncertainty, acceptance rule and responsible reviewer for each verification activity. Acceptance and abort criteria shall be defined before execution.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

M.1(b) | Source p. 73

The test basis shall justify environmental profiles and margins using the actual duty, applicable technical requirements and limitations of the test article. This standard does not prescribe a single vibration, shock, fire, thermal-vacuum, EMC or load profile for every product.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

M.2 — Anomalies, retest and evidence exclusion

M.2(a) | Source p. 73

Test anomalies shall be recorded with actual conditions and potential effects on validity. The decision to repeat, modify or exclude a result shall be technically justified and approved. All original results shall remain traceable.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

M.2(b) | Source p. 73

Retesting after a repair or software change shall identify the changed configuration and the extent of regression needed. Repeating only the previously failed check shall not be sufficient when the change can affect other requirements. A pass after uncontrolled tuning shall not be represented as the result of the original plan.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

M.3 — Qualification by similarity and analysis

M.3(a) | Source p. 74

Use of similarity shall identify the reference article, verified evidence, differences and their effects on relevant failure mechanisms. The organization shall demonstrate that the prior evidence bounds the new configuration and conditions.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

M.3(b) | Source p. 74

Analysis-based acceptance shall record the model, assumptions, validation, uncertainty and sensitivity. An independent reviewer shall be able to reproduce material calculations from the retained inputs. Unsupported similarity statements shall remain open evidence gaps.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

N.1 — Digital release card

N.1(a) | Source p. 75

Each assured digital release shall have the fields in Table N-1 or an equivalent linked record. The card shall identify the exact evaluated configuration and the limits of the claim. Missing critical evidence shall block release rather than being masked by a summary score.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

N.1(b) | Source p. 75

The release decision shall address unresolved anomalies, security exposure, compatibility, installation, rollback, support and required independent approval. Subsequent updates shall retain lineage to the prior release.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

N.2 — AI model and dataset cards

N.2(a) | Source p. 75

An AI assurance card shall identify use case, human authority, prohibited uses, operational domain, data lineage, evaluation design, performance criteria and monitoring. Training and test-data provenance shall be sufficiently documented to evaluate representativeness and rights.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

N.2(b) | Source p. 75

The organization shall retain important subgroup and scenario results, uncertainty, known failure modes, drift triggers and fallback evidence. An aggregate accuracy figure shall not replace this evidence.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

N.3 — Acceptance and change-control rules

N.3(a) | Source p. 75

Performance criteria shall be established before final evaluation and linked to consequences. A model shall meet each mandatory criterion for the intended domain; superior performance on one metric shall not compensate for an unacceptable critical failure rate.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

N.3(b) | Source p. 75

A change to model weights, data, preprocessing, threshold, sensor or deployment environment shall trigger an impact assessment. Safety-relevant adaptation outside the approved envelope shall require renewed assurance. The card shall be updated before the changed configuration is released.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

O.1 — Security evidence baseline

O.1(a) | Source p. 77

The organization shall maintain the records in Table O-1 for the relevant scope. Evidence shall be versioned and linked to the product, service or infrastructure configuration. Confidential security information shall have controlled access without losing authorized auditability.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

O.1(b) | Source p. 77

The security review shall identify unresolved dependencies and limitations. A security certification or penetration-test report for a different scope shall not establish assurance of the actual deployed system.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

O.2 — Update release checklist

O.2(a) | Source p. 77

Before update deployment, the organization shall verify the approved build, target compatibility, cryptographic origin/integrity, regression evidence, hazard/security impact and required authorization. The deployment plan shall include interrupted installation and loss-of-power scenarios where relevant.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

0.2(b) | Source p. 77

After installation, the actual version, configuration and protective functions shall be verified. Failed or partial deployment shall remain visible in fleet or asset status. Rollback shall be evaluated for compatibility and vulnerability consequences rather than assumed always safe.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

0.3 — Incident-to-product linkage

0.3(a) | Source p. 77

When an incident could affect engineering data, process programs, test records or released products, the organization shall assess the affected technical population. Cyber response and product-quality response shall share a controlled evidence trail.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

0.3(b) | Source p. 77

Return to operation shall require both operational restoration and justified integrity. The authority making that decision shall understand remaining uncertainty. Unverified records shall not be silently reclassified as authentic because the server has been restored.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

P.1 — Mission assurance baseline

P.1(a) | Source p. 78

The program shall maintain an assurance matrix linking each applicable topic in Table P-1 to requirements, technical basis, evidence, owner and decision gate. Non-applicability shall be justified against the mission concept and interfaces.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

P.1(b) | Source p. 78

The matrix shall be updated for mission extensions, changed orbit or surface environment, alternate launch arrangements, payload changes, software updates and changed end-of-life assumptions. Critical resource margins shall be reconciled with the actual configuration.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

P.2 — Qualification, acceptance and mission readiness

P.2(a) | Source p. 79

The program shall distinguish qualification evidence supporting the design from acceptance evidence supporting an individual flight or mission article. Differences in configuration, workmanship, environment and accumulated exposure shall be assessed.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

P.2(b) | Source p. 79

Before an irreversible mission action, the decision authority shall confirm required evidence, configuration, critical margins, ground readiness, unresolved anomalies and contingency capability. Waivers or deviations shall identify the exact obligation and authorized acceptance; they shall not erase mandatory approvals.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

P.3 — Space-purpose automotive and mobile systems

P.3(a) | Source p. 79

Space-purpose vehicles shall have a requirements basis that addresses actual mission environment and support constraints. Use of automotive components shall include assessment of vacuum, thermal, radiation, dust, lubrication, material compatibility and inaccessible maintenance as relevant.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

P.3(b) | Source p. 79

The vehicle's autonomy, energy and communications shall be evaluated as a coupled mission system. A terrestrial road test may provide useful evidence for a specific mechanism but shall not be represented as complete space qualification. The evidence matrix shall state what transfers and what does not.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

P.4 — End-of-life and mission-extension decision record

P.4(a) | Source p. 79

A mission-extension record shall identify current condition, remaining resources, updated environment, changed obligations, failure trends and disposal feasibility. It shall show that continued operation does not silently consume reserves required for a mandatory end-of-life action.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

P.4(b) | Source p. 79

Disposal or retirement evidence shall be retained with configuration and uncertainty. Where direct observation is unavailable, the organization shall identify the inference method and limitations rather than claiming unobserved success as verified.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Q.1 — Aviation responsibility matrix

Q.1(a) | Source p. 80

The organization shall identify its role in design, production, installation, maintenance, operation or support and the relevant approval interfaces. Table Q-1 shall be completed for each applicable product or service family.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Q.1(b) | Source p. 80

Where another entity holds the approval, the organization shall identify the obligations assigned to it and the evidence to be supplied. An assumption that the customer “handles certification” shall not leave technical responsibilities unassigned.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Q.2 — Installation and modification acceptance

Q.2(a) | Source p. 80

Installation acceptance shall verify the actual physical and digital configuration, affected interfaces, relevant operating modes and required documentation. Design changes shall include installation, maintenance and operator-information effects.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Q.2(b) | Source p. 80

The organization shall assess whether prior qualification remains representative. Approval for a component or a different installation shall not be carried forward without a justified applicability analysis.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Q.3 — Operational and maintenance handover

Q.3(a) | Source p. 80

Handover shall identify approved operating limits, maintenance requirements, life-limited items, software status, open restrictions and emergency information. The receiving organization shall acknowledge information necessary for its assigned responsibility.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Q.3(b) | Source p. 80

Where a remote or distributed service supports flight or maintenance, loss of that service shall be included in contingency validation. The handover shall preserve the ability to identify and support the actual deployed configuration.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

R.1 — Defense program dossier

R.1(a) | Source p. 81

The organization shall connect contract obligations, technical requirements, controlled-information duties and lifecycle support to named authorities and records. All relevant platform domains and interfaces shall be included.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

R.1(b) | Source p. 81

The assurance dossier shall distinguish technical acceptance, contractual acceptance, security authorization and any required operational approval. One decision shall not be represented as satisfying all four unless the responsible authorities explicitly establish that scope.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

R.2 — Mission-vehicle integration review

R.2(a) | Source p. 81

For a modified automotive platform, the review shall identify changes in mass distribution, power demand, thermal behavior, structural interfaces, visibility, operator tasks and service access. Program-specific limits and validation shall be established by competent technical authorities.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

R.2(b) | Source p. 81

Any road-use approval, mission qualification and customer acceptance shall be tracked separately. A vehicle shall not be claimed suitable for every jurisdiction, terrain or mission on the basis of an AF system assessment.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

R.3 — Controlled evidence access and independent review

R.3(a) | Source p. 81

Where information is restricted, the program shall appoint suitably authorized and competent reviewers and define what evidence may be released. An assessment summary shall identify limitations without disclosing protected technical details.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

R.3(b) | Source p. 81

Independence shall not be abandoned because the program is sensitive. The organization shall establish an authorized challenge path and retain the decision basis in the permitted secure environment.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

R.4 — Support and configuration reconciliation

R.4(a) | Source p. 81

Field modifications, replacement parts, cannibalization, software updates and repairs shall be reconciled with the configuration record. Support decisions shall use actual life and condition history.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

R.4(b) | Source p. 81

When evidence is missing, the organization shall record uncertainty and obtain an authorized disposition. A component moved to a new platform shall not inherit an unsupported zero-life or fully qualified status.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

S.1 — Asset and code basis
S.1(a) | Source p. 82

The organization shall identify the asset boundary, duty, design assumptions, applicable codes, inspection requirements and authorization responsibilities. Changes in intended duty shall be evaluated against the retained design and integrity basis.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

S.1(b) | Source p. 82

Where legacy evidence is incomplete, the organization shall establish a competent assessment plan rather than asserting compliance from continued operation. The plan shall address inaccessible or hidden conditions that can affect integrity.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

S.2 — Commissioning record and punch-list controls
S.2(a) | Source p. 82

The commissioning record shall distinguish incomplete construction, failed test criteria, deferred non-critical work and operational restrictions. Each open item shall have an owner, technical consequence, dependent activity and closure evidence.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

S.2(b) | Source p. 82

Items affecting safety, statutory acceptance or a mandatory performance criterion shall not be deferred merely by changing their priority code. Conditional handover shall state exactly what may operate and under which controls.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

S.3 — Integrity assessment and inspection capability

S.3(a) | Source p. 82

Inspection methods shall be suitable for the actual degradation mechanism and access condition. Findings shall be interpreted by competent personnel against the applicable technical basis, with uncertainty and limitations stated.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

S.3(b) | Source p. 82

Condition-based maintenance shall not remove a required inspection unless the applicable approval process permits it and the alternative is justified. Monitoring systems shall be checked for sensor health, data integrity and ability to detect the relevant failure mechanism.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

T.1 — Service capability record

T.1(a) | Source p. 83

The service organization shall define its scope, authorized tasks, facilities, people, tools, current data, required parts and release authority. New capability shall be approved only after the actual resources and methods are demonstrated.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

T.1(b) | Source p. 83

The record shall identify legal or customer authorizations separately from AF conformity. A broad corporate scope shall not imply authorization of every mechanic, location or repair method.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

T.2 — Unknown history and unauthorized parts

T.2(a) | Source p. 83

Unknown service history, missing life data or unclear source shall be recorded and assessed. The organization shall not reset life or infer eligibility solely from appearance, a successful bench test or an unverifiable certificate.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

T.2(b) | Source p. 83

Suspected unapproved or counterfeit parts shall be isolated, investigated and dispositioned under controlled procedures. Removed parts shall retain identity and status so that scrap or restricted items cannot be mistaken for serviceable stock.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

T.4 — Release and continuing support

T.4(a) | Source p. 84

Service release shall identify the exact work performed, evidence, limitations, life status and authorized person. A maintenance release shall not imply approval of unrelated systems or a complete vehicle unless that scope was actually assessed and authorized.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

T.4(b) | Source p. 84

After release, newly discovered issues affecting the service action shall be investigated and communicated to affected recipients. Records shall support population identification even when work occurred at temporary or customer locations.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

V.1 — Assessment planning and evidence sampling

V.1(a) | Source p. 87

The assessor shall establish the object, scope, applicable requirements, sites, functions, products, periods and authorized evidence access. Sampling shall consider criticality, changes, poor performance, process diversity and potential systemic failure. Sample limitations shall be recorded and shall constrain the resulting claim.

Scope and route; approved plan; sample rationale; combined evidence; actual limits and access.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

V.1(b) | Source p. 87

Assessment shall combine documented arrangements, interviews, observed work and retained results. The reviewer shall test whether records agree across the lifecycle. A completed questionnaire, certificate or policy statement alone shall not demonstrate implementation.

Scope and route; approved plan; sample rationale; combined evidence; actual limits and access.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

V.1(c) | Source p. 87

Organizational evaluation time and coverage shall follow Annex AC. The selected object route shall additionally follow Annex AA, and the actual decision shall follow Annex AD. Confidential evidence shall remain accessible to suitably authorized reviewers; unresolved absence of necessary evidence blocks the dependent conclusion.

Scope and route; approved plan; sample rationale; combined evidence; actual limits and access.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

V.2 — Findings and requirement-level conclusions

V.2(a) | Source p. 87

Each finding shall identify the exact requirement, objective evidence, affected scope and gap. Classification shall follow Annex AD. A technical release hold shall be applied where needed irrespective of an administrative grade. Opportunities for improvement shall not conceal nonconformities.

Requirement-level findings; classification; technical holds; evaluated applicability; clear conclusion. For Annex N, only N.1–N.3 and their required record tables are normative; the numerical worked examples are informative. For Annex AJ, required record fields and controls are normative, while filled sample values are informative.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

V.2(b) | Source p. 87

The conclusion shall state conforming, nonconforming, not applicable with approved rationale or not yet demonstrated for each relevant requirement. Aggregate scores shall not offset missing mandatory evidence. The final decision shall identify unresolved issues and the precise scope that the evidence can support.

Requirement-level findings; classification; technical holds; evaluated applicability; clear conclusion. For Annex N, only N.1–N.3 and their required record tables are normative; the numerical worked examples are informative. For Annex AJ, required record fields and controls are normative, while filled sample values are informative.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

V.3 — Integrated audit trail and sample expansion

V.3(a) | Source p. 95

An assessor may select a delivered serial, service event or task authorization and trace it backward through release, requirements, configuration, process, competent performer, measurement and external source. The assessor shall then trace relevant changes, field issues or complaints forward through population identification and corrective action.

Complete backward/forward trail; consistency checks; expanded samples; evaluated population limitations.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

V.3(b) | Source p. 95

When records disagree, the assessor shall expand the trail according to the potential extent and consequence. One successfully traced item does not verify the whole population. An apparent completeness score shall not conceal absent actual measurements, unverified qualifications or unresolved configuration changes.

Complete backward/forward trail; consistency checks; expanded samples; evaluated population limitations.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

W.1 — Required corrective-action sequence

W.1(a) | Source p. 96

The organization shall record the detected issue, protect affected outputs, determine the extent, preserve evidence, establish causes, implement actions and verify effectiveness. The response shall address both the occurrence of the defect and the failure of controls to prevent escape.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

W.1(b) | Source p. 96

Closure shall not be based solely on training attendance, a revised procedure or the action owner's statement. The organization shall define evidence showing that causes were addressed and controls remain effective under representative conditions.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

W.3 — Recurrence and ineffective action

W.3(a) | Source p. 97

Recurrence or failure of an effectiveness check shall reopen the analysis and trigger review of related assumptions, resource decisions and management controls. A new due date alone shall not be treated as corrective action.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

W.3(b) | Source p. 97

The organization shall identify whether earlier closures relied on inadequate evidence, narrow population scope or untested human-factor assumptions. Lessons shall be incorporated into new-program and change reviews.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Y.1 — Publication identity and controlled edition

Y.1(a) | Source p. 99

The publication identifier shall be AF 9100:2026 and the edition label First Edition. The publication date is 29 September 2026. The publisher designation shall be Aerospace Federation. The full identifier shall be used in conformity statements so that the AF publication cannot be confused with an unrelated document.

Publication master; edition metadata; controlled copies; accurate extracts and recognition statements.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Y.1(b) | Source p. 99

AF is an AF publication-series designation. It shall not be interpreted as adoption by a regional standards system or a claim of regulatory endorsement. Any separate recognition arrangement shall identify its actual parties, scope, date and conditions without altering the meaning of this publication.

Publication master; edition metadata; controlled copies; accurate extracts and recognition statements.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Y.1(c) | Source p. 99

Controlled distribution shall preserve the approved text, tables, equations, figures, annex status and edition metadata. Uncontrolled extracts shall be identified as extracts and shall not be presented as the complete requirement set.

Publication master; edition metadata; controlled copies; accurate extracts and recognition statements.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Y.2 — Interpretation requests and technical resolution

Y.2(a) | Source p. 99

A request for interpretation shall identify the exact provision, application context, ambiguity, conflicting readings, proposed consequence and relevant evidence. AF shall assign competent reviewers and check conflicts before issuing a controlled response.

Interpretation request; technical review; controlled response; implementation-impact record.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Y.2(b) | Source p. 99

An interpretation may explain an existing requirement but shall not silently create a new obligation, relax a minimum or validate previously missing technical evidence. A material requirement change shall use the amendment process. Where a safe interpretation cannot be established, the affected dependent decision shall remain held or bounded by a lawful technical restriction.

Interpretation request; technical review; controlled response; implementation-impact record.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Y.2(c) | Source p. 99

Issued interpretations shall have unique identifiers, dates, applicable clauses, rationale and approval records. Parties using the standard shall assess their effect on current profiles, procedures and claims and preserve the resulting decisions.

Interpretation request; technical review; controlled response; implementation-impact record.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Y.3 — Corrections and amendments

Y.3(a) | Source p. 99

An editorial correction shall identify its exact location and show that it does not change technical intent. Changes to requirements, decision rules, thresholds, scope, validity or essential competence shall be treated as technical amendments, not hidden editorial corrections.

Correction/amendment record; technical and consistency reviews; comment log and dispositions; actual adoption and effectivity.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Y.3(b) | Source p. 99

A technical amendment shall include a change rationale, affected clauses and annexes, cross-clause consistency review, relevant technical and mathematical checks, implementation impact and defined effectivity. Substantive changes shall undergo at least 60 calendar days of public comment before final adoption. Comments and dissent shall receive recorded dispositions.

Correction/amendment record; technical and consistency reviews; comment log and dispositions; actual adoption and effectivity.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Y.3(c) | Source p. 99

Urgent safety information may communicate a protective concern and necessary interim measures, but shall be identified separately and shall not silently rewrite this edition. The subsequent amendment shall follow the controlled technical process.

Correction/amendment record; technical and consistency reviews; comment log and dispositions; actual adoption and effectivity.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Y.4 — Numbering, translations and technical fidelity

Y.4(a) | Source p. 99

AF shall maintain unique clause, table, figure, equation and form identifiers. Renumbering shall preserve a traceable correspondence and shall not invalidate historical evidence references. Cross-references shall resolve to actual provisions and shall identify whether the cited content is normative or informative.

Numbering and correspondence register; translation review; technical layout verification; controlled accessible copies.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Y.4(b) | Source p. 99

An authorized translation shall preserve technical meaning, normative verbs, mathematical notation, units, definitions and decision logic. Ambiguities shall be escalated rather than resolved through unrecorded local interpretation. The English text is the reference edition for this publication; any authorized translation shall state its relationship and issue identity.

Numbering and correspondence register; translation review; technical layout verification; controlled accessible copies.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Y.4(c) | Source p. 99

Reformatted accessible copies may be issued where the complete content and relationships are preserved. Layout changes shall not alter tables, mathematical signs, figure labels or the association between a requirement and its exceptions.

Numbering and correspondence register; translation review; technical layout verification; controlled accessible copies.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Y.5 — Rights, marks and honest publication claims

Y.5(a) | Source p. 99

Rights and permissions for reproduction, licensed use and AF marks shall be administered by the responsible rights holder through explicit terms. A copy of the standard shall not itself confer authority to certify, accredit, represent AF or use its marks.

Actual permissions; mark controls; evidenced recognition claims; corrected misleading statements.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Y.5(b) | Source p. 99

Publication status shall be distinguished from independent technical validation, regulatory approval and recognition by another party. Claims about completed evaluation or recognition shall require actual supporting records. Adoption of the document by an organization shall not be described as adoption by the whole sector.

Actual permissions; mark controls; evidenced recognition claims; corrected misleading statements.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Y.5(c) | Source p. 99

The publisher and scheme operators shall correct misleading publication or recognition statements when identified and shall preserve the record of the correction. No external endorsement shall be inferred from the similarity of a publication number, a technical term or the use of familiar assurance methods.

Actual permissions; mark controls; evidenced recognition claims; corrected misleading statements.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Y.6 — Periodic review and maintenance record

Y.6(a) | Source p. 100

AF shall review the continued suitability of the edition at least every three years and sooner where significant safety evidence, technology, feedback or implementation inconsistency warrants. A review shall consider technical coverage, decision consistency, proportionality and effectiveness of the scheme.

Review program; technical feedback; controlled maintenance log; actual effective versions.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Y.6(b) | Source p. 100

The maintenance record shall distinguish proposals, approved changes, editorial corrections, interpretations and superseded content. A future proposal does not modify the current edition before its actual approved effectivity. Holders shall retain the basis used for each historical decision.

Review program; technical feedback; controlled maintenance log; actual effective versions.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AA.1 — Object selection and the scope tuple

AA.1(a) | Source p. 103

Before accepting an application, the scheme operator shall select one or more routes from Table AA-1. Each route shall have a separate evaluation boundary and conclusion. A combined assessment may share relevant evidence, but shall not merge different conformity objects into an ambiguous certificate.

Application review; selected routes; completed scope tuple; responsibility and applicability matrix.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AA.1(b) | Source p. 103

The scope tuple shall identify object type; applicant and responsible legal entity; product, service, process, person or provider identity; sites and remote functions; configuration or role version; lifecycle responsibilities; criticality; technical modules; application profile; evaluated period; and exclusions or restrictions. Empty fields shall be justified rather than omitted silently.

Application review; selected routes; completed scope tuple; responsibility and applicability matrix.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AA.2 — Application profile requirements

AA.2(a) | Source p. 103

The profile shall define the evaluated object, version, intended use, operating or task domain, characteristics or competences, acceptance criteria, methods, samples, uncertainty or scoring rules, required evidence, critical failures, surveillance and change triggers. The technical profile owner shall be identified and competent to approve those criteria.

Approved profile with technical criteria; method and decision matrix; critical-failure list; profile change history.

STATE

EVIDENCE / APPROVED N/A BASIS

REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AA.2(b) | Source p. 103

A PRD profile shall state relevant performance, environmental, safety, interface and life criteria. A SVC profile shall state delivery outcomes and observation windows. A PRC profile shall state essential variables and qualified ranges. A PER profile shall state tasks, prerequisites, knowledge and practical demonstration. SUB and CAB profiles shall state the actual work or assessment capability.

