



THE DECISION PROTOCOL INSTITUTE™

PUBLIC PREVIEW · AGENCY EDITION

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# Public Preview Agency Edition

*For advisors, consultants, and boutique firms delivering AI governance to clients*

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Real pages, real instruments, and real operator guidance from the Agency Edition — the professional deployment package licensed to advisors who bring the Decision Protocol to their engagements.

## WHAT THIS IS

- Excerpts from the two core governance frameworks
  - Sample pages from the Operator's Manual
  - Preview of three decision file tiers
- One worked case record from the Execution Library
  - Firm-branding permissions and license scope

## AVAILABLE NOW

**Early Access \$997 · Standard \$1,497 from 1 May 2026**

*Identical contents and license scope. Only the acquisition price differs.*

**A B O U T   T H I S   P R E V I E W**

# What this preview is, and who it is for.

This preview is not a brochure. It shows real material from the Agency Edition of the Decision Protocol — the professional deployment package licensed to independent advisors, boutique consulting firms, and fractional compliance, risk, and legal operators who deliver AI governance work inside client organisations.

Its purpose is simple: to let professional buyers inspect the writing standard, the operator guidance, the editable template architecture, and the licence scope before acquiring the package.

**WHO THIS EDITION IS DESIGNED FOR**

- Independent advisors and fractional CCOs, CROs, GCs, and DPOs
- Boutique consulting firms delivering governance or risk work
- Specialist AI, compliance, or data-governance practices
- Single-user licence · firm-branding permissions on deliverables

The Agency Edition is not a different method. The instruments, policies, and documentation logic are identical to the core product. What this edition adds is the layer that makes the method deployable inside professional engagements: an operator's manual, editable source templates, firm-branding rights, and a perpetual single-user licence sized for the activity of one licensee.

## THE ADVISOR OPPORTUNITY

# Your clients are asking for AI governance. The gap is operational, not conceptual.

Boards are asking what the AI policy is. Regulators are asking to see the decision record. Clients are asking their advisors the same question: "Help us show that we governed this." Generic policy language does not answer that question. What answers it is structured documentation produced at decision time — and a repeatable method your team can run again on the next engagement.

The Agency Edition gives you that method, in a form you can deploy under your own firm brand without building it from scratch.

### WITHOUT A METHOD

- Each engagement re-invents the scoping conversation.
- Policy language looks generic; clients cannot hand it to the board.
- Triage is ad hoc; decisions are recorded inconsistently.
- No audit trail when the regulator arrives.
- Difficult to delegate the work inside the firm.

### WITH THE AGENCY EDITION

- + Scoping memorandum runs the first meeting.
- + Firm-branded deliverables go straight to the client.
- + Triage is structured; three decision-file tiers fit the risk.
- + Every decision produces a defensible record, dated and signed.
- + Repeatable playbook. New engagements start faster.

*The shift is from "we advise on AI governance" to "we deploy a method — and we can show the record."*

## WHAT YOU RECEIVE

# Five layers, one deployable package.

## 01 AI USE & CONTROL FRAMEWORK

17 files · core policy, literacy checklist, shadow-AI disclosure protocol, triage tool, rollout memo, classification guide, executed example, and deployment guide. Interactive tools (HTML) for whitelist, use-register, triage, and literacy checklist.

## 02 AI VENDOR & DATA CONTROL FRAMEWORK

17 files · vendor policy, review checklist, onboarding protocol, restricted-data triage, escalation matrix, prompt/data handling rules, executed example, deployment guide. Interactive tools and editable HTML working files.

## 03 BUNDLE EXCLUSIVE COMPONENTS

4 files · Executive Briefing (10pp, board-ready), Integrated Deployment Roadmap (30-day plan), AI Governance Execution Library (20 worked case records), and the Execution Library Navigator — interactive index of the 20 cases.

## 04 AGENCY OPERATOR MATERIALS

3 documents · Operator's Manual (scoping, triage facilitation, stakeholder mapping, objection handling, engagement handoff), Branding Kit (how the method can appear under your firm brand), and the Agency Licence Terms.

## 05 EDITABLE SOURCE TEMPLATES

15 templates in .docx · scoping memorandum, triage card, three decision file tiers (Express / Standard / Shielded), bias audit, pre-mortem, AUP, literacy checklist, vendor review, restricted-data triage, executive onboarding memo, stakeholder map canvas, client deliverable cover, transfer memorandum.

## GOVERNANCE ARCHITECTURE

# Two frameworks that solve two different internal control problems.

The method separates two control problems that clients tend to conflate: how people inside the organisation may use AI, and how external AI tools may be introduced to the organisation. The two frameworks address these separately, but are designed to function as one deployable governance layer.

