



RUNNING EXAMPLE

Lendari logs the decisions of its agent "Margaux" (Tier 1 customer service). Maintained by Camille Roussel (DDAO — Delegated Decision Agent Officer), supervised together with Léa Fontaine (Customer Service).

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OBJECTIVE

Ensure traceability of every important decision made by — or about — an agent. The register documents **decisions, validations, incidents and follow-up actions** to guarantee transparency, compliance (AI Act art. 12, DORA) and accountability.

1 DECISIONS & INCIDENTS REGISTER

DATE / TIME	AGENT	DECISION / EVENT	RISK	VALIDATED BY	OUTCOME / IMPACT	FOLLOW-UP
06/03 09:14	Margaux	Refund €78 — defective item returned	<div>Moderate</div>	Auto (supervised)	Refunded, customer notified < 2 min	Log — weekly review
06/03 11:47	Margaux	Refund request €240 — above the €100 cap	<div>High</div>	Co-decision L. Fontaine	Escalated, approved after invoice check	24-hour review (mandate ACF-12)
06/04 15:30	Margaux	Goodwill gesture -15% on delivery dispute	<div>Moderate</div>	Co-decision L. Fontaine	€32 credit note issued	Satisfaction D+7
06/05 08:02	Margaux	Error rate 2.3% > 2% threshold	<div>Critical</div>	Auto → alert C. Roussel (DDAO)	Kill switch armed, agent suspended 40 min	Post-mortem ACF-09
06/05 10:20	Margaux	Resumed operations after prompt correction	<div>High</div>	C. Roussel (DDAO)	Restart OK, rate dropped to 0.7%	24-hour review
06/05 16:05	Margaux	Customer dispute threatening a negative public review	<div>High</div>	Co-decision L. Fontaine	Out of scope → handled by a human advisor	Closed D+1

Critical

 = immediate halt    

High

 = 24-hour review    

Moderate

 = weekly review    

Low

 = log only  

Very low

 = sampling



## 2 NOTES & CONTEXT

**Incident #4 (06/05).** Error spike caused by a faulty catalog synchronization — false "item unavailable" responses.

Fix: resynchronization + safeguard added to the prompt. No customer loss. Full post-mortem → **ACF-09**.

**Mandate compliance.** All refunds > €100 this week were escalated in line with the mandate (**ACF-12**). No "goodwill gesture" decision taken autonomously without co-decision.

**Indicators.** Weekly CSAT: 4.4 / 5. Tier 1 resolution rate without human intervention: 73%.

## 3 REGISTER GOVERNANCE RULES



### WHY KEEP THIS REGISTER?

- AI Act requirement (art. 12 — logging) & DORA
- Evidence of governance for fiduciary audit
- No trail, no accountability



### CONFIDENTIALITY

- ! Contains sensitive data (customers, amounts)
- ! Restricted access: DDAO, DPO, executive management
- ! Retention & purge per GDPR policy



### REVIEW FREQUENCY

- ✓ Critical / High: review within 24 hours
- ✓ Moderate: weekly review
- ✓ Monthly overall review (DDAO + DPO)

**Next step:** turn tracked incidents into an improvement plan with **ACF-09**, trigger **ACF-06 — Kill Switch** if a threshold is crossed, and tie each decision back to the **ACF-12 mandate**.