Approved profile with technical criteria; method and decision matrix; critical-failure list; profile change history.

STATE

EVIDENCE / APPROVED N/A BASIS

REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AA.2(c) | Source p. 103

The profile shall be approved before evaluation. It may add requirements but shall not waive AF minima or mandatory obligations. Where methods or limits are missing, the application shall be held until competent technical definition is available; broad references to “good quality” or “all aerospace uses” are not adequate criteria.

Approved profile with technical criteria; method and decision matrix; critical-failure list; profile change history.

STATE

EVIDENCE / APPROVED N/A BASIS

REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AA.3 — Evaluation sequence and admission controls

AA.3(a) | Source p. 104

The operator shall review eligibility, scope, competence resources, impartiality, evidence access and evaluation feasibility before contracting. It shall agree the profile and explain fees independently of outcome. An application shall not be accepted for a scope the operator cannot competently assess.

Admission decision; contract; approved evaluation plan; readiness evidence; evaluation results and independent review.

STATE

EVIDENCE / APPROVED N/A BASIS

REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AA.3(b) | Source p. 104

The evaluation shall establish readiness, verify implementation or technical performance, record findings, verify correction and submit the complete evidence for independent review. ORG evaluation shall include readiness and implementation stages. Other routes shall use object-appropriate stages without imposing an organizational audit on an individual candidate.

Admission decision; contract; approved evaluation plan; readiness evidence; evaluation results and independent review.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AA.3(c) | Source p. 104

For an initial ORG assessment, the applicant shall have completed an internal audit covering the applicable scope and a management review, with sufficient implemented records to show operation. A new organization may be assessed when adequate actual evidence exists; artificial backdated records or a fixed unsubstantiated history shall not be requested or accepted.

Admission decision; contract; approved evaluation plan; readiness evidence; evaluation results and independent review.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AA.4 — Evaluation evidence by route

AA.4(a) | Source p. 104

For PRD, evaluation shall verify product identity, representative qualification and applicable unit or lot evidence. For an ongoing family claim it shall also verify that manufacturing and change controls maintain the evaluated properties. A one-time sample test shall not support indefinite production claims.

Route-specific results; representative work; witnessed evidence; limits of reused or sample evidence.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AA.4(b) | Source p. 104

For SVC and PRC, evaluation shall include actual delivery or witnessed execution under representative conditions. For PER, it shall include verified identity, prerequisites and the required knowledge and practical assessments. For SUB, it shall examine the actual performer and supplied scope, not merely a purchasing intermediary.

Route-specific results; representative work; witnessed evidence; limits of reused or sample evidence.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AA.4(c) | Source p. 104

For CAB, evaluation shall cover the technical methods and decisions the body intends to perform, including representative witnessed activities. A general quality audit without technical witnessing and competence evidence shall not be treated as a completed CAB route.

Route-specific results; representative work; witnessed evidence; limits of reused or sample evidence.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AA.5 — Independent review, decision and permitted outcomes

AA.5(a) | Source p. 104

The independent reviewer shall confirm scope completeness, criteria validity, evaluator competence, method suitability, adequate evidence, findings and closure. A reviewer shall return an incomplete dossier rather than infer missing results. Technical disagreements shall be recorded and resolved through competent authority.

Independent review checklist; reasoned decision; finding closure; precise scope and actual decision date.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AA.5(b) | Source p. 104

The authorized decision shall grant, refuse, maintain, restrict, suspend, restore, renew or withdraw a defined attestation. Initial grant, renewal and extension require closure of all nonconformities in the granted scope under Annex AD. A refusal shall identify the relevant unmet conditions without implying that unrelated scopes were evaluated.

Independent review checklist; reasoned decision; finding closure; precise scope and actual decision date.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AA.5(c) | Source p. 104

An applicant may correct deficiencies and reapply with actual evidence. The operator shall control repeat evaluations and configuration changes so that rejected results are not discarded. Payment, membership or seniority shall not determine the outcome.

Independent review checklist; reasoned decision; finding closure; precise scope and actual decision date.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AA.6 — Attestation content and separate claims

AA.6(a) | Source p. 104

An attestation shall contain a unique identifier, issuer, applicant or holder identity, full publication identifier, First Edition, route, application-profile ID and revision, evaluated scope and sites, configuration or role, decision and issue dates, applicable expiry or instance boundary, restrictions, status-verification method and authorized signatory.

Issued statement; separate route conclusions; mark permission; status record; accurate self-declaration labeling.

STATE

EVIDENCE / APPROVED N/A BASIS

REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AA.6(b) | Source p. 104

Multiple routes may be presented in one document only where the separate route, criteria, evaluation, decision and status are clear for each object. Suspension of one route shall not be concealed by the continued validity of another. Product markings shall be controlled separately from organizational publicity.

Issued statement; separate route conclusions; mark permission; status record; accurate self-declaration labeling.

STATE

EVIDENCE / APPROVED N/A BASIS

REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AA.6(c) | Source p. 104

A supplier's own declaration shall be labeled as a self-declaration. A customer's assessment shall be labeled as such. Neither shall be represented as an independent AF-authorized attestation unless that independent process and authorization actually exist.

Issued statement; separate route conclusions; mark permission; status record; accurate self-declaration labeling.

STATE

EVIDENCE / APPROVED N/A BASIS

REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AA.7 — Scheme ownership, authorization and changes

AA.7(a) | Source p. 105

AF shall control the published AF rule set and written permissions to operate its scheme or use its marks. The operator shall retain responsibility for its evaluations and decisions within the granted scope. The applicant shall retain responsibility for its products, services and representations.

Scheme governance; actual written operator authorization; authorized scope; controlled changes.

STATE

EVIDENCE / APPROVED N/A BASIS

REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AA.7(b) | Source p. 105

A scheme operator shall not expand its authorized sector, object or technical scope without the required competence evaluation and written approval. Scheme changes shall follow Annex Y; changes to individual attestations shall follow Annex AG. An AF designation does not establish governmental delegation or recognition in another scheme.

Scheme governance; actual written operator authorization; authorized scope; controlled changes.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT
Gap / required action / continuation record: 		

AB.1 — Role definition and competence domains
AB.1(a) | Source p. 106

The provider shall define competence separately for auditor, lead auditor, technical expert, application reviewer, technical reviewer, decision maker and appeal reviewer. Authorization shall state the routes, sectors, methods, criticality limits, languages and any supervision requirements. One role shall not automatically confer the others.

Role competence profiles; sector and method criteria; authorization limits; assigned technical coverage.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT
Gap / required action / continuation record: 		

AB.1(b) | Source p. 106

Required competence shall include interpreting AF requirements and application profiles; process and lifecycle understanding; evidence integrity; sampling; measurement and statistical limitations; configuration and traceability; risk and criticality; human factors; ethics; interview and observation; reporting; finding classification; and recognition of work beyond personal competence.

Role competence profiles; sector and method criteria; authorization limits; assigned technical coverage.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT
Gap / required action / continuation record: 		

AB.1(c) | Source p. 106

Domain-specific competence shall cover the hazards, materials, technologies, operational conditions and approval interfaces relevant to the assignment. For C2 or C3 work, the team shall include a verified technical specialist with relevant recent practice or demonstrated equivalent current competence. Merely adding a specialist's name to the plan shall not satisfy actual participation.

Role competence profiles; sector and method criteria; authorization limits; assigned technical coverage.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT
Gap / required action / continuation record: 		

AB.2 — Knowledge examination and practical evaluation

AB.2(a) | Source p. 106

A third-party auditor shall achieve at least 80% in a controlled written examination covering AF interpretation, evidence, scope, findings and decisions, and at least 85% in the practical assessment. Every predefined essential safety, integrity and independence step shall be passed. A high total shall not compensate for falsified evidence, unsupported critical acceptance or failure to escalate an essential hold.

Examination blueprint; secured questions; scores; essential-step results; practical observations; authorization decision.

STATE

EVIDENCE / APPROVED N/A BASIS

REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AB.2(b) | Source p. 106

The practical assessment shall include planning, interviews, observation, sampling, tracing actual or controlled simulated evidence, writing findings and presenting a reasoned conclusion. Competence evaluators shall record observed strengths, deficiencies and authorization limits. Assessment shall be independently reviewed before authorization.

Examination blueprint; secured questions; scores; essential-step results; practical observations; authorization decision.

STATE

EVIDENCE / APPROVED N/A BASIS

REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AB.2(c) | Source p. 106

Assessment questions and case criteria shall be mapped to the competence profile, technically reviewed, secured and periodically evaluated for validity. Reassessment following failure shall use corrected competence and an equivalent controlled assessment, not memorized answers to an unchanged disclosed case.

Examination blueprint; secured questions; scores; essential-step results; practical observations; authorization decision.

STATE

EVIDENCE / APPROVED N/A BASIS

REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AB.3 — Experience equivalence and initial assessor development

AB.3(a) | Source p. 107

An experience-equivalence route may recognize comparable prior professional audit or technical practice where identity, scope, dates, duration, role and performance are verified. It shall not waive the AF knowledge assessment, witnessed practical demonstration, impartiality or essential competence requirements.

Verified experience log; equivalence matrix; independent panel competence; witnessed demonstration; remaining restrictions.

STATE

EVIDENCE / APPROVED N/A BASIS

REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AB.3(b) | Source p. 107

For the initial development of an AF assessor population, a panel of at least two independent competent professionals shall evaluate each candidate against this annex. Their own relevant technical and assessment competence shall be documented. Reciprocal self-approval, honorary appointments and automatic recognition based on membership shall not be accepted.

Verified experience log; equivalence matrix; independent panel competence; witnessed demonstration; remaining restrictions.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AB.3(c) | Source p. 107

The equivalence record shall identify each criterion satisfied by prior evidence, each remaining gap, the evaluated scope and the reason for the final decision. Unknown or unverifiable audit logs shall not be counted toward the required mentored experience.

Verified experience log; equivalence matrix; independent panel competence; witnessed demonstration; remaining restrictions.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AB.4 — Assignment and technical coverage

AB.4(a) | Source p. 107

Before each assignment, the provider shall verify role authorization, current competence, sector and criticality coverage, language, methods, physical or remote access and independence. The team shall be able to evaluate each relevant critical process and technical interface; no individual is presumed competent in all sectors covered by this standard.

Assignment review; team coverage matrix; specialist work record; access and conflict checks; disagreement resolution.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AB.4(b) | Source p. 107

A technical expert shall work within a defined assignment and communicate evidence and limitations to the auditor and reviewer. The lead auditor shall integrate the result without overruling a specialist on a technical matter outside the lead auditor's competence. Unresolved disagreement shall be escalated and recorded.

Assignment review; team coverage matrix; specialist work record; access and conflict checks; disagreement resolution.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AB.4(c) | Source p. 107

Classified or otherwise controlled work shall be assigned only to appropriately authorized personnel. Lack of permitted access or competence shall lead to resourcing changes, scope restriction or refusal, not acceptance on the strength of an unsupported management statement.

Assignment review; team coverage matrix; specialist work record; access and conflict checks; disagreement resolution.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AB.5 — Impartiality and incompatible activities

AB.5(a) | Source p. 107

For third-party evaluation, review and decision, personnel shall not be assigned to a client for which they provided relevant consultancy or held employment within the preceding 24 months. The provider shall also evaluate ownership, financial dependence, family or close relationships and other conflicts that may remain after that period.

Conflict declarations; prior-work screening; compensation controls; reassignment decisions; internal independence arrangements.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AB.5(b) | Source p. 107

The 24-month rule is not an internal-audit ban on employees. Internal auditors shall instead be independent of the work they evaluate, with suitable reassignment or external support where separation is not feasible. A product release reviewer may be internal, subject to the technical independence required by Annex B.

Conflict declarations; prior-work screening; compensation controls; reassignment decisions; internal independence arrangements.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AB.5(c) | Source p. 107

An evaluator shall not promise a favorable decision, design the corrective action they will independently certify, accept outcome-linked compensation or suppress evidence at the applicant's request. General explanation of a requirement is permitted; client-specific system design that undermines independence is not.

Conflict declarations; prior-work screening; compensation controls; reassignment decisions; internal independence arrangements.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AB.6 — Continuing authorization and observed performance

AB.6(a) | Source p. 107

All authorized assessment-role personnel shall complete at least 16 hours of relevant continuing professional development in each 12-month period. Independent auditors shall additionally perform at least four auditor-days across at least two assignments in that period. A lead auditor shall lead at least two complete assignments in each 24-month period.

Development and activity logs; witnessed reviews; report-quality checks; ongoing role authorizations.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AB.6(b) | Source p. 107

Reviewers and decision makers shall complete at least three substantive file reviews or decisions in each 12-month period. Technical experts shall demonstrate current relevant practice and review changes affecting their technical scope. Providers shall assess performance using witnessed work, report quality, decisions, complaints and recurrence of errors.

Development and activity logs; witnessed reviews; report-quality checks; ongoing role authorizations.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AB.6(c) | Source p. 107

An independent auditor shall undergo a witnessed performance review at least once every 24 months. More frequent observation shall be required for a new sector, C2/C3 expansion, significant adverse evidence or deficient performance. Training hours shall not substitute for the required observed competence.

Development and activity logs; witnessed reviews; report-quality checks; ongoing role authorizations.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AB.7 — Inactivity, restriction and reactivation

AB.7(a) | Source p. 107

When the applicable activity minimum is not met, independent authorization for that role shall be suspended until a competence review and supervised reactivation demonstrate current capability. After more than 12 months without relevant audit practice, an auditor shall complete updated AF learning and a satisfactory witnessed assignment before independent work resumes.

Restriction and inactivity records; reactivation plan; witnessed results; prior-work assessment; restored scope.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AB.7(b) | Source p. 107

A serious competence or integrity concern shall trigger immediate assessment of the authorization and earlier affected work. Reinstatement shall require evidence proportionate to the cause, including reassessment where necessary. The original authorization expiry shall not be extended merely by restoration.

Restriction and inactivity records; reactivation plan; witnessed results; prior-work assessment; restored scope.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AB.7(c) | Source p. 107

Changes to the standard, sector technology, methods or legal access shall trigger targeted updates. An assessor shall decline tasks outside their authorization and request appropriate technical support. Automated tools may support work but shall not replace the accountable human evaluator or decision maker.

Restriction and inactivity records; reactivation plan; witnessed results; prior-work assessment; restored scope.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AB.8 — Competence dossier and approval record

AB.8(a) | Source p. 108

The provider shall retain the role profile, verified experience, training, examination and practical results, mentored assignments, competence decisions, technical scope, witnessed performance, development, conflicts and status history. The record shall identify who evaluated, reviewed and authorized each role.

Complete competence dossier; role and scope register; approval identity; current and historical restrictions.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AB.8(b) | Source p. 108

Certificates or authorization letters shall disclose limitations and shall not imply that a person can audit every AF sector. Evidence of technical competence may be confidential, but the provider shall retain sufficient authorized access to substantiate assignments and respond to complaints.

Complete competence dossier; role and scope register; approval identity; current and historical restrictions.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AC.1 — Planning inputs and effective personnel

AC.1(a) | Source p. 109

The plan shall identify sites, shifts, functions, product and service families, technical modules, criticality, languages, external work, past performance, changes and access conditions. The provider shall review scope before determining time, rather than deriving scope from a fee quotation.

Scope and staffing basis; FTE calculation; sites and shifts; critical-role coverage; planning rationale.

STATE

EVIDENCE / APPROVED N/A BASIS

REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AC.1(b) | Source p. 109

Effective personnel N shall include employees and externally provided people whose work falls within the assessed organizational scope, including relevant temporary and seasonal staff. Part-time work may be converted using documented full-time-equivalent hours; each unique critical role shall nevertheless count as at least one person. Peak relevant staffing and actual shift diversity shall be considered. After the FTE calculation, N shall be rounded upward to the next whole person, with a minimum of one, before selecting the Table AC-1 band.

Scope and staffing basis; FTE calculation; sites and shifts; critical-role coverage; planning rationale.

STATE

EVIDENCE / APPROVED N/A BASIS

REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AC.1(c) | Source p. 109

Personnel shall not be excluded solely because they work remotely, are employed by an agency or support production indirectly. The provider shall document any consolidation of equivalent roles and shall avoid counting the same shared-service staff more than once.

Scope and staffing basis; FTE calculation; sites and shifts; critical-role coverage; planning rationale.

STATE

EVIDENCE / APPROVED N/A BASIS

REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AC.2 — Criticality, complexity and site modifiers

AC.2(a) | Source p. 109

The multiplier K shall use the highest relevant criticality in the assessed scope: C0 = 1.00; C1 = 1.15; C2 = 1.35; C3 = 1.60. Where genuinely separate technical scopes are evaluated independently, their separate time allocations shall be recorded; a critical function shall not be diluted by averaging personnel across lower-criticality work.

Criticality selection; triggered complexity factors; site and shift additions; additional-resource decisions.

STATE

EVIDENCE / APPROVED N/A BASIS

REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AC.2(b) | Source p. 109

The additive complexity factor f shall include 0.15 for special-process qualification in scope, 0.15 for assured software/AI or digitally controlled acceptance, and 0.15 for materially novel technology without representative operating history. These are distinct triggers; a trigger shall be counted once. Other complexity requiring more time shall be added through a documented plan adjustment.

Criticality selection; triggered complexity factors; site and shift additions; additional-resource decisions.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AC.2(c) Let S_v be the number of physical sites to be visited, with a minimum value of one for calculation. Let H be the number of additional materially different operating shifts requiring separate observation beyond the primary shift. The site/shift addition is $0.5(S_v - 1) + 0.5H$ auditor-days. This addition does not remove the coverage floor in AC.3.

Reference or explanatory condition: use for interpretation; this row is not a newly invented pass threshold.

AC.3 — Total time, stages and exclusions

AC.3(a) | Source p. 109

Initial evaluation time T shall be at least T_{calc} and at least one auditor-day per visited physical site, with additional time for the central function and remote activities where needed. For a wholly digital single-location organization, the physical-site floor shall be treated as one evaluation location, not an obligation to invent a physical visit.

Time calculation; stage allocation; site/shift schedule; productive-time records; separate review and decision resources.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AC.3(b) | Source p. 109

Readiness-stage time T_1 shall be at least 0.5 auditor-day and the upward half-day rounding of 25% of T . Implementation-stage time T_2 shall be the remainder and at least 1.5 auditor-days. If these minima cannot both be met, total time shall be increased. Readiness shall verify scope, documents, internal evaluation, implemented evidence and readiness for technical examination.

Time calculation; stage allocation; site/shift schedule; productive-time records; separate review and decision resources.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AC.3(c) | Source p. 109

Travel, meal breaks, commercial administration, final report production, interpretation delays, independent review and decision time shall not count as evaluation time. Trainees and observers shall not be counted as fully productive auditors. Separate technical expert time shall be counted only for the actual evaluation task and not double-counted against simultaneous auditor activity on the same task.

Time calculation; stage allocation; site/shift schedule; productive-time records; separate review and decision resources.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AC.4 — Surveillance and renewal time

AC.4(a) | Source p. 110

For the current scope, the operator shall recalculate the initial time T when material scope or risk changes. Each surveillance evaluation shall use at least half of T, rounded upward to a half-day, and at least one auditor-day. Renewal shall use at least three quarters of T, rounded upward to a half-day, and at least two auditor-days.

Current T calculation; surveillance and renewal schedules; required-site coverage; added follow-up time.

STATE

EVIDENCE / APPROVED N/A BASIS

REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AC.4(b) | Source p. 110

The site coverage and critical-control requirements remain additional floors. The provider shall increase time where these percentages cannot cover required sites, shifts, technical processes or unresolved concerns. No reduction shall be granted merely for AF membership, another certificate, a low fee or long customer history.

Current T calculation; surveillance and renewal schedules; required-site coverage; added follow-up time.

STATE

EVIDENCE / APPROVED N/A BASIS

REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AC.4(c) | Source p. 110

Frequency is governed by Annex AG. Time allocated to one surveillance visit shall not be borrowed from a future visit to cover a missed required activity. Extra follow-up to verify nonconformity closure shall be planned according to the nature of the issue.

Current T calculation; surveillance and renewal schedules; required-site coverage; added follow-up time.

STATE

EVIDENCE / APPROVED N/A BASIS

REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AC.5 — Multisite coverage and controlled sampling

AC.5(a) | Source p. 110

Every physical site included in an initial or renewal ORG scope shall be evaluated. The central management function, shared critical activities and remote functions shall also be covered. Site selection shall consider actual processes rather than addresses alone; a legal address with no operational activity shall not be represented as a production site.

Eligibility analysis; site pool; random and risk selection; rotation history; expanded sampling and systemic review.

STATE

EVIDENCE / APPROVED N/A BASIS

REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AC.5(b) | Source p. 110

For surveillance only, homogeneous C0/C1 sites under one centrally controlled system may be sampled when equivalent activities, methods and controls are demonstrated. From S eligible sites, at least $m = \max(\text{ceil}(\sqrt{S}), \text{ceil}(S/2))$ shall be evaluated at each annual surveillance. Selection shall rotate to cover all eligible sites within 24 months. At least one quarter of selected sites, rounded upward, shall be chosen randomly; the remainder shall be risk-selected.

Eligibility analysis; site pool; random and risk selection; rotation history; expanded sampling and systemic review.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AC.5(c) | Source p. 110

C2/C3 sites, unique activities, materially different processes, sites with significant unresolved issues and newly added sites shall not enter that reduced homogeneous pool. Relevant C2/C3 critical-control sites shall be evaluated at each required surveillance interval. The central function shall be evaluated at every surveillance. These selections are coverage rules, not statistical confidence claims.

Eligibility analysis; site pool; random and risk selection; rotation history; expanded sampling and systemic review.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AC.5(d) | Source p. 110

A systemic finding at one site shall trigger review of all potentially affected sites and expansion of the sample. Removing the failing site from the certificate shall not be accepted as correction where the central system or remaining sites share the deficiency.

Eligibility analysis; site pool; random and risk selection; rotation history; expanded sampling and systemic review.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AC.6 — Remote evaluation and access limitations

AC.6(a) | Source p. 110

Remote methods may be used when identity, confidentiality, live observation, configuration, provenance and access provide evidence equivalent for the stated purpose. The provider shall document the suitability decision and limitations. Remote record review alone shall not replace necessary observation of a physical special process or safety-critical activity.

Remote-method suitability review; authorized access; witnessed records; limitations and completed supplementary work.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AC.6(b) | Source p. 110

Where reliable physical evidence cannot be obtained remotely, on-site evaluation or an appropriately controlled witnessed method shall be used. Restricted access shall be resolved through authorized arrangements. If necessary evidence remains unavailable, the corresponding conformity conclusion shall not be granted.