## AI USE & CONTROL FRAMEWORK

*For internal rules, literacy, triage, and rollout.*

- Acceptable use — permitted, restricted, prohibited.
- Literacy readiness before tool access.
- Shadow AI disclosure — time-limited, no-retaliation.
- Use-case triage by risk tier.
- Rollout memo and acknowledgment.
- Control ownership & approval matrix.
- Classification guide and executed example.

## AI VENDOR & DATA CONTROL FRAMEWORK

*For vendor review, data handling, onboarding, escalation.*

- AI vendor & data control policy.
- Vendor review checklist — six assessment domains.
- AI tool onboarding protocol.
- Restricted-data triage tool.
- Prompt & data handling rules.
- Vendor escalation & approval matrix.
- Executed example (SaaS tool approval).

*Each is deployable on its own. Together they form a coherent internal governance layer.*

**EXCERPT — AI ACCEPTABLE USE POLICY**

# Internal AI use requires more than permission. It requires structure.

The AI Acceptable Use Policy is a short, operational document — not a legal disclaimer. It tells your client's employees, in plain language, what may be done with AI, what may not, and what requires approval. The three tiers below are excerpted from §3 of the template in the Agency Edition.

**POLICY · §3 USE CATEGORIES****PERMITTED**

Internal productivity, drafting, brainstorming, and summarisation using approved tools with non-confidential data. No additional approval required.

**RESTRICTED**

Use involving confidential data, external-facing output, or integration with operational systems. Requires documented approval by the designated control owner.

**PROHIBITED**

Autonomous decision-making affecting rights, obligations, or safety. Use of unapproved tools with restricted data. Must not proceed without redesign or formal exception.

**IN THE AGENCY EDITION**

- Full policy source in .docx — editable for your firm's client base
- Matching editable HTML working file
- Companion Classification Guide explaining the use-tier logic
- Executed example showing a completed policy deployment

## EXCERPT — AI USE CASE TRIAGE TOOL

# Classification matters before escalation does.

A governance framework is only useful if your client's team can determine, quickly and consistently, what level of review a given AI use case requires. The triage tool routes any internal AI use case through three short questions, and resolves it into one of four outcomes. Excerpted below.

**TRIAGE · SCREENING QUESTIONS****1****Does the use case involve restricted or confidential data?****YES** Proceed to Q2.**NO** Escalate immediately. Do not proceed without documented approval from the data owner.**2****Is the AI output reviewed by a qualified human before external use?****YES** Proceed to Q3.**NO** RESTRICTED. Human review must be implemented before the use case is approved.**3****Does the use case create operational dependency on the AI tool?****YES** Low-friction use → proceed under standard controls.**NO** Escalated use → formal governance record and continuity plan required.

*The same routing logic ships as an editable HTML tool your client's team can run directly.*

## EXCERPT — AI VENDOR REVIEW CHECKLIST

# Most AI governance problems begin with tools, not theories.

When a client rolls out a new AI SaaS tool, the governance failure point is almost always procurement, not policy. The Vendor Review Checklist structures the conversation with the vendor before any data is shared. Six assessment domains, each with sub-criteria in the full document.

**CHECKLIST · SIX ASSESSMENT DOMAINS**

- 1 DATA SECURITY & ENCRYPTION**  
Encryption standards, access controls, penetration testing, certifications (SOC 2, ISO 27001).
- 2 DATA PROCESSING & RETENTION**  
DPA coverage, sub-processors, deletion rights, retention limits, cross-border transfers.
- 3 MODEL TRAINING & DATA USE**  
Whether the vendor trains on organisational data. Opt-out status. Input/output retention.
- 4 CONTRACTUAL & COMPLIANCE**  
Liability, indemnity, regulatory alignment (EU AI Act, NIS2, DORA), jurisdiction.
- 5 OPERATIONAL RESILIENCE**  
Uptime commitments, portability, exit provisions, lock-in risk, incident communication.
- 6 TRANSPARENCY & GOVERNANCE**  
Audit rights, incident reporting, model/feature change notification protocols.

**ALSO INCLUDED**

- Vendor Escalation & Approval Matrix — who approves, under what conditions
- AI Tool Onboarding Protocol — from approval to restricted pilot to general use
- Prompt & Data Handling Rules — what may and may not be pasted into a tool
- Executed example: SaaS Tool Approval (8pp, fully documented)

## EXCERPT — OPERATOR'S MANUAL

# How the advisor actually runs the engagement.

The Operator's Manual is the piece of the package that does not exist in the executive edition. It is the 28-page guide for the professional running the engagement: how to scope it, who to put in the room, how to facilitate the triage, how to handle the three most common client objections, and how to hand the governance output back without leaving your firm exposed. One chapter excerpted below.

