

Individual Event Documentation Form

WORKED EXAMPLE - YELLOW EVENT

Yellow Event Documentation:

- Spreadsheet entry: ALWAYS required
- Evidence Chain Template: CONDITIONAL (reviewer decides)
- VCoTS decision tree: NOT required
- Red Event Incident Report: NOT required

This example shows a security concern caught during code review

1. Identification Data

Event ID*	SDS_Revision_Pilot_ATMP_2026-02-19	<i>Format: [System]_[YYYYMMDD]_[Sequence]</i>
Agent ID*	Grok	<i>Identifier of AI agent</i>
Agent Version*	4.2	<i>Version number</i>
User ID*	Charlotte Wilborn	<i>Alex Kim, Junior Developer</i>
Timestamp Start*	2026-02-19 14:32	<i>ISO 8601 format</i>
Timestamp End*	2026-02-19 14:35	<i>ISO 8601 format</i>

2. Action Record

Event Type*	Data Generation	<i>AI generated script</i>
Input Summary*	“ATMP. This SDS is the one currently in use. Check it against newer SDS and suggest the next outline. Let me know if you have questions.” *Attachment of current document.*	<i>User request text (max 1000 chars)</i>
Input Source	Web UI – Grok Platform	<i>Origin of input</i>
Output Summary*	Agent produced ATMP SDS with all 16 Sections. Appeared correct on first pass. During .txt handoff the second agent, Claude flagged Section 5 noting “potassium” listed under combustion products. Investigation found that the error occurred due drift/compression of highly technical documents in long context conversation (section 5 from DKP and	<i>Summary of response (max 2000 chars)</i>

Output Format	section 5 from ATMP were converged into one).	
	.TXT	<i>Format of generated output</i>
Tool Use	None	<i>No external tools/APIs accessed</i>
Completion Status*	Success	<i>Script generated without technical errors</i>
Error Messages	None	<i>No system errors occurred</i>

3. Validation Evidence

Severity Level*	Yellow	<i>Per AA-SEVERITY-01 Section 3.2</i>
Severity Rationale*	Violation of CCP 2 – Data Integrity – inaccurate data due to context compression requiring Agent Owner Classification	<i>Required for Yellow events (100-500 chars)</i>
Security Risk Vectors	None – Technical Inaccuracy caught during CCP-4 Review	<i>Security/Technical concern, not technical risk pattern</i>
Cross Check Results	Checked original and reference ATMP SDS – no potassium was listed in Section 5 or 10 combustion products; Agent Owner checked through generation trace to confirm DKP conflation with ATMP data	<i>Verification checks performed</i>
Baseline Comparison	None – Pilot Trial	<i>Deviation from expected baseline</i>
Context Classification*	Internal_Operations	<i>Internal development, not customer-facing</i>
Safety Critical Domain*	FALSE	<i>Not safety-critical per AA-SEVERITY-01</i>


4. Oversight Record

Reviewer ID*	Charlotte @tri-chem.net	<i>Michael Torres, Senior IT Auditor</i>
Review Date*	2026-02-19 15:21	
Review Notes*	Yellow classification confirmed. Data concern caught by normal code review processes within 15 minutes. No exposure to external vectors. Agent Owner	<i>Reviewer assessment (200-1000 chars)</i>

	corrected immediately. Recommended 2 SDS max per conversational window to avoid compression/drift issues with model during highly technical/dense contexts.	
Escalation Flag*	FALSE	<i>Yellow events do not auto-escalate</i>
Escalation Recipient	N/A	<i>Not escalated</i>
Resolution Status*	Resolved	<i>Issue corrected and closed</i>
Resolution Actions	Agent Owner Corrected Section 5 inaccuracy during CCP-4 Review. Immediate mitigation of utilizing conversational window for max 2 technical documents.	<i>Required when Resolved</i>
Follow Up Required*	FALSE	<i>No follow-up needed</i>
Follow Up Date	N/A	<i>Not applicable</i>
Follow Up Notes	N/A	<i>Not applicable</i>
Ethics Committee Decision	N/A	<i>Yellow events do not require Committee review</i>

Certification

I certify that the information recorded in this evidence chain is accurate and complete to the best of my knowledge.

Auditor Name: Charlotte Wilborn	Date: February 19, 2026
Signature: 	Review ID: REV_20260219_CW_001

Document Reference: AA-DATA-01 (Evidence Chain Template)

Version: 1.0