Remote-method suitability review; authorized access; witnessed records; limitations and completed supplementary work.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AC.6(c) | Source p. 110

Recording, screen capture and transfer of sensitive data shall be authorized. Live feeds shall be protected against selective or prerecorded presentation. Network failure or incomplete observation shall be recorded and the affected activity repeated or supplemented rather than marked complete.

Remote-method suitability review; authorized access; witnessed records; limitations and completed supplementary work.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AC.7 — Audit execution, sample expansion and reporting

AC.7(a) | Source p. 110

The audit shall include an opening review of scope and access, examination of actual process interactions, vertical traceability through selected outputs, observation of critical controls and a closing review of evidence-based findings. The sample shall include unfavorable results, changes, rework, complaints and unsuccessful tests where relevant.

Audit plan; time log; evidence and sample trails; expanded checks; final report and separate decision.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AC.7(b) | Source p. 110

Samples shall identify populations, selections and limitations. Judgmental sampling shall not be described as a statistical assurance level. An inconsistency or suspected systemic issue shall trigger an expanded trail proportionate to consequence. The final report shall be issued within 14 calendar days after the evaluation closes, unless a documented exceptional delay is communicated without postponing protective action.

Audit plan; time log; evidence and sample trails; expanded checks; final report and separate decision.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AC.7(c) | Source p. 110

The report shall identify actual evaluation time, participants, scope, criteria, methods, locations, sample, findings, unresolved limitations and the evaluator's recommendation. The independent decision shall remain distinct from that recommendation.

Audit plan; time log; evidence and sample trails; expanded checks; final report and separate decision.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AD.1 — Decision basis and non-compensable conditions
AD.1(a) | Source p. 112

Before evaluation, the responsible authority shall define the object, applicable requirements, criterion for each characteristic or competence, evidence needed, uncertainty treatment, required independence and permitted outcomes. Criteria shall not be selected retrospectively to obtain a favorable result.

Pre-agreed decision basis; complete criterion register; blocker review; concession and release distinctions.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AD.1(b) | Source p. 112

Every applicable mandatory criterion shall be fulfilled for a positive initial conformity attestation. No aggregate score, favorable delivery performance, commercial benefit or passing result in an unrelated area shall compensate for an unmet mandatory requirement, missing critical evidence or unresolved unacceptable risk.

Pre-agreed decision basis; complete criterion register; blocker review; concession and release distinctions.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AD.1(c) | Source p. 112

A technical release may include a lawful, explicitly approved concession for a bounded departure where the underlying technical and contractual framework permits it. The record shall identify that departure; it shall not falsely state that the original requirement was fulfilled. A concession cannot waive a mandatory legal approval or alter the AF requirements for an attestation.

Pre-agreed decision basis; complete criterion register; blocker review; concession and release distinctions.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AD.2 — Measurement decision preparation

AD.2(a) | Source p. 112

The measurement decision shall use the corrected result, applicable specification, validated method, justified uncertainty model and pre-agreed rule. Known significant systematic effects shall be corrected or otherwise treated through an approved model; an uncertainty allowance shall not conceal an ignored known bias.

Measurement model; corrections; uncertainty budget; specification and acceptance limits; recorded rule and precision.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AD.2(b) | Source p. 112

The record shall distinguish specification limits, control limits, resolution, uncertainty and acceptance limits. Units, significant figures, confidence or coverage interpretation and treatment of correlation shall be stated. The uncertainty shall be appropriate to the actual result and conditions, not copied from an unrelated calibration capability.

Measurement model; corrections; uncertainty budget; specification and acceptance limits; recorded rule and precision.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AD.2(c) | Source p. 112

Decisions shall use sufficient unrounded precision. Rounding is applied to reported values after the decision and shall not turn a failing or indeterminate result into a pass. When both lower and upper limits apply, both shall be evaluated; one favorable characteristic shall not substitute for another.

Measurement model; corrections; uncertainty budget; specification and acceptance limits; recorded rule and precision.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AD.3 — DR-A — Full-interval decision rule

AD.3(a) | Source p. 112

For a two-sided numerical specification [L, H], DR-A shall conclude “conformity demonstrated” only when the entire stated uncertainty interval lies within the inclusive specification limits. It shall conclude “nonconformity demonstrated under DR-A” when the entire interval lies outside one specification limit. All other results are indeterminate and shall be held from acceptance pending valid disposition.

Declared DR-A application; actual result and coverage endpoints; criterion-by-criterion disposition; independent alternative approval where used.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AD.3(b) | Source p. 112

For C2 or C3 acceptance characteristics whose uncertainty can materially change the decision, DR-A shall be the default unless a documented alternative is approved under AD.5 by the metrology and relevant independent technical authorities. Applicable binding rules take precedence where they mandate another lawful rule.

Declared DR-A application; actual result and coverage endpoints; criterion-by-criterion disposition; independent alternative approval where used.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AD.3(c) | Source p. 112

A one-sided specification shall use the corresponding single bound. For asymmetric uncertainty, the actual lower and upper coverage endpoints shall replace $y - U$ and $y + U$. The interpretation remains conditional on the stated measurement model and coverage; it is not an absolute guarantee of physical truth.

Declared DR-A application; actual result and coverage endpoints; criterion-by-criterion disposition; independent alternative approval where used.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AD.4 — DR-B — Simple acceptance with disclosed decision risk

AD.4(a) Simple acceptance compares the corrected result directly with the specification limits. It may be used for C0 or C1 characteristics only where the rule is agreed before evaluation, the method is suitable, uncertainty and decision risk have been reviewed, and no binding obligation requires a more protective rule.

Reference or explanatory condition: use for interpretation; this row is not a newly invented pass threshold.

AD.4(b) | Source p. 112

The report shall disclose that acceptance does not use a guard band and that uncertainty can create false acceptance or false rejection near a limit. The operator shall not describe simple acceptance as zero risk. C2 or C3 use requires the independent alternative-rule approval in AD.5; it shall not be selected solely to accept a result that failed DR-A.

Prior agreement; uncertainty and risk review; scope and criticality; clearly disclosed acceptance rule.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AD.5 — DR-C — Risk-targeted or other justified alternative
AD.5(a) | Source p. 113

An alternative rule shall define the decision objective, allowable risks, statistical or physical model, prior information where used, distribution, dependence, measurement uncertainty, acceptance region and validation. Consumer and producer risks shall be distinguished. Approval shall occur before results are evaluated.

Alternative-rule model; risk constraints; validation and sensitivity; independent approvals; application limits.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AD.5(b) | Source p. 113

A posterior probability of nonconformity conditional on a result shall be reported only when the underlying prior and likelihood are specified and justified. A coverage interval shall not automatically be reinterpreted as that posterior probability. Likewise, a sampling plan's operating characteristic shall not be interpreted as the probability that an accepted particular lot is conforming.

Alternative-rule model; risk constraints; validation and sensitivity; independent approvals; application limits.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AD.5(c) | Source p. 113

For a C2/C3 alternative, the independent technical reviewer shall evaluate consequences, model limitations, sensitivity and whether the rule provides the required protection. The metrology authority, relevant safety or mission authority and contractual authority where required shall approve its exact scope. The rule shall be reviewed after a material model or process change.

Alternative-rule model; risk constraints; validation and sensitivity; independent approvals; application limits.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AD.6 — Indeterminate results, repeat testing and multiple criteria

AD.6(a) | Source p. 113

An indeterminate result shall remain held until a validated improved measurement, relevant additional evidence or a lawful technical disposition resolves it. Repeating observations until a favorable reading appears is prohibited. A repeat or pooled-result method shall be specified in advance or independently justified with the original results retained.

Hold and disposition record; repeat-test plan; retained original results; cumulative-risk review.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AD.6(b) | Source p. 113

Where a guard band leaves an empty acceptance region, the method cannot demonstrate conformity under that rule. The response shall improve the method or obtain an approved technically justified alternative, not quietly widen the product specification. Known nonconforming material shall remain controlled under Clause 8.7.

Hold and disposition record; repeat-test plan; retained original results; cumulative-risk review.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AD.6(c) | Source p. 113

For many characteristics or repeated decisions, the plan shall consider cumulative false-decision risk, dependence and the consequences of multiple comparisons. A nominal interval for each characteristic shall not be represented as the same confidence for all characteristics jointly without a justified analysis.

Hold and disposition record; repeat-test plan; retained original results; cumulative-risk review.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AD.7 — Finding classification and immediate action

AD.7(a) | Source p. 113

A finding shall identify the exact requirement, objective evidence, affected scope and gap. The evaluator shall classify the finding using Table AD-2 and separately decide whether an immediate technical hold or protective action is necessary. Administrative classification shall never delay protection.

Requirement-evidence-gap statement; classification rationale; systemic extent; immediate technical action.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AD.7(b) | Source p. 113

Related localized findings shall be reviewed together for evidence of systemic breakdown. An opportunity for improvement shall not replace a nonconformity where a requirement is unmet. A mere preference for a different method, where the actual requirement is fulfilled, shall not be raised as a nonconformity.

Requirement-evidence-gap statement; classification rationale; systemic extent; immediate technical action.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AD.8 — Attestation decisions and open findings

AD.8(a) | Source p. 114

Initial grant, renewal and extension shall require all nonconformities in the granted scope to be closed, adequate evidence for all mandatory criteria and independent review. A restricted scope may be granted only where its boundary is real, independently evaluated and unaffected by unresolved systemic deficiencies; it shall not conceal the failed scope.

Independent grant or continuation decision; closed findings; real scope boundaries; verified corrections and corrective action.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AD.8(b) | Source p. 114

An existing attestation may be maintained with a localized minor finding only when immediate correction or containment is adequate, cause and extent are reviewed, a corrective plan is accepted within the Annex AG time limit, and no essential control or mandatory output criterion is compromised. The decision maker shall record why continued status is justified and verify closure within the required period.

Independent grant or continuation decision; closed findings; real scope boundaries; verified corrections and corrective action.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AD.8(c) | Source p. 114

An existing major finding shall trigger an immediate assessment of continuing conformity. Where the underlying ability to meet requirements is not demonstrated, the affected status shall be suspended. Limited continuation is permitted only for a specifically evidenced unaffected scope, through a documented restriction decision. A planned future correction alone is not evidence of current conformity.

Independent grant or continuation decision; closed findings; real scope boundaries; verified corrections and corrective action.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AD.8(d) | Source p. 114

A conditional lifecycle gate or conditional supplier-development approval may permit bounded non-dependent work. Neither is a conditional conformity certificate. Annex AG controls closure, suspension and restoration deadlines; an expired deadline shall not be reset by reissuing the same finding.

Independent grant or continuation decision; closed findings; real scope boundaries; verified corrections and corrective action.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AD.9 — Decision record and challenge

AD.9(a) | Source p. 114

The record shall identify the applicant and object, route, profile, evidence package, evaluator and reviewer, findings and closure, independence, limitations, decision, reasons, actual date and signatory. Automated workflow may enforce checks, but an accountable authorized person shall approve the conformity decision.

Complete decision record; documented dissent; accountable signatory; preserved history and appeal disposition.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AD.9(b) | Source p. 114

Technical dissent shall remain in the record with its resolution. An appeal shall follow Annex AI. A revised decision shall preserve the earlier decision and explain the new evidence or corrected interpretation. No record shall be backdated or altered to make the earlier basis appear stronger than it was.

Complete decision record; documented dissent; accountable signatory; preserved history and appeal disposition.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AE.1 — Job and task profile

AE.1(a) | Source p. 115

The scheme operator shall approve a job/task profile defining role purpose, tasks, decisions, hazards, technical knowledge, practical skills, ethical behavior, communication, relevant prerequisites, equipment and permitted scope. The analysis shall involve persons competent in the actual work and be reviewed when technology or responsibility changes.

Approved job/task analysis; competence profile; technical and legal boundaries; essential-step list.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AE.1(b) | Source p. 115

Profiles may cover engineers, technicians, inspectors, test personnel, special-process operators, maintainers, digital specialists and assurance professionals. A profile shall not certify a protected or licensed professional activity beyond the operator's lawful authority. Auditors and assessment-role personnel shall additionally meet Annex AB.

Approved job/task analysis; competence profile; technical and legal boundaries; essential-step list.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AE.1(c) | Source p. 115

The profile shall identify essential practical steps whose failure would compromise safety, evidence integrity or the validity of the technical conclusion. These steps shall be designated before examination and shall not be removed after a candidate fails them.

Approved job/task analysis; competence profile; technical and legal boundaries; essential-step list.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AE.2 — Eligibility, identity and candidate information

AE.2(a) | Source p. 115

The operator shall verify identity, prerequisites and relevant experience through traceable evidence. The candidate shall receive the profile, methods, passing rules, fees, expected conduct, renewal duties, permitted claims and appeal process before enrollment.

Identity and eligibility verification; candidate information; fair-access review; justified prerequisites.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AE.2(b) | Source p. 115

Eligibility requirements shall be related to competence. Reasonable accommodations shall preserve the competence being assessed and any essential task conditions. Medical or physical criteria shall be required only where law or a justified task need makes them necessary, with confidential handling of the relevant information.

Identity and eligibility verification; candidate information; fair-access review; justified prerequisites.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AE.2(c) | Source p. 115

A supplier of training shall not guarantee certification. The candidate shall not be required to buy a particular course where equivalent verified preparation meets the profile, unless a specific training element is itself technically necessary and transparently justified.

Identity and eligibility verification; candidate information; fair-access review; justified prerequisites.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AE.3 — Assessment blueprint and validity

AE.3(a) | Source p. 115

The blueprint shall map every required competence to a suitable examination, interview, practical task or verified experience method. Critical practical skills shall be demonstrated, not assessed solely through multiple-choice answers. Technical reviewers shall confirm content validity and representative task coverage.

Blueprint; controlled examination; item and scoring review; practical task design; simulation validity.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AE.3(b) | Source p. 115

Written examinations shall contain at least 40 scored items or an equivalently rigorous, independently approved constructed-response assessment. Item difficulty, scoring consistency, security and relevance shall be reviewed using performance evidence. An examination shall not be considered valid solely because its total scores are statistically consistent.

Blueprint; controlled examination; item and scoring review; practical task design; simulation validity.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AE.3(c) | Source p. 115

The practical assessment shall use representative equipment, conditions and anomalies within a safe controlled environment. Simulation may be used where it validly demonstrates the skill; the profile shall state limitations and any supervised workplace demonstration still required.

Blueprint; controlled examination; item and scoring review; practical task design; simulation validity.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AE.4 — Passing rules and essential practical controls

AE.4(a) | Source p. 116

A PER candidate shall achieve at least 80% in the knowledge assessment and at least 85% in the practical assessment, and shall pass every essential practical step. The profile may set more demanding requirements where justified. Scores for separate mandatory components shall not be averaged to offset a failed component.

Component scores; all essential-step results; independent borderline review; reasoned pass or fail.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AE.4(b) | Source p. 116

A candidate who falsifies material evidence, bypasses an essential safety control or approves a result known to lack required evidence shall fail the affected assessment and undergo an integrity or competence review. The assessment shall be stopped where continuation creates an unacceptable hazard.

Component scores; all essential-step results; independent borderline review; reasoned pass or fail.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AE.4(c) | Source p. 116

Scoring rubrics shall define observable behavior and tolerances before examination. Borderline cases shall receive an independent review of the actual evidence, not a discretionary pass based on fees, reputation, seniority or workforce shortage.

Component scores; all essential-step results; independent borderline review; reasoned pass or fail.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AE.5 — Examiner competence, independence and security

AE.5(a) | Source p. 116

Examiners shall demonstrate the technical competence and assessment skill required by the profile. They shall use controlled criteria and record actual observations. A trainer may contribute technical evidence but shall not be the sole practical examiner, reviewer and decision maker for their own candidate or cohort.

Examiner competence; independent decision; secure examination records; conflict and scoring validation.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AE.5(b) | Source p. 116

Independent personnel decisions shall be made by a competent person who did not perform the candidate's examination. Conflicts, coaching during assessment, answer disclosure and unauthorized assistance shall be controlled. Identity checks, secure question handling and attributable scoring shall apply to remote and on-site examinations.

Examiner competence; independent decision; secure examination records; conflict and scoring validation.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AE.5(c) | Source p. 116

Automated scoring shall be validated for the stated questions and rules. AI-generated assessments, translations or scoring recommendations shall receive competent review. No automated model shall be the sole authority for a competence decision involving an essential practical skill.

Examiner competence; independent decision; secure examination records; conflict and scoring validation.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AE.6 — Failure, remediation and reassessment

AE.6(a) | Source p. 116

The candidate shall receive an understandable outcome and the competence areas needing improvement, without compromising secured examination content. A remediation plan shall address the demonstrated deficiency before reassessment. Repeat assessment shall use equivalent difficulty and representative tasks.

Candidate feedback; remediation evidence; equivalent reassessment; preserved attempt history.

STATE

EVIDENCE / APPROVED N/A BASIS

REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AE.6(b) | Source p. 116

A failed essential practical step shall be reassessed through direct demonstration; passing an unrelated written test shall not close that deficiency. All earlier attempts shall remain traceable. Administrative re-registration shall not erase an integrity investigation or an existing protective restriction.

Candidate feedback; remediation evidence; equivalent reassessment; preserved attempt history.

STATE

EVIDENCE / APPROVED N/A BASIS

REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AE.6(c) | Source p. 116

The operator shall define fair reassessment access and controls against repeated guessing. A fixed waiting period is not substituted for evidence of improved competence. Where additional supervised experience is necessary, the required activities and completion evidence shall be specified.

Candidate feedback; remediation evidence; equivalent reassessment; preserved attempt history.

STATE

EVIDENCE / APPROVED N/A BASIS

REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AE.7 — Credential scope and employer authorization

AE.7(a) | Source p. 116

A personnel credential shall state identity, unique ID, profile and revision, assessed role and technical scope, limitations, decision date, expiry, issuer and verification method. Its maximum ongoing validity shall be 24 months under Annex AG, subject to continued competence and truthful use.

Credential; employer task authorization; role and scope limits; change and transfer verification.

STATE

EVIDENCE / APPROVED N/A BASIS

REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AE.7(b) | Source p. 116

Employer task authorization shall separately identify the actual task, product or process, site or equipment, competence basis, supervision and validity. Its review interval shall not exceed 12 months and shall be shortened where risk warrants. A credential alone shall not confer employer release authority or required statutory privileges.

Credential; employer task authorization; role and scope limits; change and transfer verification.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AE.7(c) | Source p. 116

Where the employer changes, the credential may remain valid within its assessed scope, but the new employer shall verify task suitability and issue its own authorization. Significant changes to tools, technical data or task hazards shall trigger review before independent work.

Credential; employer task authorization; role and scope limits; change and transfer verification.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AE.8 — Continued practice, inactivity and renewal

AE.8(a) | Source p. 116

The credential holder shall complete at least 16 hours of relevant continuing development in each 12-month period and maintain evidence of relevant practice. The profile shall define the minimum practical frequency or supervised demonstration necessary for that role. The operator shall assess actual competence, not training hours alone.

Practice and development log; inactivity decision; observed essential-skill demonstration; knowledge update; renewal decision.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AE.8(b) | Source p. 116

For C2/C3 tasks, more than six months without relevant practice shall require an observed competence demonstration before independent task authorization resumes. For C0/C1 tasks, the corresponding trigger is more than 12 months. Earlier reassessment shall follow significant change or adverse evidence. Auditor activity rules in Annex AB also apply; the stricter triggered requirement controls.

Practice and development log; inactivity decision; observed essential-skill demonstration; knowledge update; renewal decision.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AE.8(c) | Source p. 116

Renewal shall review current scope, practice, development, conduct, complaints, changes and performance. It shall include a practical demonstration of essential skills within the preceding six months and a knowledge update covering material changes. New or expanded scope shall receive the necessary initial assessment rather than automatic renewal.

Practice and development log; inactivity decision; observed essential-skill demonstration; knowledge update; renewal decision.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AE.8(d) | Source p. 116

The operator shall complete PER continuing-scope surveillance at the interval in Annex AG applicable to the assessed role criticality. Surveillance may use verified practice, development and observed performance as specified in the profile; renewal still requires the practical and knowledge evidence stated above.

Practice and development log; inactivity decision; observed essential-skill demonstration; knowledge update; renewal decision.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AE.9 — Restriction, records and public verification

AE.9(a) | Source p. 117

A competence or integrity concern shall trigger protection of affected work, investigation and a reasoned restriction, suspension or withdrawal decision. Restoration shall require correction and reassessment proportionate to the cause. Employer authorizations and personnel credential status shall be reviewed separately and communicated to authorized recipients.

Protected dossier; restriction and restoration evidence; current status; permitted verification information.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AE.9(b) | Source p. 117

Records shall preserve eligibility, examination and practical evidence, scores, attempts, decisions, development and status history. Personal data shall be minimized and protected. Public verification shall disclose only credential identity, scope, issuer, validity and relevant status, not examination answers or sensitive personal records.

Protected dossier; restriction and restoration evidence; current status; permitted verification information.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AF.1 — Work-package and responsibility definition

AF.1(a) | Source p. 118

The commissioning organization shall define the outsourced work package, outputs, technical baseline, acceptance criteria, interfaces, criticality, actual performer and retained decisions. A scope shall identify whether the source performs the work itself or uses further providers.

Approved work package; performer identity; technical baseline; retained decision authority; resolved commercial/technical conflicts.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AF.1(b) | Source p. 118

The responsible buyer and technical authority shall verify completeness before order placement. Commercial terms shall not silently contradict technical quality requirements. Where the performer cannot access necessary controlled data, an authorized information arrangement shall be established before work starts.

Approved work package; performer identity; technical baseline; retained decision authority; resolved commercial/technical conflicts.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AF.2 — Approval status and release restrictions

AF.2(a) | Source p. 118

Supplier status shall identify the precise approved scope. Conditional development or trial use shall specify the work permitted, technical conditions, output segregation, approver and closure evidence. It shall not permit unrestricted delivery or be represented as a conformity certificate.

Source status; conditional-work restrictions; verified certificates; completed technical approval.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AF.2(b) | Source p. 118

When a source's certificate or approval is used as supporting evidence, the organization shall verify its authenticity, scope, actual site and current status. The organization shall retain responsibility for its assigned acceptance decision and any required independent verification.

Source status; conditional-work restrictions; verified certificates; completed technical approval.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AF.3 — Sub-tier visibility and change control

AF.3(a) | Source p. 119

Critical sub-tier sources shall be identified to the degree needed for traceability, capability and risk control. The organization shall verify that essential instructions and change restrictions reach the performer. An intermediary's assurance that requirements were passed on shall be tested through representative evidence.

Critical sub-tier map; flow-down acknowledgement; representative checks; prior change decisions.