**CHAPTER 4 — TRIAGE FACILITATION · EXCERPT**

A triage session is not a discovery workshop. By the time the advisor arrives, the organisation has already started using AI — often in ways the board has not formally approved. The session's purpose is to surface that activity, classify each use case, and produce a decision record the organisation can defend.

Three practical points set the tone:

- Run the scoping memorandum through the client sponsor before the session, not during it. The session itself must start with items already on the table, not with a blank sheet.
- The triage owner in the room should be a control-side function (compliance, risk, legal, information security) — not the team that is already using the tool. Separation of concerns matters even at the facilitation level.
- Every case surfaced in the session produces a decision file. Express, Standard, or Shielded is decided in the room, with the time allocated to each file disclosed up front.

**THE OPERATOR MANUAL ALSO COVERS**

- Scoping Memorandum playbook (Ch. 2)
- Stakeholder mapping for governance engagements (Ch. 3)
- Objection handling: "we already have a policy" and two other variants (Ch. 5)
- Engagement handoff and transfer memorandum (Ch. 7)

## EXCERPT — SCOPING MEMORANDUM TEMPLATE

## Every engagement begins with a scoping memorandum.

The Scoping Memorandum is the first template in the editable source pack. It is short by design — one to two pages, signed by both the advisor and the client sponsor — and it establishes what is in scope, what is out, who decides, and what the engagement is not. Simplified structure below.

**SCOPING MEMORANDUM**

DPI Ref: [ENGAGEMENT\_CODE]

<b>CLIENT</b>	[Legal entity name, operating address]
<b>ENGAGEMENT</b>	AI Governance — initial deployment of the Decision Protocol framework
<b>SPONSOR</b>	[Name, role] — authority to sign governance decisions
<b>ADVISOR</b>	[Firm name] acting through [Operator name]
<b>SCOPE — IN</b>	AI Acceptable Use Policy; AI Use Case Triage; initial vendor review of up to 5 named AI tools; one executed decision file per tier (Express, Standard, Shielded); handoff materials and transfer memorandum.
<b>SCOPE — OUT</b>	Implementation of controls inside the client's systems; legal opinion on regulatory exposure; certification or audit; ongoing monitoring after handoff.
<b>DURATION</b>	[N] weeks from kickoff. Handoff at the delivery of the transfer memorandum.
<b>DELIVERABLES</b>	Firm-branded framework instruments, three decision files, executed vendor reviews, transfer memorandum with recommended next steps.
<b>EXPLICIT LIMITATION</b>	Advisory-only. The decisions recorded remain the responsibility of the client. The advisor does not sign governance decisions on behalf of the client.

*The template is in editable .docx — customise once for your firm, reuse on every engagement.*

## EXCERPT — THREE DECISION FILE TIERS

# Match the record to the stakes of the decision.

Not every AI decision deserves a 15-page analysis. Not every decision survives on a post-it. The Agency Edition ships three decision-file tiers as editable .docx templates, each with a defined scope, time investment, and form. The advisor picks the tier during the triage session, and the client's team runs the file to completion.

**01****EXPRESS***15 minutes*

*Low-friction use cases; internal tools with non-confidential data; reversible decisions.*

**CONTAINS**

- Single sheet, 6 fields
- Triage outcome captured
- One-line rationale
- Owner and date signed

**02****STANDARD***60 minutes*

*Restricted use; external-facing output; integration with an operational system.*

**CONTAINS**

- Three-page file
- Stakeholder input recorded
- Trade-off documented
- Conditions attached
- Review interval set

**03****SHIELDED***3–5 hours*

*Material risk; board-visible; decisions affecting rights, obligations, or safety.*

**CONTAINS**

- Full decision record
- Pre-mortem conducted
- Bias audit where applicable
- Dissent captured
- Legal review attached
- Audit-ready form

*The advisor's skill is choosing the right tier. The template makes the execution fast.*

## EXCERPT — EXECUTION LIBRARY · CASE #11

## A worked case the advisor can use to calibrate the method.

The Execution Library contains 20 fully worked case records — trigger event, stakeholders, classification logic, the decision with its rationale, trade-offs recorded, and the instruments used. It is the component that transforms a document pack into a repeatable method. Case #11 is shown below in abbreviated form.