STATE

EVIDENCE / APPROVED N/A BASIS

REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AF.3(b) | Source p. 119

A change affecting qualification, technical characteristics, capacity, security or evidence validity shall be reviewed before implementation. Planned changes shall be notified early enough for the required evaluation; where timing is inadequate, work shall remain restricted. Further subcontracting shall not be used to avoid a disapproved source.

Critical sub-tier map; flow-down acknowledgement; representative checks; prior change decisions.

STATE

EVIDENCE / APPROVED N/A BASIS

REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AF.4 — External personnel and knowledge services

AF.4(a) | Source p. 119

Personnel agencies and professional service providers shall supply verified competence, relevant experience, authorization and supervision information. The commissioning organization shall verify suitability for the actual task and communicate current instructions, hazards, confidentiality and reporting duties.

Personnel suitability; task induction and authorization; reviewed technical service outputs; correction obligations.

STATE

EVIDENCE / APPROVED N/A BASIS

REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AF.4(b) | Source p. 119

Outsourced engineering, inspection conclusions, AI-generated analyses and advisory reports shall be reviewed by competent personnel before they become controlled evidence. Contractual allocation shall identify the technical reviewer, approval authority, data rights and responsibility to correct errors.

Personnel suitability; task induction and authorization; reviewed technical service outputs; correction obligations.

STATE

EVIDENCE / APPROVED N/A BASIS

REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AF.5 — External laboratories, inspection and digital providers

AF.5(a) | Source p. 119

Technical providers shall be evaluated for the actual method, range, uncertainty where relevant, personnel, equipment, sample integrity and reporting scope. Accreditation or another competence statement may support selection only for its verified actual scope; it shall not replace assessment of fitness for the requested work.

Technical provider review; method and range suitability; sample/data chain; digital continuity and exit agreements.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AF.5(b) | Source p. 119

Digital and cloud providers shall have defined data location and access arrangements where relevant, configuration and update control, recovery, incident communication and exit support. A service subscription shall not remove the need to preserve long-life engineering evidence or maintain an approved deployed configuration.

Technical provider review; method and range suitability; sample/data chain; digital continuity and exit agreements.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AF.6 — Incident, escape and corrective-action integration

AF.6(a) | Source p. 119

A supplier shall report a known or credible issue affecting supplied output through agreed channels, preserving data and identifying the affected population. AF-attestation-related notifications shall meet Annex AG; earlier legal or contractual duties shall prevail. The commissioning organization shall promptly assess downstream consequences.

Notification and acknowledgement; downstream trace; joint cause analysis; separate product and system closure.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AF.6(b) | Source p. 119

Corrective action shall address both occurrence at the source and escape through the commissioning organization's controls. Closing the supplier's action request shall not automatically close the receiving organization's affected-product disposition or its own oversight deficiency.

Notification and acknowledgement; downstream trace; joint cause analysis; separate product and system closure.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AF.7 — Continuity, source exit and completed trace example

AF.7(a) | Source p. 119

Exit plans shall identify records, tools, intellectual property, outstanding orders, service-life support and unresolved findings. The receiving source shall demonstrate capability before transfer. Confidentiality and data rights shall be respected while preserving necessary evidence for existing users.

Exit and transfer plan; complete source-to-output trace; verified receiving capability; controlled unresolved issues.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AF.7(b) | Source p. 119

Illustrative chain: a prime contracts a bonded bracket to supplier S-10, which uses approved surface-treatment source S-10A and test laboratory L-07. The lot record connects input material M-31, treatment record ST-88, bonding run BR-116, laboratory result TR-41 and bracket serials B-001 to B-040. A treatment excursion shall trace through all 40 serials, including delivered assemblies; a valid laboratory report for another lot cannot close the issue.

Exit and transfer plan; complete source-to-output trace; verified receiving capability; controlled unresolved issues.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AG.1 — Time interpretation and recorded dates

AG.1(a) | Source p. 120

Unless explicitly stated otherwise, “days” means calendar days. A period starts when the holder or responsible operator is first formally informed of the relevant finding, decision or event; final report production shall not postpone an already communicated finding. A deadline measured in months falls on the corresponding calendar date, or the last day of that month if no corresponding date exists.

Time basis; notification timestamps; decision, issue and expiry dates; preserved amendments.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AG.1(b) | Source p. 120

A validity record shall specify its time basis and exact expiry date. Certificate issue date and conformity decision date shall be recorded separately when they differ. No document shall be backdated to conceal an expired, suspended or unassessed period. A later correction shall preserve the actual history.

Time basis; notification timestamps; decision, issue and expiry dates; preserved amendments.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AG.2 — Ongoing versus instance attestations

AG.2(a) | Source p. 121

An ongoing attestation remains valid only while required surveillance, criteria and conditions are fulfilled. A holder with mixed criticality shall follow the shortest interval triggered by the attested scope unless genuinely separate scopes and records justify different surveillance arrangements.

Ongoing/instance classification; appropriate expiry or event boundary; monitored conditions; linked technical limits.

STATE

EVIDENCE / APPROVED N/A BASIS

REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AG.2(b) | Source p. 121

A lot, serial, one-time test, service-event or other instance attestation shall identify the exact evaluated instance and conditions. It does not authorize future production or continuing services. Its historical result does not acquire a universal 24-month technical validity; later evidence that invalidates the result shall nevertheless trigger correction or withdrawal of the claim.

Ongoing/instance classification; appropriate expiry or event boundary; monitored conditions; linked technical limits.

STATE

EVIDENCE / APPROVED N/A BASIS

REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AG.2(c) | Source p. 121

A process qualification or personnel task authorization may lose validity before its scheduled review because conditions or competence have changed. A certificate period shall not extend an equipment life limit, calibration validity, operator license or qualified process window.

Ongoing/instance classification; appropriate expiry or event boundary; monitored conditions; linked technical limits.

STATE

EVIDENCE / APPROVED N/A BASIS

REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AG.3 — Surveillance planning and completed coverage

AG.3(a) | Source p. 121

The operator shall plan surveillance using current scope, criticality, changes, performance, complaints, prior findings and technical dependencies. Annex AC sets organizational time and site-coverage minima. Other routes shall use the profile's appropriate tests, observation or competence checks within the intervals in Table AG-1.

Risk-based surveillance plan; completed evidence; missed-deadline decisions; special evaluations and restoration checks.

STATE

EVIDENCE / APPROVED N/A BASIS

REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AG.3(b) | Source p. 121

Completed surveillance shall verify that the attestation basis remains valid, not merely that documents have not changed. Missed surveillance by the applicable deadline shall trigger suspension of the affected ongoing attestation. Scheduling an audit, paying an invoice or issuing a reminder shall not count as completion.

Risk-based surveillance plan; completed evidence; missed-deadline decisions; special evaluations and restoration checks.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AG.3(c) | Source p. 121

A serious event or material change shall trigger special evaluation before the routine due date where necessary. Recovery from an interruption shall verify actual competence, configuration and controls before the affected status is restored.

Risk-based surveillance plan; completed evidence; missed-deadline decisions; special evaluations and restoration checks.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AG.4 — Finding closure and overdue action

AG.4(a) | Source p. 121

The finding owner shall implement immediate correction or containment, determine extent and cause, implement corrective action and provide evidence of effectiveness. The operator shall verify closure by a method appropriate to the finding; a revised procedure alone is insufficient for an implementation failure.

Correction and cause evidence; verified effectiveness; original due dates; overdue status decisions.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AG.4(b) | Source p. 121

If a major or minor closure deadline is missed, the operator shall suspend or further restrict the affected ongoing scope unless it is already suspended or withdrawn. A new finding number or revised action plan shall not restart the original deadline. The deadline for a critical finding shall be set by the necessary protective action and relevant technical basis, not by the minor or major timetable.

Correction and cause evidence; verified effectiveness; original due dates; overdue status decisions.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AG.4(c) For initial grant, renewal and extension, no open nonconformity may remain within the requested scope at the decision. Corrective-action periods are time allowed to remedy deficiencies, not a permission to issue a certificate before those deficiencies are closed.

Reference or explanatory condition: use for interpretation; this row is not a newly invented pass threshold.

AG.5 — Suspension, restriction, restoration and withdrawal

AG.5(a) | Source p. 121

Suspension shall state the affected object, scope, reason, prohibited claims, required action and final resolution deadline. The holder shall cease the affected claim and mark use immediately. Product or service containment obligations remain separate and shall be implemented where the technical issue requires them.

Reasoned status decisions; required action; verified restoration; unaffected-scope analysis; complete history.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AG.5(b) | Source p. 121

Restoration shall require verification that the cause is resolved, affected outputs have been addressed and the attestation basis is again valid. The original expiry shall remain unchanged unless a complete renewal decision is also made. Restoration shall not retrospectively validate the suspended interval.

Reasoned status decisions; required action; verified restoration; unaffected-scope analysis; complete history.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AG.5(c) | Source p. 121

Restriction shall be allowed only where the remaining scope is independently demonstrated to be unaffected and adequately controlled. At the end of 90 days of suspension, the operator shall restore, formally restrict to such a scope or withdraw. Suspension shall not be prolonged by repeated administrative resets.

Reasoned status decisions; required action; verified restoration; unaffected-scope analysis; complete history.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AG.6 — Renewal and continuity of claims

AG.6(a) | Source p. 121

The operator and holder shall plan renewal sufficiently before expiry to complete evaluation, corrective action, independent review and decision. Initiating the process at least 90 days before expiry is recommended; it does not guarantee completion or extend validity.

Renewal plan; complete evaluation; closed findings; actual decision dates; disclosed gaps.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AG.6(b) | Source p. 121

Renewal shall evaluate the complete current basis, performance over the preceding period, changes, complaints, competence and surveillance effectiveness. The operator shall not rely solely on the prior certificate. All nonconformities in the renewed scope shall be closed before the new decision.

Renewal plan; complete evaluation; closed findings; actual decision dates; disclosed gaps.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AG.6(c) | Source p. 121

If the decision is completed after expiry, the new attestation shall begin no earlier than its actual decision date. The gap shall remain visible. The holder shall not use the expired claim while waiting for a decision.

Renewal plan; complete evaluation; closed findings; actual decision dates; disclosed gaps.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AG.7 — Scope change, transfer and provider closure

AG.7(a) | Source p. 122

Expansion to new products, services, roles, technical methods, critical processes or sites shall require competence, profile and evidence review before the expanded claim is used. Legal identity, ownership and key resource changes shall be assessed for their effect on responsibility and continuing control.

Scope-change evaluation; transfer review; unresolved findings; provider closure and holder notification.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AG.7(b) | Source p. 122

Transfer to another operator shall not be automatic. The receiving operator shall verify authenticity, actual scope, decision history, open findings, surveillance and competence evidence and perform additional evaluation where necessary. A suspended or unsupported claim shall not be made valid by transfer.

Scope-change evaluation; transfer review; unresolved findings; provider closure and holder notification.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AG.7(c) | Source p. 122

If an operator ceases operation, the owner and authorized parties shall preserve records, status and outstanding cases, and arrange any lawful transfer. Holders shall be informed of effects on surveillance and claims. Record transfer alone does not transfer accreditation or AF operating authority.

Scope-change evaluation; transfer review; unresolved findings; provider closure and holder notification.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AG.8 — Status register, records and historical integrity

AG.8(a) | Source p. 122

The scheme operator shall maintain a current register identifying attestation ID, holder, route, scope, profile, issue and decision dates, expiry or instance boundary, status and restrictions. Public verification shall disclose sufficient information to prevent misleading use while protecting personal and controlled technical data.

Current and historical register; privacy controls; justified retention; tested retrieval and continuity.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AG.8(b) | Source p. 122

Assessment and decision records shall be retained for at least seven years after the last relevant decision, or longer where applicable obligations, product life or investigations require. Sensitive personnel information shall be minimized, access controlled and lawfully disposed of when retention is no longer justified. Legal constraints requiring a different handling arrangement shall be documented without falsifying or concealing the decision basis.

Current and historical register; privacy controls; justified retention; tested retrieval and continuity.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AG.8(c) | Source p. 122

Corrections, restrictions, suspension, expiry and withdrawal shall preserve historical dates. A record may be archived but shall not be deleted to imply that an adverse status never existed. The operator shall test retrieval and continuity of status information.

Current and historical register; privacy controls; justified retention; tested retrieval and continuity.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AH.1 — Provider identity, governance and responsible operation

AH.1(a) | Source p. 123

The provider shall identify its legal responsibility, owners, governing authority, authorized activities, organization, decision authority, resources and arrangements for liabilities. Its scope shall distinguish testing, calibration, inspection, organizational certification, product/service/process certification, personnel assessment and competence assessment of other bodies.

Legal and governance records; declared activity scope; resources; liability arrangements; accurate service terms.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AH.1(b) | Source p. 123

The provider shall maintain sufficient qualified personnel, technical resources and financial continuity to perform contracted work, corrective follow-up and required surveillance. Liability, insurance or equivalent arrangements shall be appropriate to the work and applicable obligations. Funding shall not purchase a favorable technical conclusion.

Legal and governance records; declared activity scope; resources; liability arrangements; accurate service terms.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AH.1(c) | Source p. 123

Terms of service shall state the object, criteria, confidentiality, access, responsibilities, fees, complaints, appeals and restrictions on claims. The provider shall not imply authorization beyond its actual written scope or guarantee that a public authority will accept its reports.

Legal and governance records; declared activity scope; resources; liability arrangements; accurate service terms.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AH.2 — Impartiality oversight and structural separation

AH.2(a) | Source p. 123

The provider shall maintain a live analysis of impartiality risks, including common ownership, consultancy, product design, manufacture, financial dependence, shared staff, referral fees and outcome-linked compensation. Interested-party input shall be obtained through a balanced oversight mechanism whose members can challenge management without commercial retaliation.

Impartiality-risk register; oversight decisions; related-activity controls; declared relationships and assignment refusals.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AH.2(b) | Source p. 123

A body shall not independently certify work it designed or provide consultancy that compromises its subsequent independent decision. Related activities shall be identified and controlled through adequate structural and functional separation. Where effective independence cannot be demonstrated, the affected evaluation shall be refused or performed through a genuinely independent authorized arrangement.

Impartiality-risk register; oversight decisions; related-activity controls; declared relationships and assignment refusals.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AH.2(c) | Source p. 123

An internal inspection or test function may generate technical evidence if its relationship is declared and its competence is valid. It shall not falsely present that evidence as independent third-party certification. The required independence level shall reflect the stated claim and technical consequence.

Impartiality-risk register; oversight decisions; related-activity controls; declared relationships and assignment refusals.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AH.3 — Technical scope and competence authorization

AH.3(a) | Source p. 123

Each authorized technical scope shall identify object families, methods, ranges or conditions, equipment, personnel and relevant limitations. Calibration scopes shall additionally identify quantities, ranges and demonstrated uncertainty capability. A broad sector label shall not substitute for this technical definition.

Detailed scope schedule; function-specific competence; technical authorizations; change evaluation.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AH.3(b) | Source p. 123

Competence shall be evaluated for application review, method approval, sampling, evaluation, technical sign-off, independent review and final decision. Annex AB applies to audit and decision personnel; Annex AE applies where personnel credentials are issued. The provider shall verify external personnel to the same applicable requirements.

Detailed scope schedule; function-specific competence; technical authorizations; change evaluation.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AH.3(c) | Source p. 123

Changes to methods, equipment, key personnel, sites or decision activities shall undergo a competence and authorization review before use. A flexible internal method scope may permit controlled changes only within demonstrated competence and documented authorization boundaries.

Detailed scope schedule; function-specific competence; technical authorizations; change evaluation.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AH.4 — Test and calibration method validity

AH.4(a) | Source p. 123

The laboratory shall select methods suitable for the actual measurand, item, range, environment and decision. A new or materially modified method shall be validated; an established method shall be verified for the laboratory's actual implementation. Performance characteristics shall address bias, precision, selectivity, range, detection capability and robustness where relevant.

Method validation/verification; measurement traceability; equipment status; uncertainty and detection capability; previous-result impact reviews.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AH.4(b) | Source p. 123

Measurement traceability shall use an appropriate documented chain of calibrations, reference materials or other justified references with their uncertainty contributions. Equipment shall be identified, maintained and verified after relevant change. An expired calibration or unsuitable range shall trigger assessment of affected previous results, not only a new calibration.

Method validation/verification; measurement traceability; equipment status; uncertainty and detection capability; previous-result impact reviews.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AH.4(c) | Source p. 123

Uncertainty shall be evaluated to the extent needed for the report and intended decision. Sampling contributions shall be addressed when sampling belongs to the laboratory's responsibility. Tests reporting qualitative outcomes shall still evaluate the relevant capability to distinguish conditions and avoid false conclusions.

Method validation/verification; measurement traceability; equipment status; uncertainty and detection capability; previous-result impact reviews.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AH.5 — Samples, execution and continuing validity of results

AH.5(a) | Source p. 124

The provider shall control sample receipt, unique identity, condition, requested work, storage, preparation, chain of custody, consumption and disposal. Deviations from requested conditions shall be resolved before using results for a claim. Raw data shall identify the item, method, equipment, personnel and actual conditions. Sample and custody records; raw data; validity-monitoring program; comparison results; verified data processing; corrected reports.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AH.5(b) | Source p. 124

Continuing validity shall be monitored using suitable reference checks, control samples, repeated or blind tests, interlaboratory comparison, proficiency activities or technically justified alternatives. The program shall cover significant technical scopes at justified intervals and respond to adverse results. Participation alone shall not establish competence when performance is unsatisfactory.

Sample and custody records; raw data; validity-monitoring program; comparison results; verified data processing; corrected reports.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AH.5(c) | Source p. 124

Data-processing software and calculation tools shall be verified. Manual transcription, unit conversion, automated interfaces and electronic signatures shall be controlled. A report shall be amended when a material error is identified, preserving the earlier version and notifying affected users.

Sample and custody records; raw data; validity-monitoring program; comparison results; verified data processing; corrected reports.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AH.6 — Inspection and certification method controls

AH.6(a) | Source p. 124

Inspection shall use qualified procedures and personnel appropriate to the material, configuration, access and defect mechanisms. Limitations of visual access, non-destructive examination or remote evidence shall be recorded. A report shall not imply that inaccessible characteristics were directly verified.

Inspection and certification methods; stated limitations; outsourced-work review; independent decisions; complete result population.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AH.6(b) | Source p. 124

Certification shall evaluate the actual object against its approved profile, apply independent review and decision, and maintain surveillance where the claim is ongoing. Product inspection, a laboratory test report, personnel examination and management-system audit shall not be substituted for one another without a justified route-specific evidence decision.

Inspection and certification methods; stated limitations; outsourced-work review; independent decisions; complete result population.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AH.6(c) | Source p. 124

Outsourced evaluations shall have verified scope, methods, competence and confidentiality. The certification provider shall retain its final decision responsibility. An applicant shall not be permitted to choose favorable results while concealing relevant failures from the evaluator or reviewer.

Inspection and certification methods; stated limitations; outsourced-work review; independent decisions; complete result population.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AH.7 — CAB application and competence evaluation
AH.7(a) | Source p. 124

A CAB applicant shall submit its legal and governance information, impartiality analysis, requested detailed technical scope, methods, facilities, competence records, sample reports, internal evaluation, management review, complaints and corrective-action evidence. Requested activities not yet demonstrated shall be identified rather than described as established capability.

CAB application dossier; detailed scope; on-site and witnessed evaluation; complete case trails; verified closure.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AH.7(b) | Source p. 124

The authorized competence-assessment team shall review documentation and evaluate the relevant operating sites, technical resources, methods, personnel, records and decisions. It shall witness representative activities for every distinct method family or assessment route, including the highest consequence and material scope limitations. Grouping shall be justified by actual technical similarity.

CAB application dossier; detailed scope; on-site and witnessed evaluation; complete case trails; verified closure.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AH.7(c) | Source p. 124

The evaluation shall include at least one complete trace from application and contract review through technical execution, reporting, independent decision where applicable and subsequent control. It shall challenge unsuccessful work, amended reports, complaints and changes. Outstanding nonconformities in the requested scope shall be closed before grant.

CAB application dossier; detailed scope; on-site and witnessed evaluation; complete case trails; verified closure.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AH.8 — Independent competence decision and accreditation boundaries

AH.8(a) | Source p. 125

The competence-assessment decision shall be made by authorized personnel independent of the applicant and the evaluation they are deciding. AF shall identify the responsible scheme authority and preserve documented technical independence where related AF activities have a commercial or operational interest.

Independent decision authority; completed evaluation; exact written CAB scope; accurate accreditation and recognition statements.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AH.8(b) | Source p. 125

A body shall not accredit itself or issue an accreditation claim from its own ORG conformity statement. Use of the AF accreditation or CAB competence claim shall require an actual written authorization, a completed scope-specific competence evaluation and a controlled independent decision. The decision shall state exactly which activities are covered.

Independent decision authority; completed evaluation; exact written CAB scope; accurate accreditation and recognition statements.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AH.8(c) | Source p. 125

Acceptance by another authority, customer or recognition arrangement shall be described only to its actual evidenced scope. This annex creates no governmental delegation or automatic cross-border recognition. A competence attestation shall not be used to imply that every report produced by the body is correct.

Independent decision authority; completed evaluation; exact written CAB scope; accurate accreditation and recognition statements.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AH.9 — Surveillance, corrective learning and operational closure

AH.9(a) | Source p. 125

CAB surveillance and renewal shall follow Annex AG and address technical witnessing, competence, method validity, impartiality, decisions, complaints and significant changes. Adverse proficiency or comparison results shall trigger technical action and review of affected earlier reports.

Technical surveillance; witnessed competence; adverse-result action; report corrections; closure and record-transfer arrangements.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AH.9(b) | Source p. 125

The provider shall correct inaccurate reports and claims, notify appropriate recipients and assess systemic extent. Closure or loss of authorization shall preserve technical records, outstanding cases and accurate status information. Any transfer shall maintain confidentiality and the actual history of competence decisions.

Technical surveillance; witnessed competence; adverse-result action; report corrections; closure and record-transfer arrangements.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AI.1 — Accessible intake and case separation
AI.1(a) | Source p. 126

The operator shall provide an accessible route for complaints and appeals, with clear instructions, confidentiality arrangements and responsible contacts. A complaint expresses dissatisfaction requiring investigation; an appeal requests reconsideration of a specified decision. A case may contain both, and each issue shall receive appropriate handling.

Published intake procedure; case identity; issue classification; confidentiality and non-retaliation controls.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AI.1(b) | Source p. 126

Good-faith safety, integrity or competence concerns shall be accepted without an application fee or retaliation. Anonymous concerns shall be evaluated on available evidence. The operator shall not reject a material allegation solely because the reporter is not a paying customer or certificate holder.

Published intake procedure; case identity; issue classification; confidentiality and non-retaliation controls.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AI.2 — Acknowledgement, triage and protection
AI.2(a) | Source p. 126

The operator shall acknowledge receipt within five calendar days and identify the case owner, scope and expected process. Triage shall determine whether immediate protection, report correction, status action or notification is needed. Time-critical protection shall not wait for acknowledgement or a full investigation.

Acknowledgement; triage; protective actions; evidence preservation; conflict and privacy review.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AI.2(b) | Source p. 126

The operator shall preserve relevant original records and prevent inappropriate modification or destruction. A conflict check shall be performed before appointing investigators or reviewers. The reporter's identity shall be disclosed only as necessary and lawful for fair handling and protection.

Acknowledgement; triage; protective actions; evidence preservation; conflict and privacy review.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AI.3 — Appeal admissibility and independent reviewers

AI.3(a) | Source p. 126

An appeal should identify the contested decision, grounds and relevant evidence and shall normally be submitted within 30 calendar days after decision notification. The operator may admit a later appeal where justified by new material evidence, access barriers or other documented good cause, applying the policy consistently.

Admissibility decision; independent appointment; technical competence; conflicts; participation boundaries.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AI.3(b) | Source p. 126

The appeal decision shall be made by competent persons who did not perform the original evaluation, review or decision and have no material conflict. At least one reviewer shall understand the relevant technical or competence scope; specialist advice shall be obtained where needed.

Admissibility decision; independent appointment; technical competence; conflicts; participation boundaries.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AI.3(c) | Source p. 126

An internal review may resolve a clear administrative error promptly, but a substantive contested decision shall still receive independent consideration. The original decision maker may explain the record, but shall not vote on the appeal outcome.

Admissibility decision; independent appointment; technical competence; conflicts; participation boundaries.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AI.4 — Evidence, fairness and technical investigation

AI.4(a) | Source p. 126

The case review shall examine the applicable requirements, profile, actual evidence, method, scoring or decision rule, independence, original reasoning and new material information. Both supporting and contrary evidence shall be evaluated. Missing records shall be identified as a limitation, not reconstructed as if they had existed.

Investigation plan; complete evidence record; party submissions; independent technical analysis; distinction of original and later facts.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AI.4(b) | Source p. 126

Affected parties shall have a fair opportunity to present relevant information and respond to material issues, subject to lawful confidentiality and safety limits. The review may request repeat testing, re-examination, additional audit or specialist analysis where necessary and technically justified.

Investigation plan; complete evidence record; party submissions; independent technical analysis; distinction of original and later facts.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AI.4(c) | Source p. 126

The investigation shall distinguish a valid original decision from new circumstances arising later. Where the scope or configuration has changed, the operator may require a new application rather than falsely treating later evidence as proof of conformity at the original date.

Investigation plan; complete evidence record; party submissions; independent technical analysis; distinction of original and later facts.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AI.5 — Determination, communication and exceptional delay

AI.5(a) | Source p. 126

An ordinary case shall be determined within 60 calendar days after receipt. Where complexity, authorized evidence access or necessary technical testing requires longer, the operator shall document the reason, inform the parties and provide progress at least every 30 days. An extension shall not postpone necessary protective action or revive an expired claim.

Reasoned determination; documented extensions; timely progress; communicated status and review route.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AI.5(b) | Source p. 126

The decision shall state whether the original conclusion is upheld, corrected, replaced, returned for further evaluation or withdrawn. Reasons shall identify the applicable requirements and material evidence. The authorized scope and effective date of any status change shall be explicit.

Reasoned determination; documented extensions; timely progress; communicated status and review route.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AI.5(c) | Source p. 126

The outcome shall be communicated to the relevant parties with available further review routes. A successful appeal shall not be conditioned on purchasing consultancy or additional membership. Costs for genuinely necessary new technical evaluation shall be transparent and not punitive.

Reasoned determination; documented extensions; timely progress; communicated status and review route.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AI.6 — Status during appeal and corrective effects

AI.6(a) | Source p. 127

Filing an appeal shall not automatically suspend a protective measure, reinstate a credential or extend validity. The independent authority may revise an interim measure only where actual evidence supports equivalent protection and the decision is lawful.

Interim status decisions; affected-population analysis; systemic corrective action; accurate public correction.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AI.6(b) | Source p. 127

A substantiated complaint shall trigger review of affected reports, attestations, applicants or earlier outputs, not only the individual case. Corrective actions shall address method, competence, impartiality or system deficiencies and their demonstrated effectiveness.

Interim status decisions; affected-population analysis; systemic corrective action; accurate public correction.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AI.6(c) | Source p. 127

Where public correction is necessary to prevent misleading use or harm, the operator shall issue a proportionate authorized notice. Confidentiality shall not be used as a blanket reason to leave a materially false public conformity claim uncorrected.

Interim status decisions; affected-population analysis; systemic corrective action; accurate public correction.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AI.7 — Case records, oversight and completed example

AI.7(a) | Source p. 127

The case record shall include identity, dates, issue, contested object and decision, submissions, evidence, conflicts, reviewers, technical analysis, interim measures, outcome, communication and corrective action. Records shall follow Annex AG retention and appropriate privacy controls. Trend review shall identify repeated bias, method failure or delayed handling.

Complete case dossier; trend and impartiality oversight; preserved original and revised decision history.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AI.7(b) Illustrative case: an applicant appeals rejection of a dimensional result because the nominal value is within specification. The independent reviewer confirms that DR-A was agreed before testing and that the uncertainty interval overlapped the limit. The original indeterminate decision is upheld. The applicant may submit a validated improved measurement; such later evidence supports a new acceptance decision and does not make the original record incorrect.

Reference or explanatory condition: use for interpretation; this row is not a newly invented pass threshold.

AJ.1 — Form control and common data fields

AJ.1(a) | Source p. 128

Each operational record shall have a unique ID, form type and revision, object or applicant identity, applicable scope and profile, creation and decision dates as relevant, authors, reviewers, approvers, status, evidence references, access class and retention basis. Corrections shall preserve the previous record and the reason for change.

Controlled form register; attributable approvals; version and status history; accessible evidence relationships.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AJ.1(b) | Source p. 128

An electronic signature shall identify the responsible individual and the approved action. Shared credentials shall not mask accountability. A form's completion status shall not itself establish technical conformity. Required relationships shall remain resolvable after document export or database migration.

Controlled form register; attributable approvals; version and status history; accessible evidence relationships.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AJ.2 — Requirement and evidence-status dictionary

AJ.2(a) | Source p. 129

Evidence status shall distinguish planned, collected, technically reviewed, accepted for the stated purpose, rejected, superseded and unavailable. “Accepted evidence” means adequate for the identified decision use, not unconditional truth or indefinite validity. A planned test shall not appear as completed evidence.

Controlled status dictionary; evidence-purpose linkage; approved applicability; attributable state changes.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AJ.2(b) | Source p. 129

Requirement status shall distinguish conforming, nonconforming, not applicable with approved rationale and not yet demonstrated. An indeterminate measurement shall remain not demonstrated for acceptance until valid disposition; it shall not be silently converted into “not applicable”. The status record shall identify the person and basis of change.

Controlled status dictionary; evidence-purpose linkage; approved applicability; attributable state changes.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AJ.6 — Cross-clause consistency and interpretation controls

AJ.6(a) | Source p. 130

The organization and scheme operator shall check that profiles, contracts, internal procedures, calculations, electronic states and public statements agree with the controlling clauses in Table AJ-6. A locally invented workflow shall not change a requirement simply because it is convenient to automate.

Consistency review; identified conflicts; impact assessment; approved corrections; preserved historical decisions.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AJ.6(b) | Source p. 130

Detected contradictions shall be recorded with affected objects and versions, evaluated for technical and status impact, and corrected through authorized change. Where a safe resolution is not yet available, dependent acceptance or attestation shall be held. Historical records shall remain truthful.

Consistency review; identified conflicts; impact assessment; approved corrections; preserved historical decisions.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AJ.7 — Digital implementation and record export

AJ.7(a) | Source p. 131

A digital workflow shall implement required state transitions, approvals and access controls and shall be tested against permitted and prohibited cases. Tests shall include open critical findings, expired competence, unavailable evidence, mismatched configurations, suspended status and an attempted unauthorized approval. Workflow validation; prohibited-case tests; attributable approvals; complete exports; relationship and recovery verification.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AJ.7(b) | Source p. 131

An export shall preserve readable decisions, identities, configurations, requirements, actual results and relationships to supporting evidence. A summary PDF without the necessary source evidence shall not be described as a complete transferable dossier. Migration and restoration shall verify records and relationships, not merely file counts.

Workflow validation; prohibited-case tests; attributable approvals; complete exports; relationship and recovery verification.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

3 Required source-table fields and decision controls

Each original normative table row is retained below with its source field names. Table V-2 and V-3 completeness indexes are implemented in AF-CM-9100-001; they are not counted as new independent technical acceptance criteria. Illustrated filled values are not converted into universal obligations.

Table A-1 — Module selection rules

A-1:row01 | Source pp. 50, 51

Activity or effect: All organizations | Required AF coverage: Clauses 1–10; 22; relevant 23–28; Annexes A, B, D, V, W | Additional evidence focus: Scope, processes, competence, evidence integrity, evaluation and claims.

STATE

EVIDENCE / APPROVED N/A BASIS

REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

A-1:row02 | Source pp. 50, 51

Activity or effect: System design or integration | Required AF coverage: 11; relevant parts of 8.3; Annex C | Additional evidence focus: Requirements allocation, interfaces, lifecycle gates and assurance case.

STATE

EVIDENCE / APPROVED N/A BASIS

REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

A-1:row03 | Source pp. 50, 51

Activity or effect: Software or programmable hardware | Required AF coverage: 12; 13; Annexes N, O | Additional evidence focus: Controlled digital lifecycle, configuration, verification and security.

STATE

EVIDENCE / APPROVED N/A BASIS

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Gap / required action / continuation record:

A-1:row04 | Source pp. 50, 51

Activity or effect: AI in product, inspection or engineering | Required AF coverage: 12.4–12.7; Annex N | Additional evidence focus: Use case, data lineage, independent evaluation and bounded authority.

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Gap / required action / continuation record:

A-1:row05 | Source pp. 50, 51

Activity or effect: Connected product, OT or remote service | Required AF coverage: 13; Annex O | Additional evidence focus: Trust boundaries, identity, updates, incident response and recovery.

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Gap / required action / continuation record:

A-1:row06 | Source pp. 50, 51

Activity or effect: Space mission or space- purpose equipment | Required AF coverage: 14; Annex P | Additional evidence focus: Mission environment, ground/space interfaces, end-of-life and remote assurance.

STATE
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Gap / required action / continuation record:

A-1:row07 | Source pp. 50, 51

Activity or effect: Aircraft, UAS, aviation equipment or services | Required AF coverage: 15; Annex Q | Additional evidence focus: Approval interfaces, installation, operational domain and continued support.

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Gap / required action / continuation record:

A-1:row08 | Source pp. 50, 51

Activity or effect: Defense land, maritime, air or multi-domain work | Required AF coverage: 16; Annex R | Additional evidence focus: Contract obligations, controlled information, integration and lifecycle support.

STATE
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Gap / required action / continuation record:

A-1:row09 | Source pp. 50, 51

Activity or effect: Defense automotive or mission vehicles | Required AF coverage: 16.3; relevant 12-13, 18-21; Annex R | Additional evidence focus: Duty cycle, modified-platform effects, road/mission approval boundaries.

STATE
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Gap / required action / continuation record:

A-1:row10 | Source pp. 50, 51

Activity or effect: Lunar or planetary mobility | Required AF coverage: 14.7; relevant 11-13, 18-21; Annex P | Additional evidence focus: Space-environment qualification; terrestrial qualification limitations.

STATE
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Gap / required action / continuation record:

A-1:row11 | Source pp. 50, 51

Activity or effect: Industrial machinery, plant or infrastructure | Required AF coverage: 17; Annex S | Additional evidence focus: Design basis, code interfaces, installation, commissioning and integrity.

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Gap / required action / continuation record:

A-1:row12 | Source pp. 50, 51

Activity or effect: Materials, manufacture or special processing | Required AF coverage: 18; 8.5; Annexes K, L | Additional evidence focus: Process qualification, essential variables, genealogy and first article evidence.

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Gap / required action / continuation record:

A-1:row13 | Source pp. 50, 51

Activity or effect: Energy storage, fuel or propulsion | Required AF coverage: 19; relevant sector annex | Additional evidence focus: Coupled hazards, operating limits, degradation and emergency interfaces.

STATE
EVIDENCE / APPROVED N/A BASIS
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Gap / required action / continuation record:

A-1:row14 | Source pp. 50, 51

Activity or effect: External provision or supply responsibility | Required AF coverage: 8.4; Annex J | Additional evidence focus: Source approval, flow-down, delegated verification and authenticity.

STATE
EVIDENCE / APPROVED N/A BASIS
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Gap / required action / continuation record:

A-1:row15 | Source pp. 50, 51

Activity or effect: Test, calibration or inspection service | Required AF coverage: 7.6–7.7; 8.3.4; Annex M | Additional evidence focus: Method validity, uncertainty, traceability and decision rules.

STATE
EVIDENCE / APPROVED N/A BASIS
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Gap / required action / continuation record:

A-1:row16 | Source pp. 50, 51

Activity or effect: Maintenance, overhaul, distribution or logistics | Required AF coverage: 21; Annex T | Additional evidence focus: Capability, current data, life status, custody and authorized release.

STATE
EVIDENCE / APPROVED N/A BASIS
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Gap / required action / continuation record:

A-1:row17 | Source pp. 50, 51

Activity or effect: Lifecycle environmental or human-system effects | Required AF coverage: 20; relevant sector requirements | Additional evidence focus: Impact boundaries, human factors, credible claims and retirement controls.

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Gap / required action / continuation record:

A-1:row18 | Source pp. 50, 51

Activity or effect: Novel or previously unlisted activity | Required AF coverage: 6.6; 11; 20.6; applicable existing modules | Additional evidence focus: Hazard-driven extension; evidence gaps; approved technical basis.

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Gap / required action / continuation record:

A-1:row19 | Source pp. 50, 51

Activity or effect: Product or integrated- system claim | Required AF coverage: 23; Annexes AA, AD, AG; relevant K-S | Additional evidence focus: Exact configuration/family and technical profile; qualification versus instance acceptance.

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Gap / required action / continuation record:

A-1:row20 | Source pp. 50, 51

Activity or effect: Service conformity claim | Required AF coverage: 24; Annexes AA, AD, AG; relevant T | Additional evidence focus: Service boundary, outcomes, capacity, continuity and observed delivery.

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Gap / required action / continuation record:

A-1:row21 | Source pp. 50, 51

Activity or effect: Process qualification claim | Required AF coverage: 25; Annexes AA, AD, AG; relevant L | Additional evidence focus: Qualified process window, site, equipment, essential variables and monitoring.

STATE
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Gap / required action / continuation record:

A-1:row22 | Source pp. 50, 51

Activity or effect: Personnel competence or task authorization | Required AF coverage: 26; Annex AE; AB for assessment roles | Additional evidence focus: Role and task criteria, demonstrated competence and bounded authorization.

STATE
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Gap / required action / continuation record:

A-1:row23 | Source pp. 50, 51

Activity or effect: Subcontracted or multi-tier work | Required AF coverage: 27; Annexes AF, J | Additional evidence focus: Accountability, actual performer, flow-down, changes, evidence and exit.

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Gap / required action / continuation record:

A-1:row24 | Source pp. 50, 51

Activity or effect: Assessment, inspection or laboratory operation | Required AF coverage: 28; Annexes AB, AH; applicable AA-AI | Additional evidence focus: Body competence, impartiality, valid methods and independent decisions.

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Gap / required action / continuation record:

Table B-1 — AF consequence categories
B-1:row01 | Source pp. 52

Category: C0 — Ordinary | Consequence basis: No credible safety effect or significant mission/service consequence within the stated use. | Minimum assurance response: Controlled requirements, competent execution, acceptance evidence and proportionate internal review.

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Gap / required action / continuation record:

B-1:row02 | Source pp. 52

Category: C1 — Significant | Consequence basis: Recoverable degradation, material rework or service interruption with no credible severe injury or comparable high-consequence effect. | Minimum assurance response: Documented risk and interface review; verification plan; reviewer not the sole originator where practicable; defined recovery.

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Gap / required action / continuation record:

B-1:row03 | Source pp. 52

Category: C2 — Critical | Consequence basis: Credible serious injury, major mission loss, major environmental harm or prolonged loss of an essential service. | Minimum assurance response: Formal hazard analysis; independent technical review; controlled critical characteristics; demonstrated mitigations; authorized residual-risk decision.

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Gap / required action / continuation record:

B-1:row04 | Source pp. 52

Category: C3 — Catastrophic | Consequence basis: Credible fatalities, catastrophic system loss with safety consequences, or comparable catastrophic harm in the applicable domain. | Minimum assurance response: Organizationally independent assurance challenge; explicit safety case; rigorous evidence and configuration control; highest designated technical and accountable approvals.

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Gap / required action / continuation record:

Table B-2 — Tailoring dimensions
B-2:row01 | Source pp. 52

Dimension: Requirements | C0 / C1 baseline: Defined acceptance criteria and controlled changes. | C2 / C3 additional expectation: Bidirectional traceability of safety/mission controls; independent review of derived requirements.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

B-2:row02 | Source pp. 52

Dimension: Design and evidence | C0 / C1 baseline: Review appropriate to complexity. | C2 / C3 additional expectation: Independent verification of critical assumptions and evidence; unresolved counter-evidence escalated.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

B-2:row03 | Source pp. 52

Dimension: Suppliers | C0 / C1 baseline: Scope-based approval and monitoring. | C2 / C3 additional expectation: Critical sub-tier visibility; process qualification; authenticity strategy; change and escape notification.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

B-2:row04 | Source pp. 52

Dimension: Measurement | C0 / C1 baseline: Suitable method and equipment. | C2 / C3 additional expectation: Uncertainty and decision risk explicitly justified for critical acceptance characteristics.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

B-2:row05 | Source pp. 52

Dimension: Software and AI | C0 / C1 baseline: Controlled versions and functional verification. | C2 / C3 additional expectation: Assurance independence, failure-domain analysis, robust anomaly control and bounded adaptation.

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Gap / required action / continuation record:

B-2:row06 | Source pp. 52

Dimension: Release | C0 / C1 baseline: Authorized person confirms completed plan. | C2 / C3 additional expectation: Critical-control completeness, safety review and independent challenge of remaining limitations.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

B-2:row07 | Source pp. 52

Dimension: Field support | C0 / C1 baseline: Feedback and corrective action. | C2 / C3 additional expectation: Population traceability, urgent notification, monitored safety assumptions and lifecycle support.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

B-2:row08 | Source pp. 52

Dimension: Change | C0 / C1 baseline: Impact-based review. | C2 / C3 additional expectation: Reopen affected safety arguments and qualification; approval at an equivalent authority level.

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Gap / required action / continuation record:

Table C-1 — Lifecycle transition requirements

C-1:row01 | Source pp. 54

Gate: G0 — Concept and feasibility | Required evidence before decision: User need; intended domain; candidate architecture; initial hazards; applicable obligations; technology gaps; support concept. | Exit condition: The mission is defined, feasibility gaps are owned and unacceptable concepts are eliminated or bounded.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

C-1:row02 | Source pp. 54

Gate: G1 — Requirements baseline | Required evidence before decision: Traceable requirements; acceptance methods; interfaces; special requirements; constraints; initial assurance allocation. | Exit condition: Requirements are coherent and verifiable; open assumptions cannot invalidate the next work stage.

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Gap / required action / continuation record:

C-1:row03 | Source pp. 54

Gate: G2 — Architecture and preliminary design | Required evidence before decision: Allocated functions; hazard controls; budgets; supplier strategy; model assumptions; planned V&V; independence. | Exit condition: Architecture plausibly satisfies requirements and critical assumptions have a verification path.

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Gap / required action / continuation record:

C-1:row04 | Source pp. 54

Gate: G3 — Detailed design release | Required evidence before decision: Controlled design outputs; analyses; software architecture; process and material suitability; updated hazards; interface agreement. | Exit condition: Design data are sufficient for controlled realization; required reviews and approvals are complete.

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Gap / required action / continuation record:

C-1:row05 | Source pp. 54

Gate: G4 — Manufacturing or service readiness | Required evidence before decision: Qualified processes; competent personnel; equipment; work instructions; inspection methods; source approvals; traceability. | Exit condition: The actual route can produce or perform the defined output with valid acceptance evidence.

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Gap / required action / continuation record:

C-1:row06 | Source pp. 54

Gate: G5 — Test and integration readiness | Required evidence before decision: Test configuration; procedures; instrumentation; uncertainty; safety arrangements; acceptance criteria; anomaly rules. | Exit condition: The test or integration can proceed safely and produce interpretable evidence for the intended claims.

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Gap / required action / continuation record:

C-1:row07 | Source pp. 54

Gate: G6 — Qualification and operational readiness | Required evidence before decision: Verification results; validation; configuration reconciliation; resolved anomalies; training; support; contingency capability. | Exit condition: Required performance and controls are demonstrated for the approved domain; limitations are accepted by authorized parties.

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Gap / required action / continuation record:

C-1:row08 | Source pp. 54

Gate: G7 — Delivery or deployment | Required evidence before decision: Acceptance dossier; authorized deviations; life status; software manifest; required documentation; release checklist. | Exit condition: All release-blocking obligations are closed and the receiving party has the necessary information.

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Gap / required action / continuation record:

C-1:row09 | Source pp. 54

Gate: G8 — Change or life extension | Required evidence before decision: Current condition; field evidence; changed requirements; remaining life; impact analysis; requalification and support. | Exit condition: Continued or modified use is justified for a bounded configuration and period; unsupported assumptions are not carried forward.

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Gap / required action / continuation record:

C-1:row10 | Source pp. 54

Gate: G9 — Retirement and disposal | Required evidence before decision: Isolation plan; hazardous inventory; reuse restrictions; disposal route; sensitive data; records and remaining-user support. | Exit condition: Disposition is verified and remaining obligations have an owner and accessible evidence.

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Gap / required action / continuation record:

Table C-2 — Minimum gate-decision record
C-2:row01 | Source pp. 54

Field: Identity | Required content: Program, gate, date, reviewed configuration, evidence-package version.

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Gap / required action / continuation record:

C-2:row02 | Source pp. 54

Field: Participants | Required content: Decision authority, technical reviewers, independent reviewer and conflicts of interest.

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Gap / required action / continuation record:

C-2:row03 | Source pp. 54

Field: Criteria | Required content: Entry and exit criteria, status against each criterion and evidence references.

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Gap / required action / continuation record:

C-2:row04 | Source pp. 54

Field: Open matters | Required content: Issues, assumptions, risk decisions, dissent and required external approvals.