FIELD	EXECUTED EXAMPLE · CASE #11 — AI-ASSISTED CREDIT DECISIONING
<b>USE CASE</b>	A regional bank proposes routing pre-screening of consumer credit applications through a third-party AI scoring model, with a human analyst reviewing only flagged cases.
<b>CLASSIFICATION</b>	RESTRICTED. External-facing output; direct effect on customer rights; regulated under EU AI Act Annex III (high-risk). Tier: SHIELDED decision file.
<b>STAKEHOLDERS</b>	Chief Risk Officer (sponsor), Head of Credit, Compliance, Data Protection Officer, Legal, Head of Customer Operations.
<b>TRIAGE OUTCOME</b>	Proceed with conditions. Restricted pilot on <5% of application volume; full audit logging; every adverse decision reviewable by qualified human before communication to the applicant.
<b>TRADE-OFF</b>	Throughput gain accepted in exchange for a continuous 100% human review layer on adverse outcomes and a 90-day mandatory re-assessment of model drift.
<b>CONDITIONS</b>	Vendor DPA updated; opt-out of model training confirmed in writing; quarterly bias testing; documented escalation path for applicant disputes.
<b>INSTRUMENTS USED</b>	Vendor Review Checklist, Restricted Data Triage, Pre-Mortem Module, Bias Audit Module, Shielded Decision File.

*Twenty cases across AI use, vendor, and integrated decisions. Each one is a calibration point.*

**FIRM - BRANDING & LICENCE SCOPE**

## What you may do under your own brand, and what the licence covers.

The Agency Edition grants a perpetual single-user licence for professional deployment — sized to the activity of one licensee. Firm branding is permitted on client deliverables, subject to the Branding Kit rules. The headline terms are summarised below. Full terms are in `DPI_Agency_License_Terms.pdf`, shipped with the package.

**PERMITTED**

- + Use the method across all client engagements you personally run.
- + Attach your firm logo and branding to deliverables handed to clients.
- + Edit the source templates to suit your client's sector and regulator.
- + Retain completed decision files as firm work product, subject to client confidentiality.
- + Receive method updates through 31 December 2026.

**NOT PERMITTED**

- Sub-licensing the method itself to other firms or advisors.
- Reselling the source documents as a standalone product.
- Publishing the templates on a public repository or marketplace.
- Using the DPI brand to imply certification, audit, or endorsement.
- Splitting the licence across multiple licensees.

**IDENTICAL TERMS AT BOTH PRICE POINTS**

Early Access (\$997 through 30 April 2026) and Standard (\$1,497 from 1 May 2026) purchasers receive identical contents and identical licence scope. The acquisition price is the only difference. Method updates through 31 December 2026 included in both.

## ENGAGEMENT MODEL

# How the method moves through a client engagement.

The package is engineered so that a professional can move from first client meeting to the first defensible governance record without external support. The typical arc is below. The instrument column identifies which pieces of the package carry the work at each stage.

**WEEK 1****SCOPING**

Run the scoping memorandum with the client sponsor. Confirm what is in, what is out, and what the engagement is explicitly not.

*Scoping Memorandum template · Operator's Manual Ch. 2*

**WEEK 1-2****STAKEHOLDER MAP**

Identify the control-side functions who will carry the decisions forward — compliance, risk, DPO, legal, security — and the operational leads who are already using AI.

*Stakeholder Map Canvas · Operator's Manual Ch. 3*

**WEEK 2****TRIAGE SESSION**

Surface existing and proposed AI uses. Classify each with the triage tool. Decide file tier per case (Express, Standard, Shielded).

*AI Use Case Triage Tool · Triage Card · Operator's Manual Ch. 4*

**WEEK 2-3****DECISION FILES**

Client team executes one file per case; advisor reviews structure, not content. The decisions stay with the client; the method stays with the advisor.

*Express / Standard / Shielded Decision File templates*

**WEEK 3-4****VENDOR REVIEWS**

For any external AI tool, run the Vendor Review Checklist and the Restricted Data Triage. Produce an onboarding protocol for approved tools.

*Vendor Review Checklist · Restricted Data Triage · Onboarding Protocol*

**HANDOFF****TRANSFER MEMORANDUM**

Hand the governance record back to the client with a structured transfer memo: what was produced, what is pending, what the next review interval is, and what the advisor will not continue to carry.

*Transfer Memorandum · Operator's Manual Ch. 7*

AVAILABLE NOW

# Get started.

EARLY ACCESS · THROUGH 30 APRIL 2026

## Agency Edition

# \$997

One-time · Perpetual single-user licence  
Method updates through 31 December 2026

### INCLUDED

Two full frameworks · 4 bundle-exclusive components · Operator's Manual · Branding Kit · 15 editable templates · Licence terms

STANDARD · FROM 1 MAY 2026

## Agency Edition — \$1,497

Identical contents and licence scope. The acquisition price is the only difference.

### HOW TO BUY

[decisionprotocolinstitute.com/agency.html](https://decisionprotocolinstitute.com/agency.html)

*Immediate digital access after purchase. Secure checkout via Dodo Payments.*



**THE DECISION PROTOCOL INSTITUTE™**  
AGENCY EDITION

*When your client is asked to show how the decision  
was reasoned – not whether a policy existed –  
will the record you helped them build be enough?*

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*If the answer is “I don’t know,”  
the Agency Edition is the license that changes that.*

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**C O N T A C T**

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