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Gap / required action / continuation record:

C-2:row05 | Source pp. 54

Field: Decision | Required content: Pass, conditional progression or hold; exact activities permitted or prohibited.

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Gap / required action / continuation record:

C-2:row06 | Source pp. 54

Field: Conditions | Required content: Owner, due date, verification method, dependent activity and escalation trigger.

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Gap / required action / continuation record:

C-2:row07 | Source pp. 54

Field: Closure | Required content: Evidence of completion, independent verification where required, and authority to release the dependency.

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Gap / required action / continuation record:

Table D-1 — Required lifecycle data entities

D-1:row01 | Source pp. 55

Entity: Requirement | Minimum fields: ID; revision; statement; source; rationale; criticality; owner; acceptance criterion; status. | Required relationships: Parent need; allocated item/function; verification case; applicable obligation.

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Gap / required action / continuation record:

D-1:row02 | Source pp. 55

Entity: Configuration item | Minimum fields: ID; type; revision; physical/software identity; owner; baseline; approved use. | Required relationships: Requirements; BOM; interfaces; change history; as-built or deployed instances.

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Gap / required action / continuation record:

D-1:row03 | Source pp. 55

Entity: Material or component lot | Minimum fields: Source; manufacturer; lot/batch; quantity; condition; certificate; received date. | Required relationships: Incoming verification; process route; consumed serials; split/merge history.

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Gap / required action / continuation record:

D-1:row04 | Source pp. 55

Entity: Verification case | Minimum fields: ID; method; requirement; configuration; procedure; environment; uncertainty; acceptance rule. | Required relationships: Test article; equipment; raw data; result; anomaly and disposition.

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Gap / required action / continuation record:

D-1:row05 | Source pp. 55

Entity: Process execution | Minimum fields: Route revision; operation; performer; date/time; equipment; parameters; material; result. | Required relationships: Lot/serial; qualified procedure; inspection; nonconformity; next authorized step.

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Gap / required action / continuation record:

D-1:row06 | Source pp. 55

Entity: Change | Minimum fields: ID; reason; baseline before/after; impact; approvals; effectivity; verification. | Required relationships: Affected requirements/items; delivered population; suppliers; support information.

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Gap / required action / continuation record:

D-1:row07 | Source pp. 55

Entity: Hazard or risk | Minimum fields: ID; scenario; consequence; likelihood basis; exposure; controls; owner; residual decision. | Required relationships: Requirements; mitigations; verification evidence; operational limitations.

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Gap / required action / continuation record:

D-1:row08 | Source pp. 55

Entity: Release | Minimum fields: ID; configuration; scope; acceptance evidence; concessions; restrictions; authorized identity; date. | Required relationships: Requirements baseline; product serial/lot; delivery dossier; service-life status.

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Gap / required action / continuation record:

D-1:row09 | Source pp. 55

Entity: Digital artifact | Minimum fields: Artifact ID; version; source/build; dependencies; hash; signature; provenance; access class. | Required relationships: Requirements; verification; release; deployment instances; vulnerabilities.

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Gap / required action / continuation record:

D-1:row10 | Source pp. 55

Entity: Retirement | Minimum fields: Asset identity; condition; hazardous inventory; reuse restrictions; disposition; verifier. | Required relationships: Life history; disposal evidence; retained records; remaining obligations.

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Gap / required action / continuation record:

Table J-1 — Supplier qualification dossier

J-1:row01 | Source pp. 69

Element: Identity and scope | Required evidence: Legal/site identity; ownership or relevant control; exact products, processes and services. | Decision or action: Establish the source actually performing the work.

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Gap / required action / continuation record:

J-1:row02 | Source pp. 69

Element: Technical capability | Required evidence: Personnel, facilities, equipment, process qualification, current specifications and prior representative work. | Decision or action: Determine suitability for the assigned scope; identify required trials.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

J-1:row03 | Source pp. 69

Element: Quality and assurance | Required evidence: Implemented processes, records, internal audit, management review and corrective- action examples. | Decision or action: Assess effectiveness, not only the existence of a manual.

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Gap / required action / continuation record:

J-1:row04 | Source pp. 69

Element: Product safety and criticality | Required evidence: Critical items, hazards, required independence and acceptance controls. | Decision or action: Set enhanced surveillance and release conditions where necessary.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

J-1:row05 | Source pp. 69

Element: Authenticity and traceability | Required evidence: Original source, chain of custody, material verification and counterfeiting controls. | Decision or action: Approve channels and incoming confirmation strategy.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

J-1:row06 | Source pp. 69

Element: Digital integrity | Required evidence: Software inventory, update controls, access, security support and evidence protection. | Decision or action: Resolve uncontrolled dependencies or insecure data interfaces.

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Gap / required action / continuation record:

J-1:row07 | Source pp. 69

Element: Capacity and continuity | Required evidence: Demonstrated throughput, inspection capacity, critical dependencies and recovery arrangements. | Decision or action: Set volume limits, contingency plans or conditional approval.

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Gap / required action / continuation record:

J-1:row08 | Source pp. 69

Element: Sub-tier controls | Required evidence: Identification of critical sub-tiers; flow-down; change approvals; source verification. | Decision or action: Confirm requirements reach the point of performance.

STATE
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Gap / required action / continuation record:

J-1:row09 | Source pp. 69

Element: Ethics and obligations | Required evidence: Conflicts, truthful evidence, authorized access and relevant controlled-technology obligations. | Decision or action: Resolve unacceptable conflicts or prohibited arrangements.

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Gap / required action / continuation record:

J-1:row10 | Source pp. 69

Element: Approval and surveillance | Required evidence: Competent review; approval scope; conditions; monitoring frequency and triggers. | Decision or action: Record approved, conditional, restricted, suspended or disapproved status.

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Gap / required action / continuation record:

Table J-2 — Purchasing and flow-down content

J-2:row01 | Source pp. 69, 70

Topic: Technical baseline | Required purchasing provision: Part/service identity, revision, drawings or model authority, specifications, quantities and applicable acceptance criteria.

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Gap / required action / continuation record:

J-2:row02 | Source pp. 69, 70

Topic: Process approval | Required purchasing provision: Required special processes, sources, qualification, essential-variable control and requalification triggers.

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Gap / required action / continuation record:

J-2:row03 | Source pp. 69, 70

Topic: People | Required purchasing provision: Required competence, task authorization and any mandatory qualifications.

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Gap / required action / continuation record:

J-2:row04 | Source pp. 69, 70

Topic: Critical characteristics | Required purchasing provision: Identification, control method, measurement results and required independent verification.

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Gap / required action / continuation record:

J-2:row05 | Source pp. 69, 70

Topic: Change | Required purchasing provision: Prior notification and approval conditions for design, process, material, source, site, software or ownership changes affecting the work.

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Gap / required action / continuation record:

J-2:row06 | Source pp. 69, 70

Topic: Nonconformity | Required purchasing provision: Notification, containment, disposition authority and prohibition of unauthorized repair or use-as-is.

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Gap / required action / continuation record:

J-2:row07 | Source pp. 69, 70

Topic: Authenticity | Required purchasing provision: Source identity, traceability, suspect-item handling and counterfeit reporting responsibilities.

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Gap / required action / continuation record:

J-2:row08 | Source pp. 69, 70

Topic: Verification | Required purchasing provision: Inspection/test method, sampling if authorized, specimens, witnessing and required raw/result evidence.

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Gap / required action / continuation record:

J-2:row09 | Source pp. 69, 70

Topic: Records | Required purchasing provision: Required content, retention, availability, format, protection, transfer on closure and authorized disposal.

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Gap / required action / continuation record:

J-2:row10 | Source pp. 69, 70

Topic: Access and sub-tiers | Required purchasing provision: Applicable authorized access and flow-down to the actual lower-tier performer.

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Gap / required action / continuation record:

J-2:row11 | Source pp. 69, 70

Topic: Delivery | Required purchasing provision: Configuration, certificates, life status, preservation, restrictions and required accompanying information.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

J-2:row12 | Source pp. 69, 70

Topic: Ethical and safety awareness | Required purchasing provision: Contribution to conformity and safety; truthful records; reporting and non-retaliation expectations.

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Gap / required action / continuation record:

Table K-1 — Required first article record sections
K-1:row01 | Source pp. 71

Section: Product accountability | Minimum required content: Part/service identity; revision; serial/lot; assembly hierarchy; production order; first article reason and full/partial status.

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Gap / required action / continuation record: 		

K-1:row02 | Source pp. 71

Section: Production route | Minimum required content: Actual site, line, equipment, tools, machine programs, work instructions and applicable revisions.

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Gap / required action / continuation record: 		

K-1:row03 | Source pp. 71

Section: Material and process evidence | Minimum required content: Material identity and certificates; authenticity checks; special-process qualifications; external-source approvals.

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Gap / required action / continuation record: 		

K-1:row04 | Source pp. 71

Section: Characteristic accountability | Minimum required content: Unique characteristic ID; design location; requirement; units; criticality; method; actual result; uncertainty/decision rule where relevant.

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Gap / required action / continuation record: 		

K-1:row05 | Source pp. 71

Section: Functional and software evidence | Minimum required content: Functional requirements; software/firmware configuration; build identity; test procedure and actual results.

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Gap / required action / continuation record: 		

K-1:row06 | Source pp. 71

Section: Nonconformities | Minimum required content: NCR links; technical disposition; repair/rework evidence; required customer or design- authority approval.

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Gap / required action / continuation record: 		

K-1:row07 | Source pp. 71

Section: Review and release | Minimum required content: Completeness check; independent review where required; authorized conclusion; remaining restrictions and records index.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Table L-1 — Qualification dossier contents
L-1:row01 | Source pp. 72

Topic: Scope and boundaries | Required technical content: Process family; materials; thickness/geometry ranges; product criticality; intended use. | Control after approval: Prevent application outside the demonstrated scope.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

L-1:row02 | Source pp. 72

Topic: Essential variables | Required technical content: Parameters that can alter relevant properties; interactions; approved ranges; measurement capability. | Control after approval: Monitor and record actual values; define excursion response.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

L-1:row03 | Source pp. 72

Topic: Facilities and equipment | Required technical content: Equipment identity; calibration; uniformity or performance checks; utilities; environment. | Control after approval: Maintain condition and reassess after relocation or major repair.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

L-1:row04 | Source pp. 72

Topic: Personnel | Required technical content: Task competence, qualification method, authorization and supervision. | Control after approval: Reassess after change, inactivity or poor performance.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

L-1:row05 | Source pp. 72

Topic: Consumables and inputs | Required technical content: Source, material condition, shelf/out-time, preparation and contamination controls. | Control after approval: Track lots and prevent unauthorized substitution.

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Gap / required action / continuation record:

L-1:row06 | Source pp. 72

Topic: Qualification samples | Required technical content: Representativeness, preparation, locations, destructive/NDT methods and acceptance. | Control after approval: Retain the relationship to the qualified process and production.

STATE
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Gap / required action / continuation record:

L-1:row07 | Source pp. 72

Topic: Results and uncertainty | Required technical content: Actual results, variability, method limitations, uncertainty and deviations. | Control after approval: Use valid evidence; do not hide failed or excluded trials.

STATE
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Gap / required action / continuation record:

L-1:row08 | Source pp. 72

Topic: Approved process | Required technical content: Released procedure, parameter window, inspection plan and approval authority. | Control after approval: Control revisions and point-of-use access.

STATE
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Gap / required action / continuation record:

L-1:row09 | Source pp. 72

Topic: Continuing validation | Required technical content: Monitoring, periodic checks, witness samples or audits as justified. | Control after approval: Detect drift before output escapes.

STATE
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Gap / required action / continuation record:

L-1:row10 | Source pp. 72

Topic: Requalification | Required technical content: Triggers, impact assessment, full/partial basis and required approval. | Control after approval: No unrestricted production until necessary evidence is restored.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Table M-1 — Test-plan and report data requirements
M-1:row01 | Source pp. 73

Area: Identity | Required content: Program; requirement IDs; test/report IDs; revision; article serial/lot; hardware/software configuration.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

M-1:row02 | Source pp. 73

Area: Objective | Required content: Claim being evaluated; acceptance criteria; excluded claims; required confidence or coverage.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

M-1:row03 | Source pp. 73

Area: Method | Required content: Procedure; setup; sequence; conditioning; instrumentation; sampling; data processing; approved deviations.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

M-1:row04 | Source pp. 73

Area: Environment | Required content: Relevant physical conditions, profiles, tolerances, duration, interfaces and monitoring locations.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

M-1:row05 | Source pp. 73

Area: Measurement | Required content: Equipment identity, calibration, range, resolution, uncertainty, correction and decision rule.

STATE
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Gap / required action / continuation record:

M-1:row06 | Source pp. 73

Area: Safety and authority | Required content: Test authorization, hazards, limits, abort criteria, emergency arrangements and responsible personnel.

STATE
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Gap / required action / continuation record:

M-1:row07 | Source pp. 73

Area: Execution | Required content: Actual date/time, performer, observations, raw data, environmental records, anomalies and interruptions.

STATE
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Gap / required action / continuation record:

M-1:row08 | Source pp. 73

Area: Analysis | Required content: Calculations, software/tools, assumptions, exclusions, uncertainty, comparison with criteria and limitations.

STATE
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Gap / required action / continuation record:

M-1:row09 | Source pp. 73

Area: Review | Required content: Technical review, independent review when required, anomaly disposition and authorized conclusion.

STATE
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Gap / required action / continuation record:

M-1:row10 | Source pp. 73

Area: Retention | Required content: Raw and processed data, configuration, photographs where useful, records location, access and retention.

STATE
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Gap / required action / continuation record:

Table M-2 — Qualification-domain matrix

M-2:row01 | Source pp. 73

Domain: Mechanical / structural | Program-specific basis to establish: Loads, dynamics, fatigue duty, attachment, shock/vibration and structural acceptance. | Evidence limitations to address: Boundary conditions, scaling, article representativeness and cumulative damage.

STATE
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Gap / required action / continuation record:

M-2:row02 | Source pp. 73

Domain: Thermal / climatic | Program-specific basis to establish: Temperature, humidity, icing, dust, salt, altitude and cycling as applicable. | Evidence limitations to address: Dwell, gradients, condensation, combined environments and service duration.

STATE
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Gap / required action / continuation record:

M-2:row03 | Source pp. 73

Domain: Space environment | Program-specific basis to establish: Vacuum, thermal balance/cycling, radiation, charging and contamination. | Evidence limitations to address: Mission equivalence, dosimetry, material behavior and inaccessible damage.

STATE
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Gap / required action / continuation record:

M-2:row04 | Source pp. 73

Domain: Electrical / EMC | Program-specific basis to establish: Power quality, transients, emissions, immunity, grounding, ESD and relevant external fields. | Evidence limitations to address: Installation effects, cable configuration, modes, frequency coverage and failure criteria.

STATE
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Gap / required action / continuation record:

M-2:row05 | Source pp. 73

Domain: Fire / hazardous energy | Program-specific basis to establish: Applicable ignition, containment, propagation, smoke or emergency requirements. | Evidence limitations to address: Scale, ventilation, material state, energy inventory and authorized facility capability.

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Gap / required action / continuation record:

M-2:row06 | Source pp. 73

Domain: Software / digital | Program-specific basis to establish: Requirements, interfaces, timing, robustness, security and configuration. | Evidence limitations to address: Coverage, target equivalence, systematic defects and tool limitations.

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Gap / required action / continuation record:

M-2:row07 | Source pp. 73

Domain: AI / autonomy | Program-specific basis to establish: Domain, scenario coverage, data quality, performance, fallback and intervention. | Evidence limitations to address: Distribution shift, rare conditions, confidence and authority boundaries.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

M-2:row08 | Source pp. 73

Domain: Human-system / operations | Program-specific basis to establish: Representative users, tasks, workload, emergency and maintenance conditions. | Evidence limitations to address: Participant representativeness, learning effects and simulated-environment limits.

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Gap / required action / continuation record:

Table N-1 — Software and programmable-hardware release card
N-1:row01 | Source pp. 75

Field group: Identity | Required content: Product; version; source revision; build identity; target hardware; relevant programmable logic.

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Gap / required action / continuation record:

N-1:row02 | Source pp. 75

Field group: Intended function | Required content: Allocated requirements; safety/mission criticality; operating modes and domain.

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Gap / required action / continuation record:

N-1:row03 | Source pp. 75

Field group: Architecture | Required content: Interfaces; partitioning; timing; resources; fault containment and recovery.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

N-1:row04 | Source pp. 75

Field group: Build and dependencies | Required content: Toolchain; compiler/settings; libraries; SBOM; hashes; reproducibility evidence.

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Gap / required action / continuation record:

N-1:row05 | Source pp. 75

Field group: Verification | Required content: Requirements coverage; test environment; structural/functional criteria; robustness; target differences.

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Gap / required action / continuation record:

N-1:row06 | Source pp. 75

Field group: Anomalies | Required content: Open and closed defects; severity; affected configuration; mitigations; acceptance authority.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

N-1:row07 | Source pp. 75

Field group: Security | Required content: Threat-model linkage; vulnerability decisions; secure configuration; update and credential controls.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

N-1:row08 | Source pp. 75

Field group: Deployment and support | Required content: Installation checks; compatibility; rollback; monitoring; maintenance and end-of-support.

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Gap / required action / continuation record:

N-1:row09 | Source pp. 75

Field group: Approval | Required content: Technical owner; independent reviewer where required; release authority; date and restrictions.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Table N-2 — AI-specific evidence card
N-2:row01 | Source pp. 75

Element: Purpose and authority | Required content: Decision supported; actions allowed; human responsibilities; prohibited uses; affected people and systems.

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Gap / required action / continuation record:

N-2:row02 | Source pp. 75

Element: Domain | Required content: Environment; sensors; input ranges; relevant populations; timing; degraded and excluded conditions.

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Gap / required action / continuation record:

N-2:row03 | Source pp. 75

Element: Data | Required content: Sources; rights; collection; labeling; quality checks; partitions; leakage prevention; coverage and limitations.

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Gap / required action / continuation record:

N-2:row04 | Source pp. 75

Element: Model | Required content: Architecture/type; version; training configuration; preprocessing; thresholds; dependencies; reproducibility.

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Gap / required action / continuation record:

N-2:row05 | Source pp. 75

Element: Evaluation | Required content: Independent test design; representative scenarios; rare/challenge cases; metrics; denominators; uncertainty.

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Gap / required action / continuation record:

N-2:row06 | Source pp. 75

Element: Robustness | Required content: Invalid/missing inputs; OOD detection; foreseeable misuse; relevant adversarial conditions; fallback.

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Gap / required action / continuation record:

N-2:row07 | Source pp. 75

Element: Deployment | Required content: Monitoring; drift; incident handling; rollback; controlled adaptation; update approval.

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Gap / required action / continuation record:

N-2:row08 | Source pp. 75

Element: Decision | Required content: Requirement-by-requirement result; unresolved limitations; independent review; authorized operating boundary.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Table O-1 — Required security and integrity records

O-1:row01 | Source pp. 77

Record: Asset/trust model | Minimum content: Assets, identities, interfaces, zones, data flows, dependencies and trust assumptions.

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Gap / required action / continuation record:

O-1:row02 | Source pp. 77

Record: Threat and impact assessment | Minimum content: Credible threats, exposure, safety/mission consequences, controls and residual decisions.

STATE
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Gap / required action / continuation record:

O-1:row03 | Source pp. 77

Record: Access record | Minimum content: Role, identity, privileges, approver, start/end, emergency use and periodic review.

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REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

O-1:row04 | Source pp. 77

Record: SBOM and dependencies | Minimum content: Components, versions, provenance, known exposure, support status and disposition.

STATE
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Gap / required action / continuation record:

O-1:row05 | Source pp. 77

Record: Vulnerability record | Minimum content: Report source, affected versions, severity basis, exploitability context, mitigation, deadline and verification.

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Gap / required action / continuation record:

O-1:row06 | Source pp. 77

Record: Update manifest | Minimum content: Target identity, old/new configuration, origin/integrity evidence, compatibility, authorization and rollback conditions.

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Gap / required action / continuation record:

O-1:row07 | Source pp. 77

Record: Incident record | Minimum content: Timeline, evidence preservation, affected population, containment, communication, root cause and recovery approval.

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Gap / required action / continuation record:

O-1:row08 | Source pp. 77

Record: Recovery test | Minimum content: RTO/RPO basis, backup identity, restoration duration, integrity checks, configuration reconciliation and result.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

O-1:row09 | Source pp. 77

Record: Crypto-agility record | Minimum content: Algorithms, keys/certificates, support horizon, dependencies, migration needs and verification.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

O-1:row10 | Source pp. 77

Record: Supplier interface | Minimum content: Access conditions, notification duties, update responsibilities, evidence rights and termination controls.

STATE
EVIDENCE / APPROVED N/A BASIS
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Gap / required action / continuation record:

Table P-1 — Space assurance evidence matrix

P-1:row01 | Source pp. 78, 79

Topic: Mission and responsibility | Required evidence and decision: Mission concept, success criteria, system boundary, approval interfaces and responsibilities for launch, space, ground and disposal. | Typical responsible role: Program technical authority.

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Gap / required action / continuation record:

P-1:row02 | Source pp. 78, 79

Topic: Requirements and interfaces | Required evidence and decision: Allocated requirements, interface-control documents, timing, communication, power, mechanical and environmental compatibility. | Typical responsible role: Systems engineering.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

P-1:row03 | Source pp. 78, 79

Topic: Parts and materials | Required evidence and decision: Approved parts/material list, source traceability, suitability evidence and mission- specific limitations. | Typical responsible role: Parts/materials assurance.

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Gap / required action / continuation record:

P-1:row04 | Source pp. 78, 79

Topic: Radiation and charging | Required evidence and decision: Relevant environment, susceptibility assessment, protection assumptions, verification and residual limitations. | Typical responsible role: Qualified environment specialist.

STATE
EVIDENCE / APPROVED N/A BASIS
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Gap / required action / continuation record:

P-1:row05 | Source pp. 78, 79

Topic: Thermal and vacuum | Required evidence and decision: Model credibility, thermal cases, qualification/acceptance rationale and test- article representativeness. | Typical responsible role: Thermal and test authorities.

STATE
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Gap / required action / continuation record:

P-1:row06 | Source pp. 78, 79

Topic: Mechanical environment | Required evidence and decision: Launch/transport loads, vibration/shock basis, test configuration, margins and cumulative exposure. | Typical responsible role: Structures and test authorities.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

P-1:row07 | Source pp. 78, 79

Topic: Contamination | Required evidence and decision: Particulate/molecular or biological controls as applicable, monitoring, integration discipline and excursions. | Typical responsible role: Contamination authority.

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EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

P-1:row08 | Source pp. 78, 79

Topic: Software and command | Required evidence and decision: Controlled flight/ground software, command authority, authentication, timing, recovery and anomaly response. | Typical responsible role: Software/security/operations authorities.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

P-1:row09 | Source pp. 78, 79

Topic: Energy and resources | Required evidence and decision: Power/energy budgets, degradation, reserve definitions, safe modes and end-of-life resource needs. | Typical responsible role: Subsystem and mission authorities.

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EVIDENCE / APPROVED N/A BASIS
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Gap / required action / continuation record:

P-1:row10 | Source pp. 78, 79

Topic: Reliability and hazards | Required evidence and decision: Failure analysis, common causes, inaccessible repairs, redundant-function assumptions and independent safety argument. | Typical responsible role: Reliability and safety authorities.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

P-1:row11 | Source pp. 78, 79

Topic: Ground and operations | Required evidence and decision: Ground baseline, telemetry interpretation, rehearsals, staffing, handovers, outages and emergency procedures. | Typical responsible role: Operations authority.

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Gap / required action / continuation record:

P-1:row12 | Source pp. 78, 79

Topic: Tracking and disposal | Required evidence and decision: Assigned coordination duties, disposal concept, failure cases, remaining-resource checks and verified disposition. | Typical responsible role: Mission operations and compliance.

STATE
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Gap / required action / continuation record:

P-1:row13 | Source pp. 78, 79

Topic: Human systems | Required evidence and decision: Life-support interfaces, habitability, workload, emergencies and required independent review for human exposure. | Typical responsible role: Human-systems and safety authorities.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

P-1:row14 | Source pp. 78, 79

Topic: Surface mobility | Required evidence and decision: Terrain/environment basis, dust/thermal effects, autonomous limits, communications delay, energy and recovery. | Typical responsible role: Surface-system technical authority.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

P-1:row15 | Source pp. 78, 79

Topic: In-space servicing/manufacture | Required evidence and decision: Remote inspection credibility, material/process qualification, capture/interface risks and safe abort. | Typical responsible role: Servicing/manufacturing authority.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

P-1:row16 | Source pp. 78, 79

Topic: Long-life knowledge | Required evidence and decision: Readable technical records, command history, software reconstruction, supplier exit and continuing support. | Typical responsible role: Configuration and support authorities.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Table Q-1 — Aviation evidence topics

Q-1:row01 | Source pp. 80

Topic: Approval basis | Required evidence: Applicable authority/customer basis, role, approved scope and required submissions. | Release or use restriction: No claim beyond actual authorization.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Q-1:row02 | Source pp. 80

Topic: Aircraft/equipment configuration | Required evidence: Design baseline, installation interfaces, software, hardware and change status. | Release or use restriction: No unreviewed mixed or substituted configuration.

STATE
EVIDENCE / APPROVED N/A BASIS
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Gap / required action / continuation record:

Q-1:row03 | Source pp. 80

Topic: Environmental qualification | Required evidence: Applicable temperature, vibration, electrical, electromagnetic and installation effects. | Release or use restriction: Component evidence valid only for demonstrated conditions.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Q-1:row04 | Source pp. 80

Topic: System safety | Required evidence: Hazards, critical functions, assumptions, failure containment and independent reviews. | Release or use restriction: Unacceptable residual risk blocks the affected release.

STATE
EVIDENCE / APPROVED N/A BASIS
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Gap / required action / continuation record:

Q-1:row05 | Source pp. 80

Topic: Human interfaces | Required evidence: Crew/operator tasks, alerts, workload, errors, training and emergency validation. | Release or use restriction: Operational limitations shall be enforceable.

STATE
EVIDENCE / APPROVED N/A BASIS
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Gap / required action / continuation record:

Q-1:row06 | Source pp. 80

Topic: UAS system boundary | Required evidence: Aircraft, control station, links, supporting services, lost-link behavior and remote personnel. | Release or use restriction: Do not treat aircraft-only evidence as complete UAS evidence.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Q-1:row07 | Source pp. 80

Topic: Advanced mobility energy | Required evidence: Battery/fuel/propulsion integration, degraded modes, ground interfaces and emergency information. | Release or use restriction: Alternative-energy qualification shall match actual architecture.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Q-1:row08 | Source pp. 80

Topic: Airports and ground support | Required evidence: Service interfaces, equipment compatibility, access, procedures and operational changes. | Release or use restriction: Use only within verified compatibility and capability.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Q-1:row09 | Source pp. 80

Topic: Maintenance capability | Required evidence: Current data, personnel authorization, tools, parts eligibility and independent checks. | Release or use restriction: No work outside verified capability/authorization.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Q-1:row10 | Source pp. 80

Topic: Life limits and continuing support | Required evidence: Life consumption, field issues, service instructions, spares and configuration diversity. | Release or use restriction: Unknown life status requires controlled disposition.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Q-1:row11 | Source pp. 80

Topic: Release documentation | Required evidence: Required authorized release, conformity evidence, restrictions and customer/operator information. | Release or use restriction: AF assessment does not replace required aviation release.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Q-1:row12 | Source pp. 80

Topic: Safety communication | Required evidence: Notification responsibilities, recipients, acknowledgement and support for affected population. | Release or use restriction: Do not delay necessary safety information for commercial reasons.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Table R-1 — Defense and mission-vehicle evidence topics
R-1:row01 | Source pp. 81

Area: Contract and quality assurance | Minimum program evidence: Requirements, source-inspection duties, customer access, evidence rights, release and notification obligations. | Decision focus: Confirm actual contractual responsibilities.

STATE
EVIDENCE / APPROVED N/A BASIS
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Gap / required action / continuation record:

R-1:row02 | Source pp. 81

Area: Configuration and mission integration | Minimum program evidence: Platform baseline, payload/service interfaces, software, data and effectivity. | Decision focus: Assess system-level effects of modifications.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

R-1:row03 | Source pp. 81

Area: Land mobility | Minimum program evidence: Duty cycle, loads, terrain, climate, transport, braking/steering, stability, occupant and maintenance interfaces. | Decision focus: Verify the modified vehicle, not only the base chassis.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

R-1:row04 | Source pp. 81

Area: Maritime systems | Minimum program evidence: Environmental and operating basis, integrity boundaries, corrosion, machinery, electrical and human interfaces. | Decision focus: Preserve applicable marine/authority requirements.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

R-1:row05 | Source pp. 81

Area: Air and space components | Minimum program evidence: Applicable aviation/space modules and approval interfaces. | Decision focus: Do not assume defense status removes relevant assurance.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

R-1:row06 | Source pp. 81

Area: Remote/autonomous operation | Minimum program evidence: Human authority, communication loss, domain limits, safe states, intervention and configuration. | Decision focus: Demonstrate bounded and controllable behavior.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

R-1:row07 | Source pp. 81

Area: Energy and protection | Minimum program evidence: Energy-system hazards, isolation, containment, emergency support and approved test conditions. | Decision focus: Ensure coupled hazards are addressed.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

R-1:row08 | Source pp. 81

Area: Manufacturing and authenticity | Minimum program evidence: Qualified critical processes, material origin, sub-tier controls and counterfeit prevention. | Decision focus: Prevent hidden substitutions and unapproved sources.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

R-1:row09 | Source pp. 81

Area: Controlled information | Minimum program evidence: Classification/handling basis, access, authorized transfer, collaboration and publication review. | Decision focus: Membership or commercial interest does not authorize access.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

R-1:row10 | Source pp. 81

Area: Training and non- operational states | Minimum program evidence: Transport, storage, maintenance, demonstration and training configurations and safe conditions. | Decision focus: Assess hazards outside nominal mission operation.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

R-1:row11 | Source pp. 81

Area: Long-life support | Minimum program evidence: Spares, obsolescence, software support, repair data, life status and configuration diversity. | Decision focus: No unsupported “as new” or life-reset claims.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

R-1:row12 | Source pp. 81

Area: Retirement and disposition | Minimum program evidence: Reuse restrictions, sensitive data, hazardous inventories, disposal and retained records. | Decision focus: Prevent unauthorized re-entry or disclosure.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Table S-1 — Industrial lifecycle evidence

S-1:row01 | Source pp. 82

Stage / topic: Design basis | Required evidence: Duty, loads, environment, material basis, codes, protection concept and service life. | Gate or hold condition: Unresolved binding design criteria prevent release.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

S-1:row02 | Source pp. 82

Stage / topic: Procurement | Required evidence: Technical scope, qualified sources, material evidence, inspection and notification requirements. | Gate or hold condition: Unapproved critical source or substitution prevents use.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

S-1:row03 | Source pp. 82

Stage / topic: Fabrication | Required evidence: Qualified procedures/personnel, essential variables, inspections and traceability. | Gate or hold condition: Hidden work not accepted without required evidence.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

S-1:row04 | Source pp. 82

Stage / topic: Installation | Required evidence: Foundation, alignment, anchorage, utilities, access and as-built configuration. | Gate or hold condition: Unverified critical interfaces prevent energization.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

S-1:row05 | Source pp. 82

Stage / topic: Protective functions | Required evidence: Alarms, interlocks, isolation, emergency arrangements and bypass controls. | Gate or hold condition: Failed or unverified protective function blocks affected operation.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

S-1:row06 | Source pp. 82

Stage / topic: Commissioning | Required evidence: Approved sequence, safety review, instrumentation, actual results and anomalies. | Gate or hold condition: Test completion alone does not close failed criteria.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

S-1:row07 | Source pp. 82

Stage / topic: Operational readiness | Required evidence: Training, instructions, maintenance, spares, inspections and responsible operator. | Gate or hold condition: No handover with unresolved blocking capability.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

S-1:row08 | Source pp. 82

Stage / topic: Asset integrity | Required evidence: Degradation mechanisms, inspection methods, intervals, findings and technical dispositions. | Gate or hold condition: Adverse condition triggers restriction or repair assessment.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

S-1:row09 | Source pp. 82

Stage / topic: Modification | Required evidence: Change basis, compatibility, hazard review, requalification and documentation. | Gate or hold condition: Temporary modifications require expiry and restoration control.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

S-1:row10 | Source pp. 82

Stage / topic: Retirement | Required evidence: Isolation, hazardous inventories, structural condition, material/data disposal and records. | Gate or hold condition: Disposition must be verified and obligations assigned.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Table T-1 — Maintenance and repair evidence
T-1:row01 | Source pp. 83

Record: Receipt and condition | Minimum fields: Customer; item identity; configuration; reported defect; physical condition; accompanying history; missing information.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

T-1:row02 | Source pp. 83

Record: Work scope | Minimum fields: Requested tasks; approved technical data; revision; limitations; required approvals; estimate and authorization.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

T-1:row03 | Source pp. 83

Record: Life status | Minimum fields: Time/cycles/exposure; life limits; previous repairs; applicability of service information; uncertainty.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

T-1:row04 | Source pp. 83

Record: Execution | Minimum fields: Task sequence; performer; tools; parts removed/installed; process records; inspections; interruptions and handovers.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

T-1:row05 | Source pp. 83

Record: Independent checks | Minimum fields: Required task; independent competent person; method; actual result; discrepancy resolution.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

T-1:row06 | Source pp. 83

Record: Nonconformity and repair | Minimum fields: Finding; technical basis; approval; affected scope; rework/repair; verification.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

T-1:row07 | Source pp. 83

Record: Final configuration | Minimum fields: As-maintained baseline; installed versions; restored protections; removed temporary devices.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

T-1:row08 | Source pp. 83

Record: Release | Minimum fields: Completed requirements; authorized identity; required release document; limitations; next maintenance/life information.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

T-1:row09 | Source pp. 83

Record: Customer handover | Minimum fields: Returned property; records; operating restrictions; acknowledgement where required.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

T-1:row10 | Source pp. 83

Record: Retention | Minimum fields: Data location; period and basis; access; transfer on closure; secure disposal.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Table T-2 — Distribution and split-lot evidence
T-2:row01 | Source pp. 83

Stage: Source approval | Required information and control: Actual source, authorized-channel or alternative-source evidence, scope and authenticity risk.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

T-2:row02 | Source pp. 83

Stage: Receipt | Required information and control: Manufacturer/part/lot identity, quantity, condition, certificates, life status and required verification.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

T-2:row03 | Source pp. 83

Stage: Storage | Required information and control: Location, environment, preservation, shelf life, access and segregation of restricted stock.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

T-2:row04 | Source pp. 83

Stage: Split or repack | Required information and control: Original lot, child lot/package identity, quantities, date, performer, certificate linkage and label accuracy.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

T-2:row05 | Source pp. 83

Stage: Order fulfillment | Required information and control: Customer requirements, correct revision/condition, required documents and preservation.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

T-2:row06 | Source pp. 83

Stage: Dispatch | Required information and control: Quantity reconciliation, custody, carrier conditions, package identity and delivery evidence.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

T-2:row07 | Source pp. 83

Stage: Recall or suspect stock | Required information and control: Affected original and split lots, shipped customers, remaining stock, notifications and disposition.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Table V-1 — Audit and assessment record fields

V-1:row01 | Source pp. 87

Field: Identity and scope | Minimum required content: Evaluation ID, date, assessor, object route, entity/person, site, configuration, profile and period.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

V-1:row02 | Source pp. 87

Field: Requirement | Minimum required content: Exact clause and lettered paragraph, normative table condition or profile criterion.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

V-1:row03 | Source pp. 87

Field: Sample | Minimum required content: Records, items, people, sites and periods observed; selection method and limitations.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

V-1:row04 | Source pp. 87

Field: Evidence | Minimum required content: Objective observations, actual results, traceable records and confidentiality controls.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

V-1:row05 | Source pp. 87

Field: Conclusion | Minimum required content: Conforming, nonconforming, approved non-applicability or not yet demonstrated.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

V-1:row06 | Source pp. 87

Field: Finding and action | Minimum required content: Requirement-evidence-gap, grade, extent, protection, cause, actions, owner and original deadline.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

V-1:row07 | Source pp. 87

Field: Closure and decision | Minimum required content: Verified implementation and effectiveness; independent reviewer and decision; actual status and date.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Table W-1 — Complete NCR/CAPA record requirements

W-1:row01 | Source pp. 96

Stage: Identification | Required record content: NCR ID, date, reporter, requirement, item/process, configuration, actual evidence and initial consequence.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT
Gap / required action / continuation record: 		

W-1:row02 | Source pp. 96

Stage: Containment | Required record content: Affected population, immediate controls, stock/delivery status, responsible person, notifications and effectiveness.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT
Gap / required action / continuation record: 		

W-1:row03 | Source pp. 96

Stage: Extent | Required record content: Related lots/serials/sites/suppliers/configurations; trace method; uncertainty and expanded search.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT
Gap / required action / continuation record: 		

W-1:row04 | Source pp. 96

Stage: Disposition | Required record content: Correction, rework, repair, return, concession or scrap; design/customer/authority approvals as applicable.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT
Gap / required action / continuation record: 		

W-1:row05 | Source pp. 96

Stage: Cause | Required record content: Evidence-supported occurrence and escape causes; tested hypotheses; human/system factors; rejected explanations.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT
Gap / required action / continuation record: 		

W-1:row06 | Source pp. 96

Stage: Actions | Required record content: Action tied to each cause, owner, due date, resources, affected documents/tools/suppliers and change approval.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT
Gap / required action / continuation record: 		

W-1:row07 | Source pp. 96

Stage: Verification | Required record content: Implementation evidence, pre-defined effectiveness criterion, sample/exposure, results and adverse side effects.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

W-1:row08 | Source pp. 96

Stage: Systemic learning | Required record content: Risk updates, similar processes, supplier flow-down, knowledge transfer and recurrence monitoring.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

W-1:row09 | Source pp. 96

Stage: Closure | Required record content: Independent review where necessary, residual limitations, final authority and reopened conditions.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Table AA-1 — AF conformity objects and decision boundaries

AA-1:row01 | Source pp. 103

Route / object: ORG — Organization | Applicable evaluation basis: Clauses 1–10 and 22; triggered 11–21 and 23–28; organizational implementation and outcomes. | Permitted conclusion and boundary: Defined management and assurance system. Does not approve every product or certify every employee.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AA-1:row02 | Source pp. 103

Route / object: PRD — Product / system | Applicable evaluation basis: Clause 23; product profile; relevant technical, qualification and acceptance requirements; controlled production where ongoing. | Permitted conclusion and boundary: Identified product, configuration, family, lot or serial against stated criteria. No implied statutory approval.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AA-1:row03 | Source pp. 103

Route / object: SVC — Service | Applicable evaluation basis: Clause 24; defined outcomes, delivery boundary, period, interfaces, competence and continuity. | Permitted conclusion and boundary: Specified service or service event, not an unrestricted approval of the provider's other services.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AA-1:row04 | Source pp. 103

Route / object: PRC — Process | Applicable evaluation basis: Clause 25; relevant Annex L; essential variables, qualification, scope, monitoring and output relationship. | Permitted conclusion and boundary: Process capability within the qualified conditions. Not automatic acceptance of all output.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AA-1:row05 | Source pp. 103

Route / object: PER — Person | Applicable evaluation basis: Clause 26 and Annex AE; approved job profile; Annex AB for assessment-role credentials. | Permitted conclusion and boundary: Demonstrated competence for a defined role. Employer task authorization and required licenses remain separate.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AA-1:row06 | Source pp. 103

Route / object: SUB — External provider | Applicable evaluation basis: Clause 27; Annexes J and AF; actual site, supplied work and sub-tier controls. | Permitted conclusion and boundary: Qualification for a defined supply scope. Conditional development status is not a conformity certificate.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AA-1:row07 | Source pp. 103

Route / object: CAB — Assessment provider | Applicable evaluation basis: Clause 28 and Annex AH; role-specific competence, methods, witnessing, impartiality and independent decisions. | Permitted conclusion and boundary: Defined assessment capability under actual AF authorization. ORG certification is not accreditation.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Table AA-2 — Minimum profile fields

AA-2:row01 | Source pp. 103, 104

Field group: Identity and ownership | Required information: Profile ID, revision, route, owner, technical approver, issue date and affected claims.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT
Gap / required action / continuation record: 		

AA-2:row02 | Source pp. 103, 104

Field group: Object and domain | Required information: Exact object/configuration, sites, relevant users, operating or task conditions and exclusions.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT
Gap / required action / continuation record: 		

AA-2:row03 | Source pp. 103, 104

Field group: Obligations and criteria | Required information: Requirement IDs, quantitative limits or defined attributes, legal and customer constraints, essential controls.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT
Gap / required action / continuation record: 		

AA-2:row04 | Source pp. 103, 104

Field group: Evaluation design | Required information: Methods, test conditions, samples, representativeness, uncertainty, validity checks, required independence.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT
Gap / required action / continuation record: 		

AA-2:row05 | Source pp. 103, 104

Field group: Decision | Required information: Pre-agreed passing rules, critical failures, treatment of unavailable evidence and nonconformities, decision authority.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT
Gap / required action / continuation record: 		

AA-2:row06 | Source pp. 103, 104

Field group: Continuing basis | Required information: Surveillance, expiry or instance boundary, change triggers, renewal and retained support obligations.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT
Gap / required action / continuation record: 		

AA-2:row07 | Source pp. 103, 104

Field group: Records and claims | Required information: Required reports, retention, authorized public statement, privacy and mark restrictions.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Table AB-1 — Minimum entry evidence for assessment roles
AB-1:row01 | Source pp. 106

Role: Internal auditor | AF entry and demonstration requirements: Task-relevant experience; at least 16 hours of AF/process-audit learning; one complete witnessed internal audit; satisfactory evidence-based reporting. | Authorization limitation: May audit internally within demonstrated competence; shall not independently audit their own work.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AB-1:row02 | Source pp. 106

Role: Third-party auditor | AF entry and demonstration requirements: At least three years of relevant professional experience, including two years in quality, assurance or the intended technical domain; at least 40 hours of AF audit training; knowledge and practical assessment under AB.2; four mentored complete audits totaling at least 20 auditor-days. | Authorization limitation: Independent assignments only after witnessed approval and defined route/sector authorization.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AB-1:row03 | Source pp. 106

Role: Lead auditor | AF entry and demonstration requirements: Qualified third-party auditor; additionally three complete audits led under supervision totaling at least 10 auditor-days; demonstrated planning, team direction, conflict handling and integrated reporting. | Authorization limitation: May lead only within authorized scope; technical gaps require participating specialists.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AB-1:row04 | Source pp. 106

Role: Technical expert | AF entry and demonstration requirements: At least three years of relevant technical practice, normally including two years within the preceding five; verified task demonstration and sufficient AF scheme orientation. | Authorization limitation: Provides technical conclusions; not automatically an auditor or independent decision maker.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AB-1:row05 | Source pp. 106

Role: Technical reviewer | AF entry and demonstration requirements: Demonstrated AF interpretation and evidence-review competence; technical coverage for the assigned scope; five satisfactorily mentored complete file reviews. | Authorization limitation: Shall not independently review an evaluation they performed. May combine review and decision if separately authorized.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AB-1:row06 | Source pp. 106

Role: Decision maker | AF entry and demonstration requirements: Verified knowledge of routes, scope, decision rules, impartiality, status and appeals; five satisfactorily mentored complete conformity decisions; access to required technical expertise. | Authorization limitation: Shall not have performed the evaluation being decided or supplied the relevant consultancy.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AB-1:row07 | Source pp. 106

Role: Application / appeal reviewer | AF entry and demonstration requirements: Demonstrated competence for scope determination and resource review / fair case analysis, AF requirements and independence; observed satisfactory performance. | Authorization limitation: Appeal reviewer shall be independent of the original evaluation and decision.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Table AC-1 — Base initial organizational evaluation time

AC-1:row01 | Source pp. 109

Effective personnel N: 1-10 | Base B(N), auditor-days: 2.0 | Application: Readiness and implementation evaluation combined, before modifiers.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AC-1:row02 | Source pp. 109

Effective personnel N: 11-25 | Base B(N), auditor-days: 3.0 | Application: Same scope and time definition.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AC-1:row03 | Source pp. 109

Effective personnel N: 26-75 | Base B(N), auditor-days: 4.0 | Application: Same scope and time definition.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AC-1:row04 | Source pp. 109

Effective personnel N: 76-150 | Base B(N), auditor-days: 5.0 | Application: Same scope and time definition.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AC-1:row05 | Source pp. 109

Effective personnel N: 151-300 | Base B(N), auditor-days: 7.0 | Application: Same scope and time definition.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AC-1:row06 | Source pp. 109

Effective personnel N: 301-600 | Base B(N), auditor-days: 9.0 | Application: Same scope and time definition.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AC-1:row07 | Source pp. 109

 Effective personnel N: Above 600 | Base B(N), auditor-days: $9 + \text{ceil}((N - 600)/300)$ | Application: Add one base auditor-day for each additional block of up to 300 effective personnel.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Table AD-2 — Finding categories and minimum consequences

AD-2:row01 | Source pp. 113, 114

Class: Critical | Decision definition: Evidence of an uncontrolled unacceptable safety/mission risk, deliberate material falsification, serious compromise of essential evidence, or another condition requiring immediate protection. | Required consequence: Stop or contain the affected activity immediately. Block grant/renewal. For an existing affected attestation, suspend or impose an effective evaluated restriction without delay; apply Annex AG notifications.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AD-2:row02 | Source pp. 113, 114

Class: Major | Decision definition: Absence or breakdown of a required control, or a group of deficiencies, materially undermining the ability to fulfill requirements; not necessarily an immediate hazard. | Required consequence: Block initial grant/renewal/extension until verified closure. Assess existing scope promptly; suspend when continuing conformity cannot be demonstrated.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AD-2:row03 | Source pp. 113, 114

Class: Minor | Decision definition: Localized failure to fulfill a requirement where evidence does not show a material system breakdown or loss of essential control. | Required consequence: Correct and address cause. No open minor at initial grant, renewal or extension. Existing status may continue only under the bounded AD.8 decision.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AD-2:row04 | Source pp. 113, 114

Class: Observation / improvement | Decision definition: No demonstrated failure of an applicable requirement; a documented possibility to improve effectiveness. | Required consequence: May support improvement. Shall not be used to conceal nonconformity or require uncontracted consultancy.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Table AF-1 — Contractual flow-down review — apply each relevant topic

AF-1:row01 | Source pp. 118

Topic: 1. Identity and location | Required contractual or controlled work-package content: Legal and actual performer, approved site, contact, supplied product/service/process and permitted further subcontracting.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AF-1:row02 | Source pp. 118

Topic: 2. Technical baseline | Required contractual or controlled work-package content: Drawing/model/data identity, edition, configuration, quantities, units and effectivity.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AF-1:row03 | Source pp. 118

Topic: 3. Intended use and criticality | Required contractual or controlled work-package content: Relevant operational environment, critical characteristics and consequences that affect the supplied work.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AF-1:row04 | Source pp. 118

Topic: 4. Required management controls | Required contractual or controlled work-package content: Applicable organizational, configuration, evidence-integrity and corrective-action requirements.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AF-1:row05 | Source pp. 118

Topic: 5. Design responsibility | Required contractual or controlled work-package content: Design authority, inputs, derived requirements, review and approval boundaries.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AF-1:row06 | Source pp. 118

Topic: 6. Process qualification | Required contractual or controlled work-package content: Required process scope, essential variables, equipment, source, validation and requalification triggers.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AF-1:row07 | Source pp. 118

Topic: 7. People | Required contractual or controlled work-package content: Required competence, task authorization, supervision, continuity and reassessment.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AF-1:row08 | Source pp. 118

Topic: 8. Materials and components | Required contractual or controlled work-package content: Approved sources, material condition, lot/serial identity, authenticity and substitution restrictions.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AF-1:row09 | Source pp. 118

Topic: 9. Digital configuration | Required contractual or controlled work-package content: Software/build/model versions, dependencies, data provenance and secure update responsibilities.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AF-1:row10 | Source pp. 118

Topic: 10. Acceptance | Required contractual or controlled work-package content: Characteristics, methods, uncertainty and decision rules, sampling where permitted, hold points and actual-result records.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AF-1:row11 | Source pp. 118

Topic: 11. Source witnessing | Required contractual or controlled work-package content: Planned source inspection or witnessed testing, notification, safe access and protection of controlled information.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AF-1:row12 | Source pp. 118

Topic: 12. Delegated verification | Required contractual or controlled work-package content: Named roles, scope, methods, records, oversight and withdrawal of delegation.

STATE
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Gap / required action / continuation record:

AF-1:row13 | Source pp. 118

Topic: 13. Nonconformity | Required contractual or controlled work-package content: Containment, prompt reporting, population trace, disposition authority and prohibition of unauthorized repair or use-as-is.

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EVIDENCE / APPROVED N/A BASIS
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Gap / required action / continuation record:

AF-1:row14 | Source pp. 118

Topic: 14. Change | Required contractual or controlled work-package content: Prior notification and approval for relevant changes to design, material, process, software, site, source or critical sub-tier.

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Gap / required action / continuation record:

AF-1:row15 | Source pp. 118

Topic: 15. Traceability | Required contractual or controlled work-package content: Genealogy through splitting, merging, packaging, rework, installation and release.

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Gap / required action / continuation record:

AF-1:row16 | Source pp. 118

Topic: 16. Records | Required contractual or controlled work-package content: Required content, raw data where necessary, retention basis, integrity, retrieval and transfer after closure.

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EVIDENCE / APPROVED N/A BASIS
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Gap / required action / continuation record:

AF-1:row17 | Source pp. 118

Topic: 17. Information security | Required contractual or controlled work-package content: Access, confidentiality, personal or controlled data, authorized transfer and incident response.

STATE
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Gap / required action / continuation record:

AF-1:row18 | Source pp. 118

Topic: 18. Capacity and continuity | Required contractual or controlled work-package content: Verified capacity, critical dependencies, alternate sources, recovery and controlled restart.

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Gap / required action / continuation record:

AF-1:row19 | Source pp. 118

Topic: 19. Packaging and delivery | Required contractual or controlled work-package content: Preservation, environment, life status, markings, configuration and accompanying evidence.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AF-1:row20 | Source pp. 118

Topic: 20. Further tiers | Required contractual or controlled work-package content: Applicable requirements reaching the point of performance, critical-source visibility and acknowledgement.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AF-1:row21 | Source pp. 118

Topic: 21. Ethics | Required contractual or controlled work-package content: Truthful records, counterfeit prevention, conflict disclosure and good-faith reporting without retaliation.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AF-1:row22 | Source pp. 118

Topic: 22. Exit and responsibility | Required contractual or controlled work-package content: Tooling and data return, support continuity, remaining obligations and preservation of unresolved issues.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Table AG-1 — Controlling AF scheme intervals and deadlines

AG-1:row01 | Source pp. 120

Activity / status: Ongoing ORG, PRD-family, SVC, PRC, SUB or CAB attestation | Maximum interval or deadline: 24 months from the conformity decision | Decision condition: Renewal decision completed before expiry; no automatic extension. Route-specific instance limits remain separate.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AG-1:row02 | Source pp. 120

Activity / status: PER credential | Maximum interval or deadline: 24 months from the conformity decision | Decision condition: Continued competence and renewal under Annex AE.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AG-1:row03 | Source pp. 120

Activity / status: Employer task authorization review | Maximum interval or deadline: 12 months | Decision condition: Earlier reassessment after change, inactivity or adverse evidence; not a statutory license period.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AG-1:row04 | Source pp. 120

Activity / status: C0/C1 ongoing surveillance | Maximum interval or deadline: 12 months between decision/last surveillance and next completed surveillance | Decision condition: First surveillance completed no later than 12 months after initial decision.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AG-1:row05 | Source pp. 120

Activity / status: C2/C3 ongoing surveillance | Maximum interval or deadline: 6 months between decision/last surveillance and next completed surveillance | Decision condition: First surveillance completed no later than six months after initial decision; relevant critical-control sites included.

STATE
EVIDENCE / APPROVED N/A BASIS
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Gap / required action / continuation record:

AG-1:row06 | Source pp. 120

Activity / status: Corrective-action plan for a nonconformity | Maximum interval or deadline: 30 days after finding notification | Decision condition: Immediate protection is separate; initial grant and renewal still require actual closure.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AG-1:row07 | Source pp. 120

Activity / status: Major nonconformity verified closure | Maximum interval or deadline: 60 days after finding notification | Decision condition: No presumption of continued status during correction; AD.8 controls suspension or evaluated restriction.

STATE
EVIDENCE / APPROVED N/A BASIS
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Gap / required action / continuation record:

AG-1:row08 | Source pp. 120

Activity / status: Minor nonconformity verified closure | Maximum interval or deadline: 90 days after finding notification | Decision condition: Bounded continuation only for an existing attestation under AD.8.

STATE
EVIDENCE / APPROVED N/A BASIS
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Gap / required action / continuation record:

AG-1:row09 | Source pp. 120

Activity / status: Critical concern: protective action | Maximum interval or deadline: Immediately upon recognition | Decision condition: Stop/contain the affected work; do not wait for an administrative deadline.

STATE
EVIDENCE / APPROVED N/A BASIS
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Gap / required action / continuation record:

AG-1:row10 | Source pp. 120

Activity / status: Holder notification to its scheme operator of a critical attestation-related concern | Maximum interval or deadline: Within 24 hours after awareness | Decision condition: Earlier legal/customer notification duties still apply; continue updates as scope becomes known.

STATE
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Gap / required action / continuation record:

AG-1:row11 | Source pp. 120

Activity / status: Operator action on a substantiated critical concern | Maximum interval or deadline: Suspend or impose an effective evaluated restriction within 24 hours | Decision condition: The decision cannot wait for root-cause completion. Notify AF where AF authorization is involved.

STATE
EVIDENCE / APPROVED N/A BASIS
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Gap / required action / continuation record:

AG-1:row12 | Source pp. 120

Activity / status: Registry update after a status decision | Maximum interval or deadline: Within two days |
 Decision condition: Holder informed immediately; public record accurately identifies affected scope.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AG-1:row13 | Source pp. 120

Activity / status: Suspension duration | Maximum interval or deadline: 90 days from suspension decision |
 Decision condition: Restore on verified evidence, formally restrict to a demonstrably unaffected scope, or withdraw; no rolling reset.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AG-1:row14 | Source pp. 120

Activity / status: Final evaluation report | Maximum interval or deadline: 14 days after evaluation close |
 Decision condition: Exceptional delay communicated under AC.7; protection and finding clocks unaffected.

STATE
EVIDENCE / APPROVED N/A BASIS
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Gap / required action / continuation record:

AG-1:row15 | Source pp. 120

Activity / status: Complaint/appeal acknowledgement | Maximum interval or deadline: Five days after receipt |
 Decision condition: Assign case and provide process information.

STATE
EVIDENCE / APPROVED N/A BASIS
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Gap / required action / continuation record:

AG-1:row16 | Source pp. 120

Activity / status: Appeal submission | Maximum interval or deadline: 30 days after notification of the contested decision |
 Decision condition: A justified exceptional late submission may be admitted under AI.3.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AG-1:row17 | Source pp. 120

Activity / status: Ordinary complaint/appeal determination | Maximum interval or deadline: 60 days after receipt
 | Decision condition: Necessary exceptional extensions require reasons and progress communication at least every 30 days.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Table AH-1 — Minimum CAB witnessing coverage
AH-1:row01 | Source pp. 124

Provider activity: Testing / calibration | Witnessed evidence: Actual representative method, sample preparation, equipment, data, uncertainty where relevant and authorized report. | Competence conclusion shall identify: Methods, quantities or properties, ranges/conditions, sites and demonstrated limitations.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AH-1:row02 | Source pp. 124

Provider activity: Inspection | Witnessed evidence: Actual inspection or a controlled representative task with the relevant configuration, access and acceptance criteria. | Competence conclusion shall identify: Inspection object, method, required independence and detection/access limitations.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AH-1:row03 | Source pp. 124

Provider activity: ORG certification | Witnessed evidence: Complete representative audit trail, team competence, scope, time, findings, review and decision. | Competence conclusion shall identify: Authorized organizational scopes, technical sectors and criticality coverage.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AH-1:row04 | Source pp. 124

Provider activity: PRD / SVC / PRC certification | Witnessed evidence: Actual profile review, technical evaluation, representative witnessing, independent decision and continuing controls. | Competence conclusion shall identify: Object families, profiles, technical evaluation methods and restrictions.

STATE
EVIDENCE / APPROVED N/A BASIS
REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AH-1:row05 | Source pp. 124

Provider activity: PER certification | Witnessed evidence: Eligibility, examination security, practical evaluation, scoring, independent decision and credential control. | Competence conclusion shall identify: Role profiles, technical scope, examination methods and continued competence controls.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

Table AJ-1 — Operational form set and mandatory payload
AJ-1:row01 | Source pp. 128

Form ID / purpose: F01 — Application and scope | Required form-specific fields beyond AJ.1: Route; legal/holder identity; sites and remote functions; product/service/process/role identity; lifecycle responsibility; criticality; exclusions; actual operator authorization; evaluation access. | Approval and control: Applicant acknowledgement and independent application review before evaluation.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AJ-1:row02 | Source pp. 128

Form ID / purpose: F02 — Application profile | Required form-specific fields beyond AJ.1: Intended use/domain; requirements and limits; essential controls; methods; conditions; samples; uncertainty/scoring; acceptance rule; failure criteria; surveillance; changes; technical owners. | Approval and control: Competent technical approval before evaluating results.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AJ-1:row03 | Source pp. 128

Form ID / purpose: F03 — Competence and assignment | Required form-specific fields beyond AJ.1: Role; verified prerequisites; experience; training; examination/practical results; essential steps; witnessed work; authorized scope; conflicts; development; expiry and restrictions. | Approval and control: Competence approval separate from mere training delivery; assignment check before each job.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AJ-1:row04 | Source pp. 128

Form ID / purpose: F04 — Audit or evaluation plan | Required form-specific fields beyond AJ.1: Objectives; route; scope; criteria; sites/shifts; methods; team coverage; time calculation; sample design; access/security; meetings; reporting; technical witnessing. | Approval and control: Authorized plan review; actual departures and resulting coverage recorded.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AJ-1:row05 | Source pp. 128

Form ID / purpose: F05 — Technical result and decision rule | Required form-specific fields beyond AJ.1: Object/configuration; characteristic; specification; method; equipment; corrections; raw result; uncertainty/coverage; selected rule; result; limitations; technical disposition. | Approval and control: Competent technical sign-off; independent review for triggered criticality.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AJ-1:row06 | Source pp. 128

Form ID / purpose: F06 — Nonconformity and corrective action | Required form-specific fields beyond AJ.1: Exact requirement; evidence and gap; grade; affected population; protection; notification; occurrence/escape causes; actions; owners; original due dates; effectiveness; verified closure. | Approval and control: Finding classification, technical disposition and final closure separately attributable.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AJ-1:row07 | Source pp. 128

Form ID / purpose: F07 — Review and attestation decision | Required form-specific fields beyond AJ.1: Complete scope/profile; evaluation package; competence and independence; findings/closure; evidence limitations; decision and rationale; dates; issuer; required scope restrictions. | Approval and control: Independent reviewer/decision maker; no evaluator deciding own third-party evaluation.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AJ-1:row08 | Source pp. 128

Form ID / purpose: F08 — Surveillance and status | Required form-specific fields beyond AJ.1: Attestation ID; current scope; criticality; due dates; completed activities; findings; change triggers; status; restrictions; restoration/withdrawal; registry update. | Approval and control: Actual decision dates; no hidden gaps or deadline resets.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AJ-1:row09 | Source pp. 128

Form ID / purpose: F09 — Supplier flow- down and transfer | Required form-specific fields beyond AJ.1: Actual performer and sub-tiers; work package; essential instructions; acknowledgements; source approval; change notice; verification; custody; escape response; records and exit. | Approval and control: Commissioning organization retains acceptance and oversight accountability.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AJ-1:row10 | Source pp. 128

Form ID / purpose: F10 — Personnel credential and task authority | Required form-specific fields beyond AJ.1: Person; profile; knowledge/practical/essential results; independent decision; credential limits; employer task; site/equipment; supervision; practice; reassessment; expiry. | Approval and control: Separate credential and employer authorization decisions and status.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AJ-1:row11 | Source pp. 128

Form ID / purpose: F11 — Complaint or appeal | Required form-specific fields beyond AJ.1: Reporter/party; object; issue/grounds; dates; admissibility; conflicts; independent reviewer; submissions; evidence; interim measures; outcome; communication; corrective effects. | Approval and control: Independent outcome; protective action remains effective during review.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AJ-1:row12 | Source pp. 128

Form ID / purpose: F12 — CAB competence scope | Required form-specific fields beyond AJ.1: Legal provider; activity; method families; ranges/conditions; uncertainty capability where relevant; sites; competence; witnessing; findings; independent authority; exact authorized claim. | Approval and control: Actual competence decision; no self- accreditation or automatic equivalence.

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Gap / required action / continuation record:

Table AJ-2 — Cross-object record relationships

AJ-2:row01 | Source pp. 129

Relationship: F01 scope → F02 profile | Required consistency check: Every claimed object and site is covered by a valid profile and applicable requirements; excluded responsibility is justified.

STATE	EVIDENCE / APPROVED N/A BASIS	REVIEWER / ACTUAL EVENT

Gap / required action / continuation record:

AJ-2:row02 | Source pp. 129

Relationship: F03 competence → F04 plan | Required consistency check: Assigned evaluators cover routes, sector, criticality, methods and language; conflicts are cleared.

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Gap / required action / continuation record:

AJ-2:row03 | Source pp. 129

Relationship: F04 plan → F05 results | Required consistency check: Actual objects, sites, methods, samples and configurations match the plan or an approved recorded deviation.

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Gap / required action / continuation record:

AJ-2:row04 | Source pp. 129

Relationship: F05 result → F06 finding | Required consistency check: Failed or indeterminate criteria are correctly reflected; no favorable score suppresses a critical gap.

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Gap / required action / continuation record:

AJ-2:row05 | Source pp. 129

Relationship: F06 closure → F07 decision | Required consistency check: Initial/renewal/extension decisions contain no open nonconformity in their scope; effectiveness is verified.

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Gap / required action / continuation record:

AJ-2:row06 | Source pp. 129

Relationship: F07 decision → F08 status | Required consistency check: The exact scope, dates, restrictions and ongoing/instance basis agree; no claim is broader than its decision.

STATE
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Gap / required action / continuation record:

AJ-2:row07 | Source pp. 129

Relationship: F09 outsourced work → product/service dossier | Required consistency check: Actual performer, source changes, lot identity and evidence reach the final delivered object.

STATE
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Gap / required action / continuation record:

AJ-2:row08 | Source pp. 129

Relationship: F10 credential → employer task | Required consistency check: Credential competence supports, but does not replace, the specific employer authorization.

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Gap / required action / continuation record:

AJ-2:row09 | Source pp. 129

Relationship: F11 case → F07/F08 revisions | Required consistency check: Appeal or complaint effects change only supported decisions/status and preserve their original history.

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Gap / required action / continuation record:

AJ-2:row10 | Source pp. 129

Relationship: F12 body scope → issued reports | Required consistency check: Each claimed accredited/authorized activity remains within the actual assessed technical scope.

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Gap / required action / continuation record:

Table AJ-6 — Controlling rules and common misinterpretations

AJ-6:row01 | Source pp. 130, 131

Subject: Scope and object | Controlling provisions: 1.3; 2.2; Annexes A and AA | Required interpretation: Activity triggers and retained responsibility determine requirements. PER applicants do not inherit corporate QMS obligations.

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Gap / required action / continuation record:

AJ-6:row02 | Source pp. 130, 131

Subject: Criticality and independence | Controlling provisions: Annex B; 5.3; 9.6; Annex AB | Required interpretation: Criticality drives technical assurance. Third-party decision independence is additional, not replaced by low criticality.

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Gap / required action / continuation record:

AJ-6:row03 | Source pp. 130, 131

Subject: Measurement decisions | Controlling provisions: 7.7; Annex AD; informative Annex H | Required interpretation: The pre-agreed normative decision rule controls; example numbers are not universal limits.

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Gap / required action / continuation record:

AJ-6:row04 | Source pp. 130, 131

Subject: Product / service / process release | Controlling provisions: 8.6; 23-25; Annexes C, K- M and AD | Required interpretation: Qualification, routine release and independent certification are separate. Conditional progression is not conditional certification.

STATE
EVIDENCE / APPROVED N/A BASIS
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Gap / required action / continuation record:

AJ-6:row05 | Source pp. 130, 131

Subject: Auditor and personnel competence | Controlling provisions: 7.2; 26; Annexes AB and AE | Required interpretation: Knowledge scores, practical scores and all essential steps are separate pass conditions. Employer authorization remains distinct.

STATE
EVIDENCE / APPROVED N/A BASIS
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Gap / required action / continuation record:

AJ-6:row06 | Source pp. 130, 131

Subject: Subcontracted work | Controlling provisions: 8.4; 27; Annexes J and AF | Required interpretation: Requirements reach the actual performer; outsourcing does not remove retained accountability.

STATE
EVIDENCE / APPROVED N/A BASIS
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Gap / required action / continuation record:

AJ-6:row07 | Source pp. 130, 131

Subject: Audit time and frequency | Controlling provisions: Annexes AC and AG | Required interpretation: AC controls resource floors and coverage; AG controls intervals. A smaller fee does not justify less evidence.

STATE
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Gap / required action / continuation record:

AJ-6:row08 | Source pp. 130, 131

Subject: Findings and status | Controlling provisions: 22; Annexes AD and AG | Required interpretation: No open nonconformity at initial grant/renewal/extension. Existing minor continuation is bounded and documented.

STATE
EVIDENCE / APPROVED N/A BASIS
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Gap / required action / continuation record:

AJ-6:row09 | Source pp. 130, 131

Subject: Provider competence / accreditation | Controlling provisions: 28; Annex AH | Required interpretation: Organizational conformity is not accreditation; actual independent technical competence and authorization are required.

STATE
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Gap / required action / continuation record:

AJ-6:row10 | Source pp. 130, 131

Subject: Appeals and protection | Controlling provisions: 22.7; Annex AI | Required interpretation: Fair independent review does not automatically suspend protective action or extend validity.

STATE
EVIDENCE / APPROVED N/A BASIS
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Gap / required action / continuation record:

AJ-6:row11 | Source pp. 130, 131

Subject: Edition and amendment | Controlling provisions: 2.5; Annex Y | Required interpretation: First Edition identifies the document. Amendments and recognition arrangements require their own actual controlled decisions.

STATE
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Gap / required action / continuation record:

AJ-6:row12 | Source pp. 130, 131

Subject: Examples and calculations | Controlling provisions: 0.5; Annexes E-I, U and Z | Required interpretation: Synthetic values support methods; they do not establish the performance of an actual product or operation.

STATE
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Gap / required action / continuation record:

4 Compound-condition continuation and final reconciliation

Duplicate these controlled continuation fields as needed. Each additional predicate retains its parent source identifier, object, criterion, evidence, actual result, gap and independent approval. The number of printed fields is not a limit on the required evidence.

Parent requirement / compound condition / applicable object

Separate criterion and approved technical basis

Method, actual configuration and original evidence

Result, uncertainty/rubric and PASS/FAIL/HOLD/N/A reason

Failed/held condition, owner, original due event and action

Approved exclusion and independent review reference

Final requirement population and unresolved conditions

Independent reviewer / decision authority / genuine approval reference

Initial grant, renewal and extension require closure of all in-scope nonconformities and the source's complete decision conditions. A separate authorized technical concession does not make a failed original criterion conforming. Preserve independent review, actual authority and precise